

| # | Risk Description              |                               |   |   |            |        |                |               | After Treatment  |            |        | Action / Update |   |
|---|-------------------------------|-------------------------------|---|---|------------|--------|----------------|---------------|--|------------|--------|-----------------|---|
|   | Strategic Priority            | Risk Title                    | Detail  | (What is/are the) Uncertainties;  | Likelihood | Impact | Current Rating | Risk Approach | Mitigating Action/Internal Control   | Likelihood | Impact |                 | Target Rating   |
| 1 | Provision of quality services | WDBC Waste: Post 2019 options | WDBC Waste: Post 2019 (end of managed service provision) options. Choice of service delivery option needs to be made by Autumn 2017 in order to allow sufficient time for either service implementation or full EU procurement process to be carried out. | Currently there are a number of options to be worked up within a short time frame   | 5          | 4      | 20             | Mitigate      | JSG to consider options within scope of the group and ensure that this is a priority area for decision making within the early part of 2017/2018. A large amount of pre procurement work has already been done as part of the managed service work. The waste task and finish group continues to work towards future service development considering both the Devon Municipal Waste strategy and the financial impacts of the service.   | 3          | 4      | 12              | The JSG meetings are scheduled and will consider the requirements of the service. Officers are already working on the options for consideration and have robust current industry information. The Council has a solid service to tender with strong performance which will be supported by a newly acquired fleet in 2019.  |
| 2 | Provision of quality services | Data Protection               | Failure to control the appropriate use of data and unauthorised access.   | To manage the risk of non compliance with Cabinet Office PSN CoCo, PCI DSS, Data Protection Act, RIPA, Human Rights Act.  | 4          | 5      | 20             | Mitigate      | Information Security Policy; All employees responsible for adequacy of data security arrangements within their control. Access to electronic data is only available via council managed devices. Look out for advice from the Information Commissioners office. Compliance with relevant PSN CoCo through implementation of security changes required. All staff have been and new starters will be completing a data protection awareness course in via the Council's new eLearning tool. | 2          | 3      | 6               | eLearning tool rolled out as part of new performance management system during 16/17. Virtual Information Governance COP instigated & meet every two months, review new GDPR legislation which is due to come into force in 2018, also ensure adherence to existing regulations & investigate any incident that occurs. All incidents are investigated by MO and actions advised to SLT. |
| 3 | Provision of quality services | Service Performance           | Any service failure or degradation of service impacts on the customer, which then impacts on all areas of the council and members   | Lack of appropriate resources due to current interim vacancies; ongoing transformation programme specifically IT and process implementation is not yet complete. These two combined have affected our ability to deliver appropriately on occasion. | 4          | 4      | 16             | Mitigate      | Getting it right the first time, getting back to people appropriately and more timely. Better channel recognition to clear responses. Keep better records. Appropriate resources in the right places.  | 3          | 4      | 12              | Mobile solution is in test, whitespace (in cab) technology now integrated into W2 workflow processes, already bringing benefits. Land charges solution now live. Call volumes reducing. Concerto software roll-out for assets is underway.  |

| # | Risk Description                  |   |   |   |            |        |                |               | After Treatment  |            |        | Action / Update |  |
|---|-----------------------------------|---|---|---|------------|--------|----------------|---------------|--|------------|--------|-----------------|--|
|   | Strategic Priority                | Risk Title  | Detail  | (What is/are the) Uncertainties;  | Likelihood | Impact | Current Rating | Risk Approach | Mitigating Action/Internal Control   | Likelihood | Impact |                 | Target Rating  |
| 4 | Financial Sustainability          | Adherence to Medium Term Financial Strategy (MTFS), due to changes in Government Policy and/or Income Streams | Failure to sustain a robust on-going medium term financial strategy with adequate reserves to meet unforeseen circumstances, due to cost pressures and missed income targets, changes in Government policy with regard to business rates and affordable housing; Potential impact on delivering the MTFS, particularly if national/regional businesses successfully appeal against business rate valuations | Reduction in Government grant, increasing demand for services and other cost pressures and increased risks associated with localised business rates and council tax support. Additionally, income from activities may not materialise or may be reduced, e.g. business rate appeals or a reduction in the commercial property market. The amount of income received can be adversely affected by a fall in collection rates due to economic downturn and other factors such as the bankruptcy/liquidation of large ratepayers or any sizeable rateable value reductions achieved by business rated properties in the area. Reclassification of waste classes by the Environment Agency could see items becoming recoverable rather than recyclable material, e.g. leaf sweeping could reduce recycling rate by about 5% in West Devon and 1% in South Hams. It is as yet unknown if and when such changes may take place. 100% local business rate retention is subject to consultation and the impact on LAs in unclear. | 4          | 4      | 16             | Mitigate      | Robust horizon scanning to monitor changes in Government policy. SLT awareness of the risks, cautious approach to budgeting and robust systems of financial control. The Council are not intending to rely heavily on sources of income which may not be sustainable. SLT actively participate in Government consultations, MP discussions and keep aware of changes and the response by peer group, ensuring where appropriate the learning from this is incorporated into strategic plans. SLT engaged in the development of the MTFS. Latest budget reports approved by both Councils in February 2017 after member workshops in October 2016 and result of 4yr Government Finance Settlement communicated. The effects of a fall in NNDR are mitigated in WDBC by the Councils membership of the Devon wide pooling scheme, which significantly reduces the risk to income volatility. SHDC do not participate in this due to outstanding business rate appeals. | 2          | 3      | 6               | Less favourable settlement over NHB and decision not to implement LACC. JSG to review options for dealing with budget position and future working. Other initiatives underway to help meet forecast budget gaps, such as asset investment and community housing delivery |
| 5 | Financial Sustainability          | Financial Systems & Budget Monitoring   | That the financial systems and processes are robust enough to enable effective self service and budget monitoring by the budget holders.  | Can the current system, use of the system and our financial processes support transforming the way we manage our budgets and financial reporting. There is a risk that any changes could jeopardise year end processes.   | 4          | 4      | 16             | Mitigate      | Temporary resource has been brought in to drive process changes and recommend changes to our set up of the financial system. We are engaging with the system provider to review our system set-up through a process known as Assessment of Current Use (AoCU)  | 2          | 3      | 6               | A clear plan of action should be in place by end of June (post year end) so that implementation can begin over the summer and completed by end of Q2 17/18   |
| 6 | Encouraging communities to thrive | Delivery of local plan (Inc. 5 Year Land Supply in South Hams)  | Risk of speculative development without a 5 year land supply in South Hams, following Riverside ruling. Risk of designation in relation to Development Management & local plan across both councils.  | Lack of detail / contingency around 5 year land supply until the joint local plan is completed.   | 4          | 4      | 16             | Mitigate      | Work underway to agree joint strategic working plan between Plymouth, South Hams and West Devon to ensure land supply across the three areas is sufficient. Collaboration agreement signed.  | 2          | 2      | 4               | Next stage of consultation process about to commence; Member engagement ongoing. On course for examination Sept 2017; inspector to respond June 17 with issues to take to examination, meaning we can rely on anything not queried                                       |

| #  | Risk Description              |  |   |  |            |        |                |               |   | After Treatment |        |               | Action / Update  |
|----|-------------------------------|--|---|--|------------|--------|----------------|---------------|---|-----------------|--------|---------------|--|
|    | Strategic Priority            | Risk Title   | Detail  | (What is/are the) Uncertainties;   | Likelihood | Impact | Current Rating | Risk Approach | Mitigating Action/Internal Control  | Likelihood      | Impact | Target Rating |  |
| 7  | Provision of quality services | Business Continuity  | Officers fail to develop robust processes to ensure business continuity in the event of a significant event occurring, e.g. Failure to ensure the continuous availability of critical IT systems  | Following the event, how quickly will certain systems and processes be able to be back on-line   | 4          | 4      | 16             | Mitigate      | Having two HQ locations is main mitigating factor. Agile working further reduces reliance on two office buildings. Locality workers can be despatched more easily to ensure customer engagement can be maintained during any incident. Business Continuity plans have been updated - priority areas<br>- ICT Networking<br>- Payroll & Creditors Payments | 2               | 2      | 4             | Annual work programme to address critical areas. ICT strategy adopted by both Councils. Going through procurement process for new infrastructure and backup infrastructure.  |
| 8  | Provision of quality services | SH Waste Round Review  | Risk of reputational issue to the Council if the project fails to run to project timeframe and deliverables. Risk to identified efficiency savings if project not run on time. Failure to manage customer enquiry and feedback in a timely manner could also affect reputation.   | Amount of customer contact. External factors.  | 4          | 4      | 16             | Terminate     | Project group are meeting weekly and the operational plan is supported by a communications plan. Additional staff are included in the customer contact/case management plan.  | 1               | 1      | 1             | Part one of round review completed and no adverse issues. However, decision by members not proceed with review & impact had been reflected in 2017/18 budget planning. Member waste group is tasked with reviewing other options. This risk to removed from March 17 |
| 9  | Provision of quality services | Procurement  | There are a number of contracts to be let by the Council over the next 2 year period which will be in excess of the EU procurement thresholds.  | These will require specialist input and project teams to ensure best value for money is achieved.  | 5          | 3      | 15             | Mitigate      | The procurement elements required should be captured and prioritised within the service planning exercise being carried out currently.  | 3               | 2      | 6             | The service planning process is in train and SLT can ensure that this item is raised, identified and actioned as part of the work stream.  |
| 10 | Provision of quality services | Emergency Response, e.g. Coastal Erosion / Storm Damage / Flooding | There is high public expectation in relation to supporting communities during coastal erosion/storm damage/flooding events, as well as engagement in longer term recovery, in particular assumptions about capital investment to restore assets. The risk relates to how best to support dispersed communities, e.g. with filling, transporting and laying sandbags as well as providing workforce on site, given limited resources and expectations during an event. | Following the event, the expectation that coastal defences and asset repairs will be urgently undertaken despite competing claims on capital resources | 4          | 3      | 12             | Mitigate      | Continued management and officer focus on this area to ensure risk is minimised as much as possible; continued close engagement work with DCC and Environment Agency to ensure all parties are aware of each others responsibilities and capacity   | 4               | 3      | 12            | Mild Winter 16/17 so far. Torcross / Slapton works now completed. Emergency response plan updated  |

| #  | Risk Description              |   |  |   |            |        |                |               | After Treatment  |            |        | Action / Update |   |
|----|-------------------------------|---|--|---|------------|--------|----------------|---------------|--|------------|--------|-----------------|---|
|    | Strategic Priority            | Risk Title  | Detail   | (What is/are the) Uncertainties;  | Likelihood | Impact | Current Rating | Risk Approach | Mitigating Action/Internal Control   | Likelihood | Impact |                 | Target Rating   |
| 11 | Financial Sustainability      | T18 Benefits Not Delivered  | Failure to deliver sustained benefits from the T18 Programme; Risk of new systems not being fit for purpose during transfer and then for BAU; Capacity risk once additional resources exhausted?   | Poorly executed delivery could affect quality of customer service; timescales to complete routine tasks and an increase in complaints. Staff moral and reputation can be affected.  | 3          | 4      | 12             | Mitigate      | Regular SLT and member scrutiny over T18 roll-out; T18 programme being managed closely; currently within budget. Quarterly monitoring reports to Members.  | 2          | 3      | 6               | Continued management focus on programme delivery. Considerable engagement with Civica, some compensatory payments for back filing and resourcing from Civica. SLT have looked & deployed alternatives as required. Budget has been monitored & on budget. Transition resources have been recruited to ease pressure, staff re-allocated to look at services for improvements and programme management temporary resources retained (though reduced) to ensure continuity. |
| 12 | Provision of quality services | Adherence to Council policies & processes and Government guidelines | Failure to manage/enforce s106 conditions. Ombudsman complaints could lead to finding of maladministration due to management of issues, e.g. poor record keeping; time to resolve issues or meet imposed timelines; reputational damage. Failure to meet current and changing needs of customers and to manage customer feedback. There is a risk of failure to respond to changes and to recognise external influences such as changes in government policy; Risks of losing JRs, appeals and Ombudsman rulings | T18 programme rollout saw service levels reduce but these have now recovered  | 3          | 4      | 12             | Mitigate      | Plan to commence measuring customer satisfaction during 17/18. Increased customer engagement; new complaints policy in place. Ongoing review of internal and external policies.  | 2          | 3      | 6               | Embedding new process within organisation; Transformation Improvement board now in place. Additional resources recruited to ensure less impact on front line services. Internal audit programme in forthcoming year will help provide assurance. Regular Statutory Officers Group meet. RIPA training for key staff. Policies / Key Strategies being reviewed by CoPs with consultation where appropriate, e.g. Homelessness Strategy.                                    |
| 13 | Financial Sustainability      | Finding long term solutions to meet the budget gap                  | Failure to identify, develop and agree proposals to meet the identified funding gaps for the Councils up to and beyond 2020/21   | A number of strategies and proposals are likely to be needed to close the predicted funding gaps. The risk is that officers do not bring forward viable, detailed, robust proposals and that Members will fail to make appropriate and timely decisions | 3          | 4      | 12             | Mitigate      | Establish project management resource to oversee programme of proposals and ensure that projects are properly managed and kept on track. Ensure there is adequate capacity and resources available to develop robust business cases for each proposal. Ensure that Members are briefed and involved at an early stage and that work is progressed through the re-constituted Joint Steering Group. | 2          | 2      | 4               | SLT / ELT to review establishment to ensure sufficient project management resource. SLT to ensure they have visibility of all proposals that these are appropriately prioritised so that capacity to deliver is not impinged  |



| #  | Risk Description              |                               |   |   |            |        |                |               | After Treatment   |            |        | Action / Update |  |
|----|-------------------------------|-------------------------------|---|---|------------|--------|----------------|---------------|---|------------|--------|-----------------|--|
|    | Strategic Priority            | Risk Title                    | Detail  | (What is/are the) Uncertainties;  | Likelihood | Impact | Current Rating | Risk Approach | Mitigating Action/Internal Control  | Likelihood | Impact |                 | Target Rating  |
| 14 | Provision of quality services | Contractor Failure            | Failure to manage a major failure of a significant council contractor including, any significant related industrial relations issues.   | Contingency plans if contractor were to fail; affect on service delivery  | 3          | 4      | 12             | Tolerate      | Good contract and people management, effective Contract Team, use of shared procurement expertise, more frequent credit checks (including parent companies), requirement for bonds where appropriate.   | 2          | 2      | 4               | Unproven contractor won leisure procurement - this was mitigated via contract process & PQQ process. Contract monitoring is acknowledged as an area which needs strengthening across the Council. Temp procurement officer in place; work underway to find longer term solution.                             |
| 15 | Provision of quality services | Inadequate Staffing Resources | Failure to have sufficient staffing arrangements. Loss of staff morale, and inadequate resources for training and re-skilling in an ongoing period of change. Failure to engage staff resulting in uncertainty regarding changes in working practices and job security. Particular risk in relation to future terms and conditions. Cost and time of retraining/up-skilling staff. Unrealistic expectations in relation to staffing capacity. | Performance being reviewed to understand whether resourcing levels are correct; difficult to assess accurately as organisation continues to experience change effects and processes being embedded / roll-out of new technology and working practices | 2          | 4      | 8              | Mitigate      | Review of staffing arrangements and GAP analysis is planned for 16/17. New performance management system being introduced linked to recruitment IMPACT behaviours; staff will continue to be set SMART objectives and be regularly appraised to give early warnings if issues. Staff forum to be reintroduced; continued SLT engagement with unions and regular staff comms sessions held. Other comms media under review and several improvements made. Staff satisfaction survey planned for 16/17. | 1          | 4      | 4               | T18 model is starting to have a positive affect in case management for reducing single points of failure. However, there are still areas of concern within the specialist function as resilience is lower due to reduced number of bodies. Staff forum now in place. Staff survey due to be re-run in April. |
| 16 | Provision of quality services | Political commitment          | On-going political commitment to the partnership to ensure that service delivery BAU is delivered   | Considerable external change with devolution and Governmental funding cuts; leading to uncertainty within the South West and beyond.  | 2          | 4      | 8              | Mitigate      | Ongoing liaison with Members to maintain shared vision. Managing interest from potential partners in terms of securing critical project timescales and taking account of organisational capacity. Raise awareness of the scale of organisational change and the impact on existing arrangements for both Members and Staff. Ensure that the new model delivers and retains separate Council identities.   | 1          | 4      | 4               | Continued liaison with members to alleviate this risk; establishment of JSG with refreshed ToR that recognises their role in managing the relationship between the two Councils.   |
| 17 | Provision of quality services | Safeguarding                  | Council and/ or contractors fail to adhere to meet safeguarding obligations as set out in legislation such as Children Act 2004 section 11.   | Do staff, members and contractors know what is required and how to react?   | 2          | 4      | 8              | Mitigate      | Policies in place and key staff & management have received appropriate training and contact details to spot and report safeguarding issues  | 1          | 4      | 4               | n/a  |

| #  | Risk Description              |                      |  |  |            |        |                |               | After Treatment  |            |        | Action / Update |   |
|----|-------------------------------|----------------------|--|--|------------|--------|----------------|---------------|--|------------|--------|-----------------|---|
|    | Strategic Priority            | Risk Title           | Detail   | (What is/are the) Uncertainties;   | Likelihood | Impact | Current Rating | Risk Approach | Mitigating Action/Internal Control   | Likelihood | Impact |                 | Target Rating   |
| 18 | Provision of quality services | Staff Morale         | SHWD undertook an all staff survey during March / Early April 2016.  | The results highlight that issues surrounding communications, understanding, morale and satisfaction are present across the organisation. This is likely to affect quality of service, staff retention and recruitment. Staff will need to see that the Council is actively trying to make changes as a result of the feedback and improvements need to be made to ensure service is not affected. | 2          | 4      | 8              | Mitigate      | SLT are to work with HR to look at key areas from survey to focus on. New Staff Community team looking at a 10 point plan to deal with issues raised.  | 2          | 2      | 4               | Action plan been prepared & actions completed / underway delivered by ELT and staff forum. Staff survey to be repeated in April to identify progress since last survey in 2016.   |
| 19 | Provision of quality services | Corporate Governance | Failure to maintain effective Corporate Governance arrangements.   | To maintain effective Member standards and develop new Council Constitution. To continue to raise awareness of the risk of fraud and the implications of the Bribery Act 2010. To ensure that there is on-going review and self assessment of the effectiveness of governance arrangements within the Council  | 2          | 4      | 8              | Mitigate      | Promotion of necessary policies via staff intranet. Reviewed and implemented new Council constitution. To provide necessary Annual governance self assessment review by both ELT and SLT. Audit Committee established with wider terms of reference. External reviews including the Council's external auditors. Appropriate committee monitoring. Service based risk assessments and action plans, with a particular focus on high risk service activity. | 1          | 3      | 3               | TBA   |
| 20 | Provision of quality services | Health & Safety      | Failure to manage the health, safety and welfare of the public, visitors and staff. Key consideration in relation to number of external frontline staff, including lone workers. | High impact on service delivery resulting in resources / services being unavailable for long periods   | 2          | 4      | 8              | Mitigate      | Safe working environment, policies and procedures, e.g. fire safety policy, travel at work policy. IIP, PDRs. Revised sickness absence policy, health and other wellbeing initiatives. Awareness of appropriate legislation e.g. Corporate Manslaughter Act, Equalities Act. Up-to-date corporate Health & Safety Policy/procedures  | 1          | 3      | 3               | Virtual COP set up to ensure visibility and focus on this topic; regular reporting to SLT and proposed changes to member performance data to include H&S measures. Work underway to consider ISO accreditation & impact on services. Review in 3 months after H&S CoP embedded      |
| 21 | Provision of quality services | WD Waste Procurement | Managed service solution agreement may not be in place in time.  | Future cost of service may increase in both capital and revenue terms in view of aging assets during extension period. Service received during transition / notice period may deteriorate.   | 2          | 4      | 8              | Mitigate      | Detailed procurement process including specification writing which is well advanced. Wide review team of officers/members in place. Budget will be set and highlighted as part of the service review process   | 1          | 1      | 1               | Contract for managed service due to be agreed / signed in Feb '17. Costs known and in WDBC budget for 17/18. Due to be removed at next review and replaced with new risk for ongoing solution post mgmt agreement as decision needs to be made by Sept due to procurement timetable |

| #  | Risk Description              |                                       |  |   |            |        |                |               | After Treatment   |            |        | Action / Update |  |
|----|-------------------------------|---------------------------------------|--|---|------------|--------|----------------|---------------|---|------------|--------|-----------------|--|
|    | Strategic Priority            | Risk Title                            | Detail   | (What is/are the) Uncertainties;  | Likelihood | Impact | Current Rating | Risk Approach | Mitigating Action/Internal Control  | Likelihood | Impact |                 | Target Rating  |
| 22 | Financial Sustainability      | External Fraud                        | Fraud, financial impropriety or improper business practises anywhere against the organisation  | Fraud could occur anywhere against the organisation; but the likely impact is limited due to existing management controls   | 3          | 2      | 6              | Mitigate      | Audit has highlighted generally ok. Management to remain vigilant; random spot checks where appropriate (e.g. expense claim forms)  | 3          | 2      | 6               | Processes and overview stronger than in previous year; Audit now taken place, mitigating actions have been carried out & audit to be repeated in coming year.  |
| 23 | Financial Sustainability      | Internal Fraud                        | Fraud, financial impropriety or improper business practises anywhere in organisation   | Fraud could occur anywhere throughout the organisation; but the likely impact is limited due to existing management controls  | 3          | 2      | 6              | Mitigate      | Audit has highlighted generally ok. Management to remain vigilant; random spot checks where appropriate (e.g. expense claim forms)  | 3          | 2      | 6               | Processes and overview stronger than in previous year; Audit now taken place, mitigating actions have been carried out & audit to be repeated in coming year.  |
| 24 | Provision of quality services | Potential for late filing of accounts | There is a requirement that closedown of 16/17 accounts be brought forward 4 weeks to end of May 2017. The risk is that resourcing within the finance COP and delayed process improvement prevents closedown by the government deadline. Impact would be that the council's accounts would be "qualified". | Whether the new timetable is achievable for the existing team.  | 2          | 3      | 6              | Mitigate      | Additional resourcing will be made available when required, structure changes already implemented. 2015/16 year end worked to restricted timetable as a trial run.  | 2          | 3      | 6               | Requirement to bring forward deadline has been delayed to 2018 so this risk had diminished. However, resources in place to ensure filing for 16/17 accounts should not be delayed despite recent staffing changes. |
| 25 | Financial Sustainability      | Inadequate asset maintenance          | Failure to maintain all Council owned assets and buildings (including fleet).  | To manage the health and safety risks of customers and staff and to ensure budgets are managed effectively to maintain assets to a satisfactory standard, To consider and manage the risk of redundant properties / assets. | 1          | 5      | 5              | Mitigate      | Effective budget monitoring, sound management of assets/ buildings including a planned maintenance approach along with planned capital expenditure programme. Risk assessments and regular health and safety inspections. | 1          | 5      | 5               | Asset Management Review underway. This will assist with the risk assessment in respect of the maintenance of all Council assets.   |
| 26 | Financial Sustainability      | Implementation of LACC                | Capacity impact on staff and BAU delivery; timescale of delivery may slip; Due diligence before LACC set-up may not be complete; Business case may not evidence a discernible market for the proposed company  | See separate LACC Risk Register   | 1          | 1      | 1              | Terminate     | See separate LACC Risk Register   | 1          | 1      | 1               | Joint Steering Group did not recommend to implement a LACC; therefore this risk is to be removed.  |