

Audit Committee

28 February 2023

**Strategic Risk Management Progress
Report for 2022/23
Review 3: 1 October – 31 December
2022**



Report of Corporate Management Team

Paul Darby, Corporate Director of Resources

Councillor Richard Bell, Deputy Leader and Cabinet member for Finance

Purpose of the Report

- 1 This report supports the Council's Risk Management Strategy. It highlights the strategic risks facing the council and provides an insight into the work carried out by the Corporate Risk Management Group between October and December 2022.

Executive summary

- 2 In line with the Constitution and the Corporate Risk Management Strategy, Audit Committee are responsible for monitoring corporate governance, including risk management activity. Heads of service identify and manage risks that may impede Council objectives and provide assurance that effective controls are in place.
- 3 All risks are formally reviewed three times each year, which contributes to improved performance, decision-making and governance. The review of the strategic risk register is overseen by the Corporate Risk Management Group. The member and officer risk champions are the Cabinet Portfolio Holder for Finance (Councillor Richard Bell) and Corporate Director of Resources (Paul Darby).
- 4 Since the last update to the committee, one new risk (Home to School Transport Budget) has been added and one risk has been closed (shortage of HGV drivers). The net risk evaluation of two risks, relating to children's social workers and public transport, have been updated to key risk status.

- 5 There are updates on the management of seven key risks (funding settlements, construction industry price increases, A690 land slippage, energy price increases, urgent and emergency care services, statutory sufficiency duty, savings plans).
- 6 There are updates on the management of eleven non-key risks (homelessness, major incident, business failures, care providers, Inclusive Economic Strategy, HNB SEND, child safeguarding demand, educational outcomes, recruitment and retention, cyberattack, Care Charging Policy).
- 7 Officers are working closely with partners to scale up preparedness for, and protection from, a potential terrorist attack and to ensure that the council will be able to meet the new requirements of Martyn's Law, which follows campaigning after the Manchester Arena terror attack in May 2017 and is expected to come into force in August 2023.
- 8 A risk assessment is being developed for one emerging risk (guaranteed minimum pensions).
- 9 In summary, the report outlines that on 31 December 2022, there were 43 risks on the strategic risk register. There are twelve key risks, relating to Government funding, construction industry price increases, energy price increases, urgent and emergency care services, statutory sufficiency duty, climate change, children's social workers, child safeguarding, savings plans, vulnerable adults, A690 land slippage, and public transport, for which key mitigating actions have been identified.
- 10 This report outlines systematic monitoring of external, relevant information sources undertaken by officers to provide assurance on the effectiveness of the Council's arrangements for comprehensively identifying risks that threaten the achievement of objectives or the successful execution of strategies.
- 11 Performance against key indicators is set out to provide assurance that strategic risks are being effectively managed, and that officers and members are appropriately skilled in risk management are included in the report.

Recommendation

- 12 Audit Committee is recommended to confirm that this report provides assurance that strategic risks are being effectively managed within the risk management framework across the Council.

Background

- 13 Each corporate director has a designated service risk manager to lead on risk management at a service grouping level. In addition, the council has designated the Deputy Leader and Cabinet Portfolio holder for Finance and the Corporate Director of Resources as member and officer risk champions respectively. Collectively, they meet with the Risk and Governance Manager as a Corporate Risk Management Group (CRMG). A summary setting out how the council deals with the risk management framework is included in appendix 2.
- 14 Throughout this report, both in the summary and the appendices, all risks are reported as 'net risk' (after putting in place mitigating controls to the 'gross risk' assessment), which is based on an assessment of the impact and likelihood of the risk occurring with existing controls in place.

Current Status of the Risks to the Council

- 15 On 31 December 2022, there were 43 risks included on the corporate strategic risk register, the same as on 30 September 2022. During the period covered by this report one risk was added and one was removed.
- 16 In summary, the key risks to the council are:
- (a) There is significant uncertainty in relation to **future funding** settlements from government, particularly from 2025/26 onwards, which will significantly impact upon the medium-term financial plan.
 - (b) Limited product availability and **price increases in the construction industry** may disrupt the delivery of capital projects by the council either through external procurement routes or through the in-house construction delivery arms within both Corporate Property and Land and Highway Services.
 - (c) Potential progressive **land slippage near the A690** may develop to an extent where a major road closure is necessary for repairs to be undertaken.
 - (d) Potential adverse impact of **energy price increases** on council finances.
 - (e) Potential disruption to the Council's and partners' **urgent and emergency care services** due to backlogs caused by Covid, increased demand and staff capacity issues.

- (f) Potential withdrawal of Covid financial support to bus operators may result in reduced **public transport coverage**, leading to a lack of essential transport services for users and/or calls for financial assistance from the Council.
- (g) Risk of being unable to meet the authority's **statutory sufficiency duty** to provide sufficient accommodation in the local authority area to meet the needs of Children Looked After and children in need.
- (h) Risk that the council fails, in its role as a community leader, to set an example and help partners, local businesses and communities make the necessary adaptations and mitigations in pursuit of the target of being a carbon-neutral County by 2050 (**climate change**).
- (i) Inability to recruit and retain **children's social workers** and social work managers may seriously inhibit the delivery of services.
- (j) **Failure to protect a child** from death or serious harm (where service failure is a factor or issue).
- (k) Failure to protect a **vulnerable adult** from death or serious harm (where service failure is a factor or issue).
- (l) If timely and comprehensive **savings plans** are not in place across the council, required savings may not be achieved, necessitating extensive utilisation of reserves.

Progress on addressing these key risks is detailed in appendix 3.

- 17 There are updates on the management of seven key risks (funding settlements, construction industry price increases, A690 land slippage, energy price increases, urgent and emergency care services, statutory sufficiency duty, savings plans). There are updates on the management of eleven non-key risks (homelessness, major incident, business failures, care providers, Inclusive Economic Strategy, HNB SEND, child safeguarding demand, educational outcomes, recruitment and retention, cyberattack, Care Charging Policy).
- 18 Officers are working closely with partners to scale up preparedness for, and protection from, a potential terrorist attack and to ensure that the council will be able to meet the new requirements of Martyn's Law, which follows campaigning after the Manchester Arena terror attack in May 2017 and is expected to come into force in August 2023.

- 19 A risk assessment is being developed for one emerging risk (guaranteed minimum pensions).
- 20 A list of all the Council's strategic risks on 31 December 2022, aligned to the corporate themes in County Durham Vision 2035 and the council Plan, is included in appendix 4.
- 21 Management has identified and assessed these risks using a structured and systematic approach, and is taking proactive measures to mitigate these risks to a manageable level. This effective management of our risks is contributing to improved performance, decision-making and governance across the Council.
- 22 To supplement, and to seek assurance on the effectiveness of, the Council's arrangements for comprehensively identifying risks that threaten the achievement of objectives or the successful execution of strategies, systematic monitoring of external, relevant information sources is undertaken regularly. Key risks highlighted in the Institute of Internal Audit's Risk in Focus report relate to cyber and data security, human capital and talent management, macroeconomic and geopolitical uncertainty, business continuity, climate change and sustainability, and financial and liquidity including the cost-of-living crisis. Other topics include supply chain, governance and reporting, organisational culture, fraud and criminal disruption, communications and reputation, health and safety and security. A review of the Council's relevant governance frameworks, including risk management, has confirmed that formal arrangements are in place for all items listed.
- 23 To provide assurance that strategic risks are being effectively managed, and that officers and members are appropriately skilled in risk management, performance against key indicators is set out in appendix 5.

Background Papers

- None

Other Useful Documents

- None

Author

Kevin Roberts

Tel: 03000 269657

Appendix 1: Implications

Legal Implications

There are no direct implications, but effective risk management helps to ensure compliance with legal and regulatory obligations.

Finance

There are no direct financial implications, but effective risk management helps to avoid or minimise financial loss.

Consultation

None

Equality and Diversity / Public Sector Equality Duty

None

Climate Change

There are no direct climate change implications, but effective risk management helps to avoid or minimise adverse impacts.

Human Rights

None

Crime and Disorder

None

Staffing

Staff training needs are addressed in the risk management training plan.

Accommodation

None

Risk

This report supports the delivery of the objectives of the Council's Risk Management Strategy.

Procurement

Effective risk management supports the procurement function by minimising fraud, corruption, and non-compliance with legislation and good practice, thereby helping to secure value for money and effective service delivery.

Appendix 2: How the Risk Management Framework Operates

The Cabinet and the Corporate Management Team have designated the Cabinet Portfolio Holder for the Deputy Leader and Finance and the Corporate Director of Resources as Member and Officer Risk Champions respectively. Together they jointly take responsibility for embedding risk management throughout the council and are supported by the Chief Internal Auditor and Corporate Fraud Manager, the lead officer responsible for risk management, as well as the Risk, Insurance and Governance Manager.

Each service grouping also has a designated service risk manager to lead on risk management at a service grouping level, and act as a first point of contact for staff who require any advice or guidance on risk management. Collectively, the risk champions, service risk managers and the Risk and Governance Manager meet as a Corporate Risk Management Group. This group monitors the progress of risk management across the Council, advises on strategic risk issues, identifies and monitors corporate cross-cutting risks, and agrees arrangements for reporting and awareness training.

An Audit Committee is in place, and one of its key roles is to monitor the effective development and operation of risk management and overall corporate governance in the Authority.

It is the responsibility of the Corporate Directors to develop and maintain the internal control framework and to ensure that their service resources are properly applied in the manner and to the activities intended. Therefore, in this context, heads of service are responsible for identifying and managing the key risks which may impact on their respective service, and providing assurance that adequate controls are in place, and working effectively to manage these risks where appropriate. In addition, independent assurance of the risk management process, and of the risks and controls of specific areas, is provided by Internal Audit. Reviews by the external auditor and bodies such as Ofsted and Care Quality Commission may also provide some independent assurance of the controls in place.

Risks are assessed in a logical and straightforward process, which involves the risk owner within the service assessing both the impact on finance, service delivery and stakeholders if the risk materialises, and also the likelihood that the risk will occur over a given period. The assessment is confirmed by the Service Management Team.

To supplement, and to seek assurance on the effectiveness of, the Council's arrangements for comprehensively identifying risks that threaten the achievement of objectives or the successful execution of strategies, systematic monitoring of external, relevant information sources is undertaken regularly. Examples include the World Economic Forum's annual Global Risks Report and the Institute of Internal Audit's Risk in Focus reports.

An assurance mapping framework is being developed to demonstrate where and how the council receives assurance that its business is run efficiently and effectively, highlighting any gaps or duplication that may indicate where further assurance is required or could be achieved more effectively.

The Durham County Council Pension Fund maintains its own risk register, with risks managed in line with CIPFA's 2018 guidance on *Managing Risk in the Local Government Pension Scheme*. The Fund's risks are reviewed in detail by officers, with periodic reporting to the Pension Fund Committee in line with its Terms of Reference.

The council is also jointly responsible for responding to civil emergencies (such as severe weather events, network power losses and flu epidemics) through the County Durham and Darlington Local Resilience Forum. An explanation of the arrangements for managing the risk of such events and a copy of the latest Community Risk Register can be found on the web page of the County Durham and Darlington Local Resilience Forum.

Appendix 3: Progress on Management of the Council’s Strategic Risks

Risks are assessed at two levels:

- Gross impact and likelihood are based on an assessment of the risk without any controls in place.
- Net impact and likelihood are based on the assessment of the current level of risk, taking account of the existing controls/ mitigation in place.

On 31 December 2022, there were 43 risks on the corporate strategic risk register, the same as on 30 September 2022. During this period one risk was added, and one was removed.

The following matrix profiles the strategic risks according to their net risk evaluation on 31 December 2022. To highlight changes in each category during the last period, the number of risks on 30 September 2022 is shown in brackets.

Overall number of Strategic Risks on 31 December 2022

Impact					
Critical	1 (1)		3 (3)	1 (1)	2 (2)
Major		4 (5)	5 (5)	4 (3)	1 (1)
Moderate			13 (13)	8 (8)	1 (0)
Minor				0 (1)	
Insignificant					
Likelihood	Remote	Unlikely	Possible	Probable	Highly Probable

In the above matrix, the risks assessed as Critical/Highly Probable are,

- There is significant uncertainty in relation to future **funding settlements** from government, particularly from 2025/26 onwards, which will significantly impact upon the medium-term financial plan.
- Limited product availability and **price increases in the construction industry** may disrupt the delivery of capital projects by the council through external procurement routes and through the in-house

construction delivery arms within both Corporate Property and Land and Highway Services.

New Risks

- 1 *Increased levels of demand combined with high inflation on transport costs may disrupt the provision of **Home to School Transport**, leading to a potential budget overspend and adverse impacts on children and families (CYPS).*

The net risk evaluation is moderate impact, probable likelihood.

This risk relates to Home to School Transport (H2ST) provision in primary, secondary and special schools, and alternative provision, for which the annual budget is around £19.5m (2022/23). The service provides daily transport to almost 9,000 passengers (2021/22) through over 1,000 contracts with over 300 transport suppliers.

Overall transport costs have been increasing and are forecasted to rise further in future years, largely because of increases in SEND and specialist transport demand, increasing contractor prices and inflation. At quarter 2 of 2022/23, the forecast overspend was approximately £6m.

Amended Risks

- 2 *Potential withdrawal of Covid financial support to bus operators may result in reduced **public transport coverage**, leading to a lack of essential transport services for users and/or calls for financial assistance from the Council (**REG**).*

The net risk evaluation has been updated from minor impact / probable likelihood to moderate impact / highly probable likelihood, meaning that this is now a key risk.

Two Central Government funding streams, used to support bus operators throughout the COVID-19 pandemic with patronage falling significantly, are set to end on the 31 March 2023. At present, no announcement has been made from the Department for Transport on whether Bus Recovery Grant (paid direct to bus operators) or Local Transport Fund (paid to local authorities) will be extended. We believe that if the funding, amounting to around £5m a year, is not extended then further cuts to bus services will be implemented. These cuts, which could be as much as 20% of the existing commercial bus network, will put even greater pressure on Nexus, Durham and Northumberland County Councils who provide socially necessary bus services in the

region. It should be noted that these pressures are compounded by the service cuts that were implemented throughout 2022.

The Council has already committed to contributing £2m from an underspend of the concessionary fares budget for 2023/24, which is helping to cushion the impacts of previous commercial service reductions on bus users.

3 *Inability to recruit and retain **children's social workers** and social work managers may seriously inhibit the delivery of services (CYPS).*

The net risk evaluation has been updated from moderate impact / probable likelihood to major impact / probable likelihood, meaning that this is now a key risk.

This is a longstanding risk, first highlighted in 2017, that continues to be a national problem in children's social care as more people leave statutory social work roles and the number of new graduates fails to meet demand. Recruitment is increasingly difficult due to strong competition from other employers, including other local authorities, non-statutory employers and even adult and health services, and this has been exacerbated by a declining availability of agency staff. This has led to rising vacancy rates and, between October and December 2022, a sharp rise in average caseloads. There is a significant risk to our ability to meet a range of statutory and regulatory duties if we are unable to recruit a sufficient social work workforce.

A range of corporate and service-based recruitment advertising and frameworks are in place to support recruitment activity. Several initiatives such as the Management Academy, the Pathways Programme, and Strengthening Supervision aim to develop managers to ensure that employees are well supported, and the supervision framework includes a focus on wellbeing and reflection. The employee health and wellbeing portal gives access to health and wellbeing resources, information and support, and the Employee Assistance Programme provides access to a range of psychological support services. The Government response to the Independent Care Review has also initiated a national consultation with a number of proposals to support workforce challenges. If implemented this will provide further mitigation to the risk.

Updates on the Management of Existing Risks

Key Risks

- 4 *There is significant uncertainty in relation to future **funding settlements** from government, particularly from 2025/26 onwards, which will significantly impact upon the medium-term financial plan (**RES**).*

The Chancellor of the Exchequer has indicated that the whole public sector will only receive 1% real terms increases in funding for the period 2025/26 to 2027/28. There is still the expectation that the Fair Funding Review could also be implemented in 2025/26 at the earliest which could lead to a loss of core funding.

- 5 *Limited product availability and price increases in the construction industry may disrupt the delivery of capital projects by the council either through external procurement routes or through the in-house construction delivery arms within both Corporate Property and Land and Highway Services (**construction industry price increases**) (**REG**).*

The net risk evaluation is critical impact, highly probable likelihood.

This risk has arisen due to macroeconomic factors such as high inflation and rising interest rates, and global factors including high levels of post-Covid demand, the war in Ukraine and rising energy prices. High prices continue to place significant pressures on the Council's capital resources, and the ability to accommodate prudential borrowing costs in the Medium Term Financial Plan is limited by the revenue pressures that are driven by inflation and demand in social care.

In October 2022, Cabinet considered the Council's MTFP forecasts and members initiated a review of reserves and agreed a temporary pause to a range of projects and programmes that were not contractually committed or commenced on site whilst the situation was reviewed. This review is now complete and, in January 2023, Cabinet considered the outcome of the review and agreed that all schemes in the current programme can continue to progress, subject to ongoing reviews of the Leisure Transformation Programme and the new Council House Building Programme.

The investment in the Town and Villages Programme remains at £25m over the lifetime of the programme and has been included in the updated MTFP13 capital programme agreed by Council, funded from prudential borrowing instead of from reserves.

The refurbishment of Abbey Leisure Centre, Spennymoor Leisure Centre and Peterlee Leisure Centre are progressing, alongside some

major energy efficiency / carbon reduction programmes at Newton Aycliffe Leisure Centre and Teesdale Leisure Centre whilst the review of the Leisure Transformation Programme is undertaken.

At the Cabinet and Council meetings in February, the council finalised the MTFP13 new capital bids, building on the circa £600m of existing approved capital investments.

6 *Potential progressive land slippage near the A690 may develop to an extent where a major road closure is necessary for repairs to be undertaken (A690 slippage) (NCC).*

The net risk evaluation is critical impact, probable likelihood.

The land slippage is showing signs of slowing down after recent failures and temporary remedial works and ground investigation evidence demonstrates that the embankment is showing an average of 1mm movement per month. The area continues to be subject to regular inspection and ongoing investigations.

The main impacts of this risk, should it materialise, are financial (permanent remedial works will cost £15m), as well as disrupting the local economy and denying access to highways users and utilities. There could also be a breach of statutory duty to maintain the highway. National Power Grid, who occupy a depot downhill and adjacent to the A690, have engaged with a ground investigation specialist who are monitoring the landslip and while the impact on their land is more serious, their works appear to have addressed the ground movement to manageable levels. However, a more permanent repair solution is required to provide a long-term fix to addressing the carriageway and slope instability and this has been included in the MTFP13 capital programme.

Work is underway to finalise which of the three proposed options is the most cost-effective long-term solution.

7 *Potential adverse impact of energy price increases on council finances (energy prices) (RES).*

The financial impact on council finances is estimated at £6m, and the overall net risk evaluation remains major impact, highly probable likelihood.

The Council's energy requirements are purchased through the NEPO Energy Team under direction from the North East Directors of Resources Group in line with an agreed risk and purchasing strategy. The Energy Efficiency Group, led by the Corporate Director of

Neighbourhoods and Climate Change, is exploring ways that energy usage can be reduced, and a staff awareness campaign is ongoing to encourage staff to help minimise energy consumption.

The council is currently benefitting from the Energy Business Relief Scheme (EBRS), which applies a price cap on energy charges between October 2022 and March 2023. However, The Government recently announced that the ERBS will be replaced by the new Energy Bills Discount Scheme (EBDS) for businesses, charities and the public sector from April 2023 until March 2024. Under the new scheme, eligible organisations will receive a discount on the wholesale price of energy, but the council is not expected to be qualify because the current NEPO forecasts are below the Government's price threshold for eligibility. In summary, under the new scheme, the Council's energy costs are likely to be higher and more difficult to predict.

8 ***Potential disruption to the Council's and partners' urgent and emergency care services due to backlogs caused by Covid, increased demand and staff capacity issues (AHS).***

The net risk evaluation is major impact, probable likelihood.

Widespread industrial action by NHS staff starting in December 2022 coincided with high Winter demand, resulting in 8 out of 10 NHS hospital and ambulance trusts across the country, including North East Ambulance Service, declaring critical incidents. This means any localised incident where the level of disruption results in the organisation temporarily or permanently losing its ability to deliver critical services, patients may have been harmed or the environment is not safe, requiring special measures and support from other agencies to restore normal operating functions.

In County Durham and Darlington, detailed preparations are in place across system partners, using established winter planning and emergency process protocols. Reports detailing plans are regularly presented to Adults, Health and Wellbeing Overview and Scrutiny Committee. Durham Local Area Delivery Board (LADB) prepare for expected surges in demand and co-ordinate work across partners.

Delays to discharging people from hospital when they are fit to leave continue to be a significant issue and, in November 2022, the Government announced details of the £500 million Adult Social Care Discharge Fund, around 40% of which has been distributed to local authorities with the rest allocated to Integrated Care Boards (ICBs). In County Durham and Darlington, both local authority and ICB funding is being used to deliver a joint plan. Initiatives being funded include commissioning of 17 additional intermediate care block beds until the

end of March 2023; pilot of rest and recovery units in care homes on behalf of the NHS, and increased domiciliary care worker capacity through additional hours, recruitment and retention.

In collaboration, the ICB, County Durham and Darlington Foundation Trust (CDDFT) and the council are implementing other measures to alleviate pressures in this area. The council temporarily reduced the assessment specification for discharge from an intensive care bed and has offered the opportunity for staff to undertake discharge assessments outside of normal working hours. The ICB has agreed to fund placements where the discharge delay is due to lack of care package or a dispute around funding, and the CDDFT will fund first six weeks' care home fees pending alternative/long-term arrangements.

Some care providers are reporting recruitment difficulties, living wage issues and rising energy costs and, in recognition of these pressures and to supplement Government help such as the energy support scheme, the council increased the hourly rate paid to domiciliary care providers from January 2023 and provided grant support to older persons care homes. These initiatives are being funded through Discharge Grant until the end of March 2023.

9 *Risk of being unable to meet the authority's **statutory sufficiency duty** to provide sufficient accommodation in the local authority area to meet the needs of Children Looked After and children in need (CYPS).*

The net risk evaluation is major impact, probable likelihood.

There has been an increasing reliance on the use of higher cost accommodation such as external residential care, leading to a forecast overspend of more than £13m on placement budgets, and this is placing pressure on our MTFP planning. A budget uplift of £13.8m (including a 5% uplift for inflation) has been made in the 2023/24 budget. Availability of suitable placements also provides a significant risk to our ability to meet our statutory and regulatory requirements.

Durham County Councils Sufficiency and Commissioning Strategy sets out the strategic approach to securing sufficient accommodation to meet the needs of our looked after children. This includes initiatives to increase the number of foster carers and the provision of in-house children's homes designed to meet the predicted needs of the young people. Additional work is underway to seek to reduce the need for children to enter care with agreement for an edge of care home currently being progressed following successful purchase of a fire station property.

Sufficiency issues are also being faced by all local authorities, and the Government's responses to the Independent Care Review will be important in understanding how the children's social care system will be transformed to better support the most vulnerable children and families. This is expected in January 2023.

- 10 *If timely and comprehensive **savings plans** are not in place across the council, required savings may not be achieved, necessitating extensive utilisation of reserves (RES).*

The net risk evaluation is critical impact, possible likelihood.

The future financial settlement from the Government beyond 2025/26 continues to be uncertain. The Chancellor's Autumn 2022 Statement indicated that funding constraints would impact upon the whole public sector from 2025/26 until at least 2027/28. There was however no detail provided as to what the impact was for local government or individual local authorities.

At the same time, the council is facing significant ongoing base budget pressures due to the impact of the pandemic in addition to significant demographic and cost pressures in social care and high levels of price inflation in the economy.

It is highly likely that significant additional savings will be required in the future although the value is unknown at this stage due to all of the uncertainties detailed above. With this in mind, it is vital that savings plans are developed on the basis that they may be required. If this process is not completed savings will be delayed requiring extensive utilisation of reserves to balance the budget.

Non-Key Risks

- 11 *Increased financial and other pressures on households cause a rise in the number of people unable to buy or rent accommodation, with increased evictions and repossessions likely, leading to a significant increase in **homeless presentations**, use of temporary accommodation, demand for secure affordable housing and pressure on housing support services (REG).*

The Government has limited rent increases for 2024/25 to 7% which will limit the net rent that registered providers can charge. However, this will have minimal benefit for tenants as many are in receipt of benefit, which in most cases, will cover any increase, with the amount tenants actually paying being largely unaffected. A below inflation rent increase will, however, put additional pressure on registered providers which

could affect their ability to deliver services, including tenant support services and their future new build programmes.

The Energy Support Scheme from April 2023 will target support to those on lowest incomes, which should mitigate the impact of rising energy costs, however, when the wider inflationary and cost of living increases are taken into account many more people are likely to struggle financially in the year ahead.

- 12 *Breach of duty under Civil Contingencies Act 2004 by failing to prepare for, respond to and recover from a **major incident**, leading to a civil emergency (NCC).*

Following a review of the response to Storm Arwen, an [improvement plan for managing future incidents](#) was agreed by Cabinet in July 2022. The plan is being implemented on a multi-agency basis through the County Durham and Darlington Local Resilience Forum action plan.

DCC will be involved in a County Durham and Darlington Local Resilience Forum strategic exercise, planned for late 2023, to practise the multi-agency response to a major incident. In addition, at the end of March 2023, the council will be involved in a national exercise (Exercise Mighty Oak) concerning a no-notice national power outage.

- 13 *High inflation, borrowing costs and uncertainty around Government funding and policy may cause serious harm to the local economy, leading to widespread **business failures** (REG).*

A bid for Investment Zone status at Aykley Heads and at Net Park was submitted in October 2022 to access associated benefits. However, since then, the Government has announced that Investment Zones will not be taken forward.

The council is reviewing budgets for regeneration and development projects in line with known cuts as well as increasing costs and uncertainties. The council is also working with neighbouring local authorities and the Government on a new devolution deal which should give some certainty over funding for some of these projects.

- 14 *Pressures nationally across residential, nursing and domiciliary **care providers**, could affect the availability, delivery, continuity, quality, sustainability and capacity of care provision within County Durham (AHS).*

Implementation of the social care funding reforms announced by the Government in Spring 2022, which will widen the scope of individuals who can access the Council's contract, has been put back two years to

October 2025. The council continues to plan its approach to the reforms, and will need to amend charging policies, and care home contracts, accordingly.

In accordance with Department of Health and Social Care (DHSC) guidance, the council submitted the documents required by DHSC on the results of the 'Cost of Care' survey as well as a draft 'Market Sustainability Plan' (MSP) in October 2022. The Council's Cost of Care report and the draft Durham MSP have been shared with care home providers, and the DHSC has confirmed that the current expectation is for Councils to submit a final MSP by 27 March 2023. In the meantime, any revisions to either of these documents will be published as soon as possible.

DHSC have made it clear that the outcome of the Cost of Care exercise is not intended to replace the fee-setting element of local authority commissioning processes or individual contract negotiations, so annual negotiations regarding care home fees will take place as normal between January and March 2023. The council increased the hourly rate paid to domiciliary care providers from January 2023 and this is being funded through the Government's recently announced Discharge Grant until the end of March 2023. The council has also provided support for older persons care home providers from this grant, in order to assist with discharges to 24-hour care.

- 15 *Changing and uncertain economic factors, including levelling up and shared prosperity funding and the impact of the EU exit, may impede the delivery of the **Inclusive Economic Strategy**, resulting in damage to the strength and competitiveness of the of the Co Durham economy (REG).*

In December 2022, the Council's Cabinet approved the adoption of the County Durham Inclusive Economic Strategy (IES) that has been developed through the County Durham Economic Partnership (CDEP). The IES sets a clear long-term vision for the County's economy through to 2035 and will be delivered through a series of delivery plans formed and delivered in partnership through CDEP. The council is reviewing budgets for regeneration and development projects in line with known cuts as well as increasing costs and uncertainties.

Following successful talks, the Government has offered leaders and mayors of the seven local authorities in the North East a provisional devolution deal which would unlock billions of pounds of investment to the region and see additional powers transferred from Whitehall to local people. The new deal, which is subject to consultation and a statutory approval process, would see the formation of a new combined authority, headed by an elected 'Metro' mayor and cover the LA7 area of County

Durham, Newcastle, Gateshead, North Tyneside, Sunderland, South Tyneside and Northumberland. The deal offers a potential £4.2bn of investment into the region and is expected to create 17,500 extra jobs, create 50,000 courses to give people the skills to get good jobs, and leverage £3.7 billion of private sector investment. Once established, the new authority will have the power to make decisions on economic development as well as transport, skills, housing and finance.

- 16 *Increasing demand on the Dedicated Schools Grant budget for High Needs Block special educational needs services and inclusive education services may result in adverse impacts on finance and service delivery (HNB SEND) (CYPS).*

Implementation of the HNB Sustainability Programme continues and a report on a programme review is scheduled to go to Cabinet in April 2023.

Through the [Mainstream Primary and Secondary Formula Funding](#) report on 18 January 2023, Cabinet agreed that in, 2023/24, the local funding formula will continue to be aligned to the National Funding Formula (as updated), meaning that High Needs Block funding will increase by 10.7% year on year.

The council is participating in the Department for Education's (DFE) £85m Delivering Better Value programme, which will help around 55 local authorities improve delivery of special educational needs and disability (SEND) services for children and young people. The programme will provide dedicated support and funding to specific local authorities facing significant challenges in their high-needs systems that support young people with SEND. The Chartered Institute of Public Finance and Accountancy and consultants Newton Europe, alongside specialist SEND advisors, will conduct a comprehensive diagnostic to identify opportunities to reform local authorities' high-needs systems, while also helping to engage their stakeholders. The DFE will then work with local authorities to determine which identified reforms to fund and will provide direct grants.

DCC has joined the programme in the second of three tranches (cohorts of local authorities that begin the DBV journey at the same time) and is in the 'Evaluation and Set up Phase'. A dedicated project team has been set up and had an introductory meeting with Newton Europe, the lead consultants, in January 2023. Next steps include the submission of a data return to the consultants in February 2023 and special training for the project team in March 2023, before entering the 'Baseline and Forecasts' phase.

- 17 *Increase in volume and complexity of demand for children's safeguarding services post coronavirus period (**child safeguarding demand**) (CYPS).*

Referrals rates are currently lower than in the 12 months preceding the pandemic. However, there is a higher number of cases already in the system, which are more complex and, therefore, stay in the system for longer. Pressure on caseloads is being exacerbated by issues in relation to the recruitment and retention of social workers.

- 18 *Pupils may not adequately recover from the impacts of Covid19, leading to ongoing or increased inequality of **educational outcomes**, restricted employment prospects and an increase in the number of NEETS (CYPS).*

This risk was first highlighted in June 2021, following media reports of growing evidence around the impact of Covid-related school closures on the learning outcomes of pupils, especially those who are disadvantaged.

National, post Covid attendance rates have fallen, and this is being recognised regionally and locally with larger numbers of persistently absent pupils.

The Council's school attendance team has been restructured and includes specialists in Elective Home Education. New Department for Education (DfE) attendance guidance uses DCC an example of model practice.

Other mitigations for this risk include employment services delivered directly by around 170 council employees, and delivery partners. DurhamDirections is a dedicated project for young people aged 15-24 years old, who need extra help when making decisions about education, training and employment opportunities. DurhamEnable provides support to people who face significant barriers to entering work as a result of the long-term nature of a disability or the potential long-term impact of deteriorating mental health. Durham Advance provides support to adults, including those who are unemployed (or inactive) with health issues and specifically, clients who are over 50 years of age and have barriers to employment. The LINKCD project helps adults with multiple and complex needs to address their underlying issues and move closer to or into the labour market.

Officers are currently exploring the implications of two issues related to the forthcoming project end date for these services. The first is an anticipated reduction / gap in service provision during 2023/24 and the

second is the financial implications of European funded employment projects coming to an end.

- 19 *National and local shortages of skills and labour may cause **recruitment and retention** difficulties, resulting in capacity shortfalls (RES).*

A comprehensive project plan is in place to strengthen and modernise our strategic approach to recruitment across the Council, and additional posts have been put in place to support this work. Key actions are grouped under the following themes: candidate attraction; process improvements; onboarding and induction; learning and development for managers; engagement and retention; and equality, diversity and inclusion. The latest highlight report shows that the project plan is on track with no issues experienced.

Recruitment advertising has been extended, through social media and partner agencies such as Indeed and Totaljobs, to maximise talent reach and attraction. Managers have received briefings and guidance on recruitment and advertising options. Additional support on recruitment campaigns is in place for lead officers together with the development of social media graphics and recruitment packs for key roles.

There has also been increased representation at job fairs and career events, and we have been strengthening links with schools, colleges, and universities.

- 20 *If the council suffered a successful cyberattack or IT security breach, then it may be unable to effectively deliver essential services (RES).*

The council is engaging with central government in their development of a new set of standards, the Cyber Assessment Framework, which will replace the current Public Services Network (PSN) guidelines. The response to the PSN Authority was submitted recently, following the annual ICT Health Check, and includes a mitigation plan for any vulnerabilities that were noted during the health check.

Cyber security awareness training was updated in November 2022 to include revised versions of the anti-phishing segment. The Council's desktop anti-virus software has also been evaluated and will be replaced in quarter 1 of 2023/24 to remove risks associated with Russian-based products. Server anti-virus software was replaced earlier in Summer 2022.

Plans are being made to review and assess the effectiveness of cyber security business continuity planning at individual service level as well

as corporately. The aim is to identify cyber risk and outline steps to prevent or mitigate incidents where possible. The process will include a cybersecurity risk assessment, a business impact analysis, systems testing activity and ongoing monitoring. The benefits that this will deliver include lessening business disruption by providing clear steps, actions and responsibilities, and an increased awareness of cyber risks, which can prevent incidents from occurring. Additionally, by planning incident response ahead of time, the council can also ensure their response is compliant with regulators and General Data Protection Regulation.

To further reduce the risk of a cyber-attack, our remote access policy was changed recently to reduce the number of countries from which staff can connect to DCC systems, applications and electronic resources. We continue to monitor and respond to the changing cyber-security landscape and emerging threats.

- 21 *Risk that the council is subject to legal challenge by Providers in relation to application of its Residential and Non-Residential Care Charging Policy and Deferred Payment Policy (**Care Charging Policy**) (AHS).*

Implementation of the social care funding reforms announced by the Government in Spring 2022, which will widen the scope of individuals who can access the Council's contract, has been put back two years to October 2025. The council continues to plan its approach to the reforms, and will need to amend charging policies, and care home contracts, accordingly.

Closed Risks

- 22 *The national **shortage of HGV drivers** may impact the council workforce, leading to potential disruption to statutory services (including refuse & recycling, highways gritting and maintenance) (NCC).*

This risk has been closed as it is no longer considered significant.

A potential shortage of HGV drivers was highlighted in late 2021 due to the effects of Covid19 and the EU Exit, including competition for labour between industry sectors, delays in driver training and a backlog of driving tests. Vulnerable council services included refuse and recycling, strategic waste, highways operations, and clean and green.

Mitigations include favourable terms and conditions for council HGV drivers, including a local group task and finish collective agreement, and a job re-evaluation in 2020 resulted in pay rises for HGV drivers. Capacity pressures have been managed through prioritisation of services, redeployment and engagement with recruitment agencies.

In the light of current circumstances, potential impacts are considered minor and unlikely, and there are no significant concerns in any of the relevant service areas.

Other Issues

- 23 *Risk of a **terror attack** by an individual or an organised network at a publicly accessible location, resulting in potential fatalities and serious harm to a large number of people (NCC).*

Officers are working closely with partners to scale up preparedness for, and protection from, terrorist attacks and to ensure that the council will be able to meet the new requirements of Martyn's Law, which is expected to come into force in August 2023. Also known as the Protect Duty, Martyn's Law follows campaigning after the Manchester Arena terror attack in May 2017 and aims to improve protective security and organisational preparedness at publicly accessible locations. It will compel public venues in the UK to take wide-reaching security measures to protect visitors and staff. Duty holders include landlords, tenants, owners or facilities management organisations with responsibilities for venues and spaces.

The Government's counter terrorism strategy, CONTEST is an integrated approach based on four main work streams, each with a clear objective to try and stop terrorist attacks occurring and, if they do occur, to mitigate their impact. The CONTEST workstreams are Pursue (stopping terrorist attacks), Protect (strengthening our protection against attack), Prepare (mitigating the impact of attacks), and Prevent (stopping people becoming terrorists or supporting violent extremism).

At a regional level, the council works with partners through the County Durham and Darlington Local Resilience Forum (LRF) and the CONTEST Silver Group. Police and security agencies work continuously to protect the public and, as a group of local responders, the LRF is focussed on preparing for the consequences of any emergency, and our plans try to set out generic capabilities that can be used in any emergency situation.

As part of the Publicly Accessible Locations pilot carried out by local authorities throughout the North East of England in partnership with Counter Terrorism Police North East, a Protect and Prepare Group has been established consisting of senior managers from relevant service areas in local authorities and partner agencies. Areas for improvement are being identified through a maturity model, which evaluates current arrangements under the themes of governance and leadership, partnership and engagement, information management, risk and

incident management, culture and awareness, and exercise and learning. Zone identification and counter terrorism assessments have been trialled in two of County Durham's most populous settlements and we are proactively engaging with landowners, businesses and property management companies to encourage compliance with the forthcoming legislation.

24 *Potential financial liability arising from a change in administrative practice in relation to payments to retired employees entitled to **Guaranteed Minimum Pensions (RES)**.*

This presents an emerging reputational risk for the council.

Like both public and private pension schemes, the Durham County Council Pension Fund has gone through a process to compare values for all members in the fund who have a Guaranteed Minimum Pension (GMP) with the equivalent values held by HM Revenue and Customs (HMRC). With the ending of contracting out and the scaling down of the HMRC team, all Pension Funds were required to go through this reconciliation process and agree the correct records. As the Fund moves onto the next stage of the process, the discrepancies resulting from incorrect or incomplete information being passed between scheme employers, pension funds and HMRC must be rectified.

As the Fund cannot knowingly make incorrect payments to its pensioners, and overpaid pensions are therefore likely to be reduced. An overpayment can arise where the value of the GMP held by the Fund is less than that held by HMRC. Because of the complicated nature of the issue, and the likelihood of resulting overpayments, it is possible that the exercise could generate negative press. It should be noted that there is no financial risk to the council's budget as the rectification, which will generate both 'winners and 'losers', will see beneficiaries of the exercise paid directly from the Pension Fund. A detailed report to both CMT and the Pension Fund Committee will be provided in due course.

Key Risks

25 The Council's key risks are shown in the following table.

Key Risks Matrix

Net Impact					
Critical			10 Child Safeguarding 11 Savings Plans 12 Vulnerable Adults	3 A690 Land Slippage	1 Govt Funding 2 Construction Industry Price Increases
Major				5 Urgent and Emergency Care 7 Statutory Sufficiency Duty 8 Climate Change 9 Children's Social Workers	4 Energy Prices
Moderate	<div style="border: 1px solid black; padding: 5px;"> <p>In this matrix, the key risks have been arranged according to the net impact and net likelihood evaluations to illustrate their relative severity. The full title of each risk is shown in the Key Risks Schedule on the following pages.</p> </div>				6 Public Transport
Minor					
Insignificant					
Net Likelihood	Remote	Unlikely	Possible	Probable	Highly Probable

Key Risks Schedule

The schedule below contains information about how the key risks are being managed, including proposed key actions. Where there have been changes to the risk assessment during the last quarter, these are highlighted in the column headed 'Direction of Travel'. The final column states when it is anticipated that the risk will have been reduced to an acceptable level.

Ref	Service leading on the risk	Range of impact (cross-cutting or service-specific)	Corporate Theme	Risk	Net Impact	Net Likelihood	Proposed Key Actions	Direction of Travel	Anticipated date when risk will be at an acceptable level
1	RES Risk Owner: Jeff Garfoot	Cross-cutting	Our Council - Durham County Council has a reputation for listening to its residents, being well-managed and getting things done / 1 Our resources will be managed effectively	R0595 - There is significant uncertainty in relation to future funding settlements from government, particularly from 2025/26, which will significantly impact upon the medium-term financial plan (Govt Funding).	Critical	Highly Probable	Sound financial forecasting is in place based on thorough examination of the Government's "red book" plans alongside forecasting of council expenditure and income especially in relation to the areas impacted by the pandemic and in relation to changes relating to the Health and Social Care levy.		This will be a significant risk for at least the next 4 years.

Ref	Service leading on the risk	Range of impact (cross-cutting or service-specific)	Corporate Theme	Risk	Net Impact	Net Likelihood	Proposed Key Actions	Direction of Travel	Anticipated date when risk will be at an acceptable level
2	REG Risk Owner: Susan Robinson Owner:	Cross-cutting	Our Economy - Durham has a thriving and inclusive economy with more and better jobs and fewer people suffering from the hardships of poverty and deprivation / A strong, competitive economy where County Durham is a premier place in the North-East to live and do business	UR0161 - Limited product availability and price increases in the construction industry may disrupt the delivery of capital projects by the council either through external procurement routes or through the in-house construction delivery arms within both Corporate Property and Land and Highway Services (construction prices) .	Critical	Highly Probable	<p>Capital schemes are prioritised in line with the medium-term financial plan, which is monitored by CMT with oversight from the Member Officer Working Group. The potential impact on in-progress and committed projects has been evaluated and reported to CMT. The council follows Government guidance issued through the Construction Leadership Council entitled, "CLC Plan to Mitigate the Impact of Construction Inflation". The service receives specialist support from the Corporate Procurement and Corporate Finance teams.</p> <p>The capital programme will be scaled back where possible, and some projects will be delayed until the global market stabilises. The service will seek to reduce risk exposure through changes to forward planning, placing advance orders and timely communications with clients and supply chain partners. Customised financial guidance for budget holders will include inflation forecasts and contingency budgeting.</p>		The duration of this risk is uncertain, but it is expected to continue for the next two to four years.

Ref	Service leading on the risk	Range of impact (cross-cutting or service-specific)	Corporate Theme	Risk	Net Impact	Net Likelihood	Proposed Key Actions	Direction of Travel	Anticipated date when risk will be at an acceptable level
3	NCC Risk Owner: Mark Readman	Service-specific	Our Communities - Durham is a great county in which to live, with flourishing communities which are connected and supportive of each other / People will have good access to workplaces, services, retail and leisure opportunities	R0641 - Potential progressive land slippage near the A690 may develop to an extent where a major road closure is necessary for repairs to be undertaken (A690 slippage).	Critical	Probable	Monitoring by the Highway Inspector is continuing, and any remedial works found to be necessary are being programmed. Consultant engineers have reviewed available ground monitoring data to determine a longer-term repair solution. Meetings are ongoing with NPG and the ground investigation contractor to review the available data and to discuss the proposed capital project. The Round 2 Levelling Up funding bid was submitted to include stabilisation of the carriageway and the result of this bid will be notified to DCC possibly at the end of December 2022. Conversations are ongoing with Council-appointed consulting engineers to investigate the impacts of the three proposed options to identify the most cost-effective long-term solution.		This has been classified as a long-term risk as the extent of the problem cannot be determined without extensive intrusive works.

Ref	Service leading on the risk	Range of impact (cross-cutting or service-specific)	Corporate Theme	Risk	Net Impact	Net Likelihood	Proposed Key Actions	Direction of Travel	Anticipated date when risk will be at an acceptable level
4	RES Risk Owner: Darren Knowd	Cross-cutting	Our Council - Durham County Council has a reputation for listening to its residents, being well-managed and getting things done / 1 Our resources will be managed effectively	UR0153 - Potential adverse impact of energy price increases on council finances (energy prices).	Major	Highly Probable	The council and the North East Procurement Organisation (NEPO) lead the response to this risk on behalf of partners. The North East Directors of Resources Group (DRG) provides strategic direction on energy procurement. In response to current market conditions, the approach to purchasing energy has been modified through the Forward Purchasing Strategy. Collaboration North East, which consists of the heads of procurement across all twelve NE authorities, reports to the DRG and works collaboratively on procurement issues. Support and specialist advice on improving energy efficiency is provided by the Council's Low Carbon team. Future years' budgets will be increased to reflect price increases. The approach to rationalising buildings usage and energy consumption is being reviewed with strategic and buildings managers.		The duration of this risk is uncertain, but the indications are that it will continue for the next two years. Markets are unstable and prices are still rising.

Ref	Service leading on the risk	Range of impact (cross-cutting or service-specific)	Corporate Theme	Risk	Net Impact	Net Likelihood	Proposed Key Actions	Direction of Travel	Anticipated date when risk will be at an acceptable level
5	AHS Risk Owner: Jane Robinson	Service-specific	Our People - Durham is a place where people will enjoy fulfilling, long and independent lives / Better integration of health and social care services	UR0158 - Potential disruption to the Council's and partners' urgent and emergency care services due to backlogs caused by Covid, increased demand and staff capacity issues.	Major	Probable	Detailed preparations are in place across system partners, using established winter planning and emergency process protocols. Reports detailing plans are presented to Adults, Health and Wellbeing Overview and Scrutiny Committee (OSC) on a regular basis. Durham Local Area Delivery Board (LADB) prepare for expected surges in demand and co-ordinate work across partners. Partnership working is key to managing this risk and includes engagement with the Local Accident and Emergency Delivery Board, jointly developing improvement plans, and engaging with both the independent sector care market and the voluntary and community sector on preventative support.		The duration of this risk is uncertain.

Ref	Service leading on the risk	Range of impact (cross-cutting or service-specific)	Corporate Theme	Risk	Net Impact	Net Likelihood	Proposed Key Actions	Direction of Travel	Anticipated date when risk will be at an acceptable level
6	REG Risk Owner: Mark Jackson	Service-specific	Our Communities - Durham is a great county in which to live, with flourishing communities which are connected and supportive of each other / People will have good access to workplaces, services, retail and leisure opportunities	UR0164 – Potential withdrawal of Covid financial support to bus operators may result in reduced public transport coverage , leading to a lack of essential transport services for users and/or calls for financial assistance from the Council.	Moderate	Highly Probable	The Council has committed to contributing £2m from an underspend of the concessionary fares budget for 2023/24, which is helping to cushion the impacts of previous commercial service reductions on bus users.	New risk	This risk will have long-term impacts

Ref	Service leading on the risk	Range of impact (cross-cutting or service-specific)	Corporate Theme	Risk	Net Impact	Net Likelihood	Proposed Key Actions	Direction of Travel	Anticipated date when risk will be at an acceptable level
7	CYPS Risk Owner: John Pearce, Jane Robinson		Our People - Durham is a place where people will enjoy fulfilling, long and independent lives / 1 Children and young people will enjoy the best start in life, good health and emotional wellbeing	R0659 - Risk of being unable to meet the authority's statutory sufficiency duty to provide sufficient accommodation in the local authority area to meet the needs of Children Looked After and children in need.	Major	Probable	Durham County Councils Sufficiency and Commissioning Strategy sets out the strategic approach to securing sufficient accommodation to meet the needs of our looked after children. This includes initiatives to increase the number of foster carers and the provision of in-house children's homes. Sufficiency issues are also being faced by all local authorities, and the Government's responses to the Independent Care Review will be important in understanding how the children's social care system will be transformed to better support the most vulnerable children and families.		This risk is long term.

Ref	Service leading on the risk	Range of impact (cross-cutting or service-specific)	Corporate Theme	Risk	Net Impact	Net Likelihood	Proposed Key Actions	Direction of Travel	Anticipated date when risk will be at an acceptable level
8	NCC Risk Owner: Alan Patrickson	Cross-cutting	Our Environment - Durham has taken action to tackle the climate emergency, reduce the impact of pollution and waste on our county and protect, restore and sustain our natural environment / Work with others to achieve a carbon neutral county	R0684 - High technology costs and a potential lack of Government funding and resources may prevent the council from making the necessary adaptations and mitigations to meet the target of being a carbon-neutral County by 2045 (climate change).	Major	Probable	One of the key mitigations is the Climate Emergency Response Plan 2020-2022, incorporating over 100 projects. The scale, duration and complexity of the programme means that sustained oversight, monitoring and review are essential. Environment and Sustainable Communities Overview and Scrutiny Committee will review performance against the plan and make recommendations for the revision of targets.		This risk is long term.

Ref	Service leading on the risk	Range of impact (cross-cutting or service-specific)	Corporate Theme	Risk	Net Impact	Net Likelihood	Proposed Key Actions	Direction of Travel	Anticipated date when risk will be at an acceptable level
9	CYPS Risk Owner: Rachel Farnham	Service-specific	Our People - Durham is a place where people will enjoy fulfilling, long and independent lives / 1 Children and young people will enjoy the best start in life, good health and emotional wellbeing	R0660 - Inability to recruit and retain children's social workers and social work managers may seriously inhibit the delivery of services.	Major	Probable	<p>Mitigations include the Social Work (SW) Academy, a regional agreement on agency payments, Recruitment and Selection Policy and guidance, monitoring competitiveness of grades / pay rates, recruitment and retention (R&R) for specified roles, supporting various routes into SW, management development and leadership academy to ensure SWs are well supported, supervision framework.</p> <p>Planned improvements include ongoing risk assessment to determine if extensions to R&R allowances are justified and are applied to the right groups of social workers, increasing investment in routes into social work, further improving recruitment, enhancing flexibility.</p>	Uprated from moderate impact, probable likelihood.	The duration of this risk is uncertain.

Ref	Service leading on the risk	Range of impact (cross-cutting or service-specific)	Corporate Theme	Risk	Net Impact	Net Likelihood	Proposed Key Actions	Direction of Travel	Anticipated date when risk will be at an acceptable level
10	CYPS Risk Owner: John Pearce	Service-specific	Our People - Durham is a place where people will enjoy fulfilling, long and independent lives / 3 All children and young people will have a safe childhood	0227 - Failure to protect a child from death or serious harm where service failure is a factor or issue (Child Safeguarding).	Critical	Possible	Durham Safeguarding Children Partnership has been established in line with the statutory requirements set out in 'Working Together 2018'. Partnership learning through scrutiny mechanisms and learning reviews underpins training for front line staff and regular staff supervision takes place. A review of the partnership arrangements has been completed reported during 2020/21.		This risk is long term.

Ref	Service leading on the risk	Range of impact (cross-cutting or service-specific)	Corporate Theme	Risk	Net Impact	Net Likelihood	Proposed Key Actions	Direction of Travel	Anticipated date when risk will be at an acceptable level
11	RES Risk Owner: Jeff Garfoot	Cross-cutting	Our Council - Durham County Council has a reputation for listening to its residents, being well-managed and getting things done / 1 Our resources will be managed effectively	R0561 - If timely and comprehensive savings plans are not in place across the council, required savings may not be achieved, necessitating extensive utilisation of reserves.	Critical	Possible	The Delivery plan implementation will be monitored by CMT and Cabinet.		This will be a significant risk for at least the next 4 years. No further mitigation is planned at the current stage.

Ref	Service leading on the risk	Range of impact (cross-cutting or service-specific)	Corporate Theme	Risk	Net Impact	Net Likelihood	Proposed Key Actions	Direction of Travel	Anticipated date when risk will be at an acceptable level
12	AHS Risk Owner: Lee Alexander	Service-specific	Our People - Durham is a place where people will enjoy fulfilling, long and independent lives / Support people whose circumstances make them vulnerable	R0562 - Failure to protect a vulnerable adult from neglect or abuse, including financial abuse (where service failure is a factor or issue).	Critical	Possible	As the statutory body, the multi-agency Durham Safeguarding Adults Partnership has a Business Plan in place for taking forward actions to safeguard vulnerable adults including a comprehensive training programme for staff and regular supervision takes place. Procedures are reviewed on a regular basis. Following allegations of abuse at Whorlton Hall Hospital, an independent review the Council's safeguarding adults' processes has been commissioned. Any learning from this and other such reviews will inform actions to reframe and further develop practice.		Nationally there has been an increased awareness of potential vulnerabilities relating to adults with care and support needs. High profile exposures heighten awareness of adult safeguarding concerns. This risk is long term.

Appendix 4: List of All Strategic Risks (by Corporate Theme)

Based on the net risk assessment on 31 December 2022, the following tables highlight the risks for each Corporate Theme in County Durham Vision 2035 and the Council Plan.

Corporate Theme: Our Council - Durham County Council has a reputation for listening to its residents, being well-managed and getting things done

Ref	Service	Risk	Conclusion	Main Controls and Planned Improvements
1	RES	R0595 - There is significant uncertainty in relation to future funding settlements from government, particularly from 2025/26, which will significantly impact upon the medium-term financial plan (Govt Funding).	Treat	See key risk schedule in appendix 3.
2	RES	UR0153 - Potential adverse impact of energy price increases on council finances (energy prices).	Treat	See key risk schedule in appendix 3.
3	RES	R0561 - If timely and comprehensive savings plans are not in place across the council, required savings may not be achieved, necessitating extensive utilisation of reserves.	Treat	See key risk schedule in appendix 3.
4	REG	R0614 - Potential serious injury or loss of life due to the council failing to meet its statutory, regulatory and best practice responsibilities/ requirements for property and land .	Treat	Main controls: Unitised Corporate Property and Land Service, asset database, training programme. Capitalised maintenance programme. Incident reporting and monitoring in collaboration with relevant parties, where appropriate. Planned improvements: implement a corporate service delivery model and estate management performance indicators.
5	NCC	R0565 - Breach of duty under Civil Contingencies Act by failing to prepare for, respond to and recover from a major incident , leading to a civil emergency.	Treat	Main controls: Local Resilience Forum Strategic Board (strategic direction), Tactical Business Group (delivery and performance management), Standing Group (horizon scanning, threat assessments, training, testing and plan exercises). Mutual aid agreement with neighbouring local authorities. Planned improvements: The Storm Arwen Improvement Action Plan consists of 22 actions, between August 2022 and March 2025, across five themes, namely, community resilience (5), planning and preparedness (8), emergency response resources ((4), activation and use of council staff (2), and decision-making and governance (3).

Ref	Service	Risk	Conclusion	Main Controls and Planned Improvements
6	REG	UR0169 - Increased difficulty in retaining or finding tenants for Council-owned leisure/retail units , leading to an increased risk of medium to long term losses in revenue.	The current controls are considered adequate.	Main controls: Marketing Strategy. Proactive, national marketing of units through a specialist external agency. Tailored incentives for potential tenants. Business Durham connects businesses with the right funding, advice, and networks they need to grow and thrive. Budget monitoring and control. Regular progress reports to Corporate Management Team. Supporting businesses through discretionary rate relief schemes.
7	REG	R0681 - Potential violence and aggression towards members and employees from members of the public	The current controls are considered adequate.	Main controls: Oversight by Health, Safety and Wellbeing Strategic Group. Management of Violence & Aggression Policy. Potentially Violent Persons Register. Guidance to employees and elected members. Violence and Aggression accident and incident reporting procedure. Physical security features on council premises. Collaboration with Durham Police re intelligence, where appropriate. Civil action against individuals, where appropriate. Security Strategy and Policy. Security assessment of customer access related premises. Violence and aggression related guidance, support and inductions for members.
8	REG	R0611 - Serious breach of Health and Safety Legislation	The current controls are considered adequate.	Main controls: Health and Safety (H&S) Management System, policy, strategy, supporting guidance, codes of practice. Proactive audit, inspection and monitoring regimes, accident, incident and ill-health reporting procedures adapted for Covid19. Occupational H&S Team. Oversight by cross-service Corporate Health, Safety and Wellbeing Strategic Group, chaired by Corporate Director of Resources.
9	RES	R0649 - Potential significant size and scope of the liabilities of equal value claims.	The current controls are considered adequate.	Main controls: The council is working with claimants and their legal representatives to determine those claimants who have a legitimate claim. Work is ongoing with the Tribunal to seek an agreeable settlement for all parties.
10	RES	UR0154 - National and local shortages of skills and labour may cause recruitment and retention difficulties, resulting in capacity shortfalls.	Treat	Main controls: A comprehensive action plan is in place to strengthen and modernise our strategic approach to recruitment across the council supported by monthly highlight reports and additional posts have been put in place in Human Resources and Employee Services to support this work. Planned improvements: A Corporate Communications Plan for Recruitment continues to be developed as improvements are made and the Emergency Human Resources Policy is being reviewed and updated, where necessary, to ensure that it remains fit for purpose.
11	NCC	R0589 - Failure to consult with communities on major service & policy changes leading to legal challenge & delays in implementation (Consultation).	The current controls are considered adequate.	Main controls: Consultation Statement (commitment and approach), Consultation Plan, Consultation Team, cross-service Consultation Officer Group. Consultation is embedded in strategic planning, decision-making and Medium-Term Financial Plan. Consultations web page. Membership of the Consultation Institute (awareness, advice, Covid19 adaptation).
12	RES	R0657 - If the council suffered a successful cyberattack or IT security breach, then it may be unable to effectively deliver essential services.	The current controls are considered adequate.	Main controls: In June 2022, Cabinet approved a new cyber security strategy, which will be underpinned by the implementation programme. Business Continuity plans. Collaboration with Police, Fire, NHS via a Strategic Co-ordination Group. Critical assets risk assessed. Anti-Virus, Anti-spam, Spyware software protection. Regular Intrusion Detection test. Firewalls. Password protection. Third-Party Access Policy. Staged phishing exercises. User awareness.

Ref	Service	Risk	Conclusion	Main Controls and Planned Improvements
13	RES	R0440 - Due to the current economic climate, there is potential for increases in fraud and corruption in relation to grants, hardship reliefs and scams.	The current controls are considered adequate.	Main controls: Corporate Fraud Team, Counter Fraud & Corruption Strategy, Fraud Response Plan, Corporate Fraud Sanction Policy, Confidential Reporting Code, Anti-Money Laundering Policy and Counter Fraud Plan. Preventive measures include training, fraud awareness, and publicity campaigns/fraud communication strategy. Numerous fraud reporting channels available. Data analytics/matching and fraud data hub. Reported cases are investigated rigorously and promptly, and appropriate action taken. Multi-agency partnerships working.
14	NCC	R0633 - Failure to prepare for, respond to and recover from a disruptive event, leading to a major interruption to the provision of essential services by the council (business interruption).	The current controls are considered adequate.	Main controls: Business Continuity Management (BCM) Strategy, Policy and Steering Group. Comprehensive, up-to-date business impact analysis data. Service-specific, management-approved business impact analyses. Strategic, tactical and operational plans tested and in place. Backup ICT site. A business continuity training package for senior managers has been developed and is available on the Durham Learning and Development portal.
15	RES	R0655 - Potential breach of the Data Protection Act 2018 (data breach).	The current controls are considered adequate.	Main controls: Data Protection Policy and supporting procedures. Information Security Policy. Statutory Data Protection Officer appointed. Oversight by cross-service Information Governance Group. Regular data protection training for staff. Data breach reporting process and procedure. Technology and working practices to avoid potential homeworking related breaches.

Corporate Theme: Our Communities - Durham is a great county in which to live, with flourishing communities which are connected and supportive of each other

Ref	Service	Risk	Conclusion	Main Controls and Planned Improvements
16	NCC	R0641 - Potential progressive land slippage near the A690 may develop to an extent where a major road closure is necessary for repairs to be undertaken (A690 slippage).	Treat	See key risk schedule in appendix 3.
17	RES	R0470 - Failure to consider equality implications of decisions on communities leading to successful legal challenge and delays in implementation	The current controls are considered adequate.	Main controls: Member portfolio for Equality and Inclusion. Dedicated Equality Team provides training, awareness, support and guidance to members and staff. Public Sector Equality Duty objectives are included in the Council Plan. Impact assessment process is embedded in processes for strategic planning, decision-making, public and stakeholder consultation and the medium-term financial plan.
18	REG	UR0164 - Withdrawal of Covid financial support to bus operators may result in reduced public transport coverage, leading to a lack of essential transport services for users and/or calls for financial assistance from the Council.	The current controls are considered adequate.	See key risk schedule in appendix 3.

Corporate Theme: Our Economy - Durham has a thriving and inclusive economy with more and better jobs and fewer people suffering from the hardships of poverty and deprivation

Ref	Service	Risk	Conclusion	Main Controls and Planned Improvements
19	REG	UR0161 - Limited product availability and price increases in the construction industry may disrupt the delivery of capital projects by the council either through external procurement routes or through the in-house construction delivery arms within both Corporate Property and Land and Highway Services (construction prices).	Treat	See key risk schedule in appendix 3.
20	CYPS	R0646 - Potential financial and other pressures threaten the viability of some education providers .	The current controls are considered adequate.	Main controls: School Strategy. Education Review Board. Sustainability Fund (early years providers). New protocols in place to support federations and shared headships. Leadership advisers support to schools. Business Continuity Planning and monitoring. Consultation on amalgamation of schools where opportunities arise.
21	RES	R0683 - Risk that council does not fully respond to the drivers of financial hardship, including those caused by the 'cost of living crisis', the ongoing impacts of the coronavirus pandemic and wider determinants of poverty to help alleviate the impacts on County Durham residents.	The current controls are considered adequate.	Main controls: Poverty Action Strategy and Plan; Child Poverty Action Plan; Poverty Action Steering Group; Housing Welfare Reform Group triage process; Child Poverty Group; Partnership working including but not exclusive to Advice in County Durham Partnership; Various practical, financial and advisory support services; and Communications programme and staff training.

Ref	Service	Risk	Conclusion	Main Controls and Planned Improvements
22	REG	UR0166 - Increased financial and other pressures on households cause a rise in the number of people unable to buy or rent accommodation, with increased evictions and repossessions likely, leading to a significant increase in homeless presentations, use of temporary accommodation, demand for secure affordable housing and pressure on housing support services (homelessness).	Treat	<p>Main controls: The Housing Solutions service supports residents who are in financial difficulty and at risk of homelessness, including referrals to organisations providing advice and support on housing, finance/financial management, employment, energy/fuel, foodbanks, furniture schemes. The Housing Poverty Group meets every six weeks to consider issues relating to poverty, share best practice and promote joint working. Partnership working with social housing providers to understand, raise awareness and respond to key issues. The Stop B4U Serve initiative encourages landlords and tenants to approach the council about potential eviction notices to consider alternatives. Implementation of Government-funded initiatives to support vulnerable/excluded groups: Rough Sleeping, Move On Fund to help accommodate and support vulnerable individuals who cannot access mainstream housing.</p> <p>Planned improvements: Direct provision by the council through the establishment of a Housing Revenue Account. Change to Durham Key Options to ensure those in greatest need have the highest priority. Change to the Housing Solutions service to target resources where needed most. Training and awareness to enable front line staff support and work collectively with partners. Improved monitoring and governance of services, including expenditure of budgets and costs. Recruitment of additional temporary staff (if needed).</p>
23	REG	UR0185 - High inflation, borrowing costs and uncertainty around Government funding and policy may cause serious harm to the local economy, leading to widespread business failures .	Treat	<p>Main controls: The council provides support for businesses through workforce development and training services, retail business support services.</p> <p>Planned improvements: The council is reviewing budgets for regeneration and development projects in line with known cuts as well as increasing costs and uncertainties. The council is also working with neighbouring local authorities and the Government on a new devolution deal which should give some certainty over funding for some of these projects.</p>
24	CYPS	UR0187 – Increased levels of demand combined with high inflation on transport costs may disrupt the provision of Home to School Transport , leading to a potential budget overspend and adverse impacts on children and families.	Treat	<p>Main controls: Home to School Transport Transformation Programme. A strategic Home to School Travel Board was established in June 2022 and co-ordinates activities across the component parts of the system. A refreshed Home to School Transport Policy was approved by CMT during 2022/23.</p> <p>Planned improvements: Establish a central Home to School Transport co-ordination function as an invest to save programme of work between January 2023 and March 2026.</p>
25	REG	R0648 - Changing and uncertain economic factors, including levelling up and shared prosperity funding and the impact of the EU exit, may impede the delivery of the Inclusive Economic Strategy , resulting in damage to the strength and competitiveness of the of the Co Durham economy	Treat	<p>Main controls: Engagement and advice by Business Durham. Weekly Regional Business Intelligence reports to Government. The County Durham Pound project. Business Grant Schemes. Levelling Up process.</p> <p>Planned improvements: The council is reviewing budgets for regeneration and development projects in line with known cuts as well as increasing costs and uncertainties. The council is also working with neighbouring local authorities and the Government on a new devolution deal which should give some certainty over funding for some of these projects. Lobby Government for continuation of funding.</p>

Ref	Service	Risk	Conclusion	Main Controls and Planned Improvements
26	CYPS	UR0149 - Pupils may not adequately recover from the impacts of Covid19, leading to ongoing or increased inequality of educational outcomes , restricted employment prospects and an increase in the number of NEETS.	The current controls are considered adequate.	Main controls: CYP Strategic Plan 2019 – 2022. Education Durham Support and Development team. School governing bodies. CYP O&SC. Durham Schools Forum. DurhamWorks programme. Education Endowment Foundation. Teacher Development Trust. Various head teacher associations. Virtual-live training. School improvement plans. Education Durham Performance and Standards team.
27	CYPS	R0668 - Government proposals to phase out school improvement grant by 2024/25 could undermine the Council's ability to support maintained schools effectively.	The current controls are considered adequate.	Main controls: Monitoring, Intervention and Improvement Protocol. Regular visits and liaison with school heads. Increased focus on commercialisation opportunities.

Corporate Theme: Our Environment - Durham has taken action to tackle the climate emergency, reduce the impact of pollution and waste on our county and protect, restore and sustain our natural environment

Ref	Service	Risk	Conclusion	Main Controls and Planned Improvements
28	NCC	R0684 - High technology costs and a potential lack of Government funding and resources may prevent the council from making the necessary adaptations and mitigations to meet the target of being a carbon-neutral County by 2045 (climate change).	Treat	See key risk schedule in appendix 3.
29	NCC	UR0175 - Potential impacts of the spread of Ash Dieback Disease on the environment, public safety, and council finances.	Treat	Main controls: Appointment of additional permanent staff to support tree inspections. Appointment of additional temporary staff to support woodland management and tree planting. Potential insurance claims arising from the Ash Dieback situation has been discussed with the Council's insurer, who has been informed of the Council's tree management arrangements. Planned improvements: An Ash Dieback Management Plan is being developed as part of Tree and Woodland Strategy. A proactive inspection regime for trees owned or managed by the council is being developed. Management of woodland estate is being enhanced through Woodland Management Grants. A programme of tree and woodland planting on 70 hectares of council land is being delivered between 2020 – 2024.

Corporate Theme: Our People - Durham is a place where people will enjoy fulfilling, long and independent lives

Ref	Service	Risk	Conclusion	Main Controls and Planned Improvements
30	AHS	UR0158 - Potential disruption to the Council's and partners' urgent and emergency care services due to backlogs caused by Covid, increased demand and staff capacity issues.	Treat	See key risk schedule in appendix 3.
31	CYPS	R0659 - Risk of being unable to meet the authority's statutory sufficiency duty to provide sufficient accommodation in the local authority area to meet the needs of Children Looked After and children in need.	Treat	See key risk schedule in appendix 3.
32	CYPS	0227 - Failure to protect a child from death or serious harm where service failure is a factor or issue (Child Safeguarding).	Treat	See key risk schedule in appendix 3.
33	AHS	R0562 - Failure to protect a vulnerable adult from neglect or abuse, including financial abuse (where service failure is a factor or issue).	Treat	See key risk schedule in appendix 3.
34	CYPS	R0660 - Inability to recruit and retain children's social workers and social work managers may seriously inhibit the delivery of services.	Treat	See key risk schedule in appendix 3.
35	CYPS	R0674 - Volatile and high-cost, demographic demands of children looked after on the Children's Social Care budget may result in adverse impacts on the budget and service delivery (CLA costs).	The current controls are considered adequate.	Main controls: Monthly outturn forecasts monitored by CMT. Quality Improvement Board. Children's Services Improvement Plan. Oversight by CMT, Cabinet, DSCP & partners. Fostering & Adoption Strategies. Placement Resource Panel. Risk-based approach to identifying children to be looked after. Placement Efficiency Strategy. Pre-Birth Service.

Ref	Service	Risk	Conclusion	Main Controls and Planned Improvements
36	AHS	R0634 - Pressures nationally across residential, nursing and domiciliary care providers, could affect the availability, delivery, continuity, quality, sustainability and capacity of care provision within County Durham (care providers).	Treat	<p>Current controls: Market analysis and engagement, to help providers understand the local context and align business plans with the council's vision for the future of local public health, social care and housing markets. Links to national policy makers and professional bodies, collaboration with providers and health colleagues to share intelligence and understand market sustainability issues. County Durham Care Academy supports the development of an adult social care workforce with a range of initiatives and courses. As part of the Covid response, regular information was collected from providers via the Operating Pressure Escalation Levels tool to identify provider pressures, enabling the council to offer appropriate support and maintain market oversight. Learning from this work has continued post-pandemic.</p> <p>Planned improvements: In line with Charging Reforms, a cost of care exercise, provisional market sustainability plan and a spend report has been submitted to Department of Health and Social Care and feedback is awaited.</p>
37	AHS	R0183 - Risk of a successful legal challenge in relation to Liberty Protection Safeguards , due to high caseloads and capacity pressures, leading to financial penalties and reputational damage.	Treat	<p>Main controls: Recruitment of 20 independent Best Interest Assessors and advertising/recruitment of several internal posts. Refresher training for relevant staff. Operating processes, including the use of the new social services information database have been modified to improve efficiency and effectiveness.</p> <p>Planned Improvements: A review of the Best Interest Assessors function to ensure that key objectives are met. Recruitment of around 10 full-time equivalent Best Interest Assessors, and a scan of expired cases to consider reinstatement, where appropriate.</p>
38	CYPS	R0671 - Increasing demand on the Dedicated Schools Grant budget for High Needs Block special educational needs services and inclusive education services may result in adverse impacts on finance and service delivery (HNB SEND).	Treat	<p>Main controls: SEND & Inclusion Resources Board. Collaboration with schools to make the HNB more sustainable. Schools Forum Reference Group. Monthly tracker report for SEND & HNB expenditure & forecasting to Programme Board. Programme Management and Performance Management Framework. Monthly highlight reports presented to the Programme Board.</p> <p>Planned Improvements: Implementation of HNB Sustainability Programme. The council is participating in the Department for Education's (DFE) £85m Delivering Better Value programme, which will help around 55 local authorities improve delivery of special educational needs and disability (SEND) services for children and young people.</p>
39	CYPS	UR0167 - Increase in volume and complexity of demand for children's safeguarding services post coronavirus period (child safeguarding demand).	The current controls are considered adequate.	<p>Main controls: To strengthen Families First services, additional management capacity has been provided and the number of teams has been increased from 14 to 15. A growth bid to strengthen children's social care capacity has been agreed. Robust processes in place at First Contact and MASH to assess new referrals, while trends and patterns are monitored regularly to ensure managers are sighted on peaks and troughs. Weekly discussions are also held with safeguarding partners.</p>

Ref	Service	Risk	Conclusion	Main Controls and Planned Improvements
40	CYPS	UR0148 - Inability to recruit residential children's homes staff may seriously inhibit capacity to deliver essential, specialist services to children and young people from across England and Wales.	Treat	<p>Main controls: Human Resources Team. Recruitment strategy. Working with specialised recruitment agency. Performance and Development Review Scheme. Occupational Health service. Employee assistance programme. Independent psychotherapy service. Post-incident debriefing and learning. Secure and recruitment/retention allowances.</p> <p>Planned improvements: Develop webpage to improve appeal to prospective candidates. Review induction process. Service to be involved in Corporate Recruitment & Retention Working Group now being set up.</p>
41	NCC	R0452 - Demand pressures on the Community Protection inspections and interventions arising from the UK exit from the EU may lead to an adverse impact on public health and safety in Co Durham.	Treat	<p>Main controls: The Community Protection Team's work is governed by Food Safety/Health and Safety plans. There is a training and development programme and post-graduate training for some staff. The team has been strengthened in 2021 by an apprenticeship programme.</p>
42	AHS	R0666 - Risk that the council is subject to legal challenge by Providers in relation to application of its Residential and Non-Residential Care Charging Policy and Deferred Payment Policy (Care Charging Policy).	The current controls are considered adequate.	<p>Current controls: Adult Social Care Residential Care Charging Policy and Deferred Payment Agreement Policy. Legal advice and oversight where required, including on individual cases. Review of individual cases to ensure compliance. Financial Planning to mitigate potential impact. Liaison with other local authorities. Dialogue with providers. Updated guidance on self-funders issues to staff. The council increased the hourly rate paid to domiciliary care providers from January 2023 and this is being funded through the Government's recently announced Discharge Grant until the end of March 2023. The council has also provided support for older persons care home providers from this grant, in order to assist with discharges to 24-hour care.</p> <p>Planned improvements: In accordance with Department of Health and Social Care (DHSC) guidance, the council submitted the required documents on the results of the 'Cost of Care' survey as well as a draft 'Market Sustainability Plan' (MSP) in October 2022. The Council's Cost of Care report and the draft Durham MSP have been shared with care home providers, and the DHSC has confirmed that the current expectation is for Councils to submit a final MSP by 27 March 2023. In the meantime, any revisions to either of these documents will be published as soon as possible.</p>
43	REG	R0490 - Serious injury or loss of life due to Transport Safeguarding failure.	The current controls are considered adequate.	<p>Main controls: Children's and adults' safeguarding policies. In-house fleet buses are maintained regularly. Contractors are required to maintain vehicles in a safe, roadworthy condition and comply with relevant, statutory provisions. Sample checking of vehicles in co-operation with the Police and the Driver and Vehicle Licensing Agency.</p>

Appendix 5: Performance of Risk Management

Performance Indicators - Tangible Measures

Objective: To demonstrate that risks are being effectively managed				
KPI	Measure of Assessment	Target & (Frequency of Measurement)	Last Period	This Period
All risks are reviewed on a continual cycle	Service Risk Review completed each quarter	100% (3 times pa)	100%	100%
Risk mitigation is being implemented as planned	Risk actions on high-scoring risks implemented within target date	Target N/A (3 times pa)	No outstanding actions	No outstanding actions
Risks are being effectively managed	Number of current risks where Net risk scores have reduced over the quarter	Target N/A (3 times pa)	None	None
Contributing to effective corporate governance	Meeting CIPFA governance principles and objectives on risk management	Confirmed in the annual review of the effectiveness of corporate governance (Annual)	None	None
Objective: To ensure that Officers and Members are appropriately skilled in risk management				
KPI	Measure of Assessment	Target & (Frequency of Measurement)	Last Period	This Period
Appropriate staff are adequately skilled in risk management	Number of officers attending risk management training course	Target N/A	No training provided in this period due to the COVID-19 response.	No training provided in this period.
Members are adequately skilled in risk management	New Members attending risk management training course within 6 months of being elected (for co-opted members, within 6 months of being appointed)	75%	No training provided in this period due to the COVID-19 response.	No training provided in this period.