

# Corporate Risk Register Quarterly Review

**Impact (I)**

4 – High

3 – Moderately High

2 – Moderately Low

1 – Low

**Likelihood (L)**

4 – Very Likely

3 – Likely

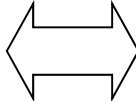
2 – Unlikely

1 – Very Unlikely

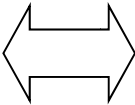

An overall risk score is reached by multiplying  
the likelihood score by the impact score

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

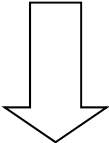
Anything in the shaded area is considered to be “below the  
Council’s tolerance line”

<b>Risk</b>	<b>Original Risk Score</b>	<b>Quarter One Q1 2016/17</b>	<b>Quarter Two Q2 2016/17</b>	<b>Quarter Three Q3 2016/17</b>	<b>Quarter Four Q4 2016/17</b>	<b>Direction of Score (since last quarter)</b>	<b>Comments</b>
<b>01 - Failure to safeguard children and vulnerable adults</b>	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		The Director of Customers and Community continues to attend departmental meetings to raise the profile of safeguarding within the Council. The internal departmental safeguarding group has now been enlarged to include a representative from the Planning and Regulatory Services Directorate and the Community Protection Team. This work is ongoing.
<i>Date risk added to Register: 2012/13</i>							
<i>Owner: Director, Customers and Community</i>							

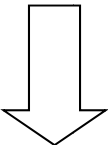

# APPENDIX 1

Risk	Original Risk Score	Quarter One Q1 2016/17	Quarter Two Q2 2016/17	Quarter Three Q3 2016/17	Quarter Four Q4 2016/17	Direction of Score (since last quarter)	Comments
<b>02 - Failure to target services and influence partners effectively to meet the health and wellbeing needs of the vulnerable population</b> <i>Date risk added to Register: Redefined 2016/17</i> <i>Owner: Director, Customers and Community</i>	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	L - 3 I - 3 Risk Score = 9		Officers continue to work with Members to develop a strategy for the Council through the Member Task and Finish Working Group. Officers have been tasked with undertaking an audit of community groups to identify any shortfall in provision within the district for consideration by the working group when it next meets. A Key Corporate Activity under the Corporate Goal “Strengthening communities to be safe, active and healthy” has been included within the update to the corporate plan to implement projects that contribute to the local health and wellbeing needs: obesity, old age, frailty isolation & educational attainment
<b>03 - Failure to target services and influence partners effectively to support the increasing ageing population (re housing needs)</b> <i>Date risk added to Register: 2016/17</i> <i>Owner: Director, Customers and Community</i>	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12	L - 4 I - 4 Risk Score = 16	L - 4 I - 4 Risk Score = 16		Funding reduced for supported/sheltered housing and limited capacity identified to date to mitigate this risk. With an ageing population with increasing number of older and vulnerable people this risk remains high.


# APPENDIX 1

Risk	Original Risk Score	Quarter One Q1 2016/17	Quarter Two Q2 2016/17	Quarter Three Q3 2016/17	Quarter Four Q4 2016/17	Direction of Score (since last quarter)	Comments
<b>04 - Changes to police resources/ priorities impacts resident perception of crime</b> <i>Date risk added to Register: 2016/17</i>							<p>The Council continues to work with Essex Police and the Police and Crime Commissioner (PCC) to ensure the public are receiving an appropriate level of service and that any interventions undertaken by the Community Safety Partnership work towards improving outcomes for the community.</p>
<b>Owner: Director, Customers and Community</b>	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	L - 2 I - 2 Risk Score = 4		<p>The Overview and Scrutiny Committee acting as the Crime and Disorder Committee invited the PCC to its April meeting along with the Chief Inspector and Detective inspector for the District to discuss police performance. In addition the Council hosted a public meeting held by the PCC to discuss the transfer of the Maldon Police Station to Princes Road. This issue has provoked strong public reaction, but the PCC gave reassurance that the move will not impact performance. Officers also believe there will be advantages in having the police embedded within the Council to improve overall service delivery.</p> <p>The risk score has been decreased and as agreed by CLT has been removed from the Corporate Risk Register for 2017/18. However, the Overview and Scrutiny Committee acting as the Crime and Disorder Committee will review the situation at its next meeting in October and if it is felt that there has been a negative impact or concerns are raised then a risk relating to this issue will be added to the risk register at that time.</p>

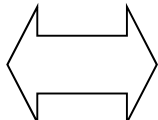
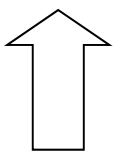
## APPENDIX 1

Risk	Original Risk Score	Quarter One Q1 2016/17	Quarter Two Q2 2016/17	Quarter Three Q3 2016/17	Quarter Four Q4 2016/17	Direction of Score (since last quarter)	Comments
<b>05 - Failure to have an adopted LDP</b>	L - 4	L - 4	L - 4	L - 4	L - 3		Consultation on Post Examination modifications to the Plan was undertaken between 17 March and 28 April 2017.
<b><i>Date risk added to Register: 2011 / 12</i></b>	I - 4 Risk Score = 16	I - 4 Risk Score = 16	I - 4 Risk Score = 16	I - 4 Risk Score = 16	I - 4 Risk Score = 16		Likelihood has been reduced, but remains high as issues may be raised as a result of the consultation, which the Inspector or Secretary of State deems worthy of a new examination or further modifications. Until the responses are known a further reassessment is not possible.
<b><i>Owner: Director, Planning &amp; Regulatory Services</i></b>							
<b>06 – Failure to deliver the required infrastructure to support development arising from the LDP</b>	L - 3	L - 3	L - 3	L - 3	L - 3		Joint working with development partners is ongoing to ensure schemes remain viable with infrastructure provision, to avoid delay. While positive discussions are still taking place with the developers, until such time as these are subject to a formal decision making process including relevant legal agreements in place, this will remain high risk.
<b><i>Date risk added to Register: 2014/15</i></b>	I - 4 Risk Score = 12	I - 4 Risk Score = 12	I - 4 Risk Score = 12	I - 4 Risk Score = 12	I - 4 Risk Score = 12		
<b><i>Owner: Interim Strategic Planning Policy Manager</i></b>							


**APPENDIX 1**

Risk	Original Risk Score	Quarter One Q1 2016/17	Quarter Two Q2 2016/17	Quarter Three Q3 2016/17	Quarter Four Q4 2016/17	Direction of Score (since last quarter)	Comments
<b>07 - Uncertainty regarding strategic ownership of flooding mitigation and long term maintenance responsibilities</b> <i>Date risk added to Register: 2015/16</i> <i>Owner: Interim Strategic Planning Policy Manager</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		While there is no change in the position reported previously, the recent BDO audit into Flooding and Strategic Responsibilities includes recommendations to address this issue which will be monitored and reported as part of the performance and risk management framework.



# APPENDIX 1

Risk	Original Risk Score	Quarter One Q1 2016/17	Quarter Two Q2 2016/17	Quarter Three Q3 2016/17	Quarter Four Q4 2016/17	Direction of Score (since last quarter)	Comments
<b>08 - Being designated as an under-performing authority due to major planning applications and appeals performance</b>  <i>Date risk added to Register: 2015/16</i>  <b>Owner: Director, Planning &amp; Regulatory Services</b>	L - 2 I - 3 Risk Score = 6	L - 4 I - 4 Risk Score = 16	L - 4 I - 4 Risk Score = 16	L - 4 I - 4 Risk Score = 16	L - 4 I - 4 Risk Score = 16		<p>A recruitment drive is currently being undertaken and a number of good candidates have been offered roles.</p> <p>An external consultant is reviewing a number of aspects of the Planning Service and it is likely that this will highlight additional opportunities to reduce workload, improve capacity, increase resilience and provide comprehensive training to Members; all of which will help to mitigate this risk.</p> <p>Local authorities have been advised that for 2018 the threshold for the speed of decisions on major applications will be increased from 40% to 50% and a threshold for non-major development introduced of 65%. This is not an area of concern for MDC with current performance over 90% for determination on both major and non-major development.</p> <p>However, it is important to note that the threshold for appeal decisions allowed will reduce to 10% and a new target for 'minor' and 'other' applications will be introduced also at 10%. It is this aspect which raises the biggest risk for MDC and the reason the 'Likelihood' score has not been reduced.</p>
<b>09 - Failure to adapt policy to meet the affordable housing need</b>	L - 3 I - 4 Risk Score = 12	L - 2 I - 4 Risk Score = 8	L - 2 I - 4 Risk Score = 8	L - 2 I - 4 Risk Score = 8	L - 3 I - 4 Risk Score = 12		<p>Risk increased due to changes in national policy (Housing and Planning Act) and reduction in capacity of housing associations to develop (rent reductions and uncertainty about future income). The LDP Examination in Public highlighted the shortfall in delivery of affordable homes requirement and the need to consider additional methods outside of the LDP to</p>

# APPENDIX 1

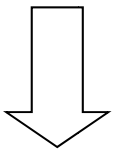

Risk	Original Risk Score	Quarter One Q1 2016/17	Quarter Two Q2 2016/17	Quarter Three Q3 2016/17	Quarter Four Q4 2016/17	Direction of Score (since last quarter)	Comments
<i>Date risk added to Register: 2016/17</i>							meet local housing need.
<i>Owner: Strategic Housing Manager</i>							
<b>10 - Failure of the Council to influence partners, to support and encourage economic prosperity</b>							Maldon is now formally concentrating its efforts on partnership working for economic development via the Haven Gateway Partnership. Members and Officers have met with partnership representatives to seek opportunities to work in partnership to further the District's economic prosperity plans. A meeting has been organised with the CEO of the Haven Gateway Partnership to work with the Council to develop its strategies and synergies with the partnership to allow more coordinated partnership working.
<i>Date risk added to Register: 2015/16</i>	L - 3 I - 3 Risk Score = 9	L - 2 I - 3 Risk Score = 6	L - 2 I - 3 Risk Score = 6	L - 2 I - 3 Risk Score = 6	L - 2 I - 3 Risk Score = 6		Arrangements have been made to meet with partners to develop a Skills Strategy for the District.
<i>Owner: Chief Executive</i>							The Council regularly attends the Heart and Haven Transport Board which focuses on delivery of infrastructure that will benefit our District. Council representatives also attend the Essex Integrated Growth Forum, so are at the table to hear updates on opportunities that may assist us in delivering our Economic Prosperity Strategy Goals.  A recent Leader's Supper with Causeway Businesses

# APPENDIX 1

Risk	Original Risk Score	Quarter One Q1 2016/17	Quarter Two Q2 2016/17	Quarter Three Q3 2016/17	Quarter Four Q4 2016/17	Direction of Score (since last quarter)	Comments
							and Central Area businesses concluded that there is an appetite to set up Causeway Business Forum which will enable the Council to get a better understanding of the needs of the businesses in that area and use its influence to support delivery. This will be progressed as part of the Economic Development work plan during 2017/18.
<b>11 - Failure to resource overall transformation programme</b>	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9	L - 2 I - 2 Risk Score = 4	L - 2 I - 2 Risk Score = 4		There is already a transformation reserve set aside. Work on the Transformation Programme is at an early stage and as 2017 / 18 progresses the Transformation Strategy will emerge and therefore the allocation of already available resources to deliver the Strategy will be determined in accordance with the agreed programme.
<i>Date risk added to Register: 2015/16</i>							
<i>Owner: Director, Resources</i>							This risk is now within the accepted tolerance level and has been removed from the risk register for 2017 / 18.
<b>12 - Failure to protect personal or commercially sensitive data</b>	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 - 3 I - 2 Risk Score = 6		There have been no data breaches reported in Q4.
<i>Date risk added to Register: 2009/10</i>							User education regarding information security and management is on-going and has now been introduced into Induction sessions too. Notifications of specific threats are sent to Members and Staff on an ongoing basis as and when appropriate.
<i>Owner: Director, Resources</i>							In reality the risk likelihood will never become unlikely since human beings are prone to error and therefore the risk score remains unchanged.




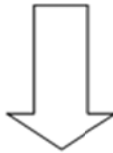
# APPENDIX 1

Risk	Original Risk Score	Quarter One Q1 2016/17	Quarter Two Q2 2016/17	Quarter Three Q3 2016/17	Quarter Four Q4 2016/17	Direction of Score (since last quarter)	Comments
<b>13 - Committee structure not fit for purpose</b> <i>Date risk added to Register:2015/16</i> <i>Owner: Chief Executive</i>	L - 3 I - 3 Risk Score = 9	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12	L - 3 I - 3 Risk Score = 9		Council has agreed that a Member led working group will look at options to improve effectiveness of the Council's governance arrangements and committee structure over the next 6 months and will report back to Council.
<b>14 - Lack of resilience or inability to recruit and retain staff within identified skill shortage service areas</b> <i>Date risk added to Register:2015/16</i> <i>Owner: Director of Resources</i>	L - 3 I - 3 Risk Score = 9	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 risk score remains unchanged at this present time.</p> <p>During Q4 29 vacant positions within the Council were advertised.</p> <p>We are experiencing difficulties in recruiting experienced planners; this is a nationwide problem and being investigated further by EELGA. There is no short term solution for this. However, we have put in place interventions to attract planners to the MDC workforce, such as a developed microsite with testimonials from staff; market supplements; promotion of the district as a place to live and work and capturing the diverse range of work and experience to be gained working in a rural and coastal area of Essex.</p> <p>We are also at the early stages of expressing our interest in a county wide cohort to support a Town Planning Apprenticeship. There has been a regional project looking at various ways of helping to address</p>

# APPENDIX 1

Risk	Original Risk Score	Quarter One Q1 2016/17	Quarter Two Q2 2016/17	Quarter Three Q3 2016/17	Quarter Four Q4 2016/17	Direction of Score (since last quarter)	Comments
							<p>the shortage of planners and EELGA have been working at various levels from developing a schools pack, helping galvanise support for the degree apprenticeship trailblazer, working with the LGA on developing a not for profit organisation bringing in people from outside the sector for yearlong placements in local authorities with a training programme (Public Practice).</p> <p>There has been a regional group helping to direct the work and representatives from Tendring and Southend have expressed interest in helping to get entry level apprenticeships. The Head of Planning at ECC is gauging interest from across the County so that EELGA can assess demand to see if they can influence providers. MDC has stated its interest in being part of this initiative.</p> <p>We wait to see if the changes to intermediary legislation IR35 will have a positive impact on the recruitment market, drawing potential candidates away from consultancy and back into PAYE.</p>

# APPENDIX 1

Risk	Original Risk Score	Quarter One Q1 2016/17	Quarter Two Q2 2016/17	Quarter Three Q3 2016/17	Quarter Four Q4 2016/17	Direction of Score (since last quarter)	Comments
<b>15 - Inability to deliver a balanced budget</b>							Following work done with Members and Officers during 2016 / 17, the Budget and council tax setting process for 2017 / 18 concluded on 16 February 2017 when Council approved the Budget for 2017 / 18 and set the Council Tax.
<i>Date risk added to Register: 2008 / 09</i>							
<i>Owner: Director of Resources</i>	L - 2 I - 3 Risk Score = 6	L - 3 I - 4 Risk Score = 12	L - 3 I - 3 Risk Score = 9	L - 2 I - 3 Risk Score = 6	L - 2 I - 3 Risk Score = 6		Council approved the Medium Term Financial Strategy at the same time which shows that the Council faces the following estimated budget gaps over the next two years: 2018/19: £448,000; 2019/20: £527,000. These could of course change. The Council is embarking on a Transformation Programme journey to ensure that in future it will be able to set a balanced budget. The Transformation Programme will comprise a number of projects designed to make the Council more efficient and commercially minded.
<b>16 – Lack of a corporate policy database which is managed and reviewed</b>							Work is currently under way by the Corporate Policy Officer (in liaison with the Service Managers) on the review and refresh of policies and to establish a database of corporate and service policies.
<i>Date risk added to Register: 2016/17</i>							
<i>Owner: Director of Resources</i>	L - 3 I - 3 Risk Score = 9	New risk 16/17	L - 3 I - 3 Risk Score = 9	L - 3 I - 4 Risk Score = 12	L - 3 I - 3 Risk Score = 9		“Corporate policies not managed and reviewed” is being carried forward as a corporate risk for 17/18 and when reviewed by CLT in March 2017, it was agreed that the impact score should be reduced to 3.