

Corporate Risk Register
Quarterly Review

Impact (I)

- 4 – High
- 3 – Moderately High
- 2 – Moderately Low
- 1 – Low

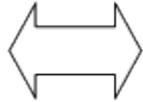
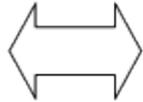
Likelihood (L)

- 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

Likelihood	4				
	3				
	2				
	1				
	1	2	3	4	
Impact					

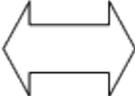
Anything in the shaded area is considered to be “below the Council’s tolerance line”

Risk	Original Risk Score	Quarter Three Q3 2016/17	Quarter Four Q4 2016/17	Quarter One Q1 2017/18	Quarter Two Q2 2017/18	Direction of Score (since last quarter)	Comments
01 - Failure to safeguard children and vulnerable adults	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		Safeguarding arrangements are kept under review by an internal safeguarding group led by a Director. Refresher training is monitored by HR and identified key staff are being 'up skilled' to ensure adequate cover is maintained within the organisation for referrals.
<i>Date risk added to Register: 2012/13</i>							A new round of staff meetings will be launched in the New Year and an audit of the Council’s procedures will be undertaken by ECC nearer to Christmas. The audit seeks to ensure best practice is maintained and any deficiencies are identified and acted upon appropriately.
<i>Owner: Director, Customers and Community</i>							
02 – Failure to identify older and most vulnerable people	L - 3 I - 3 Risk Score = 9	New risk 17/18	New risk 17/18	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9		Data has been used to identify areas of the District most at risk to enable Health and Well Being activities and resources to be targeted to those areas. A range of activities are underway including the following: <ul style="list-style-type: none"> • Warm Maldon Campaign to reach most vulnerable residents, offering practical help, advice and

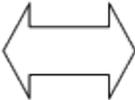
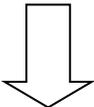
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Risk	Original Risk Score	Quarter Three Q3 2016/17	Quarter Four Q4 2016/17	Quarter One Q1 2017/18	Quarter Two Q2 2017/18	Direction of Score (since last quarter)	Comments
<p><i>Date risk added to Register: 2017/18</i></p> <p><i>Owner: Director, Customers and Community</i></p>							<p>support for residents to stay warm this winter</p> <ul style="list-style-type: none"> Development of Essex wide Livewell Website to enable a range of health and wellbeing services and activities to be put in a single place for residents to access information. MDC has been one of the first councils to populate the website with data, and the website is planned for launch during December.
<p>03 - Failure to target services and influence partners effectively to meet the health and wellbeing needs of the vulnerable population</p>							<ul style="list-style-type: none"> Continued support of the Mid Essex Social Prescribing model. The public launch of the self-referral model is imminent and we will be further publicising and supporting this, including presentations to ward Members. A Strengthening Communities project is being delivered in Tolleshunts and Tollesbury, in partnership with ECC (called the 4 T's project), targeted at an area of the District which is shown to be most at risk from social isolation and loneliness. MDC is helping communities to help themselves, by the community identifying what activities/ clubs/ support they want to put in place. The Council is helping to facilitate events that will encourage volunteers to come forward to deliver the activities, rather than MDC or ECC. The project is progressing well. A second is starting to be developed in partnership with ECC to look at targeting one of the wards in Maldon which has significant indicators of poor health and wellbeing. This project will be based on the approach being tested through the 4 T's project, of engaging with the community, increasing volunteering, as well as publicising and
<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 - 3 I - 3 Risk Score = 9</p>	<p>L - 3 I - 3 Risk Score = 9</p>		
<p><i>Owner: Director, Customers and Community</i></p>							

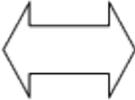
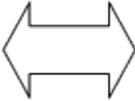
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Risk	Original Risk Score	Quarter Three Q3 2016/17	Quarter Four Q4 2016/17	Quarter One Q1 2017/18	Quarter Two Q2 2017/18	Direction of Score (since last quarter)	Comments
							<p>encouraging participation in existing services and activities.</p> <ul style="list-style-type: none"> • Our Health and Wellbeing Partnership was relaunched in September and has been re-branded “Livewell Maldon” partnership group, with a widened membership to include CCG, local schools, voluntary organisations, GP surgeries. This group will fit with the new Essex-wide Health and Well-being forum at which there is Member representation. • Wider awareness of the Health and Well Being work across the organisation is being raised through planned presentations to Managers Forum to ensure closer working, and maximising opportunities. <p>Funding has been secured from ECC to enable a Health Improvement Officer to be appointed to support our Health and Well Being activities.</p>
<p>04 - Failure to target services and influence partners effectively to support the increasing ageing population (re housing needs)</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>Housing related support for older people and the local Home Improvement Agency have both ended, an initial survey of older people using day-centre facilities in the Dengie area shows that many with lower levels of support are managing through informal arrangements with friends and neighbours, but those with higher support needs may be at risk. This suggests that the focus should be on a smaller number with higher needs so this quarter work will focus on how partners may be able to identify this group and the role of others in particular commissioners such as ECC in helping to</p>

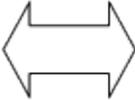
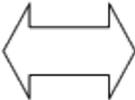
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<i>Date risk added to Register: 2016/17</i>							meet this need.
<i>Owner: Strategic Housing Manager</i>							
05 – Failure to have a clear shared vision regarding Strengthening Communities	L - 4 I - 3 Risk Score = 12	New risk 17/18	New risk 17/18	L - 4 I - 3 Risk Score = 12	L - 4 I - 3 Risk Score = 12		In November Members will be asked to approve a strategy which will give a clear vision of our community work. A number of projects are already underway working with the community and relevant partners. The strategy will provide the framework within which we can deliver. If Members do not approve the strategy work will continue, but the best outcomes may not be achieved.
<i>Date risk added to Register: 2017/18</i>							
<i>Owner: Director, Customers and Community</i>							
06 - Failure to have an adopted Local Development Plan (LDP)	L - 4 I - 4 Risk Score = 16	L - 4 I - 4 Risk Score = 16	L - 3 I - 4 Risk Score = 12	L - 2 I - 4 Risk Score = 8	L - 1 I - 4 Risk Score = 4		The Plan was approved in July 2017, but the decision was subject to a 6 week statutory review period, which ended on 1st September 2017. This risk no longer exists and will be removed from the risk register.
<i>Date risk added to Register: 2011 / 12</i>							
<i>Owner: Director, Planning & Regulatory Services</i>							

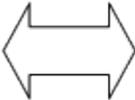
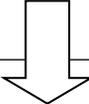
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<p>07 – Failure to deliver the required infrastructure to support development arising from the LDP</p> <p><i>Date risk added to Register: 2014/15</i></p> <p><i>Owner: Interim Strategic Planning Policy Manager</i></p>	<p>L - 3 I - 4 Risk Score = 12</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>The Council has endorsed the Strategic Masterplan Framework for both the North Heybridge and the South Maldon Garden Suburbs where the infrastructure requirements are clearly set out. The design codes for both Garden Suburbs are endorsed and provide further detail for the delivery of community and physical infrastructure which the Council is committed to delivering.</p> <p>Officers are working closely with the developers associated with each of the strategic sites to finalise Section 106 agreements and move to consideration of reserved matters. An Implementation Group has been set up which oversees delivery of each of the schemes in partnership with key stakeholders.</p> <p>Work is on-going with other agencies to secure funding and ownership of infrastructure.</p>
<p>08 - Uncertainty regarding strategic ownership of coastal, fluvial and surface water flood mitigation and long term maintenance responsibilities</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 - 3 Risk Score = 9</p>	<p>L - 3 I - 3 Risk Score = 9</p>		<p>MDC is engaging with partners, including Anglian Water, in relation to coastal defences and the capacity of the infrastructure which could lead to flooding.</p> <p>An additional mitigating action has also been established for this risk for MDC to co-ordinate discussions with partners on the specific issue of the condition of coastal flood defences in the North Fambridge area.</p> <p>North Heybridge Flood Alleviation Scheme We are currently working in partnership with the Environment Agency (EA), ECC, the developer and</p>

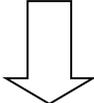
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							of the infrastructure which could lead to flooding.
<p>09 - Being designated as an under-performing authority due to major planning applications and appeals performance</p> <p><i>Date risk added to Register: 2015/16</i></p> <p><i>Owner: Director, Planning & Regulatory Services</i></p>	<p>L - 2 I - 3 Risk Score = 6</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>The threshold for being designated an underperforming authority based on quality of decisions (appeals) is reducing to 10% for the next assessment in January 2018.</p> <p>While current performance is at this threshold, four of the ‘major’ applications allowed at appeal that are currently part of the assessment period will no longer be part of the consideration when the assessment is undertaken and will no longer affect the Council’s performance statistics and therefore should bring us within the threshold.</p>
<p>10 – 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>New risk 17/18</p>	<p>New risk 17/18</p>	<p>L - 2 I - 2 Risk Score = 4</p>	<p>L - 2 I - 2 Risk Score = 4</p>		<p>The 2016/17 5 Year Housing Land Supply Report demonstrates that the Council has 6.28 years’ worth of housing land available and with the LDP now approved this creates greater certainty.</p> <p>Given the sensitivity of the 5 year housing land supply to trajectory of delivery on major schemes, the risk will remain on the corporate risk register albeit it is</p>

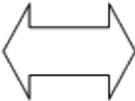
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<i>Owner: Director, Planning & Regulatory Services</i>							currently within tolerance.
11 - Failure to meet the affordable housing need <i>Date risk added to Register: 2016/17</i> <i>Owner: Strategic Housing Manager</i>	L - 3 I - 4 Risk Score = 12	L - 2 I - 4 Risk Score = 8	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12		The risk score remains unchanged due to a delay in new developments beginning and lack of other schemes under construction. There is a recognised shortfall in the number of affordable homes delivered through the LDP and plans to address this are progressing in accordance with proposals put forward when this was considered during the LDP Examination in Public. This includes the development of independent living to meet the need of older people and opportunities for strategic development. In the case of the latter, Officers and Members are progressing with options to combine this with investment opportunities.
12 - Failure of the Council to influence regional partners, to support and encourage economic prosperity and inward investment to the Maldon District	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 - 1 I - 3 Risk Score = 3		The new Economic Development Manager is now working closely with the Haven Gateway Partnership to seek opportunities to work in partnership to further the District's economic prosperity plans. Meetings are ongoing with partners, such as the Essex County Employment and Skills Board (ESB), to develop a Skills Strategy for the District. Council representatives also attend the Essex Integrated Growth Forum, so are aware of opportunities that may assist us in delivering our Economic Prosperity

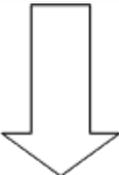
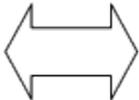
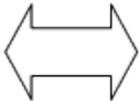
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<p><i>Date risk added to Register: 2015/16</i></p> <p><i>Owner: Chief Executive</i></p>							<p>Strategy Goals. The Economic Development Manager has also met with Invest Essex and once with the Department of International Trade (DIT) to ensure that Maldon District is adequately considered when DIT sourced inward investment enquiries are forwarded to Invest Essex for response.</p> <p>The Economic Development Manager has also attended South East Local Enterprise Partnership events, such as a workshop to promote funding for rural development.</p> <p>In light of the above, the risk score has been reduced which takes this risk within the Council's accepted risk tolerance level and it is therefore proposed that the risk should be removed from the corporate risk register.</p>
<p>13 - Failure to have a co-ordinated approach to supporting new and existing businesses</p> <p><i>Date risk added to Register: 2017/18</i></p> <p><i>Owner: Chief Executive</i></p>	<p>L - 3 I - 4 Risk Score = 12</p>	<p>New risk 17/18</p>	<p>New risk 17/18</p>	<p>L - 3 I - 4 Risk Score = 12</p>	<p>L - 2 I - 4 Risk Score = 8</p>		<p>The Open for Business Work plan includes:-</p> <ul style="list-style-type: none"> • Business rate relief package to attract and retain business. • Fast Track Planning Application Process for Commercial Applications - businesses should be encouraged to make use of the existing pre-application process. Applications that have passed through this process may then be fast tracked where appropriate. • Review and promote Planning Policies supportive to Economic Growth - Now that the LDP has been adopted, we will be guided by Policy E1. The list of existing employment sites is not comprehensive, so need to develop suitable property registers. • Develop and maintain a register of available

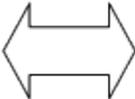
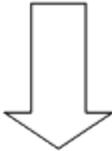
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							<p>employment land</p> <ul style="list-style-type: none"> • Continuous Review of employment land capacity to ensure that it meets market need • Procurement processes that enable SMEs and/or businesses in the District an opportunity to bid for public works/service contracts • Accessible website pages dedicated to business support and advice. <p>In light of all the work that is being undertaken, the risk has been reduced to unlikely.</p>
<p>14 - Failure to protect personal or commercially sensitive data</p>	<p>L - 2 I - 3 Risk Score = 6</p>	<p>L - 3 I - 2 Risk Score = 6</p>	<p>L - 3 I - 2 Risk Score = 6</p>	<p>L - 3 I - 2 Risk Score = 6</p>	<p>L - 3 I - 2 Risk Score = 6</p>		<p>As part of the requirements for the implementation of the General Data Protection Regulations by May 2018, a program of action has been developed by BDO (internal auditors). Once implemented these will provide further assurance over the protection of personal or commercially sensitive data.</p>
<p><i>Date risk added to Register: 2009/10</i></p>							
<p><i>Owner: Director, Resources</i></p>							
<p>15- Inefficient Committee structure</p>	<p>L - 3 I - 3 Risk Score = 9</p>	<p>L - 3 I - 4 Risk Score = 12</p>	<p>L - 3 I - 3 Risk Score = 9</p>	<p>L - 4 I - 3 Risk Score = 12</p>	<p>L - 2 I - 3 Risk Score = 6</p>		<p>A Committee structure update report was provided to Council in November with a number of recommendations all of which were approved including:</p> <ul style="list-style-type: none"> - Members calling in planning applications to SE and NW Area Planning Committees; - Council will fully implement Mod.Gov and achieve

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<i>Date risk added to Register:2015/16</i>							<p>paperless meetings by May 2019;</p> <ul style="list-style-type: none"> - A review of the scope of Directorships and Terms of Reference for programme Committees to align Corporate Leadership Team roles better with those of the programme Committees. <p>On this basis the risk score has been reduced accordingly.</p>
<i>Owner: Chief Executive</i>							
16 – Unable to recruit and retain staff in national skill shortage service areas to meet the demands of the service	L - 3 I - 3 Risk Score = 9	L - 3 I - 4 Risk Score = 12	L - 3 I - 4 Risk Score = 12	L - 3 I - 3 Risk Score = 9	L - 3 I - 3 Risk Score = 9		<p>The risk score remains unchanged. Whilst we are demonstrating a more stable team in Planning and Building Control, the underlying concern remains.</p> <p>Retention is now the key to ensuring stability. Planning ESSEX is formulating its membership and being overseen by the East of England Local Government Association. 15 Councils across Essex have signed up to working collaboratively to address the issue.</p>
<i>Date risk added to Register:2015/16</i>							
<i>Owner: Director of Resources</i>							
17 – Failure to plan and deliver balanced budgets over the medium term	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	L - 2 I - 3 Risk Score = 6		<p>Officers have identified a budget gap of approximately £950K over the medium term. It is anticipated that there will be a balanced budget in 2018/19, but that further savings will need to be found in the medium term.</p>
<i>Date risk added to Register:2008 / 09</i>							
<i>Owner: Director</i>							

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<i>of Resources</i>							
18 – Corporate policies not managed and reviewed	L - 3 I - 3 Risk Score = 9	L - 3 I - 4 Risk Score = 12	L - 3 I - 3 Risk Score = 9	L - 2 I - 3 Risk Score = 6	L - 3 I - 2 Risk Score = 6		There is a requirement under General Data Protection Regulations to ensure that all corporate policies are managed and reviewed. This will be implemented as part of the GDPR program by May 2018.
<i>Date risk added to Register:2016/17</i>							
<i>Owner: Director of Resources</i>							
19 – Lack of access to legal resource	L - 4 I - 4 Risk Score = 16	New risk 17/18	New risk 17/18	L - 2 I - 4 Risk Score = 8	L - 2 I - 2 Risk Score = 4		The Council has employed two qualified legal resources to cover maternity leave. There will also be an independent review of legal resources taking place in Q4 17/18 to ensure that the establishment is matched to the demand. In light of the above, the risk score has been reduced which takes this risk within the Council’s accepted risk tolerance level and it is therefore proposed that it is removed from the corporate risk register.
<i>Date risk added to Register:2017/18</i>							
<i>Owner: Director of Resources</i>							