

## Strategic Risk Register Overview – Quarter one 2014/15.

### Key to strength:

Will achieve desired outcomes	A
Minor improvement actions - monitor	B
Improvement actions - monitor with concern	C
Won't achieve desired outcomes	D

**Fair Decision Making:** Reconfiguring services without assessing impact, stakeholder engagement, or not taking this into account during the decision making process could result in legal challenge from individuals or organisations affected.

Mitigation	Current Aim	Progress	Current Strength
Clear timetable and process for decision making	Timetable for the release of the Mayor's budget and the associated consultation process including the development of EIAs.	Savings proposals for 15/16 were released on time, consultation to end 29 Aug. If proposals can't be agreed in September an additional process will take place through to Feb 15.	<b>B</b>
Effective Consultation	Robust consultation plans are in place for each proposal classified as a major community interest issue.	Consultation plans have been produced for every major proposal. Draft EIAs have been published with savings proposals, final EIAs including consultation results will be published in time for Sept Council meeting.	<b>B</b>
Equality Impact Assessments undertaken	Draft EIAs are in place for each proposal classified as a major community interest issue and as appropriate for those classified as a minor.	Draft EIAs have been published with savings proposals, final EIAs including consultation results will be published in time for Sept Council meeting.	<b>B</b>
Effective Overview & Scrutiny	Identification of appropriate (major community / political interest) areas of activity which Overview and Scrutiny can review to assist the budget setting process.	The areas of focus have been agreed. Meetings to be held during the first week of Sept over a shorter period of time than in previous years and as such this may provide less opportunity for challenge and subsequent reflection on the information received.	<b>C</b>

**Demand Management:** Understanding the potential impact of increases in demand for services and feeding this into management processes.

Mitigation	Current Aim	Progress	Current Strength
Effective early intervention	Continued development of Troubled Families Programme. Develop Early Help Strategy & New CYP.	Agreed at September Health and Wellbeing Board	<b>A</b>
Analyse impact of government policy changes	Review the revised format and accountability of Exec Heads in responding to the information provided.	Reported fortnightly to SLT and IEG with a simplified format.	<b>B</b>
Introduction of demand modelling within JSNA	Introduction of demand modelling within JSNA	Meeting to be arranged with Director of Public Health to discuss this improvement action	<b>C</b>
Effective long term modelling of demand and analysis of costs (Census 2011)	Analysis of 2011 Census	Meeting to be arranged with Director of Public Health to discuss this improvement action	<b>C</b>
Improved planning for demand within budget development	Improved planning for demand within budget development	Children's work with social finance is on-going. Adult Social Care demand management through their cost improvement program has not delivered the expected savings (14/15).	<b>B</b>
Improved planning for demand in medium term financial plan	Improved planning for demand in medium term financial plan	Savings proposals have been agreed (now being consulted on). The risk is the deliverability of savings once agreed.	<b>B</b>
	Planning for changes in Adult Social Care - Care Bill	Risks associated with estimated demand and cross pressures from April 15. This is being monitored through project team and plan.	<b>C</b>
Building demand indicators into performance reports	Build measures into key budget areas - e.g. Adults Social Care as part of demand management project.	Early scoping undertaken	<b>C</b>

Mitigation	Current Aim	Progress	Current Strength
Creation of new single Integrated Care Organisation	Creation of a new single ICO providing integrated health and social care community and acute services. Proposed acquisition of Torbay & Southern Devon Health & Care NHS Trust by South Devon Healthcare NHS Foundation Trust by autumn 2014	To be established April 2015 with 100% risk share between Council and NHS, using Better Care Fund for pooled arrangements	<b>B</b>
Continue to Integrate Public Health Services with the Council	Further integration of Public Health: Children's Public Health April 2015 & improved evidence base through refreshed JSNA September 2014.	New post created within Children's Services with focus on Public Health. JSNA to be refreshed for September 2014.	<b>B</b>
Deliver strategic actions to support the development of resilient communities	Development of Neighbourhood Plans, Social Impact Bonds and Community Development Trust	Development of Neighbourhood Plans is on-going with plans being developed in Torquay; Paignton; and Brixham, Churston & Galmpton.	<b>B</b>
Through Health Reforms support the development of new governance arrangements	Development of Health and Well being board, CCGs and Healthwatch.	These are now established.	<b>A</b>
Delivery of Care Act 2014 regulations within national time spans	Delivery of Care Act 2014	Project plan in place. Funding and capacity pressures mean there is a high risk associated with this project. Timescales are tight. Response to government consultation to be submitted 15/08/2014.	<b>C</b>

**Welfare Reforms:** Introduction of Localised Council Tax Benefit Scheme, Reduction in Housing Benefits, Introduction of Universal Credit, Transfer of Social Fund from DWP

Mitigation	Current Aim	Progress	Current Strength
Follow Fair Funding mitigation measures	Consider introduction of a simplified scheme based on banded discounts	Due to legislation there is no incentive to move to a banded scheme as pensioners would remain means tested. In affect two schemes would need to run. Any future changes can be captured within standard Council procedures.	<b>A</b>
	National monitoring	Monitor nationally discretionary housing payments and Council Tax hardship schemes and any legal challenges.	<b>B</b>
Assess potential for non payment and secondary impacts and build into budget	Development of 2015/16 budget	Council have approved to ring fence funds for crisis support fund post September - at least another year. Demand is consistent, approx 50% of claims approved. Monitoring of Council Tax payments is robust but collection rates are lower than pre support scheme. Expected income from Council Tax has been reduced.	<b>B</b>
Timely & effective advice	Voluntary sector briefed and SLA's modified	During 2013 liaison took place with Job Centre who helped to move claimants back into work - sessions were run to assist. Benefit cap affected a low level of people. Procedures now established - SLT to consider removal from register.	<b>A</b>
Provide emergency funding - hardship and social fund	Continued review of hardship fund to ensure that people that need financial assistance are aware and able to get it. Ensure 3rd sector fully aware.	Gov't have announced that funding for this provision to end March 2015. Council have agreed to carry forward the under spend from previous years to continue to fund. Review of scheme to continue with impacts	<b>B</b>

Mitigation	Current Aim	Progress	Current Strength
		on individuals assessed.	
Monitor impact of reforms including secondary impacts e.g. homelessness and adjust predictions	None	No substantial impact reported as a result of Welfare Reforms. Broader homelessness issues are monitored at a Business Unit level. SLT to consider removal from register.	A
Future Welfare Reforms	Impact of Universal Credit	The monitoring of the 8 Universal Credit pilots is on-going as is liaison with Job Centre regarding access points.	B

**Finance:** Delivering a balanced budget and agreed level of reserves

Mitigation	Current Aim	Progress	Current Strength
Probability of delivery assessed in budget process	2015/16 Budget development	Budget proposals for the additional £3.8 million have been agreed and are being consulted on.	B
Track delivery of agreed savings	Directors to assess if agreed saving were delivered for 13/14	End of financial year	B
Quarterly budget outturn reports	Report progress in accordance with agreed timetable	The quarterly budget reports is an established process and impacts are picked up through other monitoring – this measure to be archived.	A
Effective recovery planning	Effective recovery planning	14/15 budget - recovery plan in Children's Services supported by social finance is in early stages. A five year financial plan will set out a series of work packages to reduce the number of children looked after and associated costs. Investment will be funded from reserves which must be replenished;	C

Mitigation	Current Aim	Progress	Current Strength
		there is a risk the Council's overall financial position if not achieved.  Adult Social Care are also in the process of producing a recovery plan.	
Review future requirements for service delivery	Critical review of existing service reviews	Reviews to take place from Sept 14 to Mar 15. Particular focus on demand for services and ensuring an accurate relationship with the budget digest.	<b>B</b>

**Safeguarding vulnerable adults and children:** Protecting the most vulnerable.

Mitigation	Current Aim	Progress	Current Strength
Continuation of Improvement Programme	Continue to report progress to Local Safeguarding Board, SLT and Scrutiny	Safeguarding strategy in place to reduce demand. Safeguarding Board Exec set up to lead further improvements.	<b>A</b>
Local Safeguarding Board - Widen membership to reflect changing role of partner agencies by 18 July 2013	None	Executive have been meeting and chair appointed. Effective partnership working with neighbouring boards ongoing.	<b>A</b>
Local Safeguarding Board - Develop a focused programme of scrutiny following publication of Ofsted inspection	Develop a focused programme of scrutiny following publication of Ofsted inspection	Interviewing for QA Manager 27/02/2014. Some Social Workers have been appointed.	<b>A</b>
Local Safeguarding Board - Establish role of new CEO in relation to board	Establish role of new Executive Director of Finance and Operations in relation to board	Complete – to be archived.	<b>A</b>

Mitigation	Current Aim	Progress	Current Strength
Effective performance mgmt - Continue to report Key Performance Indicators to SLT and Directors	Continue to report Key Performance Indicators to SLT and Directors	Monthly reports available on intranet.	<b>B</b>
Ensure new corporate performance management framework effectively covers safeguarding issues	Ensure new corporate performance management framework effectively covers safeguarding issues	Complete – to be archived.	<b>A</b>
Review and implementation of new corporate parenting role	Review and implementation of new corporate parenting role	1st stage - agree pledge to young people looked after and priorities by May (to Council)	<b>B</b>
Children's Services budget overspend	New management accountant to be appointed	Consultants appointed: phase 1 (end March); phase 2 (end July); final (Oct). Range of invest to save projects and new financial planning process.	<b>C</b>
Adult's Safeguarding	Peer Review of Adult's Safeguarding	Peer review completed 2014. Positive feedback received.	<b>A</b>