

## Corporate Risk Register 2018-19

Likelihood	Impact			
	4			
	3			
	2			
	1			
	1	2	3	4
<b>Impact</b>				

<u>Impact</u>	<u>Likelihood</u>
4 – Major	4 – Almost Certain
3 – Serious	3 – Likely
2 – Moderate	2 – Unlikely
1 – Minor	1 – Almost Impossible

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

**Adequacy of controls:**

**Poor** - no controls in place or the few that are do not mitigate the risk

**Fair** - some controls in place and some reduction in risk but still not adequate

**Good** - controls in place are considered adequate and reduce the risk

**Excellent** - effective controls are in place which reduce the risk considerably

Risk	Reasons	Consequences	Current Risk Score	Current Controls in Place	Adequacy of controls in place and Evidence	Mitigating Actions being taken forward	Lead Officer on Mitigating Actions	Target dates
<b>Corporate Goal: Strengthening communities to be safe, active and healthy</b>								
<b>1. Failure to safeguard children and vulnerable adults</b>  <i>Owner: Director, Customers and Community</i>  <i>Date added to register: 12/13</i>	<ul style="list-style-type: none"> <li>Failure to recognise possible safeguarding concern</li> <li>Failure to respond to a concern raised</li> <li>Records not kept up to date/inaccurate records</li> <li>Staff and Members not trained</li> <li>Lack of knowledge,</li> </ul>	<ul style="list-style-type: none"> <li>A vulnerable adult or child suffers harm</li> <li>Reputational damage to the Council for not acting on information received or concern raised</li> <li>Council subject to legal proceedings as a result of not acting on information received or</li> </ul>	L - 1 I - 4  Risk Score = 4	<ul style="list-style-type: none"> <li>Agreed policy in place which is subject to ongoing review</li> <li>Agreed procedures in place</li> <li>On-going training for staff who, within their role, may have interaction with children and/or vulnerable adults</li> <li>Designated</li> </ul>	<u>Adequacy of Controls:</u> Fair <u>Evidence:</u> Policy and procedures Officers in place Intranet information Safeguarding group Corporate Leadership Team (CLT) agenda item and minutes	1. Reinforce core safeguarding messages to all staff through staff briefings and team meetings throughout the year 2. Undertake Member safeguarding training to include emerging issues (e.g. gangs and sexual	1. Richard Holmes, Director, Customers and Community 2. Spencer Clarke, Community Safety Partnership Manager	1. 31/03/2019 2. 31/12/2018

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Risk	Reasons	Consequences	Current Risk Score	Current Controls in Place	Adequacy of controls in place and Evidence	Mitigating Actions being taken forward	Lead Officer on Mitigating Actions	Target dates
	awareness and understanding of the process	concern raised		<p>safeguarding officers within Maldon District Council (MDC).</p> <ul style="list-style-type: none"> <li>• Safeguarding representation widened across all Depts. and training given to increase awareness to Safeguarding Lead Officer level.</li> <li>• Disclosure and Barring Service (DBS) checks undertaken for appropriate staff</li> <li>• Safeguarding information and designated areas on intranet</li> <li>• MDC Safeguarding group established to review policies and procedures and ensure communication and updates are</li> </ul>		exploitation)		

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				<ul style="list-style-type: none"> <li>discussed and awareness continued.</li> <li>MDC participation in County wide Boards for safeguarding</li> <li>Safeguarding is a standing agenda item for CLT to ensure that issues are discussed and awareness increased</li> <li>Learning through feedback from partnership working e.g. serious case reviews</li> </ul>				
<b>2. Failure to target services and influence partners effectively to meet the identified health and wellbeing needs of the vulnerable population</b>	<ul style="list-style-type: none"> <li>Difficulty to identify 1) the priorities; 2) where in the District the priorities exist and 3) those that are vulnerable</li> <li>Silo working within the Council/ lack of co-ordination</li> <li>No engagement</li> </ul>	<p>Direct consequences to MDC:</p> <ul style="list-style-type: none"> <li>Escalation in service needs leading to an adverse impact on resources required</li> <li>Impact on resources/costs</li> <li>Inefficiencies</li> <li>Unable to develop and plan</li> </ul>	<p>L – 3 I – 3</p> <p>Risk Score = 6</p>	<ul style="list-style-type: none"> <li>MDC lead partner for Health and Wellbeing within the District</li> <li>Use of existing data (e.g. health profiles) to highlight issues/areas with specific needs</li> </ul>	<p><b><u>Adequacy of Controls:</u></b> Fair</p> <p><b><u>Evidence:</u></b> Data held</p> <p>Partnerships in place</p> <p>Local Livewell Year 1 Action</p>	<p>1. Review current H&amp;WB data for District to inform Livewell Strategy</p> <p>2. Develop Livewell Strategy and Formal Action Plan</p> <p>3. Deliver Health and Wellbeing</p>	<p>1. Ben Page, Health Improvement Officer</p> <p>2. Ben Page, Health Improvement Officer</p> <p>3. Ben Page, Health Improvement Officer</p>	<p>1. 31/10/2018</p> <p>2. 30/11/2018</p> <p>3. 31/03/2019 (separate target dates for individual projects)</p> <p>4. 30/11/2018</p> <p>5. Ongoing</p> <p>6. Ongoing</p>

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<p><b>Owner: Director, Customers and Community</b></p> <p><b>Date added to register: 16/17</b></p>	<ul style="list-style-type: none"> <li>to ascertain how residents want to access services</li> <li>Limited communication / co-ordination between partners (e.g. Community Agents)</li> <li>Council continues to deliver broad range of services rather than targeted services</li> <li>Discretionary support services at risk of funding withdrawal in the future</li> <li>Failure to maintain effective partnership working</li> </ul>	<p>services</p> <p>Indirect/consequences to the wider community</p> <ul style="list-style-type: none"> <li>Vulnerable residents unable to access services</li> <li>Duplication across agencies</li> </ul>		<ul style="list-style-type: none"> <li>Health and Wellbeing Group – partnership work to deliver projects and share good practice such as Social Prescribing</li> <li>Commissioning process for advice services – needs analysis undertaken to target services</li> <li>Strong Essex wide Public Health Network</li> <li>Good liaison with Active Essex</li> <li>Weekly and monthly partnership “drop in” sessions</li> <li>Strong Livewell partnership</li> <li>Livewell Action plan developed to be delivered in</li> </ul>	<p>Plan</p>	<p>(H&amp;WB) projects in line with priorities (obesity; ageing population; social isolation).</p> <p>4. Develop Livewell Partnership working to target priorities</p> <p>5. Engage with Essex County Council (ECC) Public Health standards</p> <p>6. Develop a better relationship with Clinical Commissioning Group (CCG) and ECC commissioners</p>	<p>4. Ben Page, Health Improvement Officer</p> <p>5. Ben Page, Health Improvement Officer</p> <p>6. Ben Page, Health Improvement Officer</p>	

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				partnership				
<p><b>3. Failure to target services and influence partners effectively to support the identified housing needs of the increasing ageing population</b></p> <p><i>Owner: Director, Planning &amp; Regulatory Services</i></p> <p><i>Date added to register: 15/16</i></p>	<ul style="list-style-type: none"> <li>• Unable to identify those in need who want to move to more suitable housing or have to move, but do not want to</li> <li>• Lack of engagement</li> <li>• Discretionary support services funding withdrawn</li> <li>• Reductions in funding for housing for older and vulnerable people</li> <li>• Providers of supported housing reducing or withdrawing support and unable to develop new schemes</li> </ul>	<ul style="list-style-type: none"> <li>• Vulnerable residents unable to access services</li> <li>• Escalation in service needs</li> <li>• Impact on resources/costs</li> <li>• Duplication across agencies</li> <li>• Unable to develop and plan services</li> <li>• Reduction in supply of services including supported housing</li> <li>• Unable to carry out required adaptations</li> <li>• Unnecessary adaptations undertaken leading to ineffective use of funds</li> </ul>	<p>L - 3 I - 4</p> <p>Risk Score = 12</p>	<ul style="list-style-type: none"> <li>• Use of existing data (e.g. health profiles) to highlight issues/areas with specific needs</li> <li>• Working with ECC on provision of extra care housing</li> <li>• Housing allocations policy</li> <li>• Housing register in place</li> <li>• Supply of new homes</li> <li>• Local Development Plan (LDP)</li> <li>• Supplementary Planning Documents (SPDs)</li> <li>• Housing Strategy</li> </ul>	<p><b>Adequacy of Controls:</b> Fair</p> <p><b>Evidence:</b> Policy LDP SPDs Housing Strategy</p>	<ol style="list-style-type: none"> <li>1. Deliver a targeted project to improve information sharing with partners providing advice and support to older people</li> <li>2. Establish working group of relevant local key agencies to inform potential pilot project re Home from Hospital/HIA services</li> </ol>	<p>1. Chris Dispirito, Home Improvements Team Leader</p> <p>2. Chris Dispirito, Home Improvements Team Leader</p>	<p>1. 30/06/2018</p> <p>2. 31/12/2018</p>

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<p><b>4. Failure to influence Community Safety partners to address the key areas of public concern and the negative perception of crime</b></p> <p><i>Owner: Director, Customers and Community</i></p> <p><i>Date added to register: 17/18</i></p>	<ul style="list-style-type: none"> <li>High level of media reporting on crime impacts perception</li> <li>Low level of crime highlights when an incident occurs</li> <li>Ageing population more aware of crime and feeling vulnerable</li> <li>Lack of meaningful data for local police performance</li> <li>Not maximising opportunities to influence partners (Essex Police, Fire &amp; Rescue, ECC and National Probation Service)</li> </ul>	<ul style="list-style-type: none"> <li>Lack of public confidence in the Council</li> <li>Lack of public confidence in the police</li> <li>Increased fear of crime</li> <li>Loss of business in the District</li> <li>Negative impact on the economy</li> </ul>	<p>L - 3 I - 2</p> <p>Risk Score = 6</p>	<ul style="list-style-type: none"> <li>MDC taking the lead role in the Maldon Community Safety Partnership</li> <li>Community Protection Team has a visible presence throughout the District undertaking duties previously done by the police</li> <li>Overview &amp; Scrutiny Committee acting as the Crime and Disorder Committee has responsibility for reviewing police performance</li> </ul>	<p><b>Adequacy of Controls:</b> Fair</p> <p><b>Evidence:</b> Community Safety Partnership (CSP) CSP Action Plan O&amp;S Committee acting as the Crime &amp; Disorder Committee</p>	<ol style="list-style-type: none"> <li>Effective monitoring of delivery of the CSP Action Plan</li> <li>Identify funding sources/options to supplement policing capacity</li> <li>Work with Essex police to improve public engagement* events</li> <li>Increase /maximise press releases on the CSP achievements*</li> </ol> <p>(*To reassure business and residents that significant preventative work is being undertaken to improve confidence and reduce the fear of crime)</p>	All actions: Spencer Clarke, Community Safety Partnership Manager	1. 31/03/2019 2. 31/03/2019 3. 31/03/2019 4. 31/03/2019
<p><b>Corporate Goal: Protecting and Shaping the District</b></p>								
<p><b>5. Failure to deliver the required infrastructure to support development</b></p>	<ul style="list-style-type: none"> <li>No clear delivery mechanism</li> <li>Impact of viability</li> <li>Decisions required on long</li> </ul>	<ul style="list-style-type: none"> <li>Future capacity problems relating to schools, highways, housing, flooding, utilities</li> </ul>	<p>L - 3 I - 4</p> <p>Risk Score = 12</p>	<ul style="list-style-type: none"> <li>Adopted LDP</li> <li>Master planning approach</li> <li>Infrastructure Development</li> </ul>	<p><b>Adequacy of Controls:</b> Good</p> <p><b>Evidence:</b> Legal agreements</p>	<ol style="list-style-type: none"> <li>Negotiate effectively with developers/ relevant key partners to ensure appropriate level</li> </ol>	1. Ian Butt, Planning Policy Manager 2. Ian Butt, Planning	All ongoing

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<p><b>arising from the LDP</b></p> <p><i>Owner: Director, Planning &amp; Regulatory Services</i></p> <p><i>Date added to register: 14/15</i></p>	<ul style="list-style-type: none"> <li>term management</li> <li>Lack of funding</li> <li>Lack of commitment from other agencies (e.g. NHS)</li> <li>General market conditions</li> <li>Lack of agreement on costs</li> <li>Lack of understanding in relationships between the various projects</li> </ul>	<ul style="list-style-type: none"> <li>and health</li> <li>Delays in delivering housing</li> </ul>		<ul style="list-style-type: none"> <li>Plan (IDP) supporting the LDP</li> <li>IDP and Infrastructure Phasing Plan (IPP) constantly under review with any fresh evidence being provided to the Planning and Licensing (P&amp;L) Committee</li> <li>Negotiations with applicants – pre-planning agreements in place.</li> <li>Viability testing</li> <li>S106 agreements in place</li> <li>Programme project management</li> <li>Joint working with developers and agencies</li> <li>Established Local Management</li> </ul>	<ul style="list-style-type: none"> <li>successfully negotiated and funding secured for some projects</li> <li>LDP Due diligence with relevant agencies and other authorities e.g. ECC and environment agency</li> <li>IDP and IPP Viability testing</li> </ul>	<ul style="list-style-type: none"> <li>of infrastructure and phasing of delivery</li> <li>Identify funding mechanisms and monitor drawing down on funding in a timely manner</li> <li>Continue utilising LMO model for determining ownership, future management and maintenance of infrastructure e.g. green spaces/flood defences</li> <li>Improve project management</li> <li>Use Planning Performance Agreements (PPAs) where possible and particularly for Garden Suburbs to fund resources to deliver the schemes</li> </ul>	<ul style="list-style-type: none"> <li>Policy Manager</li> <li>3. Ian Butt, Planning Policy Manager</li> <li>4. Ian Butt, Planning Policy Manager</li> <li>5. Ian Butt, Planning Policy Manager</li> </ul>	

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				Organisation (LMO) model				
<b>6. Failure to have a clear shared plan regarding strategic ownership of coastal, fluvial and surface water flooding mitigation and long term maintenance responsibilities</b>	<ul style="list-style-type: none"> <li>Lack of guidance from the Department for Communities and Local Government (CLG) / Department for Environment, Food and Rural Affairs (DEFRA)</li> <li>Water companies, developers, ECC, Environment Agency and landowners not undertaking responsibilities</li> <li>General climate of central funding cuts and changing Government priorities</li> </ul>	<ul style="list-style-type: none"> <li>Inability to determine planning applications</li> <li>Inability to deliver developments in entirety</li> <li>Failure to meet housing and employment requirements</li> <li>Long term liabilities if owners default in the future</li> </ul>	L - 4 I - 4  Risk Score = 16	<ul style="list-style-type: none"> <li>Validation requirement that Sustainable Urban Drainage systems (SuDS) content is included in application</li> <li>ECC review SuDS at every stage of planning application</li> <li>Active participation in Essex Partnership for Flood Management with member representation on Flood Board</li> <li>Developing increased awareness of responsibilities and funding opportunities</li> </ul>	<b>Adequacy of Controls:</b> Fair <b>Evidence:</b> Validations Completed legal agreements on planning and relevant legal frameworks in place Completed flood relief schemes	<ol style="list-style-type: none"> <li>Co-ordinate work with partners to mitigate flooding risk and maximise grant funding opportunities.</li> <li>Preparation and monitoring of Action Plan on flood mitigating measures planned within the District</li> </ol>	<ol style="list-style-type: none"> <li>Shirley Hall, Service Manager, Environmental Health</li> <li>Shirley Hall, Service Manager, Environmental Health</li> </ol>	<ol style="list-style-type: none"> <li>Ongoing</li> <li>Report on Action Plan to July Audit Committee. Monitoring ongoing.</li> </ol>

*Owner: Director, Planning & Regulatory Services*

*Date added to register: 15/16 redefined 17/18*

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				<ul style="list-style-type: none"> <li>• Liaison with Environment Agency (EA) and land owners regarding ownership of flood defence mechanisms</li> <li>• Engagement with relevant legal teams</li> </ul>				
<b>7. Failure to maintain a 5 year supply of Housing Land</b>  <i>Owner: Director, Planning &amp; Regulatory Services</i>  <i>Date added to register: 17/18</i>	<ul style="list-style-type: none"> <li>• Poor housing market conditions</li> <li>• Failure to meet completions targets</li> <li>• Lack of planning permissions</li> <li>• Unrealistic housing trajectory</li> <li>• Not securing Planning Inspectorate's (PINs) sign off</li> </ul>	<ul style="list-style-type: none"> <li>• Government sanction through increased target (+20%)</li> <li>• Lack of MDC control of decisions leading to planning by appeal</li> <li>• Inability to deliver LDP</li> </ul>	L - 2 I - 2  Risk Score = 4	<ul style="list-style-type: none"> <li>• Annual monitoring</li> <li>• Current supply of more than 6 years</li> <li>• Housing trajectory linked to infrastructure</li> <li>• Joint working with developers</li> <li>• Proactive planning approach</li> </ul>	<b>Adequacy of Controls:</b> Good <b>Evidence:</b> Authority Monitoring Report and 5 Year Land Supply Statement Updated evidence to LDP examination	1. Submission of annual position statements 2. Developers submission of annual completion and trajectory statements 3. Roll out of self and custom build 4. Establish a programme of community led housing 5. Delivery of non-LDP sites to provide strategic housing	1. Ian Butt, Planning Policy Manager 2. Ian Butt, Planning Policy Manager 3. Ian Butt, Planning Policy Manager 4. Jackie Cox, Housing Policy and Projects Officer 5. Matt Leigh, Group Manager, Planning Services	1. 30/04/2019 2. 30/09/2018 3. Ongoing 4. Ongoing 5. Ongoing

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<p><b>8. Failure to meet the affordable housing need</b></p> <p><b>Owner:</b> <i>Director, Planning &amp; Regulatory Services</i></p> <p><b>Date added to register:</b> 16/17 <b>redefined 17/18</b></p>	<ul style="list-style-type: none"> <li>• Changing Government guidance</li> <li>• Quality of evidence</li> <li>• Availability of willing partners</li> <li>• Financial capacity of partners</li> <li>• Changing wider legislation (e.g. welfare reform)</li> <li>• Demographic changes</li> <li>• Market conditions which lead to an increase in needs and demand</li> <li>• Changing viability of schemes</li> <li>• Failure to deliver LDP</li> <li>• Out of date SPDs</li> </ul>	<ul style="list-style-type: none"> <li>• Failure to meet statutory duty for the homeless</li> <li>• Impact on local economy/loss of investment</li> <li>• Reputational damage</li> <li>• Barrier to new development</li> <li>• Impact on residents' health and wellbeing</li> <li>• Impact on health and social care available</li> </ul>	<p>L - 3 I - 4</p> <p>Risk Score = 12</p>	<ul style="list-style-type: none"> <li>• Viability testing framework in place</li> <li>• Policies in place</li> <li>• Policies updated and adapted</li> <li>• Communication with partners (Housing Associations etc.)</li> <li>• Annual CLG Model Housing Needs Assessment undertaken</li> <li>• Strategic Housing Board</li> <li>• Implementation of Homelessness Reduction Act</li> </ul>	<p><b>Adequacy of Controls:</b> Fair</p> <p><b>Evidence:</b> Viability testing framework Policies Half yearly CLG Model Housing Needs Assessment Strategic Housing Board</p>	<ol style="list-style-type: none"> <li>1. Housing and Homelessness Strategy to be adopted</li> <li>2. Affordable Housing SPD to be adopted</li> <li>3. Identify opportunities for additional investment into affordable housing</li> <li>4. Review of Allocations Policy</li> <li>5. Establish a programme of community led housing</li> <li>6. Explore opportunities for innovation in the development and build of homes</li> </ol>	<ol style="list-style-type: none"> <li>1. Paul Dodson, Director, Planning &amp; Regulatory Services</li> <li>2. Ian Butt, Planning Policy Manager</li> <li>3. Paul Dodson, Director, Planning &amp; Regulatory Services</li> <li>4. John Swords, Housing Enabling And Assessment Team Leader</li> <li>5. Jackie Cox, Housing Policy and Projects Officer</li> <li>6. Jackie Cox, Housing Policy and Projects Officer</li> </ol>	<ol style="list-style-type: none"> <li>1. 30/09/2018</li> <li>2. 30/09/2018</li> <li>3. Ongoing</li> <li>4. 31/12/2018</li> <li>5. Ongoing</li> <li>6. Ongoing</li> </ol>

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Risk	Reasons	Consequences	Current Risk Score	Current Controls in Place	Adequacy of controls in place and Evidence	Mitigating Actions being taken forward	Lead Officer on Mitigating Actions	Target dates
<b>Corporate Goal: Creating opportunities to influence partners and to support/encourage economic prosperity</b>								
<b>9. Failure to have a co-ordinated approach to supporting inward investment and maximising business rate growth</b>  <i>Owner: Director, Planning &amp; Regulatory Services</i>  <i>Date added to register: 17/18 redefined 18/19</i>	<ul style="list-style-type: none"> <li>• Fragmented approach to service delivery</li> <li>• Lack of shared awareness across the Council of corporate goals</li> <li>• Failure to target services to support delivery of goal</li> <li>• Lack of understanding of impact of actions</li> </ul>	<ul style="list-style-type: none"> <li>• Loss of businesses</li> <li>• Loss of income (because business rates are retained by Council)</li> <li>• Unable to attract new businesses</li> <li>• Non-achievement of corporate goals and priorities</li> </ul>	L - 3 I - 4  Risk Score = 12	<ul style="list-style-type: none"> <li>• Economic Prosperity Strategy</li> <li>• Promotion of corporate goals</li> <li>• Economic Development consulted on planning applications</li> <li>• The Available Land and Premises Directory</li> </ul>	<b>Adequacy of Controls:</b>  <b>Fair Evidence:</b>  EPS The Available Land and Premises Directory	1. Establish an internal communications strategy to ensure all services are aware of the priority  2. Refresh of the Economic Prosperity Strategy  3. Utilise Available Land and Premises Directory  4. Attend bimonthly meetings with Invest Essex	1. David Burrows, Economic Dev and Partnerships Manager  2. David Burrows, Economic Dev and Partnerships Manager  3. David Burrows, Economic Dev and Partnerships Manager  4. David Burrows, Economic Dev and Partnerships Manager	1. 30/10/2018  2. 30/10/2018  3. Ongoing  4. Ongoing
<b>10. Failure to develop jobs to support the growing population</b>  <i>Owner: Director, Planning &amp; Regulatory</i>	<ul style="list-style-type: none"> <li>• Permitted development reduces commercial property supply</li> <li>• Quality of existing employment land</li> </ul>	<ul style="list-style-type: none"> <li>• Loss of income generation opportunity to the Council through business rates</li> <li>• Loss of businesses within the District</li> </ul>	L - 4 I - 3  Risk Score = 12	<ul style="list-style-type: none"> <li>• Economic Prosperity Strategy</li> <li>• LDP</li> <li>• Available Land and Premises Directory</li> </ul>	<b>Adequacy of Controls:</b>  <b>Fair Evidence:</b>  EPS Available Land and Premises Directory	1. Develop Skills Strategy  2. Refresh of the Economic Prosperity Strategy  3. Development of Enterprise Centre for the District	1. David Burrows, Economic Dev and Partnerships Manager  2. David Burrows,	1. 30/09/2018  2. 30/10/2018  3. 31/12/2022  4. Ongoing  5. Ongoing  6. Ongoing

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<p><b>Services</b></p> <p><b>Date added to register: 18/19</b></p>	<ul style="list-style-type: none"> <li>• Inadequate transport links</li> <li>• Quality of connectivity</li> <li>• Low wage economy</li> <li>• Lack of required skills</li> </ul>	<ul style="list-style-type: none"> <li>• Impacting ability to attract inward investment</li> <li>• Increased dependency of population on support for health and wellbeing</li> <li>• Ageing workforce</li> <li>• Impact on ability of essential services to recruit</li> <li>• Lack of required skills</li> </ul>				<p>4. Maximise economic opportunities relating to Bradwell</p> <p>5. Work with Haven Gateway Partnership to develop employment in priority sectors</p> <p>6. Work with ECC and SELEP to maximise opportunities for employment growth</p>	<p>Economic Dev and Partnerships Manager</p> <p>3. David Burrows, Economic Dev and Partnerships Manager</p> <p>4. David Burrows, Economic Dev and Partnerships Manager</p> <p>5. David Burrows, Economic Dev and Partnerships Manager</p> <p>6. Paul Dodson, Director, Planning &amp; Regulatory Services</p>	

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Risk	Reasons	Consequences	Current Risk Score	Current Controls in Place	Adequacy of controls in place and Evidence	Mitigating Actions being taken forward	Lead Officer on Mitigating Actions	Target dates
<b>Corporate Goal: Delivering good quality, cost effective and valued services</b>								
<b>11. Failure to protect personal or commercially sensitive data</b>  <i>Owner: Director, Resources</i>  <i>Date added to register: 09/10</i>	<ul style="list-style-type: none"> <li>Document retention policy not implemented</li> <li>Lack of ongoing understanding and awareness of Data Protection and General Data Protection Regulations (GDPR), requirements and implications</li> <li>Holding paper records unnecessarily and/or insecurely</li> <li>Human error</li> <li>Out of date information asset register</li> <li>Deliberate malicious action</li> <li>Non-compliance with any changes to legislation</li> </ul>	<ul style="list-style-type: none"> <li>Council could be fined if not compliant with legislation</li> <li>Reputational damage</li> <li>Legal challenges by individuals if personal data involved</li> <li>Individuals could be put at risk – safeguarding issue.</li> </ul>	L - 2 I - 3  Risk Score = 6	<ul style="list-style-type: none"> <li>Data protection specifically assigned to an officers within the Council - Data Protection Officer and Senior Information Risk Owner</li> <li>Information Governance Board established</li> <li>Compulsory GDPR staff training undertaken</li> <li>All IT Security and data protection policies reviewed, updated and approved</li> <li>Staff aware through the HR policies of the implications of breaching security rules</li> <li>Included in induction check list</li> <li>Critical</li> </ul>	<b>Adequacy of Controls:</b> Fair  <b>Evidence:</b> PSN Standards met IT Security and Data Protection policies Staff aware through HR policies of the implications of breaching security rules Information Governance Board Information Asset Register	1. Embed the Document Retention Policy 2. Clear unnecessary paper based records (including depot and basement) 3. Clear unnecessary digital records 4. Develop refresher GDPR training 5. Implement Data Privacy Impact Assessments as part of the corporate project management methodology	1. Ian Phillipson, Principal 2. Advisor, GDPR 3. Ian Phillipson, Principal Advisor, GDPR 4. Ian Phillipson, Principal 5. Advisor, GDPR 6. Ian Phillipson, Principal Advisor, GDPR 7. Ian Phillipson, Principal Advisor, GDPR	1. 31/03/2019 2. 31/03/2019 3. 31/03/2019 4. 31/03/2019 5. 31/03/2019

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Risk	Reasons	Consequences	Current Risk Score	Current Controls in Place	Adequacy of controls in place and Evidence	Mitigating Actions being taken forward	Lead Officer on Mitigating Actions	Target dates
				<p>technical IT issues identified in the penetration testing carried out annually are resolved</p> <ul style="list-style-type: none"> <li>• In line with Public Services Network requirements, Council's systems Administrator's password amended regularly (annually) –</li> <li>• All recommendations following audit of Cyber Security implemented</li> </ul>				
<p><b>12. A Committee structure which is not cost effective</b></p> <p><i>Owner: Chief Executive</i></p> <p><i>Date added to register: 15/16 redefined 18/19</i></p>	<ul style="list-style-type: none"> <li>• Historical structure</li> <li>• Lack of “One Team” approach</li> <li>• No appetite for change</li> <li>• Directorships structure and Committee structure not aligned</li> <li>• Lack of robust</li> </ul>	<ul style="list-style-type: none"> <li>• Inefficient and ineffective use of resources</li> <li>• Ineffective decision making</li> <li>• Impact on Member and Staff morale</li> <li>• Conflict</li> <li>• Increased number of meeting</li> </ul>	<p>L - 3 I - 3</p> <p>Risk Score = 9</p>	<ul style="list-style-type: none"> <li>• Corporate Governance Working Group</li> <li>• Good working relationship between Leadership and CLT</li> <li>• Constant review of Scheme of Delegation</li> </ul>	<p><b><u>Adequacy of Controls:</u></b> Fair</p> <p><b><u>Evidence:</u></b> Corporate Governance Working Group Scheme of Delegation</p>	<ol style="list-style-type: none"> <li>1. Track impact of change in delegation/call in for planning applications</li> <li>2. Ignite Management Structure Review to include a review of scope of Directorships and Terms of Reference for</li> </ol>	<p>1. Matt Leigh – Group Manager, Planning Services</p> <p>2. TBC – following decision at Council 7<sup>th</sup> June</p> <p>3. Paul Dodson, Director, Planning &amp;</p>	<p>1. 30/09/2018</p> <p>2. TBC – following June Council</p> <p>3. 30/09/2018</p> <p>4. 30/06/2018</p>

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Risk	Reasons	Consequences	Current Risk Score	Current Controls in Place	Adequacy of controls in place and Evidence	Mitigating Actions being taken forward	Lead Officer on Mitigating Actions	Target dates
	agenda planning	<ul style="list-style-type: none"> <li>Duplication of reports across Committees</li> </ul>		<ul style="list-style-type: none"> <li>Delegation Where a decision is required by more than one Committee and such decisions are not aligned the final decision will be made by Council.</li> <li>Reviewing best practise</li> </ul>	Member led review undertaken in 2017 – report to Council November 2017	Committees to bring into alignment <ul style="list-style-type: none"> <li>Member review of Planning Committee structure (report to Council May 2018 refers)</li> <li>Review outcome of changes implemented (since November 2017 report to Council) and report to Council</li> </ul>	4. Regulatory Services 4. Emma Foy, Director, Resources	
<b>13. Failure to manage impact of organisational change</b>	<ul style="list-style-type: none"> <li>Poor communication</li> <li>Decisions not fully informed</li> <li>Resistance to change</li> <li>Lack of “One Team” approach</li> <li>Changes not fully implemented</li> </ul>	<ul style="list-style-type: none"> <li>Desired outcomes not achieved – efficiencies not gained</li> <li>Financial results not achieved</li> <li>Lack of staff buy-in</li> <li>Low staff morale</li> <li>Loss of staff</li> <li>Customer dissatisfaction</li> <li>Impact on service delivery</li> <li>Customer and staff resistance</li> <li>Delays in implementation</li> <li>Lack of</li> </ul>	L - 2 I - 3  Risk Score = 6	<ul style="list-style-type: none"> <li>Communication to staff through “Leadership Times” and staff briefings</li> <li>Member engagement</li> <li>External consultants/ expertise employed</li> <li>Risk impact assessments undertaken</li> <li>Staff support provided through Employee Assistance</li> </ul>	<u><b>Adequacy of Controls:</b></u> Fair  <u><b>Evidence:</b></u> Briefings Intranet videos of Leadership Times Impact assessments EAP	1. Robust business case and costings to be provided to support decision making  2. Robust project management methodology to be followed (including quality impact assessments) overseen by project sponsor  3. Involve existing staff in project team  4. Employ external programme expertise and	1. TBC – following decision at Council 7 <sup>th</sup> June	TBC – following decision at Council 7 <sup>th</sup> June

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Risk	Reasons	Consequences	Current Risk Score	Current Controls in Place	Adequacy of controls in place and Evidence	Mitigating Actions being taken forward	Lead Officer on Mitigating Actions	Target dates
		<ul style="list-style-type: none"> <li>resources</li> <li>Reduced quality of work</li> <li>Increased levels of staff stress leading to increased staff absence</li> <li>Reputational damage</li> <li>Legal challenges</li> </ul>		Programme (EAP)		<p>resource to assist with implementation</p> <p>5. Develop communication plan (for staff and community) to inform and manage expectations on possible service changes</p> <p>6. Undertake robust budget scrutiny</p>		
<b>14. Unable to recruit and retain in national skill shortage service areas to meet the demands of the service</b>  <i>Owner: Group Manager, People, Performance &amp; Policy</i>  <i>Date added to register: 15/16</i>	<ul style="list-style-type: none"> <li>Competing with (larger) neighbouring councils in terms of career progression, salaries, District profile, location etc.</li> <li>Unable to attract staff</li> <li>National shortage in key areas</li> </ul>	<ul style="list-style-type: none"> <li>Lack of flexibility in the workforce in certain service areas</li> <li>Lack of expertise to engage staff and implement change at a local level</li> <li>High turnover of staff/lack of resilience</li> <li>Recruitment costs including relocation costs</li> <li>Corporate goals not achieved</li> <li>Service delivery impacted</li> </ul>	L - 2 I - 3  Risk Score = 6	<ul style="list-style-type: none"> <li>Approved Workforce Development Strategy</li> <li>Training needs identified through Performance reviews</li> <li>Performance conversations and team meetings undertaken providing opportunities for staff to express concerns/discuss issues</li> <li>Regular HR</li> </ul>	<b>Adequacy of Controls:</b> Fair <b>Evidence:</b> Workforce Development Strategy Performance Review system Performance conversations records Memo of Co-operation	<p>1. Seek approval to and implement the recruitment strategy</p> <p>2. Contribute to the agreed Memorandum of Cooperation (re training and career development of Town Planners) by implementing the agreed protocols.</p>	2. Dawn Moyse, Group Manager, People, Performance and Policy 3. Paul Dodson, Director, Planning & Regulatory Services	1. 31/03/2019 2. 31/03/2019

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Risk	Reasons	Consequences	Current Risk Score	Current Controls in Place	Adequacy of controls in place and Evidence	Mitigating Actions being taken forward	Lead Officer on Mitigating Actions	Target dates
		<ul style="list-style-type: none"> <li>• Reputational damage</li> <li>• Agency staff being employed</li> <li>• Lack of continuity in roles</li> <li>• Lack of proactivity among staff, and service managers to identify opportunities for service redesign and improvements</li> <li>• Low level of job satisfaction</li> <li>• National and local targets and standards not met</li> <li>• Inability to deliver workforce improvements</li> </ul>		<ul style="list-style-type: none"> <li>• updates being provided at CLT</li> <li>• Key personnel identified</li> <li>• Ongoing benchmarking of salaries and Terms and Conditions</li> <li>• MDC promoted as a place to work and live</li> <li>• Exit interviews undertaken to ascertain reasons for leaving MDC</li> <li>• Memorandum of Co-operation</li> </ul>				
<b>15. Failure to plan and deliver balanced budgets over the medium term</b> <i>Owner:</i>	<ul style="list-style-type: none"> <li>• Loss of central government funding</li> <li>• Introduction of 100% business rates retention</li> <li>• Possible failure of a long term contract</li> <li>• Lack of</li> </ul>	<ul style="list-style-type: none"> <li>• Corporate goals and objectives stated in the Corporate Plan not achieved</li> <li>• Further disinvestment in services required</li> <li>• Reduction in frontline services</li> </ul>	<p>L - 3 I - 3</p> <p>Risk Score = 9</p>	<ul style="list-style-type: none"> <li>• Management of establishment control</li> <li>• Regular reviews of Medium Term Financial Strategy (MTFS)</li> <li>• Line by line</li> </ul>	<p><b>Adequacy of Controls:</b> Good</p> <p><b>Evidence:</b> MTFS Budget Book Reports to CLT and F&amp;CS</p>	<ol style="list-style-type: none"> <li>1. Implement transformation projects to achieve more efficient working/save costs</li> <li>2. Implement Strategic Financial</li> </ol>	<ol style="list-style-type: none"> <li>1. Emma Foy, Director of Resources</li> <li>2. Emma Foy, Director of Resources</li> </ol>	<ol style="list-style-type: none"> <li>1. 31/03/2019</li> <li>2. Budget for 19/20 agreed by F&amp;CS 19/01/19. Council – 14/02/19.</li> </ol>

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Risk	Reasons	Consequences	Current Risk Score	Current Controls in Place	Adequacy of controls in place and Evidence	Mitigating Actions being taken forward	Lead Officer on Mitigating Actions	Target dates
<p><b>Director, Resources</b></p> <p><b>Date added to register: 08/09</b></p>	<ul style="list-style-type: none"> <li>meaningful forward planning</li> <li>Failure to deliver the desired outcomes of the Transformation programme</li> </ul>	<ul style="list-style-type: none"> <li>Significant Staff redundancies</li> <li>Reliance on reserves</li> <li>Transformation programme objectives not achieved</li> </ul>		<ul style="list-style-type: none"> <li>outturn review</li> <li>Monthly budget monitoring and quarterly reports to the Finance and Corporate Services Committee (F&amp;CS)</li> <li>Authorisation procedure of supplementary estimates</li> <li>Strategic Financial Planning process and timetable in place</li> <li>Regular meetings between Finance and services</li> <li>Liaison with Planning regarding New Homes Bonus</li> </ul>		<p>Planning process for 19/20 according to agreed timetable</p>		

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Risk	Reasons	Consequences	Current Risk Score	Current Controls in Place	Adequacy of controls in place and Evidence	Mitigating Actions being taken forward	Lead Officer on Mitigating Actions	Target dates
<b>16. Corporate policies not managed and reviewed</b>  <i>Owner: Director, Resources</i> <i>Date added to register: 16/17</i>	<ul style="list-style-type: none"> <li>No systematic approach to ensure that final version of any new policy approved is collated in a single location</li> <li>No version control</li> <li>Strategy and Policy management Guide out of date and not adhered to</li> <li>Document Control Sheet not consistently used across the Council</li> </ul>	<ul style="list-style-type: none"> <li>Weakened governance arrangements</li> <li>Potential error or challenge if most up to date and accurate version is not being referred to/used</li> <li>Financial and reputational risks</li> <li>Lack of transparency</li> <li>Lack of guidance to staff</li> <li>Corporate goals not being supported</li> </ul>	L - 3 I - 2 Risk Score = 6	<ul style="list-style-type: none"> <li>Database established</li> <li>Document control sheet</li> </ul>	<b>Adequacy of Controls: Poor Evidence:</b> Database Document Control Sheet	1. Roll out of Corporate Policy database 2. Monitoring of process to ensure being embedded (e.g. policy updates in business plans) 3. Periodic reporting to CLT on outcome of monitoring 4. Refresh Strategy and Policy Management Guide	1. Linda Weeks, Corporate Policy Officer 2. Linda Weeks, Corporate Policy Officer 3. Linda Weeks, Corporate Policy Officer 4. Linda Weeks, Corporate Policy Officer	1. 30/06/2018 2. 31/03/19 3. 31/03/19 4. 30/06/19
<b>17. Failure to maximise effectiveness of services through promotion and engagement</b>  <i>Owner: Group Manager, People, Performance &amp; Policy</i> <i>Date added to</i>	<ul style="list-style-type: none"> <li>Lack of communications plan</li> <li>No communications or social media strategies</li> <li>Lack of consistent or coordinated communication across the Council</li> <li>Lack of engagement with</li> </ul>	<ul style="list-style-type: none"> <li>Loss of significant businesses due to lack of engagement</li> <li>Reputational damage</li> <li>Financial impact (loss of business rates)</li> <li>Adverse impact on relationship with stakeholders</li> <li>Not maximising opportunities</li> </ul>	L - 3 I - 2 Risk Score = 6	<ul style="list-style-type: none"> <li>Forward plan of press releases</li> <li>Communications plan for specific engagements</li> <li>Chairman's visits</li> <li>Business newsletter</li> <li>Social media training</li> <li>Social media Acceptable use</li> </ul>	<b>Adequacy of Controls: Fair Evidence:</b> Press releases Communications plan  Business Newsletter  Social Media Guidance Corporate Communications	1. Establish a cross Council Communications Group to improve co-ordination of communications	1. Russell Dawes, Public Relations Manager	1. 30/06/18

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<b>Risk</b>	<b>Reasons</b>	<b>Consequences</b>	<b>Current Risk Score</b>	<b>Current Controls in Place</b>	<b>Adequacy of controls in place and Evidence</b>	<b>Mitigating Actions being taken forward</b>	<b>Lead Officer on Mitigating Actions</b>	<b>Target dates</b>
<i>register: 18/19</i>	businesses	(e.g. Bradwell)		• and Employee guidance	Protocol Annual Courier MDC Website Advert banners promoting events and services Service leaflets			