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HEAD OF PAID SERVICE'S OFFICE
HEAD OF PAID SERVICE
Richard Holmes

28 November 2018

Dear Councillor

You are summoned to attend the meeting of the;

AUDIT COMMITTEE

on **THURSDAY 6 DECEMBER 2018 at 3.00 pm.**

in the Council Chamber. Maldon District Council Offices, Princes Road, Maldon.

A copy of the agenda is attached.

Yours faithfully



Head of Paid Service

COMMITTEE MEMBERSHIP

CHAIRMAN

Councillor P G L Elliott

VICE-CHAIRMAN

Councillor E L Bamford

COUNCILLORS

A S Fluker

B E Harker

M S Heard

Miss M R Lewis

A K M St. Joseph

Mrs M E Thompson

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AGENDA AUDIT COMMITTEE

THURSDAY 6 DECEMBER 2018

1. **Chairman's notices (please see overleaf)**

2. **Apologies for Absence**

3. **Minutes of the last meeting** (Pages 5 - 10)

To confirm the Minutes of the meeting of the Audit Committee held on 27 September 2018, (copy enclosed).

4. **Disclosure of Interest**

To disclose the existence and nature of any Disclosable Pecuniary Interests, other Pecuniary Interests or Non-Pecuniary Interests relating to items of business on the agenda having regard to paragraphs 6-8 inclusive of the Code of Conduct for Members.

(Members are reminded that they are also required to disclose any such interests as soon as they become aware should the need arise throughout the meeting).

5. **Performance Against 2018/19 Internal Audit Plan** (Pages 11 - 18)

To consider the report of the Director of Resources, (copy enclosed)

6. **Internal Audit - Follow Up of Recommendations as at 31 October 2018** (Pages 19 - 38)

To consider the report of the Director of Resources, (copy enclosed).

7. **Quarterly Review of Corporate Risk** (Pages 39 - 54)

To consider the report of the Director of Resources, (copy enclosed).

8. **Action Plan of Flood Mitigation Projects Across the District** (Pages 55 - 64)

To consider the report of the Director of Strategy, Performance and Governance, (copy enclosed).

9. **Any other items of business that the Chairman of the Committee decides are urgent**

NOTICES

Sound Recording of Meeting

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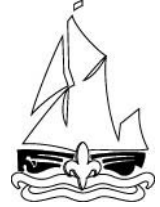
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**MINUTES of
AUDIT COMMITTEE
27 SEPTEMBER 2018**

PRESENT

Chairman	Councillor P G L Elliott
Vice-Chairman	Councillor E L Bamford
Councillors	A S Fluker, B E Harker, M S Heard, Miss M R Lewis, A K M St. Joseph and Mrs M E Thompson
In attendance	Councillor R G Boyce MBE

465. CHAIRMAN'S NOTICES

The Chairman advised that Agenda Items 5 – Action Plan of Flood Mitigation Project Across the District and 6 – Quarterly Review of Corporate Risk would be considered later on the agenda as the Officer presenting these items had been delayed.

466. APOLOGIES FOR ABSENCE

There were none.

467. MINUTES OF THE LAST MEETING

RESOLVED that the Minutes of the meeting of the Committee held on 26 July 2018 be approved and confirmed.

468. DISCLOSURE OF INTEREST

There were none.

469. EXTERNAL AUDIT - ANNUAL AUDIT LETTER 2017 / 18

The Committee received the report of the Director of Resources presenting the External Auditor's Annual Audit Letter (AAL) 2017 / 18 (attached as Appendix 1 to the report).

The Annual Audit Letter (AAL) summarised the key issues which arose from the work carried out by the external auditor for the Council for 2014 / 15, and communicated the significant issues to Members, key stakeholders and members of the public.

RESOLVED that the content of the External Auditor's Annual Audit Letter 2017 / 18 be noted.

470. PERFORMANCE AGAINST 2018/19 INTERNAL AUDIT PLAN REPORT

The Committee received the report of the Director of Resources reporting progress to date with regards to work completed and any deviances to, or slippage, on the Internal Audit Plan 2018 / 19 (attached as Appendix 1 to the report).

Mr Greg Rubins, Partner from BDO LLP (the Council's Internal Auditors) presented the report. He advised that following a discussion with the Section 151 Officer regarding transformation work they were proposing that days scheduled for audit work in relation to Office 365, which was not a priority, be used to focus on the Council's commercialisation plan. This was duly agreed by Members.

RESOLVED that the progress against the 2018 / 19 Internal Audit Plan be noted.

471. INTERNAL AUDIT - FOLLOW UP OF RECOMMENDATIONS REPORT

The Committee considered the report of the Director of Resources reporting progress to date with regards to the implementation of recommendations raised by Internal Audit and set out in Appendix 1 to the report.

Ms Emma Donnelly, from BDO LLP, presented the report and advised that a more up to date position would be brought to the December meeting of the Committee.

It was noted that the report from BDO had been updated by the Director of Resources to reflect information as at 18 September 2018. Some concern was expressed by Members in relation to Officers updating the report from Internal Audit and some alternative wording to 'completed' were suggested if Officers were to amend this report in the future.

Councillor Miss M R Lewis requested it be Minuted that she did not like that the Council were saying something was completed when the Auditors had not given the go ahead that it was complete.

In response the Director of Resources advised that any revisions had been made to ensure that Members were presented with up to date information and the changes had been made using tracked changes to allow Members to see what had changed. She advised that if this was not what Members wanted she would ensure it did not happen again. Mr Rubins (BDO) clarified the process Internal Audit went through to ascertain, from the Council, the information contained within their report. Mr Rubins advised that he did not have any concerns with the updates made by the Director of Resources to the report.

Members were advised of changes to the process for gathering information with the Performance and Risk Officer ensuring that the TEN (Performance and Risk Management) system was updated prior to the Audit Committee therefore ensuring that the information which fed into this report was more up to date.

In response to a question regarding the recommendation '16/17 Information Governance / PCI-DSS' the Director of Resources advised that she had today confirmed with the Technology Implementation Manager that this had been built into the plan as part of transformation.

RESOLVED that the Internal Audit Follow-Up Recommendations be noted.

The Chairman advised the Committee that as the Officer presenting the Flood Mitigation report the Committee would consider the Quarterly Review of Corporate Risk report next.

472. QUARTERLY REVIEW OF CORPORATE RISK

The Committee considered the report of the Director of Resources providing an update on the position as at the end of Quarter One (30 June 2018) on the corporate risks included within the Corporate Risk Register 2018 / 19.

Appendix 1 to the report provided further information on the individual risks including comments by the risk owners outlining the rationale for the current scoring and, where applicable, any movement in the risk scores.

Members commented on the delays in reporting Quarter One risk to the Committee. The Performance and Risk Officer provided some information regarding this and detailed the process for consideration of the risk information prior to it being brought before the Committee. In response to a comment regarding the timeline for Risk reports being brought to the Committee, how adjustments could be made to quarters and / or when Audit Committees took place, the Director of Resources advised that she would raise this as part of strategy planning to be taken into consideration.

The Performance and Risk Officer explained that comments attributed to the risks were based on the position of the risk, along with any mitigating actions at the end of the quarter being reported. Comments were not rolled over from one quarter to the next.

In response to a question as to whether she was happy that corporate risk was being managed effectively, the Director of Resources (Section 151 Officer) advised of the importance for resilience especially during major transformation and how the TEN system pulled all risk information together. She suggested that the Corporate Leadership Team (CLT) bring a short presentation to the next meeting of the Committee as an opportunity to share some of the concerns and thought processes that the CLT go through each quarter when scoring risks.

Councillor A K M St. Joseph made reference to Risk 6 and the comments attributed to it. He proposed that having not considered Agenda Item 5 that the comment regarding this risk not be accepted. This proposal was not supported. The Performance Management Officer reported that it was the intention for the Flood Mitigation Project report to be considered prior to this report.

In response to questions from Members, the following updates were provided:

- Community Infrastructure Levy (CIL) – The Planning Policy Manager reported that the comments within the report reflected anticipation that the Government

would announce new CIL regulations shortly after the National Planning Policy Framework (NPPF) was launched. This had not materialised and the Council's Section 106 Officer had contacted the ministry of Housing, Communities and Local Government and been advised that there was no fixed timetable for introducing the new CIL regulations. Officers would be taking a report to the CLT for consideration of a way forward in terms of CIL.

- Five Year Housing Land Supply – The work on this was nearly completed and publication was anticipated in early October.
- The NPPF and subsequent Planning Policy Guidance had come out and changed the way that the Housing Land Supply was calculated and impacted on the way the Council's was calculated. Members were also informed that there was now a housing delivery test which the Five Year Housing Land Supply fed into and all of these changes had been reported to the Planning and Licensing Committee.
- The General Data Protection Regulations had been implemented, along with a lot of governance arrangements and the report reflected the position at the end of June 2018. Since then reporting mechanisms, new ways of working etc. had been in place for a few months.

RESOLVED

- (i) that the information set out in the report and the Corporate Risk Register 2018 / 19, as agreed by the Corporate Leadership Team, be noted;
- (ii) that in undertaking this review Members were assured that corporate risk was being managed effectively.

473. ACTION PLAN OF FLOOD MITIGATION PROJECTS ACROSS THE DISTRICT

The Committee considered the report of the Director of Strategy, Performance and Governance providing a detailed action plan (attached at Appendix 1 to the report) on the various flood management projects being undertaken across the District, including key strategic areas, by partner agencies.

It was noted that the Council, alongside other partners, was a Risk Management Authority as designated by the Flood and Water Management Act 2010 (FWMA). The report set out the Council's duty under the FWMA.

The Council's framework established to monitor the action plan was detailed in the report and Members advised that along with effective monitoring the framework would ensure that the Maldon District remained a priority.

Members were advised that in light of the Action Plan being developed and the process which had been put in place to review that plan it was suggested that consideration be given to reducing the risk score.

In response to a number of comments and questions from Members, the following information was provided in relation to the Action Plan (Appendix 1):

- It was acknowledged that the information within the Action Plan was out of date and required updating.
- Analysis of flood risk on the Causeway was now funded and being undertaken;
- The action plan included Essex County Council (ECC) and also took on board land owner issues;
- The Environment Agency oversaw the Action Plan but it was often the responsibility of land owners to maintain defences and waterways. The Director of Strategy, Performance and Governance acknowledged that this needed to be incorporated into the Action Plan.
- The Action Plan would be reviewed at the next six monthly operational meeting with partners and all comments raised by Members would be taken on board accordingly. A report would then be brought back to this Committee following this meeting.
- The Director of Strategy, Performance and Governance advised that the Crouch Valley Line should be added to the Action Plan. It was however necessary to be clear that the Action Plan did not just identify the activity of projects taking place but also those that needed to be highlighted and the mechanism being put in place to bring them forward as well as picking up on the activity. It was noted that the Council had facilitated discussions including getting the County Council (as the planning authority for waste) to make sure that applications were addressed and dealt with as a clear way forward.
- It was agreed that the Action Plan should reflect any facilitation especially in relation to land owners and business units as these were key areas which would affect the authority.
- Involvement of private partners should also be included within the Action Plan.
- The Director of Strategy, Performance and Governance agreed to ensure that the Action Plan was clear in terms of outcomes as well as detailing schemes and projects.

The Chairman asked the Director of Strategy, Performance and Governance to update the Action Plan and bring it to the next meeting of the Committee.

RESOLVED that the Action Plan on the various flood management projects being undertaken across the District, including key strategic areas, by partner agencies be updated and brought back to a future meeting of this Committee.

474. EXCLUSION OF THE PUBLIC AND PRESS

RESOLVED that under Section 100A (4) of the Local Government Act 1972 the public be excluded from the meeting for the following item of business on the grounds that it involves the likely disclosure of exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Act, and that this satisfies the public interest test.

475. ELECTION SERVICES

The Committee considered the report of the Director of Resources presenting an update in respect of the Internal Audit progress report (July 2018) – Elections Improvement Plan.

The report reminded Members of the purpose of the Internal Audit review and the areas it identified for action. It was noted that all of the areas for action had been addressed and the report and its related appendices provided an update in respect of this.

In response to comments from Members the Director of Resources provided a detailed explanation of the changes that had been made to processes and how these had been implemented. It was noted that further improvements had been made in preparation for the May 2019 elections and these would build added resilience for the Council.

RESOLVED that the contents of the report be noted.

There being no further items of business the Chairman closed the meeting at 4.38 pm.

P G L ELLIOTT
CHAIRMAN



REPORT of DIRECTOR OF RESOURCES

**to
AUDIT
6 DECEMBER 2018**

PERFORMANCE AGAINST 2018/19 INTERNAL AUDIT PLAN

1. PURPOSE OF THE REPORT

- 1.1 To report progress to date with regard to work completed and any deviances to, or slippage, on the Internal Audit Plan 2018 / 19.

2. RECOMMENDATIONS

- (i) That the progress against the 2018 / 19 Internal Audit Plan is noted

3. SUMMARY OF KEY ISSUES

- 3.1 Details of the progress to date against the 2018 / 19 Internal Audit Plan are attached at **APPENDIX 1** to this report.

4. CONCLUSION

- 4.1 This report updates Audit Committee Members on the progress against the 2018 / 19 Internal Audit Plan.

5. IMPACT ON CORPORATE GOALS

- 5.1 The report links to the Maldon District Council goal of ‘Delivering good quality, cost effective and valued services’.

6. IMPLICATIONS

- (i) **Impact on Customers** – None
- (ii) **Impact on Equalities** – None
- (iii) **Impact on Risk** – None
- (iv) **Impact on Resources (financial)** – None
- (v) **Impact on Resources (human)** – None
- (vi) **Impact on the Environment** – None

Background Papers: None

Enquiries to: Emma Foy, Director of Resources, (Tel: 01621 875762) or
Emma Donnelly, Assistant Manager, (BDO LLP)



Maldon District Council

INTERNAL AUDIT PROGRESS REPORT

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SUMMARY OF 2018/19 WORK

Internal Audit

This report is intended to inform the Audit Committee of progress made against the 2018/19 internal audit plan. It summarises the work we have done, together with our assessment of the systems reviewed and the recommendations we have raised. Our work complies with Public Sector Internal Audit Standards. As part of our audit approach, we have agreed terms of reference for each piece of work with the risk owner, identifying the headline and sub-risks, which have been covered as part of the assignment. This approach is designed to enable us to give assurance on the risk management and internal control processes in place to mitigate the risks identified.

Internal Audit Methodology

Our methodology is based on four assurance levels in respect of our overall conclusion as to the design and operational effectiveness of controls within the system reviewed. The assurance levels are set out in Appendix 1 of this report, and are based on us giving either "substantial", "moderate", "limited" or "no". The four assurance levels are designed to ensure that the opinion given does not gravitate to a "satisfactory" or middle band grading. Under any system we are required to make a judgement when making our overall assessment.

2017/18

We have one piece of work outstanding from 2017/18 which is a fraud risk assessment. This is currently underway.

2018/19 Internal Audit Plan

The following audits have been issued in draft since the last audit committee and will be brought to the next committee in final;

- Budgets and Performance Management
- Safe and Clean Environment
- Main Financial Systems

Reports for this Audit Committee

- Follow Up of Internal Audit Recommendations (see Agenda Item 6)

Changes to the Plan





Audit 11. Implementation of Office 365 will be replaced by a Commercialisation review (15 days) to be conducted in quarter 4.

REVIEW OF 2018/19 WORK

Audit Area	Audit Days	Planning	Fieldwork	Reporting	Design	Opinion Effectiveness
Audit 1. Main Financial Systems	30	✓	✓	✓		
Audit 2. Transformation Programme	15	✓	✓			
Audit 3. Budgets and Performance Management	15	✓	✓	✓		
Audit 4. Capital project management	20	✓	✓			
Audit 5. Counter Fraud	10	✓	✓			
Audit 6. Building Control	15	✓	Q4			
Audit 7. Local Development Plan	15	✓	Q4			
Audit 8. Safe & Clean Environment	20	✓	✓	✓		
Audit 9. Strengthening Communities Strategy and Localism	15	✓	Q4			
Audit 10. IT Transformation	15	✓	Q4			
Audit 11. Commercialisation	15	✓	✓			

APPENDIX B

OPINION SIGNIFICANCE DEFINITION

Level of Assurance	Design Opinion	Findings from review	Effectiveness Opinion	Findings from review
Substantial 	Appropriate procedures and controls in place to mitigate the key risks.	There is a sound system of internal control designed to achieve system objectives.	No, or only minor, exceptions found in testing of the procedures and controls.	The controls that are in place are being consistently applied.
Moderate 	In the main, there are appropriate procedures and controls in place to mitigate the key risks reviewed albeit with some that are not fully effective.	Generally a sound system of internal control designed to achieve system objectives with some exceptions.	A small number of exceptions found in testing of the procedures and controls.	Evidence of non compliance with some controls, that may put some of the system objectives at risk.
Limited 	A number of significant gaps identified in the procedures and controls in key areas. Where practical, efforts should be made to address in-year.	System of internal controls is weakened with system objectives at risk of not being achieved.	A number of reoccurring exceptions found in testing of the procedures and controls. Where practical, efforts should be made to address in-year.	Non-compliance with key procedures and controls places the system objectives at risk.
No 	For all risk areas there are significant gaps in the procedures and controls. Failure to address in-year affects the quality of the organisation's overall internal control framework.	Poor system of internal control.	Due to absence of effective controls and procedures, no reliance can be placed on their operation. Failure to address in-year affects the quality of the organisation's overall internal control framework.	Non compliance and/or compliance with inadequate controls.

FOR MRE INFORMATION:

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REPORT of DIRECTOR OF RESOURCES

**to
AUDIT
6 DECEMBER 2018**

INTERNAL AUDIT FOLLOW UP OF RECOMMENDATIONS AS AT 31 OCTOBER 2018

1. PURPOSE OF THE REPORT

- 1.1 To report progress with regard to recommendations raised by Internal Audit for years 2015/16, 2016/17 and 2017/18

2. RECOMMENDATIONS

- (i) That the progress against these to date be noted.

3. SUMMARY OF KEY ISSUES

- 3.1 Details of the progress against these recommendations are attached at **APPENDIX 1** to this report.
- 3.2 Members should note that the six medium risk recommendations relating to the 2016/17 Channel Shift audit are being addressed as part of Full Council Transformation. A specific update on these recommendations will be reported to the Transformation Board in January 2019 and the next Audit Committee meeting.

4. CONCLUSION

- 4.1 This report updates Audit Committee Members on the progress against the Internal Audit Follow Up of Recommendations report as at 31 October 2018.

5. IMPACT ON CORPORATE GOALS

- 5.1 The report links to the Maldon District Council goal of ‘Delivering good quality, cost effective and valued services’.

6. IMPLICATIONS

- (i) **Impact on Customers** – None
- (ii) **Impact on Equalities** – None
- (iii) **Impact on Risk** – None
- (iv) **Impact on Resources (financial)** – None

(v) **Impact on Resources (human)** – None

(vi) **Impact on the Environment** – None

Background Papers: None

Enquiries to: Emma Foy, Director of Resources, (Tel: 01621 875762) or
Emma Donnelly, Assistant Manager, (BDO LLP)



MALDON DISTRICT COUNCIL

INTERNAL AUDIT FOLLOW UP OF RECOMMENDATIONS

DECEMBER 2018

Summary

Audit	Total Recs	H	M	L	To follow up	Complete		In Progress		Not Due		Overdue		% Complete
						H	M	H	M	H	M	H	M	
15/16. Risk Management - High Level Review	5	1	4	-	5	-	4	-	1	-	-	-	-	80%
16/17. Cyber Crime	7	-	7	-	7	7	-	-	-	-	-	-	-	100%
16/17. Financial Systems	3	-	3	-	3	-	2	-	-	-	-	-	1	67%
16/17. Channel Shift	7	-	7	-	7	-	1	-	-	-	-	-	6	14%
16/17. Information Governance PCI/DSS	4	1	3	-	4	-	3	1	-	-	-	-	-	75%
16/17. Planning	4	-	4	-	4	-	3	-	1	-	-	-	-	75%
16/17. Flooding	5	-	5	-	5	-	3	-	2	-	-	-	-	80%
16/17. Payment and Creditors	4	-	4	-	4	-	4	-	-	-	-	-	-	100%
17/18. Main Financial Systems	3	-	1	2	1	-	1	-	-	-	-	-	-	100%
17/18. Economic Development/ Business Rate Growth	4	-	4	-	4	-	4	-	-	-	-	-	-	100%
17/18. Partnership Working	3	-	1	2	1	-	1	-	-	-	-	-	-	100%
17/18. Disaster Recovery and Business Continuity	6	-	5	1	5	-	1	-	4	-	-	-	-	20%
17/18. Contract Procurement Management and Purchasing	6	-	3	3	3	-	3	-	-	-	-	-	-	100%
17/18. Attendance Management	2	-	1	1	1	-	1	-	-	-	-	-	-	100%
17/18. Elections Improvement Plan	6	-	3	3	3	-	3	-	-	-	-	-	-	100%
17/18. Business Resilience	5	-	3	2	3	-	3	-	-	-	-	-	-	100%
17/18. Budget Setting	1	-	1	-	1	-	-	-	-	-	1	-	-	0%
Total	75	2	59	14	61	7	37	1	8	-	1	-	7	

Summary

Introduction

We regularly follow up progress with the implementation of recommendations raised by Internal Audit and bi-annually we report to the Audit Committee. We request commentary by responsible officers on the progress towards implementation of our recommendations and for high and medium priority recommendations we verify the progress to source evidence and conclude either that the recommendation is complete or incomplete. This report represents the status of all internal audit recommendations as at 31st October 2018.

2015/16 Recommendations

19 high and medium priority recommendations were made in 2015/16, of which 18 were confirmed to have been implemented by March 2018 and previously reported. We identified that 1 medium priority recommendation was still in progress but there is a plan in place to implement that recommendation. The remaining recommendations have been implemented. We continue to review outstanding recommendations until they are implemented.

2016/17 Recommendations

For 2016/17 we raised a total of 34 high and medium priority recommendations. From this we note:

- 23 recommendations have been implemented
- 4 recommendations are in the process of being implemented
- 1 recommendation is overdue relating to Key Financial Systems
- A further 6 are overdue relating to the audit of Channel Shift. These recommendations will be implemented under the Future Council Model

2017/18 Recommendations

22 high and medium recommendations were raised in 2017/18. The current position of these recommendations is as follows:

- 17 (medium priority) are considered implemented relating to Economic Development, Partnership Working, Procurement & Contract Procurement Management and Purchasing, Business Resilience and Disaster Recovery, Attendance Management, Main Financial Systems, Elections improvement Plan and Business Continuity
- 4 (medium priority) are in progress relating to Disaster Recovery and Business Continuity
- 1 is not yet due for follow up relating to Budget Setting- one medium priority recommendation.

Recommendations: COMPLETED

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
16/17. Payments and Creditors				
Instruct services on effective budgetary control Exception report non-compliance where this is not happening	Medium	Carrie Cox, Finance Manager	September 2017 July 2018 November 2018	We confirmed exception reporting is in place to CLT which highlights retrospective orders and returned invoices which are not compliant with budgetary control procedures.
Identify / review spending with individual suppliers to ensure compliance with Contract Procedure Rules	Medium	Carrie Cox, Finance Manager	September 2017 July 2018 October 2018	Complete as per comment below
17/18. Contract Procurement Managing and Purchasing				

Recommendations: COMPLETED

a) Conduct the planned review of high value expenditure to ensure compliance with Competition Requirements stated in the Contract Procedure Rules (including ensuring Contracts Finder is used for advertising contracts over £25,000, and for Invitations to Tender for contracts over £50,000)	Medium	David Rust - Facilities and Asset Manager	July 2018 September 2018	A - Review of all expenditure for 2017/18 was undertaken for all supplier expenditure over £5000 and over £25000 to ensure contract procedures were followed and also whether there was opportunity to combine orders for better VFM. No issues were identified, and some potential areas for establishing a contract were identified and is in accordance with adopted policies
b) Strengthen training and guidance on situations where there may be a cumulative breach of the guidelines and ensure future breaches are reflected in performance appraisals and, where appropriate, disciplinary action				B - Complete
c) Deviation from Council procedures and Procurement Regulations is reported to the Finance & Corporate Services Committee.				C - Complete

Recommendations: COMPLETED

a) Review the parameters identified in the Cardholder Instruction Manual to ensure they are appropriate	Medium	Carrie Cox Finance Manager	July 2018 September 2018	a-b) Completed. An updated version of the cardholder instruction manual and a transaction log template was sent to all card holders on 21 September 2018.
b) Maintain oversight of compliance with issued instructions on Purchase Card usage, including requirements for provision of documents supporting expenditure.				
17/18. Business Resilience				
The Council should ensure that all service functions are assigned a key officer and members of staff are informed who those individuals are	Medium	Karen Buttress (Community Safety Officer - Community Resilience)	April 2018 October 2018	All services have now provided a key officer. All services have been made aware that and asked to inform staff within their teams if they have added them to a plan.
Allocate a substitute officer to all service functions. Update Resilience Spreadsheet.	Medium	Karen Buttress (Community Safety Officer - Community Resilience)	September 2018	All service functions have now been allocated a substitute officer.
17/18. Elections Improvement Plan				
The council should review the plan and ensure that where it has not yet been implemented that the responsible officers complete the plan. The plan should be revised to highlight the outstanding actions and provide new deadlines for those actions to be delivered	Medium	Melissa Kelly - Legal and Democratic Services Manager	31/07/18	The Director of Resources meets weekly with the Legal and Democratic Services Team Manager to review the implementation of the Elections Improvement Plan.

Recommendations: COMPLETED

The leadership team should ensure that there is regular monitoring of the implementation of the Elections Improvement plan and all other such plans in place at the Council.	Medium	Melissa Kelly - Legal and Democratic Services Manager	31/07/18	A risk plan has been drafted identifying business critical procedures and continuity measures applicable to all elections.
The elections planning documentation should clearly define the election service business critical activities and the required resources, or substitute resources should be clearly set out to ensure that these are delivered.	Medium	Melissa Kelly - Legal and Democratic Services Manager	31/07/18	The Electoral Services Manager has produced a set of procedure notes derived from the Electoral Commission which gives detailed instructions as to the processes involved in the delivery of elections
17/18. Main Financial Systems				
<p>The system access controller has the opportunity to amend their own access controls, with no additional confirmation required.</p> <p>Staff must not amend their own system access, but obtain Manager authority and keep audit trail.</p>	Medium	Al Morrell Customer Solutions Manager	April 2018 September 2018	<p>The system does not have the technical capability to prevent staff with systems admin rights from amending their own user rights, but there is an audit log which records changes (automatically on the system.)</p> <p>Also by talking to staff, they are aware that they must not amend their own systems access; this must be undertaken by another member of the team. There are only 2 people in IT and 4 people in H&B with admin access.</p> <p>If a change is needed, whether temporarily or permanently, approval must be obtained from a Manager and the changes are carried out by another individual. The authorisation and request email is printed and kept in a folder for an audit trail purpose.</p> <p>For temporary changes, the person who makes the amendment should always sign and date on the authorisation to evidence that they have reverted the change</p>
17/18. Economic Development and Business Rates Growth				
Enhance information (or links to information) provided via the website on funding opportunities for businesses	Medium	David Burrows- Economic Development & Partnerships Manager	September 2018	A monthly funding newsletter is distributed to all business contacts and a funding link exists.

Recommendations: COMPLETED

Clarify the District offer and businesses which it is seeking to attract to the District	Medium	David Burrows-Economic Development & Partnerships Manager	September 2018	An inward investment prospectus is being produced and it will provide information for businesses interested in setting up operations in Maldon District. This information will also be available on our website following the "Locate in Maldon District" link, together with information on available business support, funding and properties
Enhance promotion of District/opportunities, inc. regeneration schemes, business clusters, case studies	Medium	David Burrows-Economic Development & Partnerships Manager	September 2018	Two newsletters are distributed per month to business contacts. One is a business newsletter containing information on council activities, upcoming events, business activities etc. The other is a funding newsletter. The Council is coordinating with the communications team to improve the effectiveness of these communications through additional channels such as social media.
Enhance reference to BEST Growth Hub via Business section of website inc. support offered/funding available	Medium	David Burrows-Economic Development & Partnerships Manager	September 2018	<p>A specific BEST Growth hub link has been created. Additional work is expected to improve the content of the page in order to better draw attention to and promote the specific funding and business support options available on the BEST Growth Hub website.</p> <p>Link to Invest Essex already exists here: https://www.maldon.gov.uk/info/20073/business under "Locate Maldon District". The next step is to include some supporting text to explain what information may be found on the Invest Essex website. There is also an "Invest in Maldon District" link that contains our inward investment offer, and a property that contains a property search function</p>

Recommendations: COMPLETED

17/18. Attendance Management				
<p>Staff should be reminded of the importance of timely self certification, RTW and formal meetings and that any prolonged non-compliance will be reported to the Corporate Leadership Team</p> <p>HR should undertake regular monitoring of compliance against the controls within the Policy with these reported to Committee and CLT to ensure that areas of poor performance are held to account</p> <p>Consideration should be given to adding expected or required timeframes into the Managing Attendance Policy, similar to the two days for RTW to be completed, to provide a baseline expectation to measure and report against.</p>	Medium	Dawn Moyse - Group Manager, People, Performance and Policy	30 June 2018	<p>Managers were reminded at the May Manager's Forum and all staff were reminded in the May Corporate Agenda.</p> <p>Internal controls have now been put in place and compliance is being monitored. This was reported at the Q1 F&CS Strategic HR Report (September 2018)</p> <p>Current timeframes include completion of return to work discussion within 2 days. Consideration currently being given to adding further timeframes</p> <p>No further timeframes are considered necessary.</p>

Recommendations: IN PROGRESS

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
15/16 - Risk Management				
Risk Management Survey The risk management survey should be re-performed and the results summarised and reported to a round table session with the Corporate Leadership Team and Level 2 Managers	Medium	Julia Bawden, Performance and Risk Officer	Nov-17 Jun-18 Tbc - Future Council	The Council only approved the Risk Policy in May 2018. Managers were advised of the changes at a Managers' Forum in May. It was therefore agreed that time would be given for this to be embedded before the survey was undertaken again. This has been deferred whilst the transformation programme is underway.
16/17 - Planning				
Determine priorities for Uniform system development and utilisation	Medium	Matt Leigh, Group Manager Planning Services	March-2018 Tbc - Future Council	The major change has been put on hold due to Ignite /Future Council. Small 'quick fixes' have been implemented.

Recommendations: IN PROGRESS

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
16/17 - Flooding				
Introduce a CIL scheme to support flood risk mitigation in the District Ensure appropriate CIL / S106 obligations / planning conditions are included in all applicable developments Consider use of Land Trusts	Medium	Matt Leigh, Group Manager Planning Services	October 2019	<p>Consultants have updated the CIL evidence base, including a review of the Infrastructure Delivery Plan. Flood mitigation is part of this. This will set out a draft Charging Schedule for consultation.</p> <p>CIL is under review pending new CIL regulations were anticipated in Autumn.</p> <p>CIL can be used to support flood mitigation projects where there is justification, evidence of need and is agreed by the Council to include flood mitigation in the Section 123 list.</p> <p>Officers negotiate the appropriate use of planning conditions and S106 agreements for all relevant planning applications.</p> <p>Where new infrastructure is to be provided by the developer or by the Councillor ECC via commuted sums, the Council has to consider the long term management and maintenance arrangements and the risk such arrangements pose to the Council and affected parties.</p>
Consider the appropriateness of the current allocation of the various flooding responsibilities and reporting lines for both officers and committees, to identify if there are opportunities to increase alignment for flooding related matters. Ensure the Members and officers understand the allocation of responsibilities and reporting lines for the different aspects of flooding related matters and the rationale for those allocations.	Medium	Emma Foy Director of Resources	TBC April 2019	The Corporate Governance Working Group met in November 2018 and will be considering this and reporting back to Council in spring 2019

Recommendations: IN PROGRESS

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
17/18. Business Continuity and Disaster Recovery				
<p>Management should include Recovery Time Objectives (RTO) and Recovery Point Objectives (RPO) so that they align with the priority services mentioned within the Corporate Business Continuity Plan. Based on the defined RTO and RPO, management should prioritise the recovery of the Council's critical services and align all continuity and recovery plans to these objectives.</p> <p>The criticality and priority of the Council's service should be reviewed on a routine basis or following a significant change of circumstances.</p> <p>Define the respective RTOs and RPOs according to:</p> <ul style="list-style-type: none"> • The financial impact of the loss of the IT service on the Council • The reputational impact of the loss of the IT service • The regulatory impact of the loss of the IT service • The resources required to recover the service 	Medium	Community Safety Officer - Community Resilience (CCC), Phillip Cowles - Interim ICT Manager	August 2018 October 2018 November 2018	Work is on-going to update all of the RPO and RTO's with services, initial email has gone out to all relevant staff in order for them to ensure they are correct. Council's objectives will then be updated.
<p>Management should review and, where necessary, amend the IT Disaster Recovery Plan so that is aligned to and supports the Council's business continuity arrangements. This should include, but is not be limited to:</p> <ul style="list-style-type: none"> • The RTO and RPO should be aligned with the Business Impact assessment for critical IT infrastructure, hardware, and systems • The procedures for invoking the Council's IT Disaster Recovery Plan • Step by step recovery procedures for the recovery of critical IT services. 	Medium	Phillip Cowles - Interim ICT Manager	October 2018 November 2018	The intention is to build disaster recovery into the systems, infrastructure and servers. The digital transformation will provide the framework to complete this task. Once the relevant hardware and software has been implemented the plan can be completed.

Recommendations: IN PROGRESS

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
<p>Management should define a Business Continuity Plan to include sufficient information to maintain continuity of business in the event of a business disruption. It should include, but not be limited to:</p> <ul style="list-style-type: none"> • Specific responsibilities for key individuals, including employees authorised to declare a disaster, specified responsibilities to restore IT, as well as recovery of business services • Contact information for external service providers during disaster recovery and business continuity procedures implementation • Recovery time objectives and recovery point objectives • Access arrangements to be implemented as alternate workspaces and business processes to be followed to recover normal business operation. <p>The Corporate Business continuity plan should link to the Disaster recovery plan.</p>	Medium	Community Safety Officer - Community Resilience (CCC),	September 2018 November 2018	<p>A start has been made to identify individual staff roles within the Gold plan.</p> <p>Some work and responsibility will also need to be taken on by ICT in terms of disaster recovery and aligning of the DR plan to the corporate gold plan</p>
<p>An IT Disaster Recovery scenario test on critical infrastructure and applications should take place to provide assurance that recovery could happen within the expected time frame.</p> <p>Management should document the testing results to be able to provide an audit trail and determine the further actions required to address any issues on a timely basis.</p> <p>Management should continue to perform tests of its continuity and recovery plans on at least an annual basis.</p>	Medium	Phillip Cowles - Interim ICT Manager	December 2018	Testing will take place once the future shape of IT at Maldon District Council is known following the future model.
16/17. Information Governance / PCI-DSS				
<p>Senior Management should establish a plan to implement the requirements of PCI-DSS across the Council's four card payment channels. The Plan should be delivered in a timely manner and residents and customers should be provided with assurance that payments made to the Council by card are secure.</p>	High	Phillip Cowles - Interim ICT Manager	30 September 2019	<p>This is being addressed through the IT strategy. The Council will have one card payment channel which has now been procured and is awaiting implementation</p>

Recommendations: OVERDUE

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
16/17. Main Financial Systems				
Policies are prepared to clarify the Council approach to acquisition, transfer and maintenance of Council properties and assets	Medium	David Rust Facilities and Asset Manager	March 2018 31 December 2018	This will be discussed at the next AWG on 7 th December 2018.
16/17. Channel Shift - included as individual actions - total of 6 recommendations still outstanding				
Include actions and targets in the final Customer Strategy for each of the 8 priorities	Medium	Sue Green, Group Manager, Customers	June 2018 October 2018	As a result of the Council deciding to implement the Future Model, the current Customer Strategy will need to be reviewed/replaced. Until a firm decision is taken on a future Customer Strategy these recommendations will not be taken forward. Agreement will need to be reached with Ignite about how these recommendations will be fed into any future Customer Strategy
Develop new ICT Strategy to include measurable targets	Medium	Sue Green, Group Manager, Customers	June 2018 Tbc - Future Council	This plan will need revision as the Digital Transformation will have an impact on ICT strategy. The shape and type of ICT strategy will be fully known towards the end of the transformation.
Include how progress will be measured/monitored in final Customer and Digital Strategies	Medium	Sue Green, Group Manager, Customers	June 2018 Tbc - Future Council	Action plan now completed and final version with CLT and Ignite. The final version will be reviewed following the Ignite Blue Print work, which may change priorities and action plan.
Identify alternative options to measure customer contact data	Medium	Sue Green, Group Manager, Customers	June 2018 Tbc - Future Council	Interim processes have been put in place to measure customer contact, including face to face and telephone calls. A longer term solution will be procured as part of the Ignite Future Model project, and a pre tender evaluation exercise has been undertaken.
Identify targets for online services to include in Customer Strategy	Medium	Sue Green, Group Manager, Customers	June 2018 Tbc - Future Council	The Ignite Future Model project will include targets, so not being taken forward separately at this time.

Recommendations: OVERDUE

Develop plan for proactive customer satisfaction feedback	Medium	Sue Green, Group Manager, Customers	June 2018 Tbc - Future Council	Low cost Interim solution identified, however as this will form part of the Ignite Future Model work the solution will not be implemented at this time.
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Recommendations: OVERDUE

Recommendation made	Priority Level	Manager Responsible	Due Date	Current Progress
Programme of training to include customer journey mapping, lean systems etc.	Medium	Sue Green, Group Manager, Customers	June 2018 Tbc - Future Council	This will be taken forward through Ignite Future Model project.
Develop targets for Customer Strategy Action plans (to be included in business plans)	Medium	Sue Green, Group Manager, Customers	June 2018 Tbc - Future Council	To be developed as part of the Ignite Future Model project
Identify and allocate resources to implement channel shift plans	Medium	Sue Green, Group Manager, Customers	June 2018 Tbc - Future Council	This work will be undertaken as part of the Ignite Future Model project
Analysis of outcomes and efficiencies for every service review	Medium	Sue Green, Group Manager, Customers	June 2018 Tbc - Future Council	Q1 18/19 - This work will be undertaken as part of the Ignite Future Model project.
Develop programme of service reviews with priority on services with high volumes of customer demand	Medium	Sue Green, Group Manager, Customers	June 2018 Tbc - Future Council	This work is now being undertaken as part of the Ignite Blue Print work. A full review of all 600 processes has been undertaken and the processes prioritised for review on the basis of high volume and high opportunity.
LT/Transformation Board to consider resource requirements for programme of work	Medium	Sue Green, Group Manager, Customers	June 2018 Tbc - Future Council	This work will be taken forward as part of the Ignite Future Model project.



FOR MORE INFORMATION:

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REPORT of DIRECTOR OF RESOURCES

**to
AUDIT
6 DECEMBER 2018**

QUARTERLY REVIEW OF CORPORATE RISK

1. PURPOSE OF THE REPORT

- 1.1 This Committee has a key role in providing independent assurance to the Council on the adequacy of the risk management framework. The Risk Management Policy requires this Committee to undertake a quarterly review of the Corporate Risk Register as assurance that the corporate risks are being managed effectively.
- 1.2 This report provides an update on the position as at the end of Quarter 2 (30 September 2018) on the corporate risks included within the Corporate Risk Register 2018/19.

2. RECOMMENDATIONS

- (i) Members review the information as set out in this report and **APPENDIX 1** and their views and comments are sought.
- (ii) In undertaking this review Members are assured that corporate risk is being managed effectively.

3. SUMMARY OF KEY ISSUES

- 3.1 **APPENDIX 1** to this report provides further information on the individual risks including comments by the risk owners outlining the rationale for the current scoring and, where applicable, any movement in the risk scores.
- 3.2 In its role of ensuring that the corporate risks are being managed effectively, the views of this Committee are sought on the current position, any movement in the risks scores and the comments provided by the risk owners.
- 3.3 Members are reminded that the risk assessment and scoring framework, contained within the new Risk Management Policy agreed by this Committee in March and adopted by Council in May, should be considered and applied when reviewing the corporate risks and scores.

4. IMPACT ON CORPORATE GOALS

- 4.1 The risks included on the Corporate Risk Register have been identified as those which could prevent MDC from achieving the corporate goals stated in the Corporate Plan (2015-19) as updated and approved by Council in February 2018. By identifying these, assessing the current controls in place and determining what further actions need to be taken to mitigate the risks as much as possible, the Council's desired outcomes should be achieved

5. IMPLICATIONS

- (i) **Impact on Customers** - None
- (ii) **Impact on Equalities**- None
- (iii) **Impact on Risk** - Management of risk is fundamental to the sound operation of the Council. Failure to manage risk could have a significant impact on the Council's ability to correctly define its policies and strategies or deliver against its objectives.

The implementation and operation of the risk management framework will minimise risks and thus mitigate any potential strategic, operational, reputational or regulatory consequences.

Failure to manage risk would also mean that the Council might face censure by its external auditors or the potential for legal proceedings in the event of breaches of the Health and Safety at Work Act or similar legislation.

- (iv) **Impact on Resources (financial and human)** - All risk management activity is undertaken within existing and planned budgets.
- (v) **Impact on the Environment**- None

Background Papers: None

Enquiries to: Emma Foy, Director of Resources (Tel: 01621 875762).
Julia Bawden, Performance and Risk Officer, (Tel: 01621 876223).

Corporate Risk Register Quarterly Review

Impact (I)

4 – Major

3 – Serious

2 – Moderate

1 – Minor

Likelihood (L)

4 – Almost Certain

3 – Likely

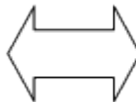
2 – Unlikely

1 – Almost impossible

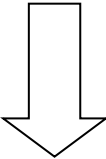
An overall risk score is reached by multiplying
the likelihood score by the impact score

Likelihood	4				
	3				
	2				
	1				
		1	2	3	4
Impact					

Anything in the shaded area is considered to be “below the
Council’s tolerance line”

Risk	Original Risk Score	Quarter Three Q3 2017/18	Quarter Four Q4 2017/18	Quarter One Q1 2018/19	Quarter Two Q2 2018/19	Direction of Score (since last quarter)	Comments
01 - Failure to safeguard children and vulnerable adults	L - 2 I - 3 Risk Score = 6	L - 1 I - 4 Risk Score = 4	L - 1 I - 4 Risk Score = 4	L - 1 I - 4 Risk Score = 4	L - 1 I - 4 Risk Score = 4		Safeguarding continues to be managed at a corporate level, but has now embedded reporting officers within service areas. Staff continue to report and log incidents or concerns and receive training as required.
<i>Date risk added to Register: 2012/13</i>							Changes to the organisation as it goes through transformation are being tracked to ensure reporting officers remain in place as required. Whole staff briefings are being scheduled for January & February 2019 utilising the late opening days. External speakers will also be in attendance.
<i>Owner: Director of Service Delivery</i>							

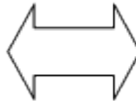
APPENDIX 1

Risk	Original Risk Score	Quarter Three Q3 2017/18	Quarter Four Q4 2017/18	Quarter One Q1 2018/19	Quarter Two Q2 2018/19	Direction of Score (since last quarter)	Comments
02 - Failure to target services and influence partners with the aim of having an effective outcome on the identified (health and wellbeing) needs of the vulnerable population							<p>A significant amount of work is being undertaken as detailed below and in light of this and the progress being made the likelihood score is being reduced to 2 (unlikely).</p> <ul style="list-style-type: none"> Development of Livewell Strategy - being expanded to include wider health partners such as CCG. The 4Ts project to tackle social isolation in North of District was launched formally in July. This is delivered by community groups, volunteers and the Maldon Council for Voluntary Services (CVS). Local activities arranged currently have footfall of around 195 per week and we are now working with Community Agents and CVS to expand the project in the Dengie. A project to support weight management and obesity in a targeted area of District has various strands of the project progressing, including a "Grow it Cook it Share it" project on Council owned land, which is scheduled for spring, and which we are anticipating 12 families taking part. Supporting a weight management service, with a number of our staff being trained to assist with weigh-ins at the Council Offices, helping an average of 20 people per week. We are working to expand the weight management drop in service to include other organisations.
Date risk added to Register: Redefined 2016/17							
Owner: Director of Service Delivery	L - 3 I - 3 Risk Score = 9	L - 2 I - 3 Risk Score = 6	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9	L - 2 I - 3 Risk Score = 6		

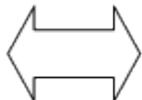
APPENDIX 1

Risk	Original Risk Score	Quarter Three Q3 2017/18	Quarter Four Q4 2017/18	Quarter One Q1 2018/19	Quarter Two Q2 2018/19	Direction of Score (since last quarter)	Comments
							<ul style="list-style-type: none"> The Gardening Project Southminster is progressing with 75 interventions, to older people with support needs. Working with various partners, including MIND and Essex County Council, and the CVS to develop a mental health support project. A working group has now been established, a bid for funding has been submitted by MIND and the CVS, and further opportunities are being explored to work with other partner organisations. Development/expansion of inter-generational projects, close working with schools to identify and share good practice, and to start an inter-generational forum with schools. We now have seven schools who have expressed interest in being involved. Three projects funded through the external public health funding are progressing well, including: <ul style="list-style-type: none"> The Hearing Help for Essex, reducing social isolation through interaction with clients, and ensuring hearing aids functioning correctly to prevent isolation. The project has helped 182 residents during August and September, including 10 home visits to housebound residents; Beacon Hill Rovers Football Club project to increase involvement of

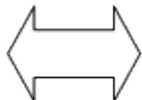
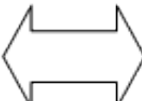
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Risk	Original Risk Score	Quarter Three Q3 2017/18	Quarter Four Q4 2017/18	Quarter One Q1 2018/19	Quarter Two Q2 2018/19	Direction of Score (since last quarter)	Comments
							<p>younger girls and older and disabled people in sport;</p> <ul style="list-style-type: none"> - Abberton Rural training supports unemployed to be active and gaining work based skills, including a weight management programme.
03 - Failure to target services and influence partners effectively to support the identified housing needs of an increasing ageing population <i>Date risk added to Register: 2016/17</i> <i>Owner: Director of Service Delivery</i>	L - 3 I - 4 Risk Score = 12	L - 4 I - 4 Risk Score = 16	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12		<p>We are currently working with a number of partners in an attempt to broaden the offer and improve relationships with existing partners.</p> <p>As reported previously, MDC has been involved on a potential “Home from Hospital” for older people pilot project with Maldon Housing Association and Anglia Ruskin University. This project is currently on hold.</p> <p>There are other schemes that Strategic Housing Services have discussed with developers regarding independent living aimed at older people. However the only site to have submitted a planning application to date is for the Burnham Retirement Village.</p>
04 – Failure to influence Community Safety partners to address the key areas of public concern (including rural crime)	L - 3 I - 2 Risk Score = 6	L - 3 I - 2 Risk Score = 6	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9		<p>Officers continue to work within the Community Safety Partnership to ensure partner activities address public concerns.</p> <p>Excellent working relationships with Essex Police continue to deliver results and a co-</p>

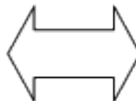
APPENDIX 1

Risk	Original Risk Score	Quarter Three Q3 2017/18	Quarter Four Q4 2017/18	Quarter One Q1 2018/19	Quarter Two Q2 2018/19	Direction of Score (since last quarter)	Comments
and the negative perception of crime							located partnership hub will be staffed from March 2019.
<i>Date risk added to Register: 2017 /18</i>							A focus upon gangs and drug issues along with those perpetrating anti-social driving has seen positive results.
<i>Owner: Director of Service Delivery</i>							Operation Overwatch was delivered in July 2018 and will be effective for one week in October 2018. This tackles violence and vulnerability and the police used social media very well to promote the success of this operation. A greater need for publishing success stories is recognised and several examples of good PR have emanated from Essex Police during the spring of this year and a fortnightly column has been requested in the local newspaper. The Maldon District Community Safety Partnership has adopted the Essex Police Rural Crime Strategy and is taking forward activities in line with this.
05 – Failure to deliver the required infrastructure to support development arising from the LDP	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12		Significant progress has been made this quarter in developing a stronger monitoring system for S106, not just of the income, but of the delivery. This methodology should have a significant impact as it becomes embedded and envisage a potential reduction of the risk likelihood in future.
<i>Date risk added to</i>							


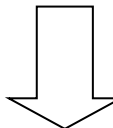
APPENDIX 1

Risk	Original Risk Score	Quarter Three Q3 2017/18	Quarter Four Q4 2017/18	Quarter One Q1 2018/19	Quarter Two Q2 2018/19	Direction of Score (since last quarter)	Comments
<i>Register: 2014/15</i>							Mitigating actions that are being taken forward to reduce this risk include: <ul style="list-style-type: none"> Negotiate effectively with developers/relevant key partners to ensure appropriate level of infrastructure and phasing of delivery Identify funding mechanisms and monitor drawing down on funding in a timely manner Continue use of Local Management Organisation model for determining ownership/future management/maintenance of infrastructure (e.g. flood defences) Use PPAs where possible and particularly for Garden Suburbs to fund resources to deliver the schemes
<i>Owner: Director of Strategy, Performance and Governance</i>							
06 – Failure to have a clear shared plan regarding strategic ownership of coastal, fluvial and surface flood mitigation and long term maintenance responsibilities	L - 3 I - 4 Risk Score = 12	L - 4 I - 4 Risk Score = 16	L - 4 I - 4 Risk Score = 16	L - 4 I - 4 Risk Score = 16	L - 4 I - 4 Risk Score = 16		The first draft of the action plan was completed in July 2018 and presented to Audit Committee in September. Members raised a number of concerns with the structure and content of the plan to be amended and represented at the next Committee with a view to reviewing the risk score again at that time (see separate report on the agenda).
<i>Date risk added to Register: 2015/16</i> <i>Redefined 2017/18</i>							At a partnership meeting in October 2018, the action plan was reviewed and discussed and partners are currently adding further information to the plan.

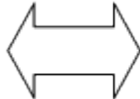
APPENDIX 1

Risk	Original Risk Score	Quarter Three Q3 2017/18	Quarter Four Q4 2017/18	Quarter One Q1 2018/19	Quarter Two Q2 2018/19	Direction of Score (since last quarter)	Comments
<i>Owner: Director of Strategy, Performance and Governance</i>							This will be reported to the Flood and Coastal Group in December.
07 – Failure to maintain a 5 year supply of Housing Land	L - 2 I - 4 Risk Score = 8	L - 2 I - 2 Risk Score = 4	L - 2 I - 2 Risk Score = 4	L - 2 I - 2 Risk Score = 4	L - 2 I - 2 Risk Score = 4		The 2017/18 Five Year Housing land supply statement is due in Autumn 2018, and is likely to show that the Council has a 5 Year Housing Land Supply, even though the Government has changed the basis for the calculation.
<i>Date risk added to Register: 2017/18</i>							The Council has won successive appeals, including one at Maypole Road for 35 dwellings, where the 5 Year Housing Supply has been at issue. This was covered in some depth at the Maypole Road hearing, but the Inspector found in favour of the Council.
<i>Owner: Director of Strategy, Performance and Governance</i>							Maintaining a five year housing land supply strengthens the Council's ability to protect the district against speculative development. The LDP does, until 31 October 2018, count under the NPPF definition (para 74) as recently adopted. After that date the plan is no longer defined as recently adopted, but is up to date and with a 5 year housing land supply, reduces the risk of speculative development.
08 - Failure to meet the affordable housing need	L - 3 I - 4 Risk Score = 12	L - 4 I - 4 Risk Score = 16	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12		We are seeking ways of increasing the affordable housing offer within the District and mitigating actions that are being taken forward to reduce this risk include:

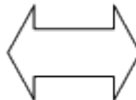
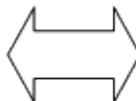
APPENDIX 1

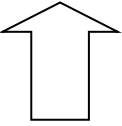
Risk	Original Risk Score	Quarter Three Q3 2017/18	Quarter Four Q4 2017/18	Quarter One Q1 2018/19	Quarter Two Q2 2018/19	Direction of Score (since last quarter)	Comments
<i>Date risk added to Register: 2016/17</i>							<ul style="list-style-type: none"> Housing and Homelessness Strategy to be adopted (by end of December 2018) The Affordable Housing Supplementary Planning Document was endorsed by Planning & Licensing Committee in September 2018, ahead of adoption by the Council in November 2018. The Council continues to secure affordable housing provision in compliance with the LDP policy. With strategic sites now underway the Council will start to see new affordable homes being built that meet local need. Further work ongoing as part of Future Council Model, Community Led Housing support continuing with potential sites coming forward.
<i>Owner: Director of Strategy, Performance and Governance</i>							
09 - Failure to have a co-ordinated approach to supporting inward investment and maximising business rate growth							<p>An Internal Communications strategy is being developed to ensure that all services are aware of the priority of supporting inward investment and maximising business rate growth.</p> <p>Regular meetings are held with the Revenues and Benefits Team and the Tourist Information Centre. Meetings with Planning are held as and when required to discuss specific projects. External stakeholders such as ECC and Invest Essex are also engaged in bimonthly meetings.</p> <p>In addition, the employment land register is now operational and will be used for business support such as the Central Area Masterplan</p>
<i>Date risk added to Register: 2017/18</i>	L - 3 I - 4 Risk Score = 12	L - 2 I - 4 Risk Score = 8	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12	L - 2 I - 4 Risk Score = 8		
<i>Owner: Director of Strategy, Performance and Governance</i>							

APPENDIX 1


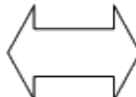

Risk	Original Risk Score	Quarter Three Q3 2017/18	Quarter Four Q4 2017/18	Quarter One Q1 2018/19	Quarter Two Q2 2018/19	Direction of Score (since last quarter)	Comments
							project for the Lower High Street. In light of the work that has been and is being taken forward, the likelihood of this risk is reduced from likely (3) to unlikely (2).
10 - Failure to develop jobs to support the growing population	L - 4 I - 3 Risk Score = 12	New risk 18/19	New risk 18/19	L - 4 I - 3 Risk Score = 12	L - 4 I - 3 Risk Score = 12		The key actions identified within the corporate plan for economic growth are progressing well, the skills strategy is undergoing public consultation and the funding package for the development of the Enterprise Centre is being developed. Mitigating actions that are being taken forward to reduce this risk include: <ul style="list-style-type: none"> Refreshing the Economic Prosperity is currently on hold pending the outcome of work on the new Corporate Plan. Maldon District Skills Strategy approved by Planning & Licensing Committee in September for public consultation after which it will be updated and released, together with the Maldon District Skills Action Plan. Planning & Licensing Committee has endorsed the proposed preferred site for the Enterprise Centre to enable the consultant to deliver the next stage of the feasibility study brief and present the final report to Council. Maximising economic opportunities relating to Bradwell. Working with Haven Gateway Partnership,
<i>Date risk added to Register: 2018/19</i>							
Owner: Director of Strategy, Performance and Governance							

APPENDIX 1

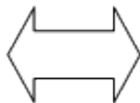
Risk	Original Risk Score	Quarter Three Q3 2017/18	Quarter Four Q4 2017/18	Quarter One Q1 2018/19	Quarter Two Q2 2018/19	Direction of Score (since last quarter)	Comments
							ECC and SELEP to maximise opportunities for employment growth.
11 - Failure to protect personal or commercially sensitive data	L - 2 I - 3 Risk Score = 6	L - 3 I - 2 Risk Score = 6	L - 2 I - 3 Risk Score = 6	L - 2 I - 3 Risk Score = 6	L - 2 I - 3 Risk Score = 6		The risk around failure to protect personal or commercially sensitive data remains high until we have reduced the high level of paper documentation in place in the organisation. This is being addressed as part of Full Council Transformation.
<i>Date risk added to Register: 2009/10</i>							
<i>Owner: Director of Resources</i>							
12 - A Committee structure which is not cost effective	L - 3 I - 3 Risk Score = 9	L - 2 I - 3 Risk Score = 6	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9		As part of the implementation of full Council transformation there will be changes required to the Committee structure which will make it more cost effective. Members have not made any decisions on these changes to date and therefore the risk level has remained the same.
<i>Date risk added to Register: Redefined 2018/19</i>							
<i>Owner: Director of Resources</i>							

Risk	Original Risk Score	Quarter Three Q3 2017/18	Quarter Four Q4 2017/18	Quarter One Q1 2018/19	Quarter Two Q2 2018/19	Direction of Score (since last quarter)	Comments
13 – Failure to manage impact of organisational change <i>Date risk added to Register: 2018/19</i>							<p>The full Council consultation on the new operating model closed on 17th October. Whilst there are mitigations in place in respect of training and support, the speed and breadth of change required by the new operating model is significant and therefore the level of risk has been increased.</p>
Owner: Director of Resources	L - 2 I - 3 Risk Score = 6	New Risk 18/19	New Risk 18/19	L - 2 I - 3 Risk Score = 6	L - 3 I - 3 Risk Score = 9		<p>Mitigating actions that are being taken forward to reduce this risk include:</p> <ul style="list-style-type: none"> • Robust project management methodology being followed (including equality impact assessments) overseen by project sponsor (Paul Dodson), Programme manager in place with all updates going to Programme Delivery Board and Programme Management Board. • Existing staff involved in the project with change network and business analysts all appointed. • External expertise and resource employed to assist with implementation - contractors engaged in IT, Programme Management, Process re-engineering and HR. • Communication plan in place. • Robust budget scrutiny.

APPENDIX 1

Risk	Original Risk Score	Quarter Three Q3 2017/18	Quarter Four Q4 2017/18	Quarter One Q1 2018/19	Quarter Two Q2 2018/19	Direction of Score (since last quarter)	Comments
14 – Unable to recruit and retain staff in national skill shortage areas to meet the demands of the service <i>Date risk added to Register:2015/16</i> <i>Owner: Director of Resources</i>	L - 3 I - 3 Risk Score = 9	L - 2 I - 3 Risk Score = 6	L - 2 I - 3 Risk Score = 6	L - 2 I - 3 Risk Score = 6	L - 2 I - 3 Risk Score = 6		The risk score is unchanged - HR continue to review and monitor recruitment and retention, particularly during the period of transition.
15 – Failure to plan and deliver balanced budgets over the medium term <i>Date risk added to Register:2008 / 09</i> <i>Owner: Director of Resources</i>	L - 2 I - 3 Risk Score = 6	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9		In August 2018, Members chose to implement Full Council Transformation to deliver the savings requirements over the medium term. In September 2018, officers went out to consultation on a new operating model to deliver savings. This model will be confirmed in Q3/4 18/19 and therefore the risk has not been changed as at the end of September.
16 – Corporate policies not managed and reviewed <i>Date risk added to Register:2016/17</i>	L - 3 I - 3 Risk Score = 9	L - 3 I - 2 Risk Score = 6	L - 3 I - 2 Risk Score = 6	L - 3 I - 2 Risk Score = 6	L - 3 I - 2 Risk Score = 6		Limited progress with the corporate policy database has been made Individual service plans contain the policies which are to be updated in the current financial year, but a new review of all corporate policies

APPENDIX 1

Risk	Original Risk Score	Quarter Three Q3 2017/18	Quarter Four Q4 2017/18	Quarter One Q1 2018/19	Quarter Two Q2 2018/19	Direction of Score (since last quarter)	Comments
<i>Owner: Director of Resources</i>							will need to be carried out taking account of the new operating model in 2019-20.
17 – Failure to maximise effectiveness of services through promotion and engagement	L - 3 I - 2 Risk Score = 6	New Risk 18/19	New Risk 18/19	L - 3 I - 2 Risk Score = 6	L - 3 I - 2 Risk Score = 6		The Internal Communications Group has been established and work is on-going to promote our services. For example, recent engagement with the MJ publication and regular news releases promoting the work of the Council and our successes e.g. litter fines, awards and campaigns. Further mitigating actions in light of Future Council will be established.
<i>Date risk added to Register: 2018/19</i>							
<i>Owner: Director of Resources</i>							

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REPORT of DIRECTOR OF STRATEGY, PERFORMANCE AND GOVERNANCE

**to
AUDIT
6 DECEMBER 2018**

ACTION PLAN OF FLOOD MITIGATION PROJECTS ACROSS THE DISTRICT

1. PURPOSE OF THE REPORT

- 1.1 To provide Members with an amended action plan as agreed at this Committee on the 26 July 2018. The amendments aim to clearly detail the various flood management projects being undertaken across the District, in conjunction with partners, and to clarify the purpose of the **group** and the goals it aims to achieve. The revised action plan will assist this Committee when reviewing the current risk score for the corporate risk **“Failure to have a clear shared plan regarding strategic ownership of coastal, fluvial and surface water flooding mitigation and long term maintenance responsibilities”**.

2. RECOMMENDATIONS

- (i) That Members note the amendments to the action plan provided in **APPENDIX 1** and review the current risk score as a result of the amendments.

3. SUMMARY OF KEY ISSUES

- 3.1 On 26 July 2018 a report was presented to this Committee outlining the flood projects and maintenance work proposed by partners for 2018/19. The projects were presented on an action plan detailing partner agency responsible for the project, project name, details of the scheme, status, and general comments.
- 3.2 Members raised a number of concerns and suggested recommendations to improve the content of the plan including:
- Highlighting the district priorities regarding the flooding risk
 - Lack of clear outcomes
 - Proposed dates for completion of projects
 - Lack of engagement with private partners
- 3.3 In light of this the action plan has been updated and amended and also now includes some narrative outlining the Council’s role as a facilitator and how projects are prioritised for inclusion on the plan.

- 3.4 The current risk score for the corporate risk “Failure to have a clear shared plan regarding strategic ownership of coastal, fluvial and surface water flooding mitigation and long term maintenance responsibilities” is at a maximum of 16 (Impact 4 – Major; Likelihood 4 – Almost Certain)
- 3.5 As outlined to Members previously, the Council can lobby partner agencies, but it is not the Council’s role to lead or take on areas that are not the responsibility of the Council such as repairing sea defences. The Council alongside other Partners is a Risk Management Authority as designated by the Flood & Water Management Act 2010 (FWMA).
- 3.6 The Council’s sole duty under the FWMA is to cooperate and share information with other Risk Management Authorities. However, the Council has actively taken a key role in working in partnership with the strategic partners to ensure that the projects that deliver schemes to protect and mitigate against various flood risks across the District are implemented.
- 3.7 The plan attached as **APPENDIX 1** to the report outlines the projects currently proposed for the District by the Environment Agency and Essex County Council. It should be noted that these may be subject to review because of changes to circumstances within the partner organisations or barriers caused by external influences such as landowners failing to engage.
- 3.8 As advised previously the Council has established a framework to monitor this plan which involves:
- a. At operational level, half yearly meetings with the relevant partners to review progress on the individual projects and to update the plan.
 - b. The updated plan will be reported to the Coastal and Flood Group which comprises of Council Members, Senior Officers and representatives from the partner agencies.
- 3.9 This framework will provide effective monitoring of the projects, but also ensure that the Council’s influence with lobbying partners will continue to ensure Maldon District remains a priority.
- 3.10 In light of the regular engagement with partners, the action plan provided and the monitoring that will be undertaken, Members are asked to consider whether the current maximum risk score is appropriate given the risk refers to failing to have a shared plan (which now exists) and that the impact is major (which as outlined in the risk management policy suggests corporate objectives will not be met, major loss of life, reputational damage that will be remembered for years and government intervention in running the service).

4. CONCLUSION

- 4.1 The FWMA fails to provide adequate control of national funding by District Authorities and therefore reliance on allocation of funding is through criteria and targets set by external partners, in particular, the Lead Local Flood Authority (LLFA) and Environment Agency (EA). The Council has little control over how these

funding allocations are distributed but rely heavily on lobbying and raising the profile of the district through various other means.

These include sharing information of flooding incidents with LLFA/EA, facilitating meetings, identifying hotspots and ensuring a robust planning system maximises contributions through development where appropriate. The plan attached in **APPENDIX 1** is a mechanism of control for the Council to a) understand how the funding is addressing flood risk in the district and b) to allow the Council to have a clear voice in the partnership arena.

5. IMPACT ON CORPORATE GOALS

- 5.1 Without a clear shared plan for dealing with flood risk management, this will have a negative impact on the corporate goals of ‘Protecting and Shaping the District’ and ‘Strengthening Communities to be Safe, Active and Healthy’.
- 5.2 The plan will assist in identifying areas of flood risk within the district and ensure maximum opportunities are sought through partnership working to protect residents against flooding.

6. IMPLICATIONS

- (i) **Impact on Customers** – None
- (ii) **Impact on Equalities** – None
- (iii) **Impact on Risk** – Management of risk is fundamental to the sound operation of the Council. Failure to manage risk could have a significant impact on the Council’s ability to correctly define its policies and strategies or deliver against its objectives.
- (iv) **Impact on Resources (Financial)** – Partners will seek contributions towards flood alleviation schemes, as national funding allocations are unlocked easier with higher contributions. However, as the Council has zero budget for flood risk management work, other contributions such as the use of Council owned open space to install schemes can be an area of negotiation. An example of this is the ‘Wagtail Drive’ scheme in Drapers Farm.
- (v) **Impact on Resources (Human)** – Monitoring the detail within the plan will ensure that the impact on residents of flooding continues to be maintained at the highest priority.
- (vi) **Impact on the Environment** – The plan will provide a positive impact in protecting the environment for the future.

Background Papers: None

Enquiries to: Shirley Hall 01621 875817

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Maldon District Strategic Flood Projects and Maintenance Group Action Plan

Introduction

Maldon District Strategic Flood Projects and Maintenance group was set up in May 2018 to bring together partners to review current flood projects and maintenance work **on half** yearly basis.

Partners consist of:

- Environment Agency
- Essex County Council
- Anglian Water
- Maldon District Council (Facilitator)
- Private Sector Partners including land owners as appropriate and as schemes being considered would benefit their input.

The aim of the group is to explore opportunities for flood mitigation measures in Maldon district and to work together to seek the most appropriate funding for delivery of such schemes in a planned and coordinated way.

The action plan details the projects being taken forward on a rolling twelve month basis and is reviewed at the half yearly meetings. Determination of the projects to be included is undertaken by each partner agency based on their own risk assessment (for example Environment Agency funding is prioritised based on the number of properties at risk whereas Anglian Water prioritise their funding based on number of recorded flooding incidents)

Maldon District Council plays a key role in providing evidence to the respective partners to assist with their assessment criteria.

Project Owner	Project Name	Details of Scheme	Project	Comments	Outcome	Date of Completion	Status
MALDON DISTRICT STRATEGIC FLOOD PROJECTS & MAINTENANCE PLAN 2018-2019							
Environment Agency	Tollesbury Wick Re	Flood Defence Maintenance	Repairs to approx. 60m of concrete block revetment, including construction of new toe and extension of revetment where saltings have eroded away.	Contract tender stages.	Maintain existing Standard of Protection	31/03/20	Design
Environment Agency	Rolls Farm revetment, Tollesbury	Flood Defence Maintenance	repairs to approx. 150m of concrete block revetment, with new toe to be constructed in some places.	Contract tender stages.	Maintain existing Standard of Protection	31/03/20	Design
Environment Agency	Skinners Wick, Highams Farm, Lauristons Revetment Repairs	Flood Defence Maintenance	patchwork repairs in 3 separate locations along the north bank of the Blackwater	Patchwork repairs	Maintain existing Standard of Protection	31/10/18	Completed
Environment Agency	Bradwell waterside	Flood Defence Maintenance	Patchwork repairs				Design and feasibility stage
Environment Agency	Stokes Hall, Creeksea	Flood Defence Maintenance	Revetment repairs and embankment repairs	In final stages of construction phase	Maintain existing Standard of Protection	Nov-18	Construction
Environment Agency	Salcott Walls Slip repairs	Flood Defence Maintenance	Embankment reconstruction to repair slips in defence.	Contract tender stages.	Maintain existing Standard of Protection	31/03/20	Design
Environment Agency	Abbotts Hall vegetation removal	Flood Defence Maintenance	removal of self set vegetation to allow inspection of asset	vegetation removal for to allow asset inspection	Maintain existing Standard of Protection	October	Completed
Environment Agency	Maylandsea Bay vegetation removal	Flood Defence Maintenance	removal of self set vegetation to allow inspection of asset	vegetation removal for to allow asset inspection	Maintain existing Standard of Protection	October	Completed
Environment Agency	Riverside Industrial Estate vegetation removal	Flood Defence Maintenance	removal of self set vegetation to allow inspection of asset	reviewing need	Maintain existing Standard of Protection	31/03/19	Design
Environment Agency	Woodrolfe Road Embankment improvements	Flood Defence Maintenance	reconditioning crest of embankment where heavy footfall leads to erosion	repairs to crest erosion	Maintain existing Standard of Protection	October	Completed
Environment Agency	Mundon Creek Revetment repairs	Flood Defence Maintenance	repairs to revetment and proection to toe	Patchwork repairs	Maintain existing Standard of Protection	31/03/20	Deffered
Environment Agency	Mill Beach Sea wall repairs	Flood Defence Maintenance	patchwork repairs to concrete block revetment				Design and feasibility stage
Environment Agency	Bounds Farm, Goldhanger revetment repairs	Flood Defence Maintenance	Revetment replacement work in two locations.	Temporary works to slow deterioration	Maintain existing Standard of Protection	September	Completed
Environment Agency	Mundon Wash Penstock replacement	Flood Defence Maintenance	replacement of penstocks		Maintain existing Standard of Protection	31/03/20	Design and feasibility stage

Project Owner	Project Name	Details of Scheme	Project	Comments	Outcome	Date of Completion	Status
Environment Agency	Maylandsea revetment repairs	Flood Defence Maintenance	repairs to toe of embankment	Aim to deliver in house.	Maintain existing Standard of Protection	31/03/20	Deffered
Environment Agency	Bridgemarsh Creek Embankment Repairs	Flood Defence Maintenance	repairs to minor scour of embankment	Aim to deliver in house.			Design and feasibility stage
Environment Agency	Holliwell and Redward revetment repairs	Flood Defence Maintenance	replacement of approx. 50m of revetment and new toe constuction.	Contract tender stages.	Maintain existing Standard of Protection	31/03/20	Design
Environment Agency	Grange Outfall overhaul	Flood Defence Maintenance	desilt of high level watercourse, flood embankment surveying and asset inspection	Part complete	Maintain existing Standard of Protection	31/03/20	Ongoing
Environment Agency	Burnham Flapped outfall replacements	Flood Defence Maintenance	Replacement of flapped drainage outfalls	Contract tender stages.	Maintain existing Standard of Protection	31/03/19	Design
Environment Agency	West althorne embankment repairs	Flood Defence Maintenance	repairs to minor scour of embankment	Design and planning stages	Maintain existing Standard of Protection	31/03/20	Deffered
Environment Agency	Heybridge Flood Alleviation Scheme	Flood Defence Capital Project looking at creating new assets	Potentially creating new assets but options also include Property Level Protection	The project is in its infancy following Countryside Properties withdrawal from their provision of FAS infrastructure linked to their delivery of the North Heybridge Garden Suburb development. Delivery of a new option (currently being evaluated by the Environment Agency) is highly likely to require financial support (Partnership Funding contributions) to add to eligible Flood Grant from Government funds in order to make the scheme affordable.	Construction of new assets (diversionary watercourse, improved flow conveyance or Property Level Resilience) that reduces the frequency and magnitude of flood damages	Aspirational target of March 2024	Options being identified to bring forward into an Outline Business Case. Strategic Outline Case has been submitted to Environment Agency Assurance Panel (NPAS)
Environment Agency	Lime Brook, Mundon Book, Latchingdon Brook & Mayland Brook Flood Modelling Project	Detailed Flood Modelling Study .	To identify areas at risk of flooding from small watercourses that discharge to the south side of the Blackwater Estuary	To identify the frequency and magnitude of flood risks associated with these small watercourses, produce new flood maps for land use planning and to analyse the magnitude of risks associated with culvert blockages, the effectiveness of gravity sluice outfalls to the estuary taking into account estimated climate change increases to sea levels and to river flows over the next 100 years.	Improved Flood Map to support Land Use Planning and technical evidence base for supporting future work programmes (maintenance and new Flood Risk Management infrastructure)	Estimated for May 2019	Models currently being built and calibrated
Essex County Council	Maldon Central	Essex Capital scheme	Flood Storage potentially in Brickhouse Farm Maldon	We are still trying to resolve post construction asset adoption issues.			Design and feasibility stage

Project Owner	Project Name	Details of Scheme	Project	Comments	Outcome	Date of Completion	Status
Essex County Council	The Causeway	Essex Flood Management initial assessment	Detailed Flood Risk Appraisal Study are all sources of flooding. The study will examine the flood risk from all sources while taking into consideration Strategies, Plans and Assessments from past documents such as Catchment Flood Management Plans, Shoreline Management Plans, Surface Water Management Plans and River Basin Management Plans. In addition, the study will seek to outline the effects of the interaction between different flood risk sources and the impacts on people and property.	The initial assessment has been completed and it has been agreed that there would be no viable scheme. However funding is being sought for detailed study of flood risk in this location as part of The Causeway Masterplan			Exploring Funding Opportunities
Essex County Council	Burham	Property Level Resilience	Measures installed on Properties	4 applications received from Station Road, Burnham on Crouch. 3 PLR installations have been completed and 1 is still outstanding.			3 Completed, 1 outstanding
Essex County Council	Heybridge	Property Level Resilience	Measures installed on Properties	2 applications received and both properties have had installations completed			Completed
Essex County Council	Maldon	Property Level Resilience	Measures installed on Properties	3 applications received and the properties have had installations completed			Completed
ECC/MDC/ Anglian Water	Tollesbury	Potential Flood Alleviation Scheme details to be confirmed.	Design not confirmed awaiting further discussion	Partners engaging with AW to explore how this matter can be resolved. A number of Residents and Proprietors completed DG5 forms (AW) awaiting outcome.			In discussion with Partners
Wickham Bishops PC/Private Landowners	Wickham Bishops	Flood Alleviation Scheme potentially through ECC CIF	Details to be confirmed				In discussion with Partners

Environment Agency

Under section 16 of the Floods and Water Management Act 2010, the Environment Agency administers FCRM grant-in-aid (GIA) on behalf of Defra.

We allocate capital and revenue funding to risk management authorities (RMAs) to manage and reduce flood and coastal erosion risk and Grant can be allocated to support worthwhile projects, studies and strategies.

In 2014 government announced a longer term capital funding settlement for FCRM from 2015 to 2021 and we developed a 6 year FCRM investment programme. We prioritise studies and projects nationally, using the partnership-funding system and conditions set by the board and announce the 'indicative allocation' of funding by the end of each December. The indicative allocation given to an individual RMA project will be the amount of capital grant eligible in line with the partnership-funding system, and may not be the full cost of the scheme.

Risk Management Authorities that can apply for FCRM grant-in-aid include maritime local authorities (LAs) for coastal erosion or, for flood risk, district, metropolitan district and county councils, and unitary authorities, and Internal Drainage Boards (IDBs). It also includes all London boroughs, highways authorities and water companies.

Each year we prepare a revenue maintenance programme. We use FCRM revenue grant in order to maintain flood risk assets. Our river and coastal maintenance programme aims to ensure that flood risk assets provide the required standard of service, for example to keep assets ready to operate and structurally sound to prevent failure. The revenue Grant settlement is currently agreed with Government on an annual basis and we are now developing a high level five-year forward look maintenance programme to show that there is an ongoing long term need for maintenance funding which will help provide the evidence needed for Spending Review 18 to support the case for a future five year funding settlement (as opposed to the current work planning vulnerability of the 1 year settlement).

Essex County Council

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Anglian Water

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