

TORBAY COUNCIL

Corporate Risk Register Quarter 2 2021/22

KEY TO RISK REGISTER

The below Risk Matrix has been used to score the risks and only those that register as High (16 and above) and Medium/High (10 to 15) are included.

DOT in the same column indicates direction of travel i.e., the score has increased ↑, decreased ↓ or stayed the same ↔.





2.2 Risk Matrix

	Critical	5	10	15	20	25
	Major	4	8	12	16	20
Impact	Moderate	3	6	9	12	15
	Minor	2	4	6	8	10
	Insignificant	1	2	3	4	5
		Rare	Unlikely	Possible	Likely	Almost Certain
		Probability				

Community and Corporate Plan Priority: Thriving People and Communities

Code	Title	Probability Score	Impact Score	Score, RAYG and DOT	Description	Mitigation	Score and RAYG After Mitigation	Risk Owner
S RTP C01	Increased demand for Children's Services	3 - Possible	4 - Major	12 ↔	The number of children that are cared for by the local authority increases and puts pressure on sufficiency of placement and the budget.	We have robust oversight of our cared for population and those children who enter care. The numbers of children cared for are safely reducing but we remain vigilant particularly in response to escalating need due to COVID-19. Several panels have been put in place to monitor and track children's progression. These include a pre-birth tracker, permanence panel and the placement panel that reviews children in independent care settings. There is now an Edge of Care offer which supports children who have the potential to become cared for but can safely remain at home with support, presently this is both an internal and external provision which impacts on budget but avoids costs of high care costs. The LCS system is still not yet supporting the daily reporting of cared for due to delay in inputting this therefore requires a manual monitoring response to also be in place. The increasing costs nationally of placements is impacting negatively on the overall budget.	12 ↔	Nancy Meehan

SRTP C02	Impact upon the council's ability to meet statutory timescales	5 – Almost certain	4 - Major	20 ↔	Increased demand could impact on our ability to meet statutory timescales for the completion of assessments and meetings such as child protection case conferences.	<p>There is weekly monitoring of the numbers of contacts and referrals into the Multi Agency Safeguarding Hub that require a statutory response. This has been impacted on by the migration into a new ICS system.</p> <p>Quality assurance activity is being undertaken to ensure that the thresholds remain robustly applied. Each service area has a performance meeting to ensure we are compliant with statutory requirements. There is an exception report in relation to Children's Services improvement which is reviewed at the Children's Continuous Improvement Board, DOM and Children's Overview and Scrutiny. We have also established a Children's Services operational board to drive the operational activity identified in the Children's Services Improvement Plan.</p>	16 ↔	Nancy Meehan
SRTP C03	Failure to deliver the Children's Services Improvement Plan	3 - Possible	5 - Critical	15 ↔	The last Ofsted Inspection judgement was that Children's Services are inadequate. If the next inspection judges us as inadequate it is highly likely that the delivery of Children's Services will be removed from Council control.	Following 3 positive reports by the Children's Commissioner, the DfE intervention altered. Torbay are still subject to a statutory notice but have a DfE appointed Improvement Advisor, SLIP, and an Independent Chair of the Improvement Board who oversee activity. The last Ofsted Visit in March 2021 reported positively on the improvements made.	12 ↔	Nancy Meehan

SRTTP C04	Delivery of Liquid Logic	3 - Possible	4 – Major	15 	If timescales are not met for the delivery of Liquid Logic (February 2021) this will have significant budget implications with Liquid Logic and will leave the Council with a data deficiency.	Implementation of Liquid Logic was delivered in June 2021. Unfortunately, there are a number of challenges that have resulted in the system needing further configuration work and inaccurate reporting, the result is a lack of assurance that the system, data and reporting are effective. A LGA peer review has been requested as there are a number of concerns which require immediate action to deliver effective reporting and ensure the system is fit for purpose.	12 	Nancy Meehan
SRTTP C05	Local Area SEND Inspection	4 - Likely	4 – Major	16 	The Local Area Special Educational Needs and/or Disabilities (SEND) inspection conducted by Ofsted and the Care Quality Commission (CQC) will take place before April 2022. The local area preparations and self-evaluation currently demonstrates an inability to be compliant with the legislative code. If inspectors confirm this self-analysis, it is anticipated that the Local Area will receive a 'statement of action' and inspectors will evaluate progress with programme of monitoring visits.	The Ofsted Inspection Process has recommenced. The current framework for SEND inspections concludes in April 2022 with a new framework being introduced at this stage. The Peer Review has resulted in a new action plan and governance framework to drive forward improvements. The impact of COVID-19 on SEND delivery is being documented and the changes to SEND legislation are being addressed. The Local Authority has had a peer review of SEND and our ability to meet the statutory code. Although there is good practice identified the partnership ability to meet the SEND Code of Practice is challenged and needs additional work to address.	16 	Nancy/ Meehan Rachael Williams

SRTP C06	Achievement of £6m of Adult Social Care savings by March 2023	3 - Possible	4 – Major	12 ↔	The Adult Social Care (ASC) Improvement Plan has been created to deliver the £6m saving through operational redesign and further strengthening the Community Led Support Approach and Strength Based Approach to social care. The projects within the plan have been designed in year one to realise savings from critical projects whilst allowing corresponding projects to be set up to realise savings in years two and three.	Adult Social Care Improvement Board will review risks and mitigate using the integrated Project Management Office as a function of the plan. Project risks will be mitigated at project level and escalated where there is likely to be a broader ASC Improvement Plan negative strategic or operational impact.	12 ↔	Jo Williams
SRTP C09	Increased demand in homelessness	5 – Almost certain	4 – Major	20 ↔	The level of homelessness experienced as a result of COVID-19 and changing housing market is increasing. Increased demand and inability to access sufficient accommodation could impact on the Councils ability to meet statutory duties and provide appropriate safeguarding. Also poses a financial risk due to elevated accommodation costs. Risk to staff due to elevated work pressures and inability to manage demand.	Demand on the service remains high and ability to access move on accommodation is extremely challenging. Temporary Accommodation Procurement plan is in place for April 21 and on target. Prevention officer now in post to establish prevention network and link coordinator to facilitate partnership working. Biggest risk remain inability to access affordable accommodation. Corporate delivery plan for affordable accommodation urgently required.	16 ↔	Tara Harris

SRTP C10	Ability to deliver Youth Homelessness Prevention Pathway	3 - Possible	4 – Major	12 ↔	Effective pathway needs to be implemented across services to ensure Torbay is legally compliant and that the service is at its full complement of staff to enable this to be delivered.	Ofsted identified in both the last inspection (2018) and the previous one (2015) that the response to 16 to 17 youth homelessness was not legally compliant. The children's redesign considered how to respond to the criticism and subsequent repeat recommendation from Ofsted. This is being progressed. There has been a review of the homeless pathway following a recent audit of service responses to the vulnerable young people. We have recently appointed new youth homeless prevention workers. There is a scheduled QA deep dive into this area of the service.	12 ↔	Nancy Meehan
SRTP C11	Maintain capacity to respond to increase in COVID-19 pandemic infection rates or variants of concern 21/22	4 - Likely	4 – Major	16 ↔	Local outbreak Management Plans require all local authorities to oversee the response to the COVID-19 pandemic at local level and to work in partnership with Public Health England, NHS, Care, Education, voluntary and business partners to prevent and respond to outbreaks.	Robust measures are in place and include: <ul style="list-style-type: none"> • 7 x 7 multi-disciplinary rota / on-call to coordinate response to cases & outbreaks • Dedicated intensive support team to provide proactive and reactive infection control guidance & testing • Comprehensive intelligence systems mapping cases, outbreaks and risk settings, identifying patterns of spread, & helping to guide the response • Strong, effective communications & engagement plans with communities and partners promoting behaviours which will prevent the spread of infection and compliance with isolation guidance 	12 ↔	Lincoln Sargeant

						<ul style="list-style-type: none"> • Training of existing staff & introduction of standard operating procedures to enable 24/7 response over the long term • Evolution of testing offer in line with national policy and local demand. • Oversight of vaccination programme including promotional activity and commissioning and managing pop up clinics to increase uptake in low uptake groups. 		
S RTP C12	Insufficient capacity to prevent & respond to high flu levels Winter 2021/22	4 - Likely	4 - Major	16 ↔	Flu is anticipated to present a higher than usual risk in 21/22 due to the continuation of COVID-19 infection in the population. Vaccines will be available for eligible groups and high uptake will be needed to reduce the incidence and the impact of disease. Delivery of schools programme is slower than planned due to expansion to include COVID vaccination for 12-15s.	<p>A combined COVID-19 and flu response provided the highest chance of success. Measures included:</p> <ul style="list-style-type: none"> • Dedicated vaccination teams targeting all risk settings and high risk groups (care sector, education, hostels, carers, people with health risk conditions, shielded population, pregnant women, young children) in parallel with the primary care vaccine delivery programme to people 60 and over. • Regular communication with child vaccination delivery programme to ensure all school children receive vaccine offer within reasonable timescale. 	6 ↔	Lincoln Sargeant
S RTP C13	Inadequate measures to prevent suicide & self-harm, promote good mental health & wellbeing, and	4 - Likely	3 - Moderate	12 ↔	The impact of COVID-19 is modelled to produce an increase in mental distress, bereavement trauma and suicide risk. Torbay already has one of the highest rates in the country for both suicide and self-	<p>Capacity is in place to work with partners across Torbay, the Integrated Care System & regionally to:</p> <ul style="list-style-type: none"> • Build on the new Devon wide suicide surveillance & postvention system & expand this to include suicide attempts as well as completed suicides 	9 ↔	Lincoln Sargeant

	support bereavement & loss				<p>harm. Comprehensive & effective prevention and postvention pathways need to be in place to identify people in need & to ensure they receive appropriate information, signposting, support and intervention.</p>	<ul style="list-style-type: none"> • Implement research with practitioners and people with lived experience into the high incidence of self-harm and what needs to be in place to support and prevent • Work with communities to implement 'safer suicide community' initiatives • Deploy new model of training programmes (universal to specialist) • Build on the new Torbay Mental Health and Suicide Prevention Alliance spanning community & statutory providers developing improved pathways for mental distress & matching needs with capacity for mental health and wellbeing, suicide prevention, and bereavement support. • Use of COVID-19 impact funding short term to expand team capacity in Public Health to deliver strategic response and community capacity to deliver frontline support (helpline, supervision, support and training, safe spaces, online resource) 		
SRTP C14	Inability to deliver the Housing Strategy	3 - Possible	4 - Major	12 ↔	<p>National policies have served to reduce affordable housing development, increase affordability pressure in the private rented sector and make it increasingly difficult to access decent housing, for people who are on low incomes or benefits increasing deprivation and</p>	<p>Officer resource has been increased. The new housing company, TorVista Homes, has established its own Board and will be regulated by Homes England. TorVista has submitted its application and are already working to bring forward a number of affordable housing schemes. The Housing Strategy Action Plan is in development.</p>	8 ↔	David Edmondson

					related health concerns for residents.	There has been increased partnership working with providers such as landlords and health services.		
S RTP C15	Capacity across ASC service provision	4 - Likely	4 - Major	16	There is an increase in demand and less capacity to provide service. This includes Adult Social Care work force for completing initial assessment work and complex care which has resulted in high waiting lists. There are acute pressures around hospital discharge which is impacting on the levels of access available to community teams. There are also providers pressures with a lack of available residential and domiciliary care provision. These factors are caused by staffing pressures resulting from Covid outbreaks, sickness and school holiday annual leave. The consequence is that some clients are not having their assessed care needs met.	<p>1) Review of outstanding care list has been undertaken at Multi-Disciplinary Team level.</p> <p>2) Front end teams are reviewing requests for care and exploring strength based alternatives.</p> <p>3) Arranging Support Team regularly contact providers and discuss care provision / offer support.</p> <p>4) Non priority functions have been stood down ensuring staff are redirected to key areas (i.e. Review and insights team and now undertaking telephone assessment front end social care)</p> <p>5) Regular communication with regards to current status to staff.</p> <p>6) Staffing overtime offered</p> <p>7) Financial incentives offered to providers.</p> <p>Gaps in Controls:</p> <p>1) Providers are all facing the same staffing challenges.</p> <p>2) Care has to be taken when offering incentives not to destabilize the market.</p> <p>3) Ongoing financial impact.</p> <p>4) School holiday leave pressures often relate to childcare responsibilities.</p> <p>5) Informal carer's available earlier in the pandemic due to furlough have now returned to work.</p>	12	Jo Williams

Community and Corporate Plan Priority: Thriving Economy

Code	Title	Probability Score	Impact Score	Score and RAYG	Description	Mitigation	Score and RAYG After Mitigation	Risk Owner
SRTE 01	Ability to meet land supply requirements	4 - Likely	4 - Major	16 ↔	If we do not have a five year land supply then our Local Plan Policies and those of the Neighbourhood Plans cannot be considered up to date and put us under greater pressure of development. Failure to have a five year land supply therefore risks inappropriate development outside of the Local and Neighbourhood Plans. Ability to meet land supply requirements could impact income generation from new homes bonus and Section 106 monies.	Whilst we have published a statement last year that we had achieved a three year housing land supply and with three made neighbourhood plans, one for each town, formally adopted in 2019, we could defend against inappropriately sited development. However, last year's considerable under delivery and backlog of previous years under delivery means we have fallen below that three year figure.	16 ↔	David Edmondson
SRTE 02	A weak local economy due to COVID-19	4 - Likely	4 - Major	16 ↔	As a result of the COVID-19 pandemic the local economy is weakened resulting in an impact on our residents and visitors.	<p>The Council will address this risk through delivery of the Economic Repositioning Plan. Work across the 6 themes:</p> <ul style="list-style-type: none"> • Town centres • Visitor economy • Cultural development • Community wealth building • Growth • Employment and skills <p>Delivery of projects under the Town Centre regeneration programmes is beginning to accelerate and will gain</p>	12 ↔	Alan Denby

						<p>momentum in the coming quarter. Business cases for the remaining Town Deal projects have been submitted to Government and works on Harbour Public Realm are expected to begin in early 2022. Progress for Paignton Future High Street Fund includes the development of design for the public realm scheme, the welcome approval of the CPO for Crossways and a design brief being drafted for Victoria Centre. Disappointingly the Levelling Up Fund bid was unsuccessful and officers are reviewing the funding strategy for the two projects. Some Community Renewal Funding has been secured for projects to support training and development and work is now underway for the Build Torbay construction skills project.</p>		
SRTE 03	Riviera International Conference Centre could close permanently	2 – Unlikely	3 - Moderate	6 ↔	It is essential to ensure that Riviera International Conference Centre remains a viable entity to ensure its contribution to the local economy and Torbay as the Premier UK resort.	<ul style="list-style-type: none"> • Lease has now moved to Parkwood Leisure/Lex Leisure • Progress being made to complete the essential backlog works • Parkwood have advised they will not take up the breakclause, awaiting legal confirmation 	4 ↔	Kevin Mowat / Phil Black

SRTE 04	Princess Theatre reopening	4 – Likely	4 – Major	16 ↔	Currently run by Ambassador Theatre Group (ATG) on behalf of Torbay Council. ATG have been significantly affected by COVID-19 pandemic and lockdown issues. The business model relies on touring shows. The theatre is looking to reopen in August. Given it takes several months to successfully re/mount a production, the current lack of certainty around a full reopening date presents a challenge in this respect.	<ul style="list-style-type: none"> • Applications for (Govt) grant funding to support ATG through COVID-19 crisis. • ATG continue to work with all their producer partners to make the best endeavours to reopen as soon as possible, with the best programme available to audiences. • Council has started a conversation with ATG about the theatre's long term future and the possibility of a joint approach to further investment in the asset. Awaiting plans from ATG 	6 ↔	Kevin Mowat / Phil Black
SRTE 05	Financially unsustainable future for Torre Abbey	4 – Likely	4 – Major	16 ↔	Torre Abbey is currently a loss making asset. The focus must be switched to a commercial approach to ensure income generated meets or exceeds spend. Income is also currently impacted by reduced opening hours due to COVID-19. The building is subject to significant water ingress and has structural concerns.	<ul style="list-style-type: none"> • Staff restructure is now complete • Café is now open as an inhouse operation and generating income. • Grant applications e.g. to National Lottery Heritage Fund, are being made to secure funding to help resolve some of the issues and challenges. Latest NLHF bid was unsuccessful but other options are being explored. Grant applications have been made to MEND and NHMF • Permission has been received to start a development foundation which will drive donations and fundraising • A business case is developed which business case being developed potential future use for existing dwellings. • The Abbey re-opened on 18 May and will continue to implement measures to make it more commercially viable. 	8 ↔	Kevin Mowat / Phil Black

Community and Corporate Plan Priority: Tackling Climate Change

Code	Title	Probability Score	Impact Score	Score and RAYG	Description	Mitigation	Score and RAYG After Mitigation	Risk Owner
SRTC C01	Inadequate response to the climate change emergency.	4 – Likely	5 - Critical	20 ↔	<p>A single council is unlikely to ever be able to provide an adequate response on its own that will fully achieve carbon neutrality for an area. However, if the Council is not doing all it can to mitigate as much as possible, it will have reputational repercussions for the organisation and adverse, wide ranging implications for the wider area of Torbay.</p> <p>If our response is inadequate there is a risk that:</p> <ul style="list-style-type: none"> - Homes, Infrastructure and other assets will be damaged or lost through flooding or wave action; - Business continuity will be impacted at a cost to Council and to 3rd parties i.e. Fish Market; - Beach huts and other waterfront properties will become unattractive or unviable as a business model; - Road links will be disrupted, causing severe indirect 	<ul style="list-style-type: none"> • Work continues to deliver our Initial Carbon Neutral Torbay Action Plan (2021-22) including - The TDA continue to develop 2 solar farms at pace. Brokenbury Farm is awaiting planning permission and Nightingale Park is in public consultation phase. Physical works at Marine Drive are on track to support delivery of the LCWIP. The i-Tree programme has recruited over 70 tree wardens. Work continues to support homes to install energy efficiency measures and reduce fuel poverty, including the new GHG LAD Phase 2. This will deliver measures for between 110 - 220 fuel poor homes in Torbay. However, to retrofit homes in line with our carbon neutral target will require much more support. Work is on track to decarbonise TLC and deliver £1.8m of energy efficiency and renewable energy measures. Plans to start to install electric vehicle charging points at some of our 10 car parks continues this quarter. • The Council continues to develop its carbon neutral council action plan. This is on track for approval by end of March 2022. A new policy to support 	15 ↔	Kevin Mowat / Jacqui Warren

					<p>interruptions to livelihoods and living;</p> <ul style="list-style-type: none"> - Torbay's reputation as a premier beach resort will be impacted - increased health impacts such as heat stroke 	<p>staff has also been drafted and 3 bids to Government to support the decarbonisation of the estate were made in this quarter.</p> <ul style="list-style-type: none"> • The new Torbay Climate Partnership was established this quarter and plans for a community conference on climate change (2/11/21) are in development. The results will be used to develop Torbay wide actions in 2022. 		
SRTC C02	Climate change impact on Tor Bay.	5 – Almost certain	5 - Critical	25 ↔	<p>Expectation of more frequent extreme rainfall events. Sea level forecast to rise by 70cm by 2050 which will significantly increase the risk of coastal flooding of low-lying areas (particularly Paignton Green), increase in the frequency and power of storm events, increase rate of coastal erosion/damage to quays, slipways and other hard infrastructure on the shoreline. Increased disruption to maritime activities e.g. commercial fishing and marine leisure. Coastal, pluvial and fluvial flooding will also present significant risks to residential and business properties, as well as critical infrastructure.</p>	<ul style="list-style-type: none"> • There are a number of contingency measures being considered to respond to coastal and pluvial flooding e.g. enhanced coastal sea defenses. • The Port Master Plan also contains climate change countermeasures e.g. further rock armouring of Victoria Breakwater, but no funding routes have been identified yet. • Work continues on the Flood Risk Management Plan and actions to address sustainable urban drainage systems (SUDS) and close collaboration with the Environment Agency is critical. • The Devon Climate Emergency's Climate Impacts Group is also in the process of carrying out a new risk assessment and developing a new adaptation plan for Devon, Cornwall and Isles of Sicily. Local action where required will be led by the Local Resilience Forum and fed into the new 	20 ↔	Kevin Mowat / Simon Pinder

						Torbay Carbon Neutral Action Plan once developed.		
SRTC C03	Failing coastal infrastructure	5 – Almost certain	4 - Major	20 ↔	A number of coastal assets are at a tipping point of deterioration and require significant investment to ensure longevity and fitness for purpose.	Periodic inspection regime to monitor degradation. Need to identify funding solutions to invest in hard infrastructure to 'hold the line' or agree a process of managed retreat with appropriate investment in soft infrastructure.	16 ↔	Kevin Mowat / Simon Pinder

Community and Corporate Plan Priority: Council Fit for the Future

Code	Title	Probability Score	Impact Score	Score and RAYG	Description	Mitigation	Score and RAYG After Mitigation	Risk Owner
SRCF F01	Difficulties in social work recruitment to frontline safeguarding teams	4 – Likely	3 - Moderate	12 ↔	There have been recent difficulties in recruiting social work staff both on a permanent and agency basis. The situation in the last year has been compounded due to potential recruits not wishing to relocate during the COVID-19 pandemic.	There continues to be an active recruitment campaign which is positive. Torbay is also supporting a number of Assessed and supported year in employment (ASYE) staff through the Learning Academy as well as developing our own internal leaders. This is stabilising the workforce but due to the challenges in a number of areas our agency still remains higher than we would want at this stage. The reduction is this should fall as we progress through quarter 3 and 4 of the financial year.	12 ↔	Nancy Meehan

SRCF F02	School High Needs Block spending pressures	4 – Likely	4 – Major	16 ↔	The School Forum currently have a deficit budget position of circa 2.5 million for 2020/21 and cumulative deficit from previous years of 3.8 million.	The School Forum is working with the Education Skills and Funding Agency (EFSA) to consider the actions that are needed to mitigate spend. The National system of funding pupils with higher need is yet to conclude or publish its findings. Cabinet has written to ask for this to be concluded, as this will form part of the SEND reform of the code and the financial expectations on demand for this budget. The School Forum continue to operate a Higher Needs Recovery Group to work through mitigating actions. A further refresh of the plan is being written alongside the action plan from the peer review. Additional funds were announced for 2021 – 2022 but this was insufficient to achieve an in year balanced budget position.	16 ↔	Rachael Williams
SRCF F03	SWISCo commissioning resource	3 - Possible	4 – Major	12 ↔	Insufficient commissioning resource for SWISCo.	Delivery expectations have been reduced. TUPE transfer key service areas into SWISCo and operate a ‘thin’ client model. Broaden the commissioning resource at Assistant Director level within Place.	8 ↔	Kevin Mowat
SRCF F04	Failure to comply with GDPR	5 – Almost certain	3 - Moderate	15 ↔	The General Data Protection Regulation (GDPR) tightens existing data protection requirements on organisations. The Council needs to be able to demonstrate compliance to the regulation in all of its processing	A GDPR compliance project has been undertaken and regular staff awareness campaigns are also undertaken to ensure staff keep data protection at the forefront of their minds, with the aim of reducing breaches.	12 ↔	Matthew Fairclough-Kay

					activities. Failure to do so could result in enforcement action from the Information Commissioner's Office, damage to reputation and potential increase in complaints and claims.			
SRCF F06	Balancing 2021/2022 budget in light of COVID-19 financial pressures	1 - Rare	4 – Major	4 ↔	<p>The financial impact of COVID-19 in future years is still being assessed. A number of the spending pressures seen in 2020/21 could reoccur in 2021/22. In addition, if the economy is impacted as predicted, a number of income sources will continue to be affected.</p> <p>In addition, the Government announced the deferral to 2021/22 of the Fair Funding Formula and the changes to the National Non Domestic Rates (Business Rates) retention scheme. The timing and impact of any Spending Review and/or Emergency Budget are also unknown.</p>	<p>Budget 2021/22 approved by Council in February 2021.</p> <p>Incident management cells remain in place to ensure close monitoring of the key financial pressures as a result of covid-19. These include Temporary Accommodation, collection of Council Tax & Business Rates, Investment properties and the effective use of Covid-19 grant funding.</p>	4 ↔	Martin Phillips

SRCF F07	Achieving a balanced budget over the period of the medium term financial plan	4 - Likely	4 – Major	16 ↔	The projected budget gap over the life of the Medium Term Resource Plan (MRTP) is an estimated position and is subject to change and is based upon a series of assumptions and projections which will be regularly reviewed for future years to ensure they continue to be realistic. There is therefore a risk that the projections for the budget deficit may prove to be either under or over estimates.	The MTRP will be updated as appropriate to take account of changing circumstances and new intelligence. An influencing and lobbying campaign is in development to raise the profile of Torbay Council, and Torbay as a whole. The 2022/23 budget setting process began in May 2021 and the first round of star chambers has been completed. Revised service plans and a second round of star chambers will be completed during Q2 of 2021/22.	12 ↔	Martin Phillips
SRCF F08	Proportionality of borrowing and commercial risk – a measure of income risk on assets funded from borrowing.	4 - Likely	4 – Major	16 ↔	The risk that council will be unable to meet its fixed borrowing liabilities if income streams associated with that borrowing are not maintained or fluctuate. The more the council borrows and the more it relies on that commercial income to support services, the greater the risk. The Ministry of Housing Communities and Local Government refers to this as “proportionality”. This risk is compounded by the economic impact of COVID-19 and lockdown, impacting on investment property rental income.	Regarding our investment properties; As part of the IMT recovery a sub group has been put in place for this key area and the TDA are in frequent contact with tenants to ensure timely payment or rent continues. Investment management meetings have become more frequent. The risk had been maintained at 16 as despite the mitigation it is uncertain how long the financial impact of pandemic on council rental income will last.	16 ↔	Martin Phillips / Kevin Mowat

SRCF F09	Corporate Fraud & Error.	4 - Likely	3 – Moderate	12 ↔	Risk that council is exposed to fraud and error in its operations in particular collection fund fraud and error.	Fraud and Error team established and focused on key areas of risk, such as in 20/21 the payment of over £50m of business grants. Additional staffing has also been approved for the Fraud & Error team.	12 ↔	Martin Phillips
SRCF F10	Corporate Health and Safety	3 - Possible	3 – Moderate	9 ↓	Non-compliance to health and safety requirements across the local authority increases the risk to public and staff safety, this includes gaining appropriate certifications for some of our assets.	Risk has reduced from 12 to 9. Increased staffing structure in place due to increase demand with the addition of fixed term contract for Children Service to address level of work required and facilitate culture change. Corporate SHE dashboard bought online to facilitate transparency and wider corporate understanding to improve performance.	9 ↔	Tara Harris
SRCF F11	Capacity of legal services to deal with care proceedings before the court	3 - Possible	4 – Major	12 ↔	As the numbers of children looked after increases, as does the requirement for legal services to support care proceedings which will go before the court. This increase could lead to lack of capacity to deal with cases in a timely and effective manner.	Required resources are kept under close review, and the teams are currently supplemented by agency workers, to give capacity and ensure that vacant posts are filled. This does however lead to a significant budgetary pressure.	8 ↔	Matthew Fairclough-Kay
SRCF F12	Change management capability across the Council	3 - Possible	4 – Major	12 ↔	The Council is undertaking an ambitious programme of transformation, together with delivering changes required as a result of budgetary decisions. The risk is the workforce in unable to deliver the amount of Council-wide and service change service needed, whilst	Council Redesign Programme Board is reviewing the prioritisation of projects, and workstreams therein so as to ensure that the workforce can deliver, or that additional resources are identified in order to deliver within required timeframes.	12 ↔	Anne-Marie Bond

					ensuring the continued delivery of services, and achieving required budgetary savings.			
SRCF F13	Staff resilience	5 – Almost certain	4 – Major	20 ↔	Staff resilience on an on-going basis has been incredibly challenged given the 40% reduction in staff numbers during austerity. With the pressures that COVID-19 brings, there are some teams in the Council where the risks around resilience are now critical.	All Directors are keeping under constant review the pressures and resilience issues in their teams (especially those who are undertaking specific COVID-19 response/recovery activities), to identify those where additional resources are required,	16 ↔	All Directors
SRCF F14	Reputation and engagement	3 - Possible	4 – Major	12 ↔	The risk is that the Council's reputation deteriorates with its communities, when it needs to improve, and this has a detrimental impact on our ability to gain public support for the actions that will realise the Council's priorities.	The Council's Community and Corporate Plan sets a clear ambition for the Council to become an enabling Council, and one which has a very different and improved relationship with residents. This is supported by the Council Redesign programme, which aims to put residents at the centre of everything we do and which seeks to engage and empower them.	12 ↔	Anne-Marie Bond
SRCF F15	Response times in respect of Subject Access Requests, Complaints, Freedom of Information requests and Environmental Impact Assessments	5 – Almost certain	3 - Moderate	15 ↔	The Information Compliance Team is managing year on year increases in the volume of requests, and delays and non-compliance with timescales is common. There is a risk of a detrimental impact on the Council's reputation, and of investigation by the Information Commissioners Office.	In respect of complaints, a one stage process is now embedded, and the permanent appointment of two Complaints Officers who independently investigate/oversee complaints, has improved the Council's performance significantly. Subject Access Requests remain at record levels. An individual request can take hundreds of hours to complete and significant delays are common place. As	15 ↔	Matthew Fairclough-Kay

						well as using support from other Councils to undertake a small number on our behalf, we have recruited a dedicated post on a 12 month FTC to deal with the backlog.		
SRCF F16	Government Devolution White Paper	3 - Possible	4 – Major	12 ↔	The UK Government have pledged to bring forward a White Paper to set out their proposals for English Devolution. This could include proposals for local government reorganisation where existing Local Authorities are combined into single Councils.	The White Paper was anticipated to be published for responses in the autumn of 2020. However, the Ministry of Housing, Communities & Local Government's press office now say it will come out "in due course".	12 ↔	Anne-Marie Bond