

#	Owner	Risk Description										After Treatment (if applicable)			Action / Update
		Strategic Priority	Title	Detail	(What is/are the) Uncertainties;	Likelihood	Impact	Current Risk Rating: 1-25 (multiply L vs I)	Risk Approach (Mitigate, Tolerate, Transfer, Terminate)	Mitigating Action/Internal Control	Likelihood	Impact	Target Risk Score: 1-25 (multiply L vs I)		
1	SJ	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 Plymouth joint local plan is completed. Work has commenced.	3	4	12	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 due to be signed by April 2016	2	2	4	Agreement by three Councils; plans and joint team in place, with recruitment where required due soon	
2	SJ	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.	3	4	12	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 have been engaged in the development of the medium term financial strategy in the context of the Transformation Programme. Latest budget reports approved by both Councils in February 2016 after member workshops in October 2015 and result of Government Finance Settlement communicated. The possible effects of a fall in NNDR income 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 the pool due to uncertainty surrounding power station.	2	3	6	SLT to keep watching brief over Government changes in policy and to proposals to alter funding - strategically amending the MTFS and local plans to adapt to changes. Officers to develop income generation response as part of MTFS; 'invest to earn' budgets allocated to seed fund income initiatives. Report to both Councils due March/April covering asset strategy. Housing options and income generation principles.	
3	SH	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	Business case and implementation plan are yet to be produced; next milestone is completion of these items and a series of member workshops leading to Council decision on whether to proceed with implementation. At this stage it is difficult to predict impact upon organisation	3	4	12	Mitigate	Procurement underway to employ services of experienced external consultants to prepare business case and implementation plan. This will help determine the validity of the business proposition and help SLT and Members the appropriate timescale for delivery and impact on capacity (along with any necessary mitigations)	2	3	6	Procurement is live; contract award during March 2016	
4	SJ	Financial Sustainability	Strategic Leisure Review	Risk that the Councils may not end up receiving a bid that meets its requirements; Capital demands from bidders may exceed available reserves, which could restrict ability to deliver other programmes	Future cost of service may increase in both capital and revenue terms in view of aging assets and potential competition to Meadowlands	3	4	12	Mitigate	Detailed procurement process and constant monitoring; wide review team of officers; budget set and highlighted as part of tender process	2	3	6	Procurement process ongoing; competitive bids received within certain tolerances	
5	SJ	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 has seen service levels reduce and customer perception affected for certain services	3	4	12	Mitigate	Plan to measure customer satisfaction during 16/17. Increased customer engagement; review of complaints policy underway to ensure organisations learns lessons from prior failures / compliments	2	3	6	Complete review of customer complaint process and embed new process within organisation	

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6	SH	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	3	12	Mitigate	Agile working reduces reliance on two main 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 - ICT Networking - Payroll & Creditors Payments	1	2	2	Annual work programme to address critical areas. A Business Continuity Plan for the ICT. On-going review of the Business Continuity/Disaster Recovery arrangements.	
7	SH	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	Whether the new timetable is achievable for the existing team.	3	4	12	Mitigate	Consider resourcing plans, review processes and commence year end processes early, trial run of 4 week early closedown to be held for 15/16 closedown	2	4	8	Mitigation in place. Team working to reduced timetable for 2015/16 closure and additional resource (deputy s151 officer recruited)	
8	SH	Provision of quality services	WD Waste Procurement	If LACC does not progress then timeline to procure new provider may exceed time available before existing contract ends and therefore existing provider contract will need to be extended	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.	3	4	12	Mitigate	Existing contract management / monitoring in place. Detailed procurement process including specification ; wide review team of officers/members; budget will be set and highlighted as part of tender process if required	2	3	6	Procurement process for LACC business case & implementation plan underway. Specification and pre-procurement process for waste also being run simultaneously.	
9	SH	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.	2	5	10	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 will be completing a data protection awareness course in the near future via the Council's new eLearning tool.	2	3	6	eLearning tool being rolled out as part of new performance management system during 16/17	
10	SH	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	3	3	9	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	3	3	9	Processes have stood up to recent storm damage	
11	SH	Financial Sustainability	Inadequate asset maintenance	Failure to maintain all Council owned assets and buildings.	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.	2	4	8	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	3	3	HR proposal for dedicated resource, coupled with Asset COP proposal to appoint a consultant to write the initial long-term maintenance plan, will assist with the risk in respect of the maintenance of all Council assets.	

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12	SH	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 post March 2016 when budget runs out for temporary staff	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.	2	4	8	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	
13	SJ	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	n/a	
14	SJ	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	Review as required	
15	SJ	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	Review of staffing arrangements and GAP analysis is planned for 16/17.	
16	SJ	Provision of quality services	Political commitment	On-going political commitment to ensure that the local plan and BAU is delivered in the context of major external change and the inevitable challenges that will emerge as a result	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	
17	SJ	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	

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18	SH	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.	2	4	8	Mitigate	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.	2	2	4	N/a