

Corporate Risk Report Q2 – Appendix 2

31st October 2019

Please note risk are sorted in Overall Risk Rating descending order



APPENDIX 2

Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R3	Failure to target services/influence partners effectively to support identified housing needs of increasing aging population	3	4	12	Risk rating unchanged	Q2 - Planning Application, outline in nature, has been granted for an 'older person village' at Burnham. Once built will substantially assist in meeting the housing need for older people. Also working with other parties to meet this need on other sites. Whilst outline permission has been granted it is not considered that the likelihood can move to un-likely.
R5	Failure to deliver the required infrastructure to support development arising from the LDP	4	3	12	Risk rating unchanged	Q2 - The interim S106 officer liaising with the Strategy Theme Lead Place has made good progress in monitoring S106 regarding delivery of payments and contributions and are up to date with clear sight going forward.
R6	Failure to have a clear shared plan regarding strategic ownership of coastal, fluvial and surface flood mitigation and long term maintenance responsibilities	3	4	12	Risk rating unchanged	Q2 Plan updated by all partners in Q2 with schemes completed and new schemes included. An additional column was added to included the date the project was added to the Plan to enable performance to be monitored clearly. The operational meeting of the Strategic Flood and Maintenance Projects group was held in Q3 and this will be reported to the Flood & Coastal Group due to be held in December.
R7	Failure to maintain a 5 year supply of Housing Land	3	4	12	Risk rating unchanged	Q2 - Site S2(d) Hybrid application approved September 2019. Site S2(a) western parcel 1st Reserved Matters application to be submitted for 106 dwellings October 19 2019. Site S2(k) detailed application for 90 dwellings to be submitted October 19 2019. These sites will significantly contribute to maintaining the 5YHLS.
R8	Failure to meet the affordable housing need	3	4	12	Risk rating unchanged	Q2 - Schemes are now being policy compliant and a number of windfall applications have helped to erode the shortfall. However, there is a need to think 'outside the box'. Working on ways to solve this including working with other parties.
R10	Failure to develop jobs to support the growing population	4	3	12	Risk rating unchanged	Q2 - There is an interest in vacant sites in the Causeway Regeneration Area with businesses wishing to locate: planning application by Screwfix. North Quay Development Brief preparation is engaging with businesses, landowners and landlords to promote and develop the defined area for job creation.

APPENDIX 2

Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R18	2020 Savings not delivered from strategic reductions	3	4	12	Risk rating unchanged	Q2 - Review of position underway to identify progress and mitigation of any shortfall, currently risk unchanged. Risk will be superseded by R25.
R20	Failure to have a Disaster Recovery & Business Continuity Plan(BCP)	3	4	12	Risk rating increased	Q2 - Currently running out of space on main FS1 drive so high risk. Committee report to approve procurement of additional drives and then plan to move to Cloud which will remove risk
R22	Contracts not managed or owned and not providing Value For Money, out of contract on many across Council. Procurement Process not adhered to resulting in fines, loss of reputation	4	3	12	Risk rating unchanged	Q2- Audit identified risk - recommendations in place but at risk due to resource and current lack of time and ownership by contract owners or contracts with no identified owner. Procurement post in progress of recruitment .
R23	Poor Financial Accounting	3	4	12	Risk rating unchanged	Q2 - Transformation has left a lot of gaps so Financial process not currently robust and several areas of risk. Actions are being taken to address the gaps identified. These include putting in place controls and checks in the processes and procedures for staff to follow. Additional expert external support has been engaged to assist in the programme of work and put in place the necessary controls.
R13	Failure to manage impact of organisational change	3	3	9	Risk rating unchanged	Q2 -Programme delivery period ends on 31/10. Impact continues to be monitored and will also be monitored following go live. A review of programme risks will be undertaken and transferred into Corporate Risk Register as appropriate following 'go live at end October.
R14	Unable to recruit and retain staff in national skill shortage areas to meet the demands of the service	3	3	9	Risk rating unchanged	Q2- The Council continues to manage vacancies actively utilising agency staff and working in partnership with local authorities where appropriate. Recruitment experience has shown it is harder to fill specialist roles compared to caseworkers for example. Some success has achieved in advertising roles in a different way leading to an increase in applications for some roles previously difficult to attract applicants to. Recruitment is monitored on a weekly basis at a senior level and will continue until staff vacancies are filled as required.

APPENDIX 2

Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R15	Failure to plan and deliver balanced budgets over the medium term	3	3	9	Risk rating unchanged	Q2: The council will have implemented the full Transformation Programme Future Model structure by the end of October 2019 which will deliver net savings in expenditure and increased income from existing and new sources of £1.8m in total by 2022/23. There continues to be uncertainty over the future funding levels from the government for 2020/21 and future years pending the response of the government to the Needs and Resources Review and the Fair Funding Review Consultations. The government has announced that the Provisional Local Government Finance Settlement will be published in the autumn. It is expected that it will be for one year only.
R24	Loss of key skills and knowledge across the organisation, and failure to embrace new working cultures.	3	3	9	Risk rating unchanged	Q2 - SMART objectives, Agile & process training launched for all as part of roll out. Recruitment has been progressed on business need and skills required. Change champions are now focusing on organisational culture & behaviours.
R27	Failure of stakeholder & member engagement with the transformation programme.	3	3	9	Risk rating unchanged	Q2 - Members are kept informed regularly through gateway reviews of transformation progress. Minutes of the transformation board are made available to members for information. There are also plans to hold a member briefing towards the end of the year. Council Staff are continually kept up to date via weekly 'team talk', there has also been a number of all staff briefings held, next one planned for October.
R1	Failure to safeguard children and vulnerable adults	2	4	8	Risk rating increased	<p>Q2 - The Council continues to meet safeguarding responsibilities during the transformation journey. Officers continue to report concerns and make referrals as required. A training need has been identified for staff and Members and as transformation completion nears this will be incorporated into individual training plans for staff and briefings for Members.</p> <p>The likelihood has been increased to 'unlikely' to reflect the change in staff and teams following transformation. This score will be revisited in Q3.</p>

APPENDIX 2

Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R9	Failure to have a co-ordinated approach to supporting inward investment and maximising business rate growth	2	4	8	Risk rating unchanged	Q2- The draft Thematic Strategy identifies the actions, partners and priorities required to deliver inward investment and business growth. Awaiting imminent approval by Council. Prosperity Theme Lead in place and SoP Coordinator role being advertised.
R19	2020 Savings not delivered from new commercial surplus	2	4	8	Risk rating unchanged	Q2 - Work underway within programme to progress business cases, feasibility fund and programme Board established, with first business cases developed. Further review of progress on arrival of Commercial Manager to post on 18/11/19. Risk will be superseded by R25
R25	Failure to deliver finances associated to transformation programme.	2	4	8	Risk rating unchanged	Q2 - Members are updated regularly through gateway reviews. S151 Officer monitoring financial position, which informs the MTFS
R26	Failure to deliver channel shift, through lack of customer engagement or undelivered processes	2	4	8	Risk rating unchanged	Q2 - Prioritising the top 25 processes ready for launch at the end of October. A new Website is also being redesigned to aid customer journey and channel shift. Customer Support Advisors(CSA) are being trained to promote channel shift.
R2	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	2	3	6	Risk rating unchanged	Q2 - livewell action plan is awaiting committee submission (community strategy measures also supporting this mitigating action) due to amalgamation of Leisure and Sports Development Strategy and livewell strategy - Health data supporting thematic strategies has been centralised so that consistent sources are used across the Council. Awaiting location on SharePoint for this to go. - New health improvement officer will be starting in October which will further support Maldon's link to the Public Health Network - livewell group is functioning quarterly and currently at a review process to ensure that the partners who attend are jointly working towards the priorities.

Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R4	Failure to influence Community Safety partners to address the key areas of public concern (including rural crime) and the negative perception of crime	2	3	6	Risk rating decreased	Q2 - In September the Police increased resources specifically in the Maldon District dedicating two PC's for Maldon Town. The Gypsy Traveller Rural Engagement team has re formed as the Rural Crime Team, resources have doubled which should result in a positive impact in the whole district. The Community Safety Hub is working well ensuring good lines of communications and being able to target problem areas. The Police have now improved working relationships with schools in the district, The Plume School, Ormiston Academy and the Heybridge Cooperative Academy now have dedicated PC contacts with regular visits being made.
R11	Failure to protect personal or commercially sensitive data	2	3	6	Risk rating unchanged	Q2 - E-Learning is currently being considered. Tier 2 Manager Training included Data Responsibilities. 2 Minor breaches in relation to letters being sent to incorrect person. CCTV policies needs to be reviewed following new guidance from ICO
R16	Corporate policies not managed and reviewed	3	2	6	Risk rating unchanged	Q2 - Database updated, Policy review to be built into Strategic Cycle to ensure updates are managed.
R17	Failure to maximise effectiveness of services through promotion and engagement	3	2	6	Risk rating unchanged	Q2 - Communications strategy being delivered within Transformation Programme and Marketing and Communications Corporate Strategy due for approval at S and R Committee on 17th October. This risk should then be further reviewed with a view to reducing risk level.
R12	A Committee structure which is not cost effective	1	3	3	Risk rating decreased	Q2 -New Committee structure based on strategic approach, and reduce resource impact no fully approved and live from 3/10/19
R21	Poor Financial audit	1	2	2	Risk rating	Q2- Financial audit almost complete, no major qualifications expected.