

TORBAY COUNCIL

Corporate Risk Register Quarter 3 2022/23

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 ↔.

| | | Probability | | | | |
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| | | Rare (1) | Unlikely (2) | Possible (3) | Likely (4) | Almost Certain (5) |
| Impact | Critical (5) | 5 | 10 | 15 | 20 | 25 |
| | Major (4) | 4 | 8 | 12 | 16 | 20 |
| | Moderate (3) | 3 | 6 | 9 | 12 | 15 |
| | Minor (2) | 2 | 4 | 6 | 8 | 10 |
| | Insignificant (1) | 1 | 2 | 3 | 4 | 5 |
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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 |
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| SRT PC0 1 | 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 Torbay cared for population and those children who enter care. The cared for numbers are being adversely impacted due to the setup of an asylum hotel in the local area as well as the mandatory increase to the National Transfer Scheme (NTS) from 0.07 to 0.1%. Torbay is actively ensuring we respond to children who need to become cared for due to being unaccompanied minors, but due to the nature of the Asylum Hotel and the legal and home office expectation the service is under immense pressure to respond to what is an unprecedented number of legal applications that residents of the hotel have been inappropriately placed there. This is impacting negatively on the wider Children's Services ability to meet the statutory and safeguarding responsibilities. This is also having an adverse impact on children's budget and placement sufficiency. The increasing costs nationally of placements is impacting negatively on the overall budget and placement sufficiency is a challenge. We are reviewing and updating our sufficiency strategy in the next quarter to take into consideration the further impact of the NTS and the national challenge in respect of placement sufficiency. | 16 ↔ | Nancy Meehan |

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| | | | | | <p>The Edge of Care offer supports children who have the potential to become cared for but can safely remain at home with support in place. This is both an internal and external provision which impacts on the budget but avoids high-cost placements.</p> <p>The Liquidlogic Children's Social Care System (LCS) is improving, and we are more confident of data accuracy but there is still a need to track some data via manual systems.</p> | | |
| SRT PC0 2 | Impact upon the council's ability to meet statutory timescales | 3 - Possible | 5 - Critical | 15 | <p>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> <p>There is weekly monitoring of the numbers of contacts and referrals into the Multi Agency Safeguarding Hub that requires 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 and Children's Overview and Scrutiny. We have also reviewed the Children's Improvement Plan to take into consideration a wider partnership response to the children's agenda.</p> <p>Our monthly reporting assures us that our timeliness of responses is in line with our Statutory Neighbours (SN) and the national expectation.</p> | 16 ↔ | Nancy Meehan |

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| | | | | | | The impact of the requirements to respond to the significant challenges of the Asylum Hotel is now impacting on the ability to respond to BAU and decisions are needing to be made to prioritise our work that is statutorily and legally mandated. | | |
| SRT PC0 3 | 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. | Torbay has been reinspected as part of the Ofsted ILAC framework and has been rated good across all four areas. This is an impressive achievement. Torbay is no longer under a statutory direction. | 6 ↔ | Nancy Meehan |
| SRT PC0 4 | Delivery of Liquid Logic and associated performance reporting | 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. The ability to produce reliable, accurate performance data from the system will have significant implications for the management of the service. | Implementation of Liquid Logic (LL) was delivered in June 2021. Unfortunately, there are several challenges that have resulted in the system needing further configuration work and inaccurate reporting. Following the LGA peer review in November 2021 we have commissioned the services of BetterGov to support the reconfiguration of LL to support the requirements of the service. This work is underway and is receiving positive feedback from the service. We are robustly overseeing the work to ensure the reconfiguration is on track and any risks are immediately identified. | 12 ↔ | Nancy Meehan |

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| SRT PC0 5 | 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 updated self- evaluation following a LGA peer review 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 Local Area SEND inspection took place between 15 November 2021 and 19 November 2021. Ofsted and CQC conducted a joint inspection of the local area of Torbay and the findings were published on Thursday 13 January 2022. The report identified significant weaknesses in services for children and young people with SEND. The SEND partnership submitted the Written Statement of Action on 14.4.2022 and subsequently have had confirmation that this has been accepted by Ofsted and DfE. There is a joint commitment from the partnership to prioritise this agenda and a structured governance and monitoring framework is established to oversee the production of the written statement of action (WSoA) and the future implementation. Torbay will be subject to monitoring visits to ensure the changes required and being implemented at pace. | 16 ↔ | Nancy/ Meehan Rachael Williams |
| SRT PC0 6 | 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 | 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. | 16 ↔ | Jo Williams |

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| | | | | | <p>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.</p> <p>The ICS has made an in-year request for an additional £6m due to inflationary pressure, which the Council cannot meet.</p> | <p>A range of emergency measures are being planned, both internal and external support and review.</p> | | |
| NEW | <p>The risk and impact of no further extension of the current Torbay Council ASC contract with Torbay and South Devon NHS Foundation Trust after 1st April 2025</p> | 3 - Possible | 5 – Critical | 15 | <p>The next contract extension agreed 1/4/23 to 31/3/25 so will work will need to commence in early 2023 and extra internal capacity will be required to develop proposals</p> <p>It should be noted this is a long-standing contract from 2005 to an alternative solution will involve unpicking mature arrangement in terms of all services staff provided by the Trust as commissioned by the Council</p> | <p>As outlined in the ASC Service plan capacity will need to be put in places to develop an options appraisal and pros and cons of remaining with the current contract and shaping viable and tangible alternative providers that would be commissioned to deliver ASC on behalf of the Council</p> <p>The score does not change as the alternatives are not measurable or knowable at this point, so a comparison isn't available. Also, the arrangements with the Trust are likely to have the same strength and weaknesses.</p> | 15 ↔ | Jo Williams |

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| SRT PC0 9 | Increased demand in homelessness | 5 – Almost certain | 4 – Major | 20 | The level of homelessness experienced as a result of the changing housing market and financial hardship 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. A purchase program of family TA is being delivered to ensure supply and mitigate costs. The biggest risk remains the inability to access affordable accommodation. There are plans for a Rightsizing programme with housing providers, empty homes policy and repair and lease scheme discussion is taking place with Homes England. Projects will take time to have an impact. A corporate delivery plan for affordable accommodation is urgently required and is being developed. Action plan developed to increase prevention activity and additional resources allocated to Housing Options to improve accessibility of the service and identification of prevention cases. | 16 ↔ | Tara Harris |
| SRT PC1 0 | 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. | There has been a review of the homeless pathway following a recent audit of service responses to the vulnerable young people. Ofsted have inspected our responses as part of the inspecting local authority children's services (ILACS) inspection and identified a positive response to those youths who are at risk of homelessness. Any care experienced young person who is experiencing homelessness is subject to weekly oversight by the DCS. DLUCH visited Torbay to review the joint response of children's and housing to the youth homeless agenda. Initial feedback was positive albeit there are still some areas to improve. | 10 ↔ | Nancy Meehan |

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| SRT PC1 1 | Maintain capacity to respond to increase in COVID-19 pandemic infection rates or variants of concern 2022/23 | 4 - Likely | 4 – Major | 16 | All local authorities are required to oversee the response to the COVID-19 pandemic at local level in partnership with the UK Health Security Agency (UKHSA), NHS, Care, Education, voluntary and business partners to prevent and respond to outbreaks. | Robust measures remain in place with the transition to Living Safely with COVID, including maintenance of outbreak support and advice for risk settings. Capacity of core response team reducing. Plans informed by national covid contingency framework covering readiness to respond in the event of variant or surge in infection rates. Oversight of vaccination programme including promotional activity and commissioning and managing pop up clinics to increase uptake in low uptake groups, including booster and flu campaign Autumn/Winter 2022/23. | 12 ↔ | Lincoln Sargeant |
| SRT PC1 2 | Insufficient capacity to prevent & respond to high flu levels Winter 2022/23 | 4 - Likely | 4 - Major | 16 | Flu is anticipated to present a higher than usual risk in 22/23 due to the continuation of COVID-19 infection in the population and low levels of infection and vaccination in recent years. Vaccines will be available for eligible groups and high uptake is needed to reduce the incidence and the impact of disease. | A combined COVID and Flu seasonal vaccination programme is in place 2022/23 Autumn and Winter. LA supports promotion and delivery to risk groups, targeting of inequalities in uptake, and social care settings. Winter communications programme has been promoted and will continue to March 2023. Readiness to respond to high volumes of outbreaks with reduced capacity in partnership with the UK Health Security Agency. | 6 ↔ | Lincoln Sargeant |
| SRT PC1 3 | Inadequate measures to prevent suicide & self-harm, promote good mental health | 4 - Likely | 3 - Moderate | 12 | The impact of COVID-19, exacerbated by the cost of living challenge, is modelled to produce an increase in mental distress, bereavement trauma and suicide risk. | Capacity is in place to work with partners across Torbay, the Integrated Care System & regionally to: <ul style="list-style-type: none"> • Build on the Devon wide suicide surveillance & postvention system • Research the lived experience of people who self-harm and the practitioners and carers who | 9 ↔ | Lincoln Sargeant |

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| | & wellbeing, and support bereavement & loss | | | | Torbay already has one of the highest rates in the country for both suicide and self-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. | <ul style="list-style-type: none"> support someone who self-harms to identify system prevention opportunities • Work with communities to implement 'safer suicide community' initiatives • Deploy a new model of training programmes (universal to specialist) • Improve pathways for mental distress, matching needs with system capacity/capability via health need assessment approaches and community mental health framework re-design • Monitor QWELL, the new anonymous online wellbeing platform for adults. This includes 24/7 access to resources and moderated peer chat forums as well as text-based counselling outside of traditional office hours. | | |
| SRT PC1 4 | Inability to deliver the Housing Strategy | 4 - Likely | 4 - Major | 16 | 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 related health concerns for residents. | <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. This is still the greatest risk- the under delivery of affordable housing.</p> <p>The Housing Strategy Action Plan has been updated and is clearer and HDG reports going to the TSHB.</p> <p>There has been increased partnership working with providers such as landlords and health services. Closer working with Homes England.</p> <p>Developers Forum taking place in July with selection of housebuilders to encourage more schemes to come forward.</p> | 12 ↔ | David Edmondson |

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| SRT PC1 5 | Capacity across ASC service provision | 4 - Likely | 4 - Major | 16 | <p>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> | <p>1) Review of outstanding care list has been undertaken at Multi-Disciplinary Team level – active risk management in place 2) Front end teams are reviewing requests for care and exploring strength-based alternatives. 3) Arranging Support Team regularly contact providers and discuss care provision / offer support. 4) Regular communication with regards to current status to staff.</p> <p>Gaps in Controls: 1) Providers are all facing the same staffing challenges. 2) Care has to be taken when offering incentives not to destabilize the market. 3) Ongoing financial impact.</p> | 12 ↔ | Jo Williams |
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| SRT PC1 6 | Impact of Energy / Fuel Crisis | 4 - Likely | 3 - Moderate | 12 | <p>Dramatic increase in fuel prices is causing impact on residents' ability to afford household expenses with a knock-on effect to rent, food etc. Impact of heat or eat and health implications along with greater risk taking with regards to heating options e.g., open fire and burning inappropriate materials. 60% of households in rented accommodation are in receipt of some form of housing benefit, therefore experiencing multiple financial pressures.</p> | <p>Government schemes that have been forth coming have restricted criteria and hence limited impact on working age households. Fuel Rebate being delivered (£150), free school meals during holiday period, and allocation for pensioners and working age household (£100) under Household Support Funds, (£1.2m April Sept). Non recurrent Welfare Support fund of £450K available with additional £100k allocated to support wider need. With reduction in The Discretionary Housing Payment (DHP) allocation additional pressure will be placed on financial resources. Additional capacity invested into CAB in 21/22 to increased debt advice and support for 22/23.</p> <p>Minimum Energy Efficiency Standard Regulations (MEES) working being undertaken to increase energy efficiency measures.</p> <p>The Council is developing an Economic Strategy which will help provide focus to how we improve the resilience of residents to economic shocks. The Strategy will be informed by feedback from Turning the Tide on Poverty workshops that identified actions to improve outcomes for the poorest in our communities.</p> | 12 ↔ | Lincoln Sargeant / Tara Harris / Jo Williams |
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| SRT PC1 7 | Lack of new affordable accommodation and impact of wider system. | 5 – Almost certain | 5 - Critical | 25 | Lack of access to affordable accommodation, especially in the private rental and social housing sector impacting on all elements of the system preventing move on accommodation for those most in need including care experienced young people and families who are considered intentionally homeless, resulting in poor outcomes for individuals and escalating cost for services. | Housing Strategy has been rewritten and an associated action plan. Increased accessibility through better utilisation of existing housing stock – Right Sizing project, empty homes officer investment. Review of strategy on corporate approach on families that are deemed as finding themselves intentionally homeless required. Figures for last year show further low levels of affordable housing delivery only 40 homes. Proposed housing growth figures for Local Plan review only 300pa and so will continue to produce low numbers of affordable units. | 20 ↔ | David Edmondson / Tara Harris |
| SRT PC1 8 | Number of families in B&B Accommodation – 5 or more families over 6 weeks | 4 – Likely | 4 - Major | 16 | Number of families in B&B temporary accommodation for more than 6 weeks. Risk of repayment of housing grant, legal challenge if breach occurs and impact on families. | B&B elimination action plan has been produced and agreed DLUHC. This has resulted in significant reduction in families using B&B and achieving government targets and compliance. delivered and robust performance monitoring in place with delivery plans for each household with triggers at 2 and 4 weeks if in B&B. Acquisition of self-contained accommodation now being delivered. | 6 ↔ | Tara Harris |

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 |
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| SRT E01 | 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 5 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. | <p>The figure for land supply remains below 3 years after another poor year of housing delivery (260 homes) affected by so many factors including the economy and Covid-19.</p> <p>Local Plan review continues following Cabinet decision on 12th July and Neighbourhood Forums continuing with their review of their Plans, in order to ensure that we all have the most up to date plans in place.</p> | 16 ↔ | David Edmondson |
| SRT E02 | 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 | 12 ↔ | Alan Denby |

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| | | | | | | <ul style="list-style-type: none"> • Growth • Employment and skills <p>This Plan will be superseded in the late summer of 2022 with a new economic strategy which will be consulted on over the summer.</p> <p>Delivery of projects under the Town Centre regeneration programmes is moving forward although the impact of inflation and other pressures on the contracting sector does present a risk to delivery.</p> <p>The next quarter, Q1 22/23 will see a bid submitted for Levelling Up Fund round 2 alongside investment plans for the allocation of a total of £2.3m of UK Shared Prosperity Fund which is expected to include activity to help address some of the issues raised in the turning the tide on poverty work.</p> | | |
| SRT E05 | 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 to Museum Estate and Development Fund (MEND) and National Heritage Memorial Fund (NHMF) have been successful with work to start later in the year. • 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 ↔ | Alan Denby / 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 |
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| 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; | <ul style="list-style-type: none"> • Work continues to deliver our Initial Carbon Neutral Torbay Action Plan (2021-22) • The Carbon Neutral Council Action Plan is in the delivery phase now. This outlines a range of actions the Council will take to become carbon neutral by 2030. A range of actions are now in / planned to be delivered. • Based on the public consultation carried out in the summer 2022 a new Carbon Neutral Torbay Action Plan is in development through the Torbay Climate Partnership. | 25 ↑ | David Edmonds on / Jacqui Warren |

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| | | | | | <ul style="list-style-type: none"> - Beach huts and other waterfront properties will become unattractive or unviable as a business model; - Road links will be disrupted, causing severe indirect interruptions to livelihoods and living; - Torbay's reputation as a premier beach resort will be impacted - increased health impacts such as heat stroke - additional costs to offset residual emissions | | | | |
| 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</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 armoring 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 | 20 | <p style="text-align: center;"></p> | Kevin Mowat / Simon Pinder/ Dave Stewart |

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| | | | | | <p>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> | <p>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 Torbay Carbon Neutral Action Plan once developed.</p> | | |
| SRTC C03 | Failing coastal infrastructure | 5 – Almost certain | 4 - Major | 20 | <p>A number of coastal assets are at a tipping point of deterioration and require significant investment to ensure longevity and fitness for purpose.</p> | <p>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.</p> | 16 | <p>Kevin Mowat / Simon Pinder/ Dave Stewart</p> |

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 |
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| 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. Although seeing a stable workforce, in particular those who are social work qualified we are not complacent. At the end of quarter 2 we had a 12% vacancy rate. This increase is due to pressures from neighbouring authorities. Torbay is also supporting several Assessed and Supported Year in Employment (ASYE) social workers through the Learning Academy as well as developing our own internal leaders as part of a succession programme. We have also supported several oversees social workers to relocate to Torbay. Unfortunately, we have not seen as many ASYEs applicants in quarter 2 this year's when compared to the previous year. This is seriously hampering our sufficiency in the workforce and our succession planning bringing with it budget challenges. | 9 ↔ | 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. Torbay has been identified as an area to be involved in the Safety Valve Intervention. We are presently preparing the required information to put forward a proposal to reach a balanced budget by 2027. We are due to have our first | 16 ↔ | Nancy Meehan/ Rachael Williams |

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| | | | | | | meeting of the Safety Valve at the start of quarter 3. | | |
| 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 ↔ | Alan Denby |
| 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 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. | The main issue affecting the Council’s compliance relates to the handling of subject access requests within the statutory timeframes. Additional resource is currently being recruited which will provide for a further 1.2FTE dedicated to SAR processing to handle the backlog of requests. In relation to other elements of the GDPR, regular staff awareness campaigns are undertaken to ensure staff keep data protection at the forefront of their minds, with the aim of reducing breaches and the mandatory training modules for all staff have redesigned and deployed. | 12 ↔ | Matt Fairclough-Kay |

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| SRCF F07 | Achieving a balanced budget over the period of the medium term financial plan | 4 - Likely | 4 – Major | 16 | <p>The projected budget gap over the life of the Medium Term Resource Plan (MTRP) 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. This risk is further exacerbated by the rapidly changing national inflation and therefore risks to delivery of services and the capital plan.</p> | <p>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.</p> <p>The 2023/24 budget setting process began in Q1 of 2022/23 with services identifying potential budget savings as part of their annual service plans. These savings are being considered as part of the star chamber discussions. A draft budget for 2023/24 will be consulted on in January 2023.</p> | 12  | Martin Phillips |
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| SRCF F08 | Proportionality of borrowing and commercial risk – a measure of income risk on assets funded from borrowing. | 4 - Likely | 4 – Major | 16 | <p>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.</p> | <p>Regarding our investment properties; As part of the Incident Management Team (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.</p> <p>Investment management meetings have become more frequent.</p> <p>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.</p> | 16  | Martin Phillips / Kevin Mowat |
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| 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 | 4 - Likely | 3 – Moderate | 12 | 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. Further risk around Swisco identified resulting in increased risk score | Additional dedicated resource allocated to Children’s service -to mitigate risk in service area and promote culture change. Review of resource and model of delivery being completed in Swisco to provide additional capacity. Level of resource in Harbour estate is now back at capacity. Risk remains the same due to level of risk around management of corporate assets via TDA. Additional resource allocated to address capacity concerns, quarterly meetings as part of CEO HSE review and full implementation of SHE to facilitate accountability by all concerned. Clarity over SLA required to facilitate deliverability. | 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 ↔ | Matt Fairclough-Kay |

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| 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 is unable to deliver the amount of Council-wide and service change service needed, whilst ensuring the continued delivery of services, and achieving required budgetary savings. | Council Redesign Programme Board is continually 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 |
| 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, Continuing pressures a result of government grant provision and ability to respond due to inability to recruit. | 16 ↔ | All Directors |

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| 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 commonplace. Additional resource is now in place and % completion is being positively impacted. | 15 ↔ | Matt Fairclough-Kay |

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| SRCF F17 | Implementation of the customer relationship management (CRM) system | 4 - Likely | 4 - Major | 16 | <p>The Council is purchasing a new CRM system with a view to linking it to most services. This is a major project that will require service redesign to fully exploit the benefits. Full costs cannot be known until all areas have been analysed in detail and the supplier engaged on specific additional costs. Likewise, customer service may be impacted during implementation of this major improvement to how we deliver services and although requirements have been set and are contractual, we will not see outcomes until the system goes live. This project is now running significantly behind schedule, which raises the risk</p> | <p>The base system costs are known, and funding is approved. Estimates for further functionality have been obtained. Additional functionality will only be approved based on additional business cases to be signed off by SLT on a positive cost/benefit outcome/s.</p> <p>Project controls are in place to implement an agreed target operating model throughout the Council with further approved design principals to guide service redesign. Staged delivery has been chosen to ensure major service areas are de-risked later in the programme. Cost overrun is still a risk if the organisation does not move at the pace required by the supplier once the project mobilises. Due to supplier time overrun on projected project timescales senior supplier executives have been engaged to bring all elements that can be progressed forward in the plan to mitigate delays experienced in other areas.</p> | 12 ↔ | Matt Fairclough-Kay |
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| | | | | | of full benefit exploitation within expected timescales. | | | |
| SRCF F18 | Inability to recruit staff and respond to increased demand or maintain service delivery. | 4 - Likely | 4 - Major | 16 | Recruitment is now proving challenging in a wider range of roles within the Council and partner organisations. This isn't unique to Torbay and is a national issue for both the public and private sector. | There are a number of mitigating actions which we are currently progressing through the Our People Strategy, which include; <ul style="list-style-type: none"> • Review of terms and conditions, including flexible working • New Recruitment system • Improvements to on-boarding and induction • Refreshed approach to raising the profile of jobs in local government • Workforce planning, including use of Apprenticeships, Kickstart and T-levels and career development | 16 | Anne-Marie Bond / Sue Wiltshire |
| IT Services Risk | Large scale cyber attack | 4 - Possible | 5 - Critical | 20 | Probability has increased globally, and local government is now a specific target for cyber criminals. Multi-system recovery will take weeks or months, depending on scale. | Weekly off-line backup in addition to daily online backup (in case online backup is attacked). Basic anti-ransomware protection, intended to limit rapid spread from a successful attack. Protective Domain Name Service (PDNS) intended to prevent initial infection from contacting command & control servers. | 12 | Matt Fairclough-Kay |
| IT Services Risk | Data Centre Outage | 2 - Unlikely | 5 - Critical | 10 | Electrical failure lasting longer than 2 hours, Fire, Water damage from overhead source, or some other physical event resulting in the loss of the council's single data centre. Initial recovery of | Off-site backup housed in Tor Hill House (note that an event which renders the Town Hall data centre no longer serviceable may also impact Tor Hill House, if only preventing physical). Disaster Recovery contract allowing off-site recovery (no local recovery site identified). Data Centre Fire protection, environmental controls, and access restrictions. No water pipes directly above data centre. | 8 | Matt Fairclough-Kay |

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| | | | | | critical systems would take more than 1 week, full recovery of all systems would take a number of months. | | | |
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