Appendix B Strategic Register

Report for 2021/2022
Filtered by Flag: Include: Strategic Risks
Exclude: Archive
Not Including Projects records, Including Control Action records

Key to Performance Status:

Control Action:	No longer required	No Data available	Not Effective	in Planning / Progress	Completed	Working and Effective

Risks:	No Data (0+)	High (12+)	Medium (6+)	Low (1+)

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Risk: Adequacy of financial resource planning to deliver the Council's priorities Insufficient financial resources to deliver Council priorities as a consequence of: a) Failure of financial forecasting, budgeting, monitoring and reporting system resulting in insufficient financial resources and inadequate reserves b) Failure to use resources available effectively c) Reduction in government funding	**Risk Code: 010-RK-0054**

Pure Status: High (12)	Pure Risk Impact: Major	Pure Risk Likelihood: Likely
Residual Status: Medium (9)	Residual Risk Impact: Serious	Residual Risk Likelihood: Likely

Service: Strategic Risks

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Annual budget preparation and monitoring	Service managers, directors, members involved in the preparation of budgets and in the monitoring/reporting of actual financial performance during the course of the year. This is done early so that the budget for the next year is balanced well in advance	Simon Davey	02/10/2009	**05/05/2021**
Working and Effective	Awareness of Government policy and funding regimes	Awareness of Government policy and funding regimes	Simon Davey	01/11/2017	**05/05/2021**
Working and Effective	Efficiency	The council will look to achieve efficiency targets in order that the resources that are available are directed towards delivering key priorities	Simon Davey	30/10/2009	**05/05/2021**
Working and Effective	Financial regulations and operating procedures	Internal arrangements designed to ensure financial resources are securely held and appropriately used	Simon Davey	02/10/2009	**05/05/2021**
Working and Effective	Production and approval of MTFP & Transformation Strategy	Preparation of a Transformation Strategy and a medium term term financial plan forecasting income and expenditure and any potential gap in	Simon Davey	02/10/2009	**05/05/2021**

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Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
		resources			
Working and Effective	Prudential borrowing	Ensure borrowing is affordable and sustainable	Simon Davey	29/10/2009	**05/05/2021**
Working and Effective	Reserve policy	Maintenance of adequate reserves at a level designed to ensure the council can continue to deliver services in the event of reducing incomes or higher than expected costs.	Simon Davey	02/10/2009	**05/05/2021**

Responsible Officer: Simon Davey

Review Note: The MTFP is highlighting budgets deficits in maintaining current service delivery and the new Council Plan emerging has ambitious objectives which it will find difficult, if not impossible to fund.

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Risk: Major disruption in continuity of computer and telecommunications services Major disruption in continuity of computer and telecommunications facilities to the detriment of service delivery including Cyber-attack	Risk Code: 010-RK-0065

Pure Status: High (12)	Pure Risk Impact: Major	Pure Risk Likelihood: Likely
Residual Status: Medium (8)	Residual Risk Impact: Major	Residual Risk Likelihood: Unlikely

Service: Strategic Risks

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	CoCo Compliance	Ensure compliance with Code of Connection government standard for system, network and information security design and monitoring that requires yearly approval.	Simon Davey	05/10/2009	**05/05/2021**
Working and Effective	ICT Strategy	Ensure our ICT Strategy sets out our design and selection of resilient systems including virtualised processor and storage arrays; dual path networks; built in system redundancies; UPS and back –up power supplies	Simon Davey	05/10/2009	**05/05/2021**
Working and Effective	Information Security Policy	Information Security Policy in place to protect systems from electronic attack; inappropriate user access; inappropriate use of systems.	Simon Davey	05/10/2009	**05/05/2021**
Working and Effective	IT Service Continuity Plan	In the event of a major incident that prevents use of the main data centre at Blackdown House plans and systems are in place to transfer IT operations to Oakwood House, Exeter	Simon Davey	01/08/2011	**05/05/2021**
Working and Effective	ITIL-based processes	ITIL-based service management processes, best practice designed to deliver quality IT services and include processes for Change Management, Incident Management; Problem Management	Simon Davey	05/10/2009	**05/05/2021**

Responsible Officer: Simon Davey

Review Note:

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Risk: Adequate emergency planning and business continuity A failure to adequately plan for emergencies and understand what issues arise in planning for business continuity could lead to a major service failure.	Risk Code: 010-RK-0080

Pure Status: High (12)	Pure Risk Impact: Major	Pure Risk Likelihood: Likely
Residual Status: Medium (9)	Residual Risk Impact: Serious	Residual Risk Likelihood: Likely

Service: Strategic Risks

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Business Continuity Plans	During the Covid-19 pandemic the need for robust Business Continuity Plans was evident and the need to link these to the Emergency Plan to ensure a coordinated response across the organisation.	John Golding	26/05/2020	**05/05/2021**
Working and Effective	Clear accountability for cascading information and communicating to the staff and public	Clear accountability for cascading information and communicating to the staff and public	John Golding	31/03/2014	**05/05/2021**
Working and Effective	Effective liaison, contact, communication and training arrangements	Effective communication and training associated with the Plan	John Golding	07/10/2009	**05/05/2021**
Working and Effective	Effective local plan for emergencies	Clear allocation of accountability and key personnel identified in the Business Continuity Plan	John Golding	07/10/2009	**05/05/2021**
Working and Effective	Effective means of securing resources/equipment and implementing plan	During normal working hours and out of hours	John Golding	07/10/2009	**05/05/2021**
Working and Effective	Recovery Plans	During the Covid-19 pandemic the response phase was directed by the Emergency Plan and a prolonged recovery process was necessary requiring a Recovery Plan structured around the guidance in the Business Continuity Plan.	John Golding	26/05/2020	**05/05/2021**
Working and Effective	Regular review of Council Emergency and Business Continuity Plan	Regular review of Council Emergency and Business Continuity Plan	John Golding	31/03/2014	**05/05/2021**
Working and Effective	Rehearsal and testing of the plan by various service areas	Ensure a regular and planned test and review of the Emergency Plan to ensure it is operable, effective, streamlined and up-to-date.	John Golding	07/10/2009	**05/05/2021**
Working and Effective	Representation on Tactical and Strategic Coordination Groups	During the Covid-19 pandemic we have consistently accessed and participated in TCG and SCG peninsular groups and cascaded relevant actions and issues to SMT+ colleagues.	John Golding	26/05/2020	**05/05/2021**

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Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Use of Issues Logs and risk assessments	During the Covid-19 pandemic we introduced an Issues Log to maintain a track of actions, problems, and responsibilities. This formed the basis of the management response and audit trail	John Golding	26/05/2020	**05/05/2021**

Responsible Officer: John Golding

Review Note: The corporate Emergency Plan was updated in 2020 and Business Continuity Plans in early 2020 in response to the pandemic.
We re-joined the Devon Emergency Planning Partnership in 2019 and are benefiting from access to regional expertise and support.
Services have experience in dealing with emergencies. The warning/alerting system is tried and tested.
The Covid-19 pandemic has put our plans to the test.

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Risk: Failure to ensure that our corporate property portfolio is fully compliant with legal requirements. Failure to ensure that our corporate property portfolio is fully compliant with legal requirements. A failure to ensure our property portfolio is fully compliant with all health and safety and other legal requirements could lead to serious injury or litigation.	Risk Code: 010-RK-0153

Pure Status: Medium (6)	Pure Risk Impact: Serious	Pure Risk Likelihood: Unlikely
Residual Status: Low (2)	Residual Risk Impact: Significant	Residual Risk Likelihood: Remote

Service: Strategic Risks

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
in Planning / Progress	Building managers statutory compliance training required	Ensure building managers staff training for statutory dangers such as asbestos awareness is kept up to date. Training being picked up corporately to ensure all staff receive training as per a recently reviewed training matrix. Corporate workshop taken place and chaired by Property & Estates. Further workshops to be arranged with updates back to SMT.	Tim Child	30/09/2010	**05/05/2021**
Working and Effective	Undertake condition surveys and planned maintenance of buildings	Condition survey undertaken, planned maintance progressing as per the surveys	Tim Child	30/03/2017	**05/05/2021**
Completed	Up to date Asbestos policy and monitoring	All compliance health & safety policies being reviewed. Corporate workshop taken place and chaired by Property & Estates. Further workshops to be arranged with updates back to SMT.	Tim Child	30/06/2010	**05/05/2021**
Completed	Up to date Legionella Policy and monitoring	All compliance health & safety policies being reviewed. Corporate workshop taken place and chaired by Property & Estates. Further workshops to be arranged with updates back to SMT.	Tim Child	30/09/2010	**05/05/2021**

Responsible Officer: Tim Child

Review Note:

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Risk: Delivery of Growth Point Delivery of Growth Point – Failure to delivery planned housing and business growth, including a successful and vibrant new town.					Risk Code: 010-RK-0205
Pure Status: Medium (9)		**Pure Risk Impact: Serious**		**Pure Risk Likelihood: Likely**	
Residual Status: Medium (6)		**Residual Risk Impact: Serious**		**Residual Risk Likelihood: Unlikely**	
Service: Strategic Risks					
Control Action records					

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
in Planning / Progress	Enterprise Zone in place	Enterprise Zone commenced 1st April 2017 with DCLG approval, officer resources and budget in place and forward funding/borrowing strategies in development.	Andrew Wood	01/11/2017	**05/05/2021**
in Planning / Progress	Project Teams and individuals identified to meet key delivery targets.	Project Teams and individuals identified to meet key delivery targets. Initial investment projects are underway with Council approval.	Andrew Wood	01/11/2017	**05/05/2021**

Responsible Officer: Andrew Wood

Review Note: Good momentum being achieved with the Enterprise Zone desingation including enabling infrastructure investments.

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Risk: Increasing homelessness Failure to meet our statutory obligations for homelessness applications including securing suitable and cost effective temporary accommodation. Poor homelessness decisions risk legal challenge, reputational damage and disadvantage applicants.	Risk Code: 010-RK-0206

Pure Status: High (12)	Pure Risk Impact: Serious	Pure Risk Likelihood: Very Likely
Residual Status: Medium (9)	Residual Risk Impact: Serious	Residual Risk Likelihood: Likely

Service: Strategic Risks

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Affordable housing	Continued supply of new affordable housing	John Golding	14/05/2018	**05/05/2021**
Working and Effective	Everyone In campaign	In association the Covid-19 pandemic we have complied with government advice and provided accommodation for all homeless households and rough sleepers. Two people have consistently refused our offer.	John Golding	27/05/2020	**05/05/2021**
Working and Effective	Homelessness & Rough Sleeping Strategy	The Homelessness Strategy is an overarching plan to tackle homelessness	John Golding	14/05/2018	**05/05/2021**
Working and Effective	Partnerships with statutory partners	Statutory partners such as the police and mental health services engaging in homelessness process	John Golding	14/05/2018	**05/05/2021**
Working and Effective	Partnerships with voluntary / charity groups	Effective partnerships with voluntary and charity groups working with helping homelessness	John Golding	14/05/2018	**05/05/2021**
Working and Effective	Safeguarding	Robust safeguarding systems in place	John Golding	14/05/2018	**05/05/2021**
Working and Effective	Supply of temporary accommodation	Adequate supply of temporary accommodation across the district	John Golding	14/05/2018	**05/05/2021**
Working and Effective	Trained staff	Trained, competent and dedicated staff dealing with homelessness	John Golding	14/05/2018	**05/05/2021**

Responsible Officer: John Golding

Review Note: We have been implementing the requirements in the Homelessness Reduction Act 2018 in addition to the core homelessness legislation. The Homelessness & Rough Sleeping Strategy has been updated to reflect new pressures and working arrangements. We are also working on proposals for increasing supply of temporary accommodation. The pandemic has added to homeless pressures.

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Risk: **Failure to ensure the Council's sustainability** The failure to ensure that the Council is able to sustain its service provision in the long term and meet its priorities as set out in the Council Plan could lead to financial and reputation loss and impact on our communities.	**Risk Code: 010-RK-0207**

Pure Status: High (12)	**Pure Risk Impact: Major**	**Pure Risk Likelihood: Likely**
Residual Status: Medium (6)	**Residual Risk Impact: Significant**	**Residual Risk Likelihood: Likely**

Service: Strategic Risks

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
in Planning / Progress	Balanced communities	Work towards helping our communities to be balanced and vibrant through the provision of good quality affordable homes	Mark Williams	01/05/2018	**05/05/2021**
in Planning / Progress	Our environment	Work to protect and enhance the natural and built environment of East Devon	Mark Williams	01/05/2018	**05/05/2021**
in Planning / Progress	Our services	Provide good services that are efficient and accessible to our residents	Mark Williams	01/05/2018	**05/05/2021**
in Planning / Progress	Support our local economy	Support our local economy to encourage new business and help existing businesses to grow and bring better paid jobs to East Devon	Mark Williams	01/05/2018	**05/05/2021**
in Planning / Progress	Transformation Strategy	Respond to long term financial and political pressures through our Transformation Strategy	Mark Williams	01/05/2018	**05/05/2021**

Responsible Officer: Mark Williams

Review Note: The council is working on the new Council Plan, which is due to be published in the Summer of 2021. A Statemet of Intent has been addopted while work on the plan is on going. This risk will be addressed and mitigation measures put in place.

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Risk: Failure to adequately protect staff health and safety at work Failure to adequately protect staff health and safety at work. Failure to protect staff appropriately could lead to serious injury and will expose the Council to reputation, legal and financial risks	Risk Code: 010-RK-0208

Pure Status: Medium (9)	Pure Risk Impact: Serious	Pure Risk Likelihood: Likely
Residual Status: Medium (9)	Residual Risk Impact: Serious	Residual Risk Likelihood: Likely

Service: Strategic Risks

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Corporate Health and Safety Advisors	Expert corporate health and safety advisors available to promote good practice and assist managers implement their safety duties.	John Golding	09/01/2019	**05/05/2021**
Working and Effective	H&S Handbook	Introduced in StreetScene alongside safe systems of work and toolbox training.	John Golding	27/05/2020	**05/05/2021**
Working and Effective	Health and Safety culture	All staff and managers appreciating the importance of health and safety, properly trained and implementing good practice.	John Golding	09/01/2019	**05/05/2021**
Working and Effective	Health and Safety Policy	Operating to an up to date policy	John Golding	09/01/2019	**05/05/2021**
Working and Effective	Health and Safety training programme	A comprehensive health and safety training programme has been agreed with Service managers together with a procedure for booking, delivering and recording training requirements. Details of training and key health and safety documents are on the intranet.	John Golding	09/01/2019	**05/05/2021**

Responsible Officer: John Golding

Review Note: The increased profile and prioritisation of health and safety across the organisation will help ensure that we maintain a safe working culture and good accident record. A comprehensive training matrix and training programme is being delivered.
We have achieved wider coverage of risk assessments, safe systems of work, and introduced a dedicated resource, H&S Handbook for StreetScene higher risk areas.

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Risk: With the on-going Brexit negotiations and the uncertainties around our deal to leave the EU With the on-going Brexit negotiations and the uncertainties around our deal to leave the EU there implications for us to deal with including the loss of direct EU funding, uncertainty around the impact on inward investment, effects on business rate income, possible increases in demand pressures, the effects on our investments and borrowing, possible impact on pension fund deficits and the effects on supply of labour. **Risk Code: 010-RK-0210**

Pure Status: Medium (9)	Pure Risk Impact: Serious	Pure Risk Likelihood: Likely
Residual Status: Low (3)	Residual Risk Impact: Serious	Residual Risk Likelihood: Remote

Service: Strategic Risks

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
Working and Effective	Key Risks have been considered	Key public service areas possibly affected have been consider, the risk identified and mitigations recorded. A list is maintained on 'o' Drive SMT.	Simon Davey	31/10/2019	**05/05/2021**
Working and Effective	Member of DCC Brexit Resilience Group	The Group informs and advises actions required. The Chief Executive is the Council's representative.	Simon Davey	31/10/2019	**05/05/2021**

Responsible Officer: Simon Davey

Review Note:

Risk: Retaining and strengthen a collective approach to decision making Retaining and strengthen a collective approach to decision making to ensure we avoid poor decision making effecting our performance and our reputation. **Risk Code: 010-RK-0211**

Pure Status: Medium (9)	Pure Risk Impact: Serious	Pure Risk Likelihood: Likely
Residual Status: Medium (9)	Residual Risk Impact: Serious	Residual Risk Likelihood: Likely

Service: Strategic Risks

Control Action records

Control Status	Control Action	Info	Responsible Person	Date Identified	Last Review Date
in Planning / Progress	Actions from the Peer Review action plan	Ensure that the recommendations contained within the Peer Review are actioned.	Mark Williams	14/01/2020	**05/05/2021**

Responsible Officer: Mark Williams

Review Note: The question of revising the council's political management struture has been delayed pending the resolution of the Covid crisis. However members will return to this question as soon as they can.