

Corporate Risk Register 2017-18

Likelihood	4				
	3				
	2				
	1				
		1	2	3	4
Impact					

Impact

4 – High

3 – Moderately High

2 – Moderately Low

1 – Low

Likelihood

4 – Very Likely

3 – Likely

2 – Unlikely

1 – Very Unlikely

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
1. Failure to safeguard children and vulnerable adults Owner: Director, Customers and Community Date added to register: 12/13	<ul style="list-style-type: none"> Failure to recognise possible safeguarding concern Failure to respond to a concern raised Records not kept up to date/inaccurate records Staff and Members not trained Lack of knowledge, awareness and understanding of the process 	<ul style="list-style-type: none"> A vulnerable adult or child suffers harm Reputational damage to the Council for not acting on information received or concern raised 	L - 1 I – 4 Risk Score = 4	<ul style="list-style-type: none"> Agreed policy in place which is subject to ongoing review Agreed procedures in place On-going training for staff who, within their role, may have interaction with children and/or vulnerable adults Designated safeguarding officers within Maldon District Council (MDC). Safeguarding representation widened across all Depts. and training given to increase awareness to 	<u>Adequacy of Controls:</u> Good <u>Evidence:</u> Policy and procedures Officers in place Intranet information Safeguarding group Corporate Leadership Team (CLT)	1. Assess how well partners’ (e.g. Citizens Advice Bureau (CAB) and Housing Associations) and contractors’ safeguarding procedures are embedded 2. Undertake training re: i) Understanding gypsies and travellers culture ii) responding to threats of suicide 3. Meet with statutory partners	1. Richard Holmes, Director, Customers and Community Learning & Engagement Officer 2. Cally Darby, Learning & Engagement Officer 3. Richard Holmes, Director, Customers and Community	1. 31/03/18 2. 31/12/17 3. 30/09/17

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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>Safeguarding Lead Officer level.</p> <ul style="list-style-type: none"> • Disclosure and Baring Service (DBS)a checks undertaken for appropriate staff • Safeguarding information and designated areas on intranet • MDC Safeguarding group established to review policies and procedures and ensure communication and updates are discussed and awareness continued. • MDC participation in County wide Boards for safeguarding • Safeguarding is a standing agenda item for the Corporate Leadership Team (CLT) to ensure that issues are discussed and awareness increased • Learning through feedback from partnership working e.g. serious case reviews 	agenda item and minutes	to improve communication links when making safeguarding referrals		

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2. Failure to identify older and most vulnerable people Owner: Director, Customers and Community Date added to register: 17/18	<ul style="list-style-type: none"> Isolation of the individuals which leads to lack of engagement with support agencies/Council Lack of a customer database/ relationship management system Lack of resources 	<ul style="list-style-type: none"> Individuals unable to access services Escalation of existing issues leads to individuals becoming more vulnerable Increased risk of harm Unable to intervene Reputational risk Increased costs 	L - 3 I – 3 Risk Score = 9	<ul style="list-style-type: none"> Safeguarding framework Social prescribing champions Events targeted at vulnerable groups Data held – health profiles and Essex Insight Network of partners 	<u>Adequacy of Controls:</u> Fair <u>Evidence:</u> Safeguarding framework Social prescribing champions	<ol style="list-style-type: none"> Launch a “Professional Curiosity” approach across the Council and with partners Community Development Officer to present to Managers’ Forums to increase awareness of issues faced by older/vulnerable people, locations, social prescribing etc. 	<ol style="list-style-type: none"> Richard Holmes, Director, Customers and Community Chris Rust, Community Development Officer 	<ol style="list-style-type: none"> 31/03/18 30/09/17
3. Failure to target services and influence partners effectively to meet the (health and wellbeing) needs of the vulnerable population Owner: Director, Customers and Community	<ul style="list-style-type: none"> Difficulty to identify those that are vulnerable Silo working within the Council/ lack of co-ordination Non-determination of what the needs are No engagement to ascertain how residents want to access services Limited 	<ul style="list-style-type: none"> Vulnerable residents unable to access services Escalation in service needs Impact on resources/costs Duplication across agencies Inefficiencies Unable to develop and plan services 	L - 3 I – 3 Risk Score = 9	<ul style="list-style-type: none"> Use of existing data (e.g. health profiles) to highlight issues/areas with specific needs Health and Wellbeing (H&WB) Group – partnership work to deliver projects and share good practice such as Social Prescribing Commissioning process for advice services – needs analysis undertaken to target services 	<u>Adequacy of Controls:</u> Fair <u>Evidence:</u> H&WB Action Plan	<ol style="list-style-type: none"> Refresh and update data on areas of need at ward level within the District Undertake a gap analysis of services currently being provided in these areas across the Directorates Identify what other services are required Review 2016 analysis of services provided 	<ol style="list-style-type: none"> Vacant post, Health Improvement Officer Vacant post, Health Improvement Officer Vacant post, Health Improvement Officer Chris Rust, Community Development Officer 	<ol style="list-style-type: none"> 31/12/17 30/07/17 30/09/17 31/12/17

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<i>Date added to register: 16/17</i>	communication/co-ordination between partners (e.g. Community Agents) <ul style="list-style-type: none"> Council continues to deliver broad range of services rather than targeted services Discretionary support services at risk of funding withdrawal in the future 					by partners to identify gaps		
4. Failure to target services and influence partners effectively to support the increasing ageing population (re housing needs) <i>Owner: Director, Customers and Community</i> <i>Date added to register: 15/16</i>	<ul style="list-style-type: none"> Unable to identify those in need who want to move to more suitable housing or have to move, but do not want to Lack of engagement Discretionary support services funding withdrawn Reductions in funding for housing for older and vulnerable 	<ul style="list-style-type: none"> Vulnerable residents unable to access services Escalation in service needs Impact on resources/costs Duplication across agencies Unable to develop and plan services Reduction in supply of services including supported housing Unable to carry out required adaptations Unnecessary adaptations 	L - 3 I - 3 Risk Score = 9	<ul style="list-style-type: none"> Use of existing data (e.g. health profiles) to highlight issues/areas with specific needs Working with Essex County Council (ECC) on provision of extra care housing Housing allocations policy Housing register in place Supply of new homes Local Development Plan (LDP) 	<u>Adequacy of Controls:</u> Fair <u>Evidence:</u> Policy LDP	<ol style="list-style-type: none"> Launch a “Professional Curiosity” approach across the Council and with partners Pilot joint events between Community Development and Housing (e.g. Winter warmer events) with a view to identifying and engaging with those in need Deliver a targeted project 	<ol style="list-style-type: none"> Richard Holmes, Director, Customers and Community Chris Rust, Community Development Officer Chris Dispirito, Home Imp. Team Leader 	<ol style="list-style-type: none"> 31/03/18 31/03/18 31/12/17

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	people <ul style="list-style-type: none"> Providers of supported housing reducing or withdrawing support and unable to develop new schemes 	undertaken leading to ineffective use of funds				to improve information sharing with partners providing advice and support to older people		
5. Failure to have a clear shared vision regarding Strengthening Communities <i>Owner: Director, Customers and Community</i> <i>Date added to register: 17/18</i>	<ul style="list-style-type: none"> No approved strategy Differing views between officers, Members and partners on definition of Strengthening Communities Lack of resources 	<ul style="list-style-type: none"> Lack of progress Lack of focus on key issues Ineffective use of resources 	L - 4 I – 3 Risk Score = 12	<ul style="list-style-type: none"> Member and Officer Task and Finish Working Group Strengthening Communities is a Corporate Goal Partnership working with ECC 	<u>Adequacy of Controls:</u> Fair <u>Evidence:</u> Member and Officer Task and Finish Working Group Terms of Reference	1. Seek approval to the Strengthening Communities Strategy (which includes the visions)	1. Sue Green, Group Manager, Customers	1. 30/09/17
6. Failure to have an adopted LDP <i>Owner: Director, Planning & Regulatory Services</i> <i>Date added to register: 11/12</i>	<ul style="list-style-type: none"> Policies not meeting requirement of National Planning Policy Framework Inadequate evidence base Not demonstrating an adequate 	<ul style="list-style-type: none"> A presumption in favour of sustainable development continues to apply Unable to forward plan strategically for the District's needs Decisions made by Planning Inspector rather than MDC Potential for increased 	L - 2 I – 4 Risk Score = 8	<ul style="list-style-type: none"> LDP has advanced through the process and is now a consideration in planning decisions Soundness checklist used to ensure correct procedures followed Regular reporting to Development Management Team 	<u>Adequacy of Controls:</u> Excellent <u>Evidence:</u> Sign off of proposed modifications by Inspector	1. Continue ongoing work in relation to Duty to Co-operate 2. Provide Inspector and Secretary of State with information required to make a positive decision	1. Ian Butt, Interim Strategic Planning Policy Manager 2. Ian Butt, Interim Strategic Planning Policy Manager	1. 30/09/17 2. 30/09/17

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	<p>supply of deliverable housing land/provision for travellers to meet the District's requirements</p> <ul style="list-style-type: none"> • Not considering flooding and climate change issues (e.g. water shortages) • Changes to Planning System introduced by central Govt. • Lack of consistent corporate and Member commitment and support to LDP • LDP process being "derailed" or delayed by internal or external factors • New evidence obtained which significantly impacts LDP • LDP considered unsound by Planning Inspector 	<p>cost and number of appeals</p> <ul style="list-style-type: none"> • Not achieving site supply to meet District's requirements for settled community and travellers • Difficult to plan for future infrastructure requirements associated with growth • Not maximising opportunities to promote coordinated redevelopment / regeneration where required in the District • Inability to secure developer contributions through Community Infrastructure Levy (CIL). as a result of the lack of an adopted Local Development Plan • On-going costs • Evidence base becomes out of date and needs reviewing which leads to costs and delays 		<p>and CLT on progress</p> <ul style="list-style-type: none"> • Proactive monitoring of planning appeals/costs awarded and reported to the Planning and Licensing (P&L) / Finance and Corporate Services (F&CS) Committees • Transparent mechanisms for reporting progress • Actively working with developers, agents and other partners to strategically master plan preferred strategic growth areas where appropriate • Resources in place to deliver work requirements • On-going Member engagement • Legal advice / Representation and additional professional support • LDP Developer Forum and associated working groups • Evidence base updated as necessary • Updated five year land supply statement 				

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	<ul style="list-style-type: none"> Lack of continuity of skilled staff to undertake the necessary work/be involved in the processes New matters arise during the proposed Modifications consultation 			<ul style="list-style-type: none"> Regular contact with Programme Officer to provide Inspector with resources to assist with report 				
7. Failure to deliver the required infrastructure to support development arising from the LDP <i>Owner: Director, Planning & Regulatory Services</i> <i>Date added to register: 14/15</i>	<ul style="list-style-type: none"> No clear delivery mechanism Impact of viability Decisions required on long term management Lack of funding Lack of commitment from other agencies (e.g. NHS) General market conditions Lack of agreement on costs Lack of understanding in relationships 	<ul style="list-style-type: none"> Future capacity problems relating to schools, highways, housing, flooding, utilities and health Delays in delivering housing 	L - 3 I – 4 Risk Score = 12	<ul style="list-style-type: none"> Infrastructure Development Plan (IDP) supporting the LDP IDP and Infrastructure Phasing Plan (IPP) constantly under review with any fresh evidence being provided to P&L Committee Negotiations with applicants – pre-planning agreements in place. Viability testing Section 106 (S106) agreements in place Programme project management Joint working with developers and agencies 	<u>Adequacy of Controls:</u> Fair <u>Evidence:</u> Legal agreements successfully negotiated and funding secured for some projects Evidence base to support LDP Due diligence with relevant agencies and other authorities e.g. ECC and environment agency	1. Negotiate effectively with developers/ relevant key partners to ensure appropriate level of infrastructure and phasing of delivery 2. Identify funding mechanisms and monitor drawing down on funding in a timely manner 3. Establish a mechanism for determining ownership, future management and maintenance of infrastructure e.g. green spaces/flood defences	1. Ian Butt, Interim Strategic Planning Policy Manager 2. Ian Butt, Interim Strategic Planning Policy Manager 3. Ian Butt, Interim Strategic Planning Policy Manager 4. Ian Butt, Interim Strategic Planning Policy Manager	Actions 1 – 5 ongoing

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	between the various projects				IDP and IPP Viability testing	4. Improve project management 5. Increase use of pre-planning agreements	5. Ian Butt, Interim Strategic Planning Policy Manager	
8. Uncertainty regarding strategic ownership of flooding mitigation and long term maintenance responsibilities <i>Owner: Director, Planning & Regulatory Services</i> <i>Date added to register: 15/16</i>	<ul style="list-style-type: none"> Lack of guidance from Department for Communities and Local Government (DCLG) / Department for Environment, Food and Rural Affairs (DEFRA) Water companies, developers, ECC not undertaking responsibilities General climate of central funding cuts 	<ul style="list-style-type: none"> Inability to determine planning applications Inability to deliver developments in entirety Failure to meet housing and employment requirements Long term liabilities if owners default in the future 	L - 3 I – 4 Risk Score = 12	<ul style="list-style-type: none"> Validation requirement that Sustainable Urban Drainage systems (SuDs) content is included in application ECC review Suds at every stage of planning application Liaison with Environment Agency (EA) and land owners regarding ownership of flood defence mechanisms Engagement with relevant legal teams 	<u>Adequacy of Controls:</u> Fair <u>Evidence:</u> Validations Completed legal agreements on planning and relevant legal frameworks in place	1. Implement recommendations arising from the BDO Internal Audit report into Flooding and Strategic Responsibilities	1. Ian Butt, Interim Strategic Planning Policy Manager	1. 31/03/18
9. Being designated as an under-performing authority due to performance on appeals <i>Owner:</i>	<ul style="list-style-type: none"> Quality of information provided by developer when submitting applications Retention of experienced staff Inability to process quantity 	<ul style="list-style-type: none"> Developers can choose to submit applications direct to the Secretary of State Local decision making removed from the Council Reduction in fee income received MDC unable to 	L - 4 I – 4 Risk Score = 16	<ul style="list-style-type: none"> Major applications team established HCA funding awarded to help/facilitate decision making through procuring legal advice, design codes etc. Extraordinary Council meetings arranged to 	<u>Adequacy of Controls:</u> Fair <u>Evidence:</u> Council meetings minutes	1. Identify ways of streamlining decision making process 2. Recruitment of skilled staff 3. Arrange specific Member Training from external specialists	1. Matt Leigh, Group Manager, Planning 2. Matt Leigh, Group Manager, Planning 3. Simon Rowberry,	1. Ongoing 2. 30/07/17 3. 31/03/18

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Director, Planning & Regulatory Services Date added to register: 15/16	of applications received within target dates <ul style="list-style-type: none"> Decisions overturned on appeal Quality of decisions taking by MDC Council/ Committee meeting schedule can add delays into the process Changing criteria for designation as under-performing Lack of corporate support 	negotiate what infrastructure is required locally to mitigate development through S106 agreements <ul style="list-style-type: none"> Reputational damage Reduced staff morale Difficulty to retain and recruit skilled staff Financial implications 		decide major applications <ul style="list-style-type: none"> Regular performance reviews to evaluate and manage caseloads effectively Ongoing Staff training and development being undertaken Ongoing Member training Updated 5 year land supply statement Improved processes (e.g. re validation) Undertake regular reviews with Director of team structure to ensure it is efficient and effective 	Major apps team in place Performance reviews Training		Director, Planning & Regulatory Services	
10. Failure to maintain a 5 year supply of Housing Land Owner: Director, Planning & Regulatory Services Date added to register: 17/18	<ul style="list-style-type: none"> Poor housing market conditions Failure to meet completions targets Lack of new consents Unrealistic housing trajectory Not securing PINs sign off 	<ul style="list-style-type: none"> Government sanction through increased target (+20%) Lack of MDC control of decisions leading to planning by appeal Inability to deliver LDP 	L - 2 I – 4 Risk Score = 8	<ul style="list-style-type: none"> Annual monitoring Current supply of more than 6 years Housing trajectory linked to infrastructure Joint working with developers Proactive planning approach 	<u>Adequacy of Controls:</u> Good <u>Evidence:</u> Annual Monitoring Report and 5 Year Land Supply Statement August 2016	1. Submission to the Planning Inspectorate (PINs) of statements for certification 2. Developers submission of annual completion and trajectory statements 3. Roll out of self	1. Ian Butt, Interim Strategic Planning Policy Manager 2. Ian Butt, Interim Strategic Planning Policy Manager 3. Ian Butt,	1. 30/09/17 2. 30/06/18 3. Ongoing 4. Ongoing

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					Updated evidence to LDP examination	4. and custom build Establish a programme of community led housing	Interim Strategic Planning Policy Manager 4. Paul Gayler, Strategic Housing Manager	
11. Failure to meet the affordable housing need <i>Owner: Director, Planning & Regulatory Services</i> <i>Date added to register: 16/17(redefined 17/18)</i>	<ul style="list-style-type: none"> Changing Government guidance Quality of evidence Availability of willing partners Financial capacity of partners Changing wider legislation (e.g. welfare reform) Demographic changes Market conditions which lead to an increase in needs and demand Changing viability of schemes Failure to deliver LDP Out of date Supplementary 	<ul style="list-style-type: none"> Failure to meet statutory duty for the homeless Impact on local economy/loss of investment Reputational damage Barrier to new development Impact on residents' health and wellbeing Impact on health and social care available 	L - 3 I – 4 Risk Score = 12	<ul style="list-style-type: none"> Viability testing framework in place Policies in place Policies updated and adapted Communication with partners (Housing Associations etc.) Half yearly CLG Model Housing Needs Assessment undertaken Strategic Housing Board 	<u>Adequacy of Controls:</u> Fair <u>Evidence:</u> Viability testing framework Policies Half yearly CLG Model Housing Needs Assessment Strategic Housing Board	1. Housing and Homelessness Strategy to be adopted 2. Affordable Housing SPD to be adopted 3. Identify opportunities for additional investment into affordable housing	1. Paul Gayler, Strategic Housing Manager 2. Ian Butt, Interim Strategic Planning Policy Manager 3. Paul Gayler, Strategic Housing Manager	1. 30/09/17 2. 31/03/18 3. 31/12/17

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	Planning Documents (SPDs)							
12. Failure of the Council to influence regional partners to support and encourage economic prosperity and inward investment to the Maldon District <i>Owner: Chief Executive</i> <i>Date added to register: 15/16</i>	<ul style="list-style-type: none"> Ineffective approach – failure to get MDC voice heard in the right places and to influence outcomes Failure to clearly define our “asks” Small authority therefore the projects and priorities for MDC do not deliver a high level of return at sub-regional level Failure to focus on/target areas where we can specifically influence Not emphasising what the District has to offer 	<ul style="list-style-type: none"> Non-achievement of corporate goals and priorities Failure to generate funding Reduced buy-in Reduced credibility Ineffective use of resources 	L - 2 I – 3 Risk Score = 6	<ul style="list-style-type: none"> Economic Prosperity strategy (EPS) Participation in Haven Gateway 	<u>Adequacy of Controls:</u> Fair <u>Evidence:</u> EPS Partnership meeting minutes	<ol style="list-style-type: none"> Input into the Essex Integrated Growth Forum to ensure Maldon priorities are included Undertake longer term strategic planning for sub region on key projects Develop robust business cases for external funding (including research and maintenance of up to date evidence) Increasing awareness of South East Local Enterprise Partnership (SELEP) / sub-regional / County strategies and scoring mechanisms 	<ol style="list-style-type: none"> Econ. Dev and Partnerships Manager Fiona Marshall, Chief Executive Econ. Dev and Partnerships Manager Econ. Dev and Partnerships Manager 	<ol style="list-style-type: none"> Ongoing Ongoing Ongoing Ongoing
13. Failure to have a co-ordinated approach to supporting	<ul style="list-style-type: none"> Fragmented approach to service delivery Lack of awareness of 	<ul style="list-style-type: none"> Loss of businesses Loss of income (because business rates are retained by Council) 	L - 3 I – 4 Risk Score =	<ul style="list-style-type: none"> Economic Prosperity Strategy Promotion of corporate goals Economic 	<u>Adequacy of Controls:</u> Fair	<ol style="list-style-type: none"> Establish an internal communications strategy to ensure all services are 	<ol style="list-style-type: none"> Econ. Dev and Partnerships Manager Econ. Dev 	<ol style="list-style-type: none"> 30/09/17 Ongoing

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new and existing businesses Owner: Chief Executive Date added to register: 17/18	corporate goals <ul style="list-style-type: none"> Failure to target services to support delivery of goal Lack of understanding of impact of actions 	<ul style="list-style-type: none"> Unable to attract new businesses Non-achievement of corporate goals and priorities 	12	Development consulted on planning applications	Evidence: EPS	aware of the priority 2. Improve internal awareness/signposting of support available to businesses	and Partnerships Manager	
13. Failure to protect personal or commercially sensitive data Owner: Director, Resources Date added to register: 09/10	<ul style="list-style-type: none"> Document retention policy not effectively reviewed and implemented Lack of understanding and awareness of Data Protection and General Data Protection Regulations (GDPR), requirements and implications Holding paper records unnecessarily Human error Lack of information asset register Deliberate malicious action 	<ul style="list-style-type: none"> Council could be fined if not compliant with legislation Reputational damage Legal challenges by individuals if personal data involved Individuals could be put at risk – safeguarding issue. 	L - 3 I – 2 Risk Score = 6	<ul style="list-style-type: none"> Service risks identified by managers which are monitored and progressed Responsibility for data protection is specifically assigned to an officer within the Council (TBC) IT Security policies approved Staff aware through the HR policies of the implications of breaching security rules Included in induction check list Critical technical IT issues identified in the penetration testing carried out annually are resolved In line with PCN requirements, Council's systems Administrator's 	Adequacy of Controls: Fair Evidence: PCN Standards met IT Security policies Staff aware through HR policies of the implications of breaching security rules	1. Review and implement a new Document Retention Policy 2. Draft and seek approval to Data Protection Policy (as part of the GDPR requirements) 3. Establish an Information Asset Register 4. Seek approval to reviewed IT Security policies arising from Cyber Crime Audit 5. Implement actions arising from Cyber Crime Audit 6. Seek CLT approval to cease using "All Staff" e-mails 7. Set IG as a screensaver for a week regularly throughout the	1. David Rust, Facilities and Assets Manager 2. IT Manager 3. TBC 4. IT Manager 5. IT Manager 6. IT Manager 7. IT Manager	1. 30/06/17 2. 31/12/17 3. 30/01/18 4. 30/07/17 5. 30/09/17 6. 30/06/17 7. 31/03/18

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				password amended regularly (annually) – • IT Manager “promotes” the problems experienced by other organisations (e.g. the ‘horrific headlines’)		year		
14. Inefficient Committee structure Owner: <i>Chief Executive</i> Date added to register: 15/16	<ul style="list-style-type: none"> Historical structure Lack of trust between Members and Officers 	<ul style="list-style-type: none"> Conflict Ineffective decision making Inefficient and ineffective use of resources Impact on Member and Staff morale Lack of buy-in to decisions 	L - 3 I – 3 Risk Score = 9	<ul style="list-style-type: none"> Corporate Governance Working Group Good working relationship between Leader and Chief Executive Reviewing best practise Using External expertise 	<u>Adequacy of Controls:</u> Fair <u>Evidence:</u>	1. Track impact of change in delegation/call in for planning applications 2. Governance review being undertaken as part of Transformation 3. Review and respond to recommendations in BDO report	1. Matt Leigh – Group Manager, Planning Services 2. Fiona Marshall, Chief Executive 3. Fiona Marshall, Chief Executive	1. 30/09/17 2. 31/03/18 3. 31/12/18
15. Unable to recruit and retain in national skill shortage service areas to meet the demands of the service Owner: <i>Director, Resources</i> Date added to register: 15/16	<ul style="list-style-type: none"> Competing with (larger) neighbouring councils in terms of career progression, salaries, District profile, location etc. Unable to attract staff National shortage in key areas 	<ul style="list-style-type: none"> Lack of flexibility in the workforce in certain service areas Lack of expertise to engage staff and implement change at a local level High turnover of staff/lack of resilience Recruitment costs including relocation costs Corporate goals not achieved 	L - 3 I – 4 Risk Score = 12	<ul style="list-style-type: none"> Approved Workforce Development Strategy being implemented Training needs identified through Performance reviews Performance conversations and team meetings undertaken providing opportunities for staff to express concerns/discuss issues Regular HR updates being provided at CLT 	<u>Adequacy of Controls:</u> Fair <u>Evidence:</u> Workforce Development Strategy Performance Review system Performance conversations	1. Develop and implement the recruitment strategy to include: - Smarter recruitment and retention strategies to address current and future hotspots - Increasing use of digital recruitments strategies	1. Dawn Moyse, Group Manager, People, Performance and Policy 2. Sue Green, Group Manager, Customers	1. 31/03/18 2. 31/03/18

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		<ul style="list-style-type: none"> • Service delivery impacted • Reputational damage • Agency staff being employed • Lack of continuity in roles • Lack of proactivity among staff, and service managers to identify opportunities for service redesign and improvements • Low level of job satisfaction • National and local targets and standards not met • Inability to deliver workforce improvements 		<ul style="list-style-type: none"> • Key personnel identified • Ongoing benchmarking of salaries and Terms and Conditions 	records	<ul style="list-style-type: none"> - Strengthening MDC reputation - Reducing time taken to from advert to offer - Exploring the creative use of graduate, apprenticeship and trainee schemes - Employing people with right behaviours as well as technical skills <p>2. Implement Transformation Service and Systems Review to improve efficiencies and workloads</p>		
16. Failure to plan and deliver balanced budgets over the medium term <i>Owner: Director, Resources</i>	<ul style="list-style-type: none"> • Loss of central government funding • Introduction of 100% business rates retention • Possible failure of a long term contract • Lack of meaningful 	<ul style="list-style-type: none"> • Corporate goals and objectives stated in the Corporate Plan not achieved • Further disinvestment in services required • Reduction in frontline services • Staff redundancies • Reliance on reserves • Transformation 	L - 2 I – 3 Risk Score = 6	<ul style="list-style-type: none"> • Use of reserves to manage short term funding requirements • Management of establishment control • Regular reviews of MTFS • Line by line outturn review • Monthly budget monitoring and 	<u>Adequacy of Controls:</u> Good <u>Evidence:</u> MTFS Budget Book	<ol style="list-style-type: none"> 1. Implement transformation projects to achieve more efficient working/save costs 2. Implement Strategic Financial Planning process for 18/19 	<ol style="list-style-type: none"> 1. Emma Foy, Director of Resources 2. Emma Foy, Director of Resources 	<ol style="list-style-type: none"> 1. 31/03/18 2. Budget for 17/18 agreed by F&CS in 30/01/17. Council – 8/02/17.

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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
<i>Date added to register: 08/09</i>	forward planning • Failure to deliver the desired outcomes of the Transformation programme	programme objectives not achieved		quarterly reports to F&CS • Authorisation procedure of supplementary estimates • Strategic Financial Planning process and timetable in place • Regular meetings between Finance and services • Liaison with Planning regarding New Homes Bonus		according to agreed timetable		
17. Corporate policies not managed and reviewed <i>Owner: Director, Resources</i> <i>Date added to register: 16/17</i>	• No systematic approach to ensure that final version of any new policy approved is collated in a single location • No version control • Strategy and Policy management Guide out of date • Document Control Sheet not consistently used across the Council •	• Weakened governance arrangements • Potential error or challenge if most up to date and accurate version is not being referred to/used • Financial and reputational risks • Lack of transparency • Lack of guidance to staff • Corporate goals not being supported	L - 3 I - 3 Risk Score = 9	• Strategy and Management Guide (but needs reviewing/ updating) • Document Control Sheet	<u>Adequacy of Controls:</u> Poor <u>Evidence:</u> Strategy and Management Guide Document Control Sheet	1. Review/update of policies and strategies by managers and included in business plans with target dates (and fed back to Corporate Policy Officer) 2. Establish a Corporate Policy database	1. Linda Weeks, Corporate Policy Officer 2. Linda Weeks, Corporate Policy Officer	1. 30/06/17 (TBC) 2. TBC

APPENDIX 2

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
18. Lack of access to legal resource <i>Owner: Director, Resources</i> <i>Date added to register: 17/18</i>	<ul style="list-style-type: none"> • High level of Member issues • Resources focussed on dealing with Elections • Staff absence 	<ul style="list-style-type: none"> • Backlog of work • Potential financial consequences • Reputational damage 	L - 4 I – 4 Risk Score = 16	<ul style="list-style-type: none"> • Interim staff in place • Use of Essex Legal Services • Use of Vine HR for employment issues 	<u>Adequacy of Controls:</u> Fair <u>Evidence:</u>	1. Recruit staff to cover current maternity leave 2. Undertake a service review to ascertain resource requirements	1. Wendy Morse, Acting Legal and Democratic Service Manager 2. Emma Foy, Director of Resources	1. 30/06/217 2. 31/12/17