

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

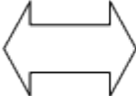
An overall risk score is reached by multiplying the likelihood score by the impact score

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 Four Q4 2017/18	Quarter One Q1 2018/19	Quarter Two Q2 2018/19	Quarter Three Q3 2018/19	Direction of Score (since last quarter)	Comments
01 - Failure to safeguard children and vulnerable adults							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>	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		Changes to the organisation as it goes through transformation are being tracked to ensure reporting officers remain in place as required.
<i>Owner: Director of Service Delivery</i>							Whole staff briefings were scheduled for January and February 2019 utilising the late opening days. However, this was deferred due to the need to concentrate on Phase1 mobilisation. New staff training dates are being established and Members will be trained as part of the induction programme later this year.


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<p>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>							<p>A significant amount of work is being undertaken as detailed below.</p> <ul style="list-style-type: none"> • Development of Livewell Strategy – updated following consultation and 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 with the help of £5k funding secured by the CVS.
<p><i>Date risk added to Register: Redefined 2016/17</i></p>	<p>L - 3 I - 3 Risk Score = 9</p>	<p>L - 3 I - 3 Risk Score = 9</p>	<p>L - 3 I - 3 Risk Score = 9</p>	<p>L - 2 I - 3 Risk Score = 6</p>	<p>L - 2 I - 3 Risk Score = 6</p>		
<p><i>Owner: Director of Service Delivery</i></p>							<ul style="list-style-type: none"> • A project to support weight management and obesity in a targeted area of District has various strands of the project progressing. “Grow it Cook it Share it” project has been finalised, funding in place and lead organisation who will deliver. • We continue to support the expansion of the ACE weight management service in the District including expanding the drop in service to include other organisations. We now have 7 sessions set up across the District with further ones in the pipeline. • We continue to increase the use of social media and the Livewell Website for promotion of healthy living. In Q3 we tweeted and retweeted 86 times on Public Health and Community Development. • Gardening Project Southminster - this MDC funded project is now complete. However, the Dengie Project Trust has asked for the project to continue

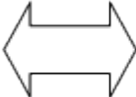
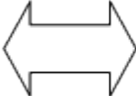
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							<p>and secured funding for this.</p> <ul style="list-style-type: none"> • We are working with various partners, including MIND, E CC and CVS which has led to a mental health hub project being delivered in partnership with the Salvation Army. The project will see up to 100 volunteers receiving training and support. • 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 two schools who are actively participating in intergenerational projects. We are seeking other groups who are in close proximity to schools to set them up with. • 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 is dealing with 60 isolated residents per month in the District; - Beacon Hill Rovers Football Club project to increase involvement of younger girls and older and disabled people in sport; - Abberton Rural training supports unemployed to be active and gaining work-based skills, including a weight management programme. The funding is currently supporting 16 Maldon residents to participate in outdoor physical activity programmes. All the participants are long term unemployed, and most have



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							<p align="center">additional physical and mental issues</p> <p>Good progress is being made with our Design Council project, funded via LGA, to support young people's Mental Health. This is working in partnership with Essex Youth Service, Essex County Council Social Care and Barnardo's.</p>
<p>03 - Failure to target services and influence partners effectively to support the identified housing needs of an increasing ageing population</p>	<p>L - 3 I - 4 Risk Score = 12</p>	<p>L - 3 I - 4 Risk Score = 12</p>	<p>L - 3 I - 4 Risk Score = 12</p>	<p>L - 3 I - 4 Risk Score = 12</p>	<p>L - 3 I - 4 Risk Score = 12</p>	<p align="center"></p>	<p>There have been a number of discussions with other services and partners that deal with a range of issues in relation to delivering housing to meet the needs for older people. Whilst these have moved forward, at this time nothing has been formally agreed so the risk score is unchanged.</p>
<p><i>Date risk added to Register: 2016/17</i></p>							
<p><i>Owner: Director of Service Delivery</i></p>							

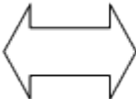
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<p>04 – Failure to influence Community Safety partners to address the key areas of public concern (including rural crime) and the negative perception of crime</p> <p><i>Date risk added to Register: 2017/18</i></p> <p><i>Owner: Director of Service Delivery</i></p>	<p>L - 3 I - 2 Risk Score = 6</p>	<p>L - 3 I - 3 Risk Score = 9</p>	<p>L - 3 I - 3 Risk Score = 9</p>	<p>L - 3 I - 3 Risk Score = 9</p>	<p>L - 3 I - 3 Risk Score = 9</p>	<p align="center"></p>	<p>The Council continues to address crime working as part of the Community Safety Partnership. Activity is reviewed by the Overview and Scrutiny Committee acting as the Crime and Disorder Committee twice yearly. Members concerns are raised at Chief Inspector level and via the Police, Fire and Crime Commissioner (PFCC). Officers arranged a specific Member Briefing with the PFCC in February in addition to a public meeting in January. The Community Safety Partnership undertakes a Strategic Assessment (SA) of activities on an annual basis which address local concerns. The SA also informs priority for the local Community Policing Teams.</p>
<p>05 – Failure to deliver the required infrastructure to support development arising from the LDP</p> <p><i>Date risk added to Register: 2014/15</i></p> <p><i>Owner: Director of Strategy, Performance and Governance</i></p>	<p>L - 3 I - 4 Risk Score = 12</p>	<p>L - 3 I - 4 Risk Score = 12</p>	<p>L - 3 I - 4 Risk Score = 12</p>	<p>L - 3 I - 4 Risk Score = 12</p>	<p>L - 3 I - 4 Risk Score = 12</p>	<p align="center"></p>	<p>There is ongoing progress with the management systems for Section 106 infrastructure. However the S106 Officer is leaving the Council and whilst a replacement will be recruited, any potential reduction of this risk is on hold currently.</p>

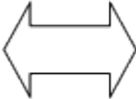
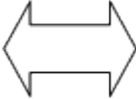
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<p>06 – Failure to have a clear shared plan regarding strategic ownership of coastal, fluvial and surface flood mitigation and long term maintenance responsibilities</p> <p><i>Date risk added to Register: 2015/16</i></p> <p><i>Redefined 2017/18</i></p> <p><i>Owner: Director of Strategy, Performance and Governance</i></p>	<p>L - 3 I - 4 Risk Score = 12</p>	<p>L - 4 I - 4 Risk Score = 16</p>	<p>L - 4 I - 4 Risk Score = 16</p>	<p>L - 4 I - 4 Risk Score = 16</p>	<p>L - 4 I - 4 Risk Score = 16</p>	<p align="center"></p>	<p>The Action Plan previously presented to the Audit Committee was updated and a further report and updated plan was presented to the Audit Committee in December. Members do not wish to amend the risk score at this stage, but will review in 2019/20.</p> <p>The Action Plan is to be discussed at the Coast & Flood Group in Quarter 4.</p>
<p>07 – Failure to maintain a 5 year supply of Housing Land</p> <p><i>Date risk added to Register: 2017/18</i></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 align="center"></p>	<p>The latest statement determines that for 2017/18 5.54 years of supply were available, even though the Government has changed the basis for the calculation.</p> <p>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</p>

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<i>Owner: Director of Strategy, Performance and Governance</i>							<p>Inspector found in favour of the Council.</p> <p>Maintaining a five year housing land supply strengthens the Council's ability to protect the District against speculative development. Since the 31 October 2018, the LDP is not defined by the NPPF definition (para 74) as recently adopted, but is up to date and with a 5 year housing land supply, reduces the risk of speculative development in the District.</p>
08 - Failure to meet the affordable housing need							<p>Mitigating actions are being taken forward to overcome the shortfall in affordable housing.</p> <p>The programme of Community led housing is continuing with detailed works for some options and several groups now working with the Council.</p>
<i>Date risk added to Register: 2016/17</i>							
<i>Owner: Director of Strategy, Performance and Governance</i>	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		<p>The Affordable Housing Supplementary Planning Document (SPD) was adopted by the Council in November 2018 which now has weight in the consideration of planning applications.</p> <p>The Council continues to secure affordable housing provision in compliance with the LDP policy and with strategic sites now underway the Council will start to see new affordable homes being built that meet local need and that are in accordance with the SPD.</p> <p>In the meantime, however, the risk score remains unchanged.</p>

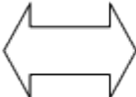
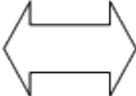
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09 - Failure to have a co-ordinated approach to supporting inward investment and maximising business rate growth							<p>An Internal Communications strategy is being developed to ensure that all services are aware of the priority of supporting inward investment and maximising business rate growth, though it is currently behind schedule.</p>
<i>Date risk added to Register: 2017/18</i>	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12	L - 2 I - 4 Risk Score = 8	L - 2 I - 4 Risk Score = 8		<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>
Owner: Director of Strategy, Performance and Governance							<p>Reviewing the Economic Prosperity Strategy is currently on hold pending the outcome of work on the new Corporate Plan which will have impact on the focus of the Strategy.</p> <p>The employment land register is now operational and will be used for business support such as the Central Area Masterplan project for the Lower High Street.</p> <p>The risk score remains the same at this current time.</p>
10 - Failure to develop jobs to support the growing population	L - 4 I - 3 Risk Score = 12	New risk 18/19	L - 4 I - 3 Risk Score = 12	L - 4 I - 3 Risk Score = 12	L - 4 I - 3 Risk Score = 12		<p>Work with economic initiatives including the Enterprise Centre proposals is ongoing. The key activity will be facilitating the commercial sites within the LDP to come forward for development.</p>
<i>Date risk added to Register: 2018/19</i>							<p>Mitigating actions that are being taken forward to reduce this risk include:</p>

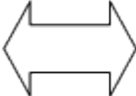

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<p><i>Owner: Director of Strategy, Performance and Governance</i></p>							<ul style="list-style-type: none"> • Refreshing the Economic Prosperity is currently on hold pending the outcome of work on the new Corporate Plan. • Maldon District Skills Strategy – The public consultation closed in December 2018. The Strategy is now being updated and will be submitted to Planning & Licensing Committee for adoption, together with the Maldon District Skills Action Plan. • Enterprise Centre - Update received from ECC: a number of discussions took place at the end of 2018 with regard to the process, due to some concerns raised by partners. SELEP have since provided an updated programme and will circulate the detailed scheme technical information, to provide feedback on a scheme by scheme basis. This will be followed by a month long engagement process after which the Accountability Board and Investment Panel will meet. • Maximising economic opportunities relating to Bradwell - Invest Essex are coordinating a nuclear supply chain event in Suffolk for companies in Essex and Suffolk that are interested in supplying to Hinkley Point C project in Somerset. The Economic Development team will promote to local companies and support. • Working with Haven Gateway Partnership (HGP) – In November 2018 HGP held a special Board meeting to discuss the future direction for the Partnership. The Leader of MDC attended.

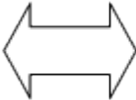
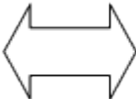
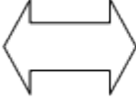
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11 - Failure to protect personal or commercially sensitive data							The risk around failure to protect personal or commercially sensitive data remains high until we have reduced the high level of paper documentation in place in the organisation. This is being addressed as part of the Council Transformation.
<i>Date risk added to Register: 2009/10</i>	L - 2 I - 3	L - 2 I - 3	L - 2 I - 3	L - 2 I - 3	L - 2 I - 3		Destruction of paper was on-going throughout 2018 and activity will continue during the re-structure. Once the clear desk policy is fully implemented a reduction to this risk score can be considered.
<i>Owner: Director of Resources</i>	Risk Score = 6	Risk Score = 6	Risk Score = 6	Risk Score = 6	Risk Score = 6		In addition to the paper destruction, the digital archive has been reduced and will also continue during the re-structure. Work is being undertaken with the Technology work stream of the future model Implementation Team to identify where we can introduce automatic deletion periods and identify old records for destruction.
12 - A Committee structure which is not cost effective							Alternative Governance arrangements were presented to Full Council on 14th February and were approved for implementation in the autumn of 2019.
<i>Date risk added to Register: Redefined 2018/19</i>	L - 3 I - 3	L - 3 I - 3	L - 3 I - 3	L - 3 I - 3	L - 3 I - 3		The risk score will be reconsidered in light of this in Q4.
<i>Owner: Director of Resources</i>	Risk Score = 9	Risk Score = 9	Risk Score = 9	Risk Score = 9	Risk Score = 9		

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13 – Failure to manage impact of organisational change							The Council continues to manage the impact of organisational change. Phase 1 went live on 25 th February and consultation for Phase 2 started in March 2019.
<i>Date risk added to Register: 2018/19</i>							
<i>Owner: Director of Resources</i>	L - 2 I - 3 Risk Score = 6	New Risk 18/19	L - 2 I - 3 Risk Score = 6	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9		Mitigating actions that are being taken forward to reduce this risk include: <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.
14 – Unable to recruit and retain staff in national skill shortage areas to meet the demands of the service	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		We are advertising a number of posts externally currently and we will revisit this risk score when we have reviewed the shortlisting and if we are unable to recruit staff in key areas such as planning.
<i>Date risk added to Register: 2015/16</i>							
<i>Owner: Director of Resources</i>							

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15 – Failure to plan and deliver balanced budgets over the medium term	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		Whilst the Council is able to balance its budget over the medium term using current projections and incorporating Full Council Transformation Savings, there remain some serious future funding risks following on from the Fair Funding Review in 2021 and Business Rates reset. When more certainty is available this score will be revisited.
<i>Date risk added to Register: 2008 / 09</i>							
<i>Owner: Director of Resources</i>							
16 – Corporate policies not managed and reviewed	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		As part of the transformation programme there is a full review of the Corporate Policies in Finance, HR, Legal and IT - these will be updated by 31/10/2019.
<i>Date risk added to Register: 2016/17</i>							
<i>Owner: Director of Resources</i>							
17 – Failure to maximise effectiveness of services through promotion and engagement	L - 3 I - 2 Risk Score = 6	New Risk 18/19	L - 3 I - 2 Risk Score = 6	L - 3 I - 2 Risk Score = 6	L - 3 I - 2 Risk Score = 6		As part of the implementation of Phase 1 in February a new communications strategy and team are now in place.
<i>Date risk added to Register: 2018/19</i>							
<i>Owner: Director of Resources</i>							