

Corporate Risk Register Quarterly Review


Impact (I)**4 – High****3 – Moderately High****2 – Moderately Low****1 – Low**

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



Likelihood (L)**4 – Very Likely****3 – Likely****2 – Unlikely****1 – Very Unlikely**

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 One Q1 2017/18	Quarter Two Q2 2017/18	Quarter Three Q3 2017/18	Quarter Four Q4 2017/18	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		As detailed in Q3 work is ongoing and referrals continue to be made as required. Staff awareness will be raised again at team meetings and specific Member training will be provided during 2018 / 19. The internal officer group continues to oversee arrangements.
<i>Date risk added to Register: 2012/13</i>							Being retained as a Corporate Risk for 2018 / 19.
<i>Owner: Director, Customers and Community</i>							

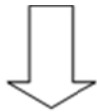

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Risk	Original Risk Score	Quarter One Q1 2017/18	Quarter Two Q2 2017/18	Quarter Three Q3 2017/18	Quarter Four Q4 2017/18	Direction of Score (since last quarter)	Comments
02 – Failure to identify older and most vulnerable people							A new Health Improvement Officer is now in post which will increase our capacity to deliver on our Health and Wellbeing priorities to our most vulnerable residents.
<i>Date risk added to Register: 2017/18</i>	L - 3 I - 3	L - 3 I - 3	L - 3 I - 3	L - 2 I - 3	L - 2 I - 3		The data which had been used to identify areas of the District most at risk to enable Health and Well Being activities to be targeted was reviewed in 2017 and is being updated and reviewed as part of the development of a new Health and Wellbeing and Strengthening Communities Strategy. This data has, and will continue to be used to target our resources at our most vulnerable residents.
<i>Owner: Director, Customers and Community</i>	Risk Score = 9	Risk Score = 9	Risk Score = 9	Risk Score = 6	Risk Score = 6		
03 - Failure to target services and influence partners effectively to meet the health and wellbeing needs of the vulnerable population	L - 3 I - 3	L - 3 I - 3	L - 3 I - 3	L - 2 I - 3	L - 3 I - 3		There are a number of targeted activities underway to support our most vulnerable residents, with further activities being delivered during 2018/19. These activities include: <ul style="list-style-type: none"> • Development of Livewell Strategy • Intergenerational work with schools • Obesity project • Social isolation and loneliness project in North of District • Older persons Gardening Project • Older Person Health and Well Being event • Multi Agency Partnership - monthly event for
<i>Date risk added to Register: Redefined 2016/17</i>	Risk Score = 9	Risk Score = 9	Risk Score = 9	Risk Score = 6	Risk Score = 9		
<i>Owner: Director,</i>							



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<i>Customers and Community</i>							<p>residents to access help and advice</p> <ul style="list-style-type: none"> • Activities to Increase Volunteering to support Health and Wellbeing, including an event involving partners Volfest June 2018 • A number of one off health and wellbeing events in reception area • Mental Health Project <p>We are also part of an Essex wide public health network which is ensuring that good practice, knowledge and expertise is being shared across local authorities, and the Public Health Improvement Officers across Essex are being professionally supported to ensure that we are maximising the opportunities and outcomes for our most vulnerable residents.</p> <p>Following discussion at Audit Committee and subsequent review by the Corporate Leadership Team (CLT) the likelihood score has been increased until evidence can be provided that the work being undertaken is achieving results.</p> <p>Risk being retained for 2018 / 19.</p>


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04 - Failure to target services and influence partners effectively to support the increasing ageing population (re housing needs) <i>Date risk added to Register: 2016/17</i> <i>Owner: Director, Customers and Community</i>	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 - 3 I - 4 Risk Score = 12		<p>Likelihood score reduced following review by CLT, given that the housing needs have been identified as part of the Housing Strategy work undertaken. Progress has been made with other districts and Essex County Council (CC) agreeing to support joint working on implementing at local level (each district) handyman and home from hospital schemes using flexibility and increase to Better Care Funding. Work is progressing into 2018/19 with aim of implementing a local service for one or both of these which will help reduce risk.</p> <p>Risk being retained for 2018 / 19.</p>
05 – Failure to have a clear shared vision regarding Strengthening Communities <i>Date risk added to Register: 2017/18</i> <i>Owner: Director, Customers and Community</i>	L - 4 I - 3 Risk Score = 12	L - 4 I - 3 Risk Score = 12	L - 4 I - 3 Risk Score = 12	L - 2 I - 3 Risk Score = 6	L - 2 I - 3 Risk Score = 6		<p>The Strengthening Communities Task and Finish Group have concluded its work, and is recommending to Council that the Strengthening Communities and Health and Wellbeing approach and programmes of work are aligned, that a new Strengthening Communities vision is adopted, and a joint Strengthening Communities and Health and Wellbeing Strategy is developed. Consequently the Health and Wellbeing work plan will also be the Strengthening Communities work plan, as the Health and Wellbeing projects can only be sustainable by using a strengthening communities approach.</p> <p>On the assumption that the Vision will be agreed by the Council in June, this risk is not being retained for 2018 / 19.</p>


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06 – Failure to deliver the required infrastructure to support development arising from the LDP	L - 3 I - 4	L - 3 I - 4	L - 3 I - 4	L - 3 I - 4	L - 3 I - 4		Until the delivery and long term management and ownership issues with regards to the flood alleviation scheme as part of the North Heybridge Garden Suburb, as per the Local Development Plan (LDP), have been resolved the risk remains unchanged.
<i>Date risk added to Register: 2014/15</i>	Risk Score = 12	Risk Score = 12	Risk Score = 12	Risk Score = 12	Risk Score = 12		Risk being retained for 2018 / 19.
<i>Owner: Director, Planning and Regulatory Services</i>							
07 – 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	L - 3 I - 3	L - 3 I - 3	L - 4 I - 4	L - 4 I - 4		Further to discussion with Members at Audit Committee in March, it was agreed that an action plan will be prepared and presented to the next Audit Committee to enable the risk score to be reviewed.
<i>Date risk added to Register: 2015/16</i>	Risk Score = 12	Risk Score = 9	Risk Score = 9	Risk Score = 16	Risk Score = 16		This risk is being retained for 2018 / 19.
<i>Redefined 2017/18</i>							
<i>Owner: Director, Planning and Regulatory Services</i>							



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08 - Being designated as an under-performing authority due to major planning applications and appeals performance <i>Date risk added to Register: 2015/16</i> <i>Owner: Director, Planning & Regulatory Services</i>	L - 2 I - 3 Risk Score = 6	L - 4 I - 4 Risk Score = 16	L - 4 I - 4 Risk Score = 16	L - 3 I - 4 Risk Score = 12	L - 2 I - 4 Risk Score = 8		The risk has reduced given that the appeal performance has improved and the older appeals allowed are no longer being taken in to account. Risk is not being retained for 2018 / 19.



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<p>9 – Failure to maintain a 5 year supply of Housing Land</p>	<p>L - 2 I - 4 Risk Score = 8</p>	<p>L - 2 I - 2 Risk Score = 4</p>	<p>L - 2 I - 2 Risk Score = 4</p>	<p>L - 2 I - 2 Risk Score = 4</p>	<p>L - 2 I - 2 Risk Score = 4</p>		<p>Developers are now on site and South Maldon reserved matters planning applications will start to be submitted in the spring 2018.</p> <p>Discussions are taking place with developers on their housing completion trajectories and delivery programmes. Any slow down on sites could be compensated by increased delivery elsewhere.</p> <p>The Five Year Housing Land Supply position statement is due to be completed in summer 2018 and submitted to the Secretary of State for approval.</p> <p>There is a risk of failing the soon to be introduced Housing Delivery Test, which is a test of how many homes are delivered over the preceding 3 years against our housing target of 310 units per annum. This new provision is currently being proposed by the Government in the revised National Planning Policy Framework (NPPF). The Government is proposing to sanction Councils for failing the test; the severity of the sanction will depend on how a Council performs against the test.</p> <p>If the Housing Delivery Test remains in the NPPF and the possible sanctions against the Council do create a significant risk, then at that stage it may be appropriate to consider adding this to the corporate risk register.</p> <p>Risk is being retained for 2018 / 19.</p>
<p><i>Date risk added to Register: 2017/18</i></p>							
<p><i>Owner: Director, Planning & Regulatory Services</i></p>							

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10 - Failure to meet the affordable housing need	L - 3	L - 3	L - 3	L - 4	L - 3		<p>The risk score has been reduced slightly to reflect commencement of new development and projected increase in supply. There is also progress with possible development of Independent Living projects which will help improve supply both to meet needs of ageing population and to create better supply from within the existing stock. There is also progress with Community Led Housing in first year creating further opportunities to reduce the identified shortfall.</p> <p>Risk is being retained for 2018 / 19.</p>
<i>Date risk added to Register: 2016/17</i>	I - 4	I - 4	I - 4	I - 4	I - 4		
<i>Owner: Strategic Housing Manager</i>	Risk Score = 12	Risk Score = 12	Risk Score = 12	Risk Score = 16	Risk Score = 12		
11 - Failure to have a co-ordinated approach to supporting new and existing businesses	L - 3	L - 3	L - 2	L - 2	L - 3		<p>Following the Audit Committee's last quarterly review of the risk register, the Committee recommended increasing the risk likelihood to 3, based on the current lack of reliable data on the number of businesses entering or leaving the District.</p> <p>This risk is being retained for 2018 / 19, but is redefined as "Failure to have a co-ordinated approach to supporting inward investment and maximising business rate growth".</p>
<i>Date risk added to Register: 2017/18</i>	I - 4	I - 4	I - 4	I - 4	I - 4		
<i>Owner: Economic Development and partnerships Manager</i>	Risk Score = 12	Risk Score = 12	Risk Score = 8	Risk Score = 8	Risk Score = 12		



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12 - Failure to protect personal or commercially sensitive data	L - 2 I - 3 Risk Score = 6	L - 3 I - 2 Risk Score = 6	L - 3 I - 2 Risk Score = 6	L - 3 I - 2 Risk Score = 6	L - 2 I - 3 Risk Score = 6		Following review by CLT of the risk register, the impact score increased on the basis that the fines imposed by the Information Commissioners Office (ICO) following General Data Protection Regulations (GDPR) are an unknown at this stage and could be significant. However, the likelihood score has been reduced as we have undertaken the necessary work to meet the GDPR requirements with the GDPR programme on track, specific training delivered to all officers with fail / pass certificates and a briefing note issued to Members. Risk being retained for 2018 / 19.
<i>Date risk added to Register:2009/10</i>							
<i>Owner: Director, Resources</i>							
13- Inefficient Committee structure	L - 3 I - 3 Risk Score = 9	L - 4 I - 3 Risk Score = 12	L - 2 I - 3 Risk Score = 6	L - 2 I - 3 Risk Score = 6	L - 3 I - 3 Risk Score = 9		Update on recommendations which were agreed by Council in November 2017 are as follows:- 1) A report on the Member led review of the current area planning committee arrangements was submitted to Council in May. 2) A review of the scope of Directorships and the terms of reference of programme Committees to align the Corporate Leadership Team (CLT) roles better with those of the programme Committees were included as part of the Ignite Management Structure review, initial conclusions of which were reported to a special meeting of the Council in May. 3) Committee reports are presented by either the appropriate Director or their deputy at each programme Committee meeting to minimise the cost of officer time
<i>Date risk added to Register:2015/16</i>							
<i>Owner: Chief Executive</i>							



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							<p>at meetings.</p> <p>4) Reports for noting and information are brought to the attention of all Members, but are not included in the agenda of Committees / the Council.</p> <p>5) Where a decision is required by more than one Committee and such decisions are not aligned the final decision will be made at the next meeting of the Council.</p> <p>6) The current Town and Parish Council Trigger has been replaced by Member call in to Area Planning Committees.</p> <p>7) The Council will fully implement Mod.Gov and achieve paperless meetings, save for extraordinary individual circumstances, by May 2019.</p> <p>8) The Director of Resources will reviews the outcome of these changes and report back to Members at the June meeting of the Council.</p> <p>Risk being retained for 2018/19, but redefined as “A Committee structure which is not cost effective” with the likelihood score increased to 3 – Likely.</p>

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14 – Unable to recruit and retain staff in national skill shortage service areas to meet the demands of the service <i>Date risk added to Register: 2015/16</i> <i>Owner: Director, Resources</i>	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9	L - 2 I - 3 Risk Score = 6	L - 2 I - 3 Risk Score = 6		<p>Following the recruitment campaign and the attachment of market supplements where needed, the Council is not experiencing the same high levels of vacant posts as seen historically. The risk remains the same however, as the skills shortage in the planning profession is a nationwide problem and will take time to resolve, due to the lack of more experienced planners being available in the market and not enough intakes into the profession from graduates. In the event of recruitment and retention difficulties arising, this would have an adverse effect on the ability to deliver the service.</p> <p>Risk being retained for 2018 / 19.</p>
15 – Failure to plan and deliver balanced budgets over the medium term <i>Date risk added to Register: 2008 / 09</i> <i>Owner: Director, Resources</i>	L - 2 I - 3 Risk Score = 6	L - 2 I - 3 Risk Score = 6	L - 2 I - 3 Risk Score = 6	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9		<p>£1.5m funding gap in place over the medium term. Savings plans are currently being identified and will be presented to Members in Q1 2018 / 19.</p> <p>Risk being retained for 2018 / 19.</p>

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16 – Corporate policies not managed and reviewed	L - 3 I - 3	L - 2 I - 3	L - 3 I - 2	L - 3 I - 2	L - 3 I - 2		A database has been created which will provide an audit trail for all policies and related decisions. A number of policies have been updated and approved through CLT and Committee in Q4.
Date risk added to Register: 2016/17	Risk Score = 9	Risk Score = 6	Risk Score = 6	Risk Score = 6	Risk Score = 6		A report was submitted to CLT in May outlining the current position. It was agreed that managers should ensure that the task of reviewing or introducing new policies and strategies is considered on an on-going basis as part of the business planning process.
Owner: Director, Resources							Risk being retained for 2018 / 19.
17 – Lack of confidence in police partnerships with a view to delivery of public safety particularly in rural areas	L - 3 I - 2	New indicator 17/18	New indicator 17/18	L - 3 I - 2	L - 3 I - 3		The amended definition of this risk was agreed by Audit Committee in March and following discussion at Audit Committee, CLT agreed that impact score should be increased to 3.
Date risk added to Register: 2017 /18	Risk Score = 6			Risk Score = 6	Risk Score = 9		Mitigating actions to be taken forward during 18/19 are: 1. Effective monitoring of delivery of the Community Safety Partnership Action Plan 2. Identify funding sources/options to supplement policing capacity 3. Work with Essex police to improve public engagement events * 4. Increase/maximise press releases on the Community Safety Partnership (CSP) achievements* (*To reassure businesses and residents that significant preventative work is being undertaken to improve confidence and reduce the fear of crime).
Owner: Director, Customers and Community							Risk is being retained for 2018 / 19.