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Mid Devon District Council

Audit Committee

Tuesday, 28 January 2020 at 5.30 pm
Exe Room, Phoenix House, Tiverton

Next ordinary meeting
Tuesday, 24 March 2020 at 5.30 pm

Those attending are advised that this meeting will be recorded

Membership

Cllr R Evans
Cllr Mrs C Collis
Cllr B A Moore
Cllr D F Pugsley
Cllr A Wilce
Cllr J Wright
Cllr A Wyer

A G E N D A

Members are reminded of the need to make declarations of interest prior to any discussion which may take place

1. **Apologies**
To receive any apologies for absence.
2. **Declaration of Interests under the Code of Conduct**
Councillors are reminded of the requirement to declare any interest, including the type of interest, and reason for that interest, either at this stage of the meeting or as soon as they become aware of that interest.
3. **Public Question Time**
To receive any questions relating to items on the Agenda from members of the public and replies thereto.
4. **Chairman's Announcements**
To receive any announcements that the Chairman may wish to make.
5. **Minutes of the previous meeting (Pages 5 - 10)**
Members to consider whether to approve the minutes as a correct record of the meeting held on 10 December 2019.
6. **Performance & Risk Report (Pages 11 - 48)**
To receive a report from the Director of Corporate Affairs & Business

Transformation providing Members with an update on performance against the Corporate Plan and local service targets for 2019/20 as well as providing an update on the key business risks.

7. **External Audit Progress Report**

To receive a verbal report from Grant Thornton providing an update on progress in delivering their responsibilities as the Council's external auditors.

8. **External auditors audit plan for 2019/2020**

To receive a report from Grant Thornton providing an overview of the planned scope and timing of the statutory audit of Mid Devon District Council for the year ending 31st March 2020.

(To follow).

9. **Identification of items for the next meeting**

Members are asked to note that the following items are already identified in the work programme for the next meeting:

- Performance & Risk
- Progress update on the AGS Action Plan
- Internal Audit Progress Report
- Risk and Opportunity Management Strategy
- Four year Strategic Audit Plan and Work Programme
- Internal Audit Strategy and Charter
- External Audit Progress Report and Sector Update
- Chairman's Annual Report for 2019/2020

Note: This item is limited to 10 minutes. There should be no discussion on the items raised.

Stephen Walford
Chief Executive
Monday, 20 January 2020

Anyone wishing to film part or all of the proceedings may do so unless the press and public are excluded for that part of the meeting or there is good reason not to do so, as directed by the Chairman. Any filming must be done as unobtrusively as possible from a single fixed position without the use of any additional lighting; focusing only on those actively participating in the meeting and having regard also to the wishes of any member of the public present who may not wish to be filmed. As a matter of courtesy, anyone wishing to film proceedings is asked to advise the Chairman or the Member Services Officer in attendance so that all those present may be made aware that is happening.

Members of the public may also use other forms of social media to report on proceedings at this meeting.

Members of the public are welcome to attend the meeting and listen to discussion. Lift access the first floor of the building is available from the main ground floor entrance. Toilet facilities, with wheelchair access, are also available. There is time set aside at the beginning of the meeting to allow the public to ask questions.

An induction loop operates to enhance sound for anyone wearing a hearing aid or using a transmitter. If you require any further information, or

If you would like a copy of the Agenda in another format (for example in large print) please contact Sarah Lees on:

Tel: 01884 234310

E-Mail: slees@middevon.gov.uk

Public Wi-Fi is available in all meeting rooms.

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MID DEVON DISTRICT COUNCIL

MINUTES of a **MEETING** of the **AUDIT COMMITTEE** held on 10 December 2019 at 5.30 pm

Present

Councillors

R Evans (Chairman)
Mrs C Collis, B A Moore, D F Pugsley,
A Wilce, J Wright and A Wyer

Also Present

Councillor

R M Deed

Also Present

Officers

Stephen Walford (Chief Executive), David Curnow (Deputy Head of Devon Audit Partnership), Joanne Nacey (Group Manager for Financial Services), Catherine Yandle (Group Manager for Performance, Governance and Data Security) and Sarah Lees (Member Services Officer)

45. **APOLOGIES**

There were no apologies for absence.

46. **DECLARATION OF INTERESTS UNDER THE CODE OF CONDUCT**

There were no interests declared under this item.

47. **PUBLIC QUESTION TIME**

Mr Nick Quinn, a local resident stated that, he was speaking to Agenda items 6 (Performance and Risk) and 8 (Internal Audit Report):

Firstly: In the Risk Report Appendix 6 there is a risk "*SPV – 3 Rivers – Failure of the Company*", in which the current Risk Likelihood is reported as high (4). One of the impacts of this risk is the inability of 3 Rivers to service and repay the loans from MDDC. Such an inability is already being reported!

A Financial Update Report has been given to the last Cabinet meeting and to all of the PDG's, which states that the 3 Rivers is likely to overspend on the St George's Court project by around £377,000. The report also states that the company have said that they are unlikely to be able to repay the Working Capital loan of £504,000 - within the promised timeframe.

Your Accountants are proposing to impair (or write-off) all this money – noting that "*this will have a real impact on the revenue account*".

It seems very odd to me that Audit Committee should not be given information about a situation with such a high financial impact or an up to date risk report reflecting this.

My questions are: Why is the situation not being reported to Audit Committee? and why has the Risk Likelihood factor not been set higher?

Secondly: At this Committee, last year, I asked about the loan of £750,000 that was made to 3 Rivers in March 2018. I was told that the loan was open-ended but would be repaid after the sale of the properties in the St George's Court development.

My question is: In the light of the reported 3 Rivers situation, is this loan still secure or also in danger of not being repaid?

Thirdly: In the Internal Audit Report covering the Property Development Company, Governance Review - showing improvements are still required. The text identifies two areas of risk to the primary objective of the company – which is to provide additional income for the Council.

Audit did not identify the selection of projects as a risk area, but I wonder whether they should have? At the last Cabinet meeting, when responding to questions about the proposed financial impairments, the Deputy Chief Executive said "*in the first year we have taken on the St George's Court scheme, there was obviously no profit on it. To be honest, if 3 Rivers had been offered it on a commercial basis, it would not have taken it. So we are delivering a project that the Council wanted to see done, that was likely to only break-even*".

My question is: If there was never any profit in the St Georges Court development and 3 Rivers would have refused it, if they could. Why was the company's prime objective put at risk by giving it this profitless project to complete?

The Chairman informed Mr Quinn that he would receive a written response to his questions in due course (attached to the minutes).

48. **CHAIRMAN'S ANNOUNCEMENTS (00:05:05)**

The Chairman had no announcements to make.

49. **MINUTES OF THE PREVIOUS MEETING (00:05:10)**

The minutes of the meeting held on 8 October 2019 were confirmed as a true and accurate record and **SIGNED** by the Chairman.

50. **MEETING MANAGEMENT**

The Chairman stated that he would be taking item 8 'Internal Audit Progress Report' as the next item of business.

51. **INTERNAL AUDIT PROGRESS REPORT (00:05:15)**

The Committee had before it, and **NOTED**, a report * from the Head of the Audit Partnership reviewing the progress and performance of Internal Audit.

It was the overall opinion of the internal auditor that, based on work performed during 2019/20 and their experience from the current year progress and previous years' audit, their opinion was one of 'Substantial Assurance' on the adequacy and effectiveness of the authority's internal framework.

The contents of the report were outlined with discussions taking place regarding the following:

- There were no material concerns within the core audits and no issues of fraud.
- The audit of Housing Benefits had identified that there were good controls in place. Internal auditors had assisted the external auditors with the subsidy claim for the first time this year. The final outcome report was awaited.
- The audit of the debtors area had identified it as of a 'Good Standard'. There had been some minor VAT issues but staff were working on that. The review of the debtors master file had identified areas of improvement.
- The audit of the 'Main Accounting' system had identified it as being of a 'High Standard'.
- Within the audit of the 'Property Development Company – Governance Review Follow Up' they were pleased to recognise the significant steps that had been taken to improve the control framework around the highest risk areas previously identified. However, improvements were still needed around the reporting and monitoring mechanisms, particularly with regard to how these were reported to the Cabinet and ultimately Council. Key performance indicators were not sufficiently clear at the present time to recognise the returns that projects might provide. The now quarterly shareholder meeting was recognised as a positive step forward for monitoring purposes.
- The meaning of 'impairment' was explained by the Group Manager for Financial Services and the external auditor as essentially being a mechanism to recognise a provision to cover the council should the loan not be repaid in full. This did not mean that the loan was being written off. The need for the impairment would be reviewed over the life of the project. The 3 Rivers accounts would show the loan at the full repayable amount whereas the outstanding loan on the council's balance sheet would reflect the possibility that a proportion would not be repaid. The requirement to consider an impairment over the life of loans had been brought in as a result on international accounting standards, IFRS 9, which has been updated in 2019/20. This could be reversed within the accounts when repaid.
- It was confirmed that formal reporting from 3 Rivers occurred every 6 months and the shareholders meeting occurred every quarter whilst the company itself performed their own monitoring on a monthly basis. This was now in place as a result of a previous audit. It was confirmed that there was continued effort to control risk and improve the management information leading up to any decision points where risk to the council could potentially be impacted or mitigated.
- The Chairman reminded everybody present that they were welcome at any time to knock on the door of the Development Company office to ask questions (whilst understanding the commercial sensitivities involved) and also to speak to the Cabinet Member for Housing.
- The shareholders would be meeting next week to discuss the details of the internal audit report.
- Audit work had been completed on the new on-line job evaluation system. Initial findings were that the system controls and evaluation methodology were sound and should ensure consistency through what is a nationally accepted standard of assessment.
- It was noted there was still an outstanding audit recommendation in relation to the Procurement area from 2018, this was in relation to the need for a

Corporate Procurement Strategy. Discussions were ongoing with regard to the usefulness of such a strategy.

Note: * Report previously circulated; copy attached to the signed minutes.

52. **PERFORMANCE AND RISK REPORT (00:41:15)**

The Committee had before it, and **NOTED**, a report * from the Director of Corporate Affairs and Business Transformation providing Members with an update on performance against the Corporate Plan and local service targets for 2019-20 as well as providing an update on the key business risks.

The contents of the report were outlined with consideration being given to the following:

- All performance indicators would need to be reviewed in light of the new Corporate Plan when it is approved by Council.
- The only request made by PDG's since the last Audit Committee had been from the Economy PDG to see an indicator which showed any changes in the trends on empty shops year on year.
- The need for health and safety risk assessments in relation to all service areas had been brought to the attention of all Group Managers.
- The need for the Council to demonstrate that it was compliant with all GDPR requirements would need to be factored for in all business plans for the following year.
- Risks in relation to the 'SPV – 3 Rivers' – it was confirmed that the Cabinet undertook the initial decisions in relation to the first project. It was also highlighted that the architect used for this had recently won a national architectural award. The audit committee's responsibility lay with it needing to be comfortable with the level of risk.
- Review notes and where associated information needed to be shown.

Note: * Report previously circulated; copy attached to the signed minutes.

53. **PROGRESS UPDATE ON THE ANNUAL GOVERNANCE STATEMENT ACTION PLAN (00:58:26)**

The Committee had before it, and **NOTED**, a report * from the Group Manager for Performance, Governance and Data Security providing the Committee with an update on progress made against the Annual Governance Statement 2018/19 Action Plan.

The contents of the report were briefly outlined and it was explained that action point numbers two and three had had the completion dates amended. Since the Audit Committee had approved the original dates back in July, it was requested that it approve this revision. This was **AGREED**.

Note: * Report previously circulated; copy attached to the signed minutes.

54. **EXTERNAL AUDIT PROGRESS REPORT (01:00:45)**

The Committee had before it, and **NOTED**, a report * from Grant Thornton providing it with an update on progress in delivering their responsibilities as the Council's external auditors.

The following was highlighted within the report:

- Since the last Audit Committee they had begun planning for the 2019/20 external audit and they would be issuing a detailed audit plan setting out their approach at the next Audit Committee.
- Since the last meeting they had also certified the Council's annual Housing Benefit Subsidy claim in accordance with procedures agreed with the Department for Work and Pensions.

Note: * Report previously circulated; copy attached to the signed minutes.

55. **AN UPDATE IN RELATION TO THE ADDITIONAL FEES PROPOSED BY THE EXTERNAL AUDITORS (01:03:23)**

The following update was provided from Grant Thornton:

- The external auditors were not able to set these themselves and they needed to be ratified by the PSAA.
- Additional requirements were now placed on auditors with more work being expected of them across the sector.
- It was noted that some MDDC officers had raised concerns about these additional fees but any arbitration required would need to be conducted through the PSAA.
- The additional work required by external auditors would be set out within the proposals for their planned work at the next meeting.

56. **IDENTIFICATION OF ITEMS FOR THE NEXT MEETING (01:07:58)**

It was noted that the meeting in January was only 6 weeks away and that not all the usual reports would have the necessary data available to be published in time. Therefore it was **AGREED** that the AGS update and the Internal Audit Progress Report would not come to the next meeting but that the following would:

- Performance and Risk
- External Audit Progress Report
- External auditors audit plan for 2019/20.

It was confirmed that the formal meeting would be followed by a short training session on fraud prevention for the Committee only.

(The meeting ended at 6.41 pm)

CHAIRMAN

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**AUDIT COMMITTEE
10 DECEMBER 2019:**

AGENDA ITEM:

PERFORMANCE AND RISK REPORT

Cabinet Member Cllr Bob Deed
Responsible Officer Director of Corporate Affairs & Business Transformation,
Jill May

Reason for Report: To provide Members with an update on performance against the corporate plan and local service targets for 2019-20 as well as providing an update on the key business risks.

RECOMMENDATION: That the Committee reviews the Performance Indicators and Risks that are outlined in this report and feeds back any areas of concern.

Relationship to Corporate Plan: Corporate Plan priorities and targets are effectively maintained through the use of appropriate performance indicators and regular monitoring.

Financial Implications: None identified

Legal Implications: None

Risk Assessment: If performance is not monitored we may fail to meet our corporate and local service plan targets or to take appropriate corrective action where necessary. If key business risks are not identified and monitored they cannot be mitigated effectively.

Equality Impact Assessment: No equality issues identified for this report.

Impact on Climate Change: No impacts identified for this report.

1.0 Introduction

- 1.1 Appendices 1-5 provide Members with details of performance against the Corporate Plan and local service targets for the 2019-20 financial year. The Committee is invited to suggest measures they would like to see included in the future for consideration.
- 1.2 Appendix 6 shows the higher impact risks from the Corporate Risk Register. See 3.0 below.
- 1.3 Appendix 7 shows the risk matrix for the Council.
- 1.4 All appendices are produced from the Corporate Service Performance And Risk Management system (SPAR).
- 1.5 When benchmarking information is available it is included.

2.0 Performance

Environment Portfolio - Appendix 1

- 2.1 Regarding the Corporate Plan Aim: **Increase recycling and reduce the amount of waste: % of household waste reused, recycled and composted**; all the waste KPIs on Appendix 1 are better than target apart from the recycling rate which is marginally below for the year to date although 54% was achieved for October.. These are yet to be verified by DCC as is usual.
- 2.2 Regarding the Corporate Plan Aim: **Reduce our carbon footprint**: The Exeter University benchmarking of MDDC's Carbon Footprint as at 2018/19, along with the other Devon districts, was received at the end of December.
- 2.3 The Carbon Emissions Baseline figure has been calculated and was reported to Cabinet at its meeting on 19 December, a recommendation has been made for the Environmental PDG working group to prioritise actions as the next stage.
- 2.4 **Other**: Waste services are also performing well financially with increased income from trade waste and recycling and the shared saving scheme for waste with DCC showing a surplus.

Homes Portfolio - Appendix 2

- 2.5 Regarding the Corporate Plan Aim: **Build more council houses**: Whilst no additional houses have reached the planning stage at present work continues on the feasibility of further development within our own estates and elsewhere.
- 2.6 Regarding the Corporate Plan Aim: **Facilitate the housing growth that Mid Devon needs, including affordable housing: Bringing Empty homes into use** has already well exceeded the annual target.
- 2.7 Regarding the Corporate Plan Aim: **Planning and enhancing the built environment: Performance Planning Guarantee determined within 26 weeks** was just below target at 99% but all 4 speed and quality measures were well above the required target as at 31 December, these are reported quarterly.
- 2.8 **Other**: most measures were either on or above target except for **Average days to re-let** which was just outside the target of 14 days and **Properties with a valid gas safety certificate**. For this @ 30 November there were 3 properties referred to Legal services to gain access in accordance with MDDC procedure.
- 2.9 Housing performance remains in the top quartile compared with HouseMark.

Economy Portfolio - Appendix 3

- 2.10 Regarding the Corporate Plan Aims: **Attract new businesses to the District and Focus on business retention and growth of existing businesses**; we record **Businesses supported**, this includes new and existing businesses and remains above target.
- 2.11 We also report the **Number of business rate accounts** which exceeds target increasing by almost 11% since we started reporting this figure in March 2016.
- 2.12 Regarding the Corporate Plan Aim: **Improve and regenerate our town centres with the aim of increasing footfall, dwell-time and spend in our town centres: car parking vends** are reported as a proxy for visitor numbers.
- 2.13 **Empty Shops**; it should be noticed that the vacancy count is done at the start of each quarter. Charts showing the trend over the last six years are included as appendix 3a as requested at the last meeting.
- 2.14 For the UK as a whole, during 2019 the number of shops which shut in the year rose by 10%, a further increase of 9% is expected in 2020 according to the Centre for Retail Research. Of our 3 main towns only Cullompton did better than this.
- 2.15 **Other:** The 6 week public consultation on the Local Plan main modifications runs from 6 January to 17 February 2020. The consultation documents and comments received will be subsequently sent to the Planning Inspectorate.

Community Portfolio - Appendix 4 and 8

- 2.16 No update to Community PDG in January.

Corporate - Appendix 5

- 2.17 **Working days lost due to sickness** is currently slightly below target but better than at this point last year. The revised sickness policy is in draft at present.
- 2.18 The **Response to FOI requests** have been 100% on time since April 2019. The new FOI information has been added as requested, with some information about the prior year for comparison. The extra FOI information did not start being published on the website until July 2018 when the new Cabinet FOI guidance was published.
- 2.19 The **% total Council Tax collected** and **% total NNDR collected** are both slightly below target.

3.0 Risk

- 3.1 The Corporate risk register is regularly reviewed by Group Managers' Team (GMT) and Leadership Team (LT) and updated as required.
- 3.2 Risk reports to committees include strategic risks with a current score of 10 or more in accordance with the Risk and Opportunity Management Strategy. (Appendix 6)
- 3.3 Appendix 7 shows the risk matrix for MDDC for this quarter. If risks are not scored they are included in the matrix at their inherent score which will be higher than their current score would be.
- 3.4 Operational risk assessments are job specific and flow through to safe systems of work. These risks go to the Health and Safety Committee biannually with escalation to committees where serious concerns are raised.

4.0 Conclusion and Recommendation

- 4.1 That the Committee reviews the performance indicators and any risks that are outlined in this report and feeds back any areas of concern.

Contact for more Information: Catherine Yandle Group Manager for Performance, Governance and Data Security ext 4975

Circulation of the Report: Leadership Team and Cabinet Member

Corporate Plan PI Report Environment

Monthly report for 2019-2020
 Arranged by Aims
 Filtered by Aim: Priorities Environment
 For MDDC - Services

Key to Performance Status:

Performance Indicators:	No Data	Well below target	Below target	On target	Above target	Well above target
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* indicates that an entity is linked to the Aim by its parent Service

Corporate Plan PI Report Environment

Priorities: Environment

Aims: Increase recycling and reduce the amount of waste

Performance Indicators

Title	Prev Year (Period)	Annual Target	Apr Act	May Act	Jun Act	Jul Act	Aug Act	Sep Act	Oct Act	Nov Act	Dec Act	Jan Act	Feb Act	Mar Act	Group Manager	Officer Notes
<u>Residual household waste per household (measured in Kilograms) (figures have to be verified by DCC)</u>	241.11 (8/12)	365.00	36.52	66.32	93.65	123.35	150.40	177.00	208.78	238.38					Stuart Noyce	(April - November) A decrease of 1.13% compared to November 2018 (LD)
<u>% of Household Waste Reused, Recycled and Composted (figures have to be verified by DCC)</u>	54.13% (8/12)	54.00%	48.76%	52.78%	53.97%	54.09%	54.26%	54.68%	54.41%	54.04%					Stuart Noyce	(November) Very slightly lower than November 2018. Residual waste has reduced by 97 tonnes; dry recycling has reduced by 33 tonnes. Organic waste has decreased by 18 tonnes. (LD)
<u>Net annual cost of waste service per household</u>		£45.00	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	Stuart Noyce	
<u>Number of Households on Chargeable Garden Waste</u>	9,837 (8/12)	10,000	9,921	10,102	10,109	10,195	10,266	10,241	10,155	10,072					Stuart Noyce	(November) There is a small decrease in the number of customers compared to last month; this reflects the trend shown for the same period in the previous year; however there are 235 more customers compared to November 2018. (LD)
<u>% of missed collections reported (refuse and organic)</u>	0.04% (8/12)	0.03%	0.01%	0.01%	0.01%	0.01%	0.02%	0.02%	0.02%	0.02%					Stuart Noyce	(November) Remaining within target (LD)

Corporate Plan PI Report Environment																
Priorities: Environment																
Aims: Increase recycling and reduce the amount of waste																
Performance Indicators																
Title	Prev Year (Period)	Annual Target	Apr Act	May Act	Jun Act	Jul Act	Aug Act	Sep Act	Oct Act	Nov Act	Dec Act	Jan Act	Feb Act	Mar Act	Group Manager	Officer Notes
<u>waste)</u>																
<u>% of Missed Collections logged (recycling)</u>	0.02% (8/12)	0.03%	0.02%	0.02%	0.02%	0.02%	0.03%	0.03%	0.02%	0.02%					Stuart Noyce	(November) Remaining within target (LD)

Aims: Protect the natural environment																
Performance Indicators																
Title	Prev Year (Period)	Annual Target	Apr Act	May Act	Jun Act	Jul Act	Aug Act	Sep Act	Oct Act	Nov Act	Dec Act	Jan Act	Feb Act	Mar Act	Group Manager	Officer Notes
<u>Number of Fixed Penalty Notices (FPNs) Issued (Environment)</u>	12 (8/12)		2	4	6	8	10	10	10	10					Stuart Noyce	(December) District Officer cover for the past three months has reduced from 3.8 FTE's to 2.8 FTE's. This post is due to be filled in January. (LD)

Corporate Plan PI Report Homes

Monthly report for 2019-2020
 Arranged by Aims
 Filtered by Aim: Priorities Homes
 For MDDC - Services

Key to Performance Status:

Performance Indicators:	No Data	Well below target	Below target	On target	Above target	Well above target
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* Indicates that an entity is linked to the Aim by its parent Service

Corporate Plan PI Report Homes

Priorities: Homes

Aims: Build more council houses

Title	Prev Year (Period)	Prev Year End	Annual Target	Apr Act	May Act	Jun Act	Jul Act	Aug Act	Sep Act	Oct Act	Nov Act	Dec Act	Jan Act	Feb Act	Mar Act	Group Manager	Officer Notes
Build Council Houses	6 (8/12)		26	0	0	0	0	0	26	26	26					Angela Haigh	(September) Palmerston Park (CY)

Aims: Facilitate the housing growth that Mid devon needs, including affordable housing

Title	Prev Year (Period)	Prev Year End	Annual Target	Apr Act	May Act	Jun Act	Jul Act	Aug Act	Sep Act	Oct Act	Nov Act	Dec Act	Jan Act	Feb Act	Mar Act	Group Manager	Officer Notes
Number of affordable homes delivered (gross)	29 (2/4)		100	n/a	n/a	22	n/a	n/a	68	n/a	n/a		n/a	n/a		Angela Haigh	(Quarter 1 - 2) Info. from Planni
Deliver homes by bringing Empty Houses into use	107 (8/12)		72	17	33	42	55	72	84	95	97					Simon Newcombe	

Aims: Other

Title	Prev Year (Period)	Prev Year End	Annual Target	Apr Act	May Act	Jun Act	Jul Act	Aug Act	Sep Act	Oct Act	Nov Act	Dec Act	Jan Act	Feb Act	Mar Act	Group Manager	Officer Notes
% Decent Council Homes	99.9% (8/12)		100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%					Angela Haigh	
% Properties With a Valid Gas Safety Certificate	99.91% (8/12)		100.00%	99.78%	99.82%	99.91%	99.91%	99.96%	100.00%	99.96%	99.87%					Angela Haigh	
Rent Collected as a Proportion of Rent Owed	98.61% (8/12)		97.00%	91.55%	99.90%	97.66%	100.93%	99.30%	98.50%	100.26%	98.37%					Angela Haigh	
Current Tenant Arrears as a Proportion of Annual Rent Debit	1.51% (8/12)		2.50%	1.10%	0.87%	1.11%	1.09%	0.91%	1.17%	1.14%	1.29%					Angela Haigh	
Dwelling rent lost due to voids	0.50% (8/12)		0.70%	0.50%	0.50%	0.48%	0.48%	0.52%	0.53%	0.55%	0.56%					Angela Haigh	
Average Days to Re-Let Local Authority Housing	14.5days (8/12)		14.0days	14.0days	14.5days	14.6days	13.7days	14.6days	14.4days	14.3days	14.5days					Angela Haigh	

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Corporate Plan PI Report Economy

Monthly report for 2019-2020
 Arranged by Aims
 Filtered by Aim: Priorities Economy
 For MDDC - Services

Key to Performance Status:

Performance Indicators:	No Data	Well below target	Below target	On target	Above target	Well above target
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* Indicates that an entity is linked to the Aim by its parent Service

Corporate Plan PI Report Economy

Priorities: Economy

Aims: Attract new businesses to the District

Performance Indicators																
Title	Prev Year (Period)	Annual Target	Apr Act	May Act	Jun Act	Jul Act	Aug Act	Sep Act	Oct Act	Nov Act	Dec Act	Jan Act	Feb Act	Mar Act	Group Manager	Officer Notes
<u>Number of business rate accounts</u>	3,061 (8/12)	3,150	3,104	3,112	3,123	3,137	3,149	3,155	3,180	3,186					Andrew Jarrett, Fiona Wilkinson	

Aims: Focus on business retention and growth of existing businesses

Performance Indicators																
Title	Prev Year (Period)	Annual Target	Apr Act	May Act	Jun Act	Jul Act	Aug Act	Sep Act	Oct Act	Nov Act	Dec Act	Jan Act	Feb Act	Mar Act	Group Manager	Officer Notes
<u>Businesses supported</u>	201 (8/12)	250	21	57	84	107	124	141	157	169					Adrian Welsh	(November) 5 businesses assisted and 7 new enquires (MF), Number of businesses assisted

Aims: Improve and regenerate our town centres

Performance Indicators																
Title	Prev Year (Period)	Annual Target	Apr Act	May Act	Jun Act	Jul Act	Aug Act	Sep Act	Oct Act	Nov Act	Dec Act	Jan Act	Feb Act	Mar Act	Group Manager	Officer Notes
<u>Increase in Car Parking Vends</u>	51,821 (8/12)		51,120	51,775	48,697	50,894	51,261	50,325	53,392	52,568					Andrew Jarrett	
<u>The Number of Empty Shops (TIVERTON)</u>	20 (3/4)	18	n/a	n/a	17	n/a	n/a	21	n/a	n/a	21	n/a	n/a	n/a	Adrian Welsh	Number of vacant retail units, (Quarter 4) Oct 19: 21 vacant units representing 8.7% of the total units. (CY)
<u>The Number of Empty Shops (CREDITON)</u>	9 (3/4)	8	n/a	n/a	6	n/a	n/a	10	n/a	n/a	10	n/a	n/a	Adrian Welsh	(Quarter 3) Oct 19: 10 vacant units representing 8.4% of total units in Crediton. (MF), Number of vacant retail units	
<u>The Number of Empty Shops (CULLOMPTON)</u>	9 (3/4)	8	n/a	n/a	12	n/a	n/a	7	n/a	n/a	7	n/a	n/a	Adrian Welsh	(Quarter 3) Oct 19: 7 vacant units representing 7.9% of the total units. (MF), The number of vacant retail units	

Aims: Other

Performance Indicators																
Title	Prev Year (Period)	Annual Target	Apr Act	May Act	Jun Act	Jul Act	Aug Act	Sep Act	Oct Act	Nov Act	Dec Act	Jan Act	Feb Act	Mar Act	Group Manager	Officer Notes

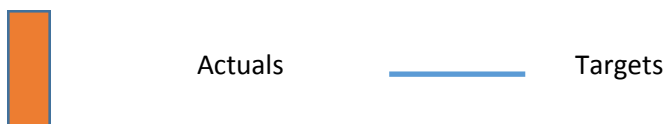
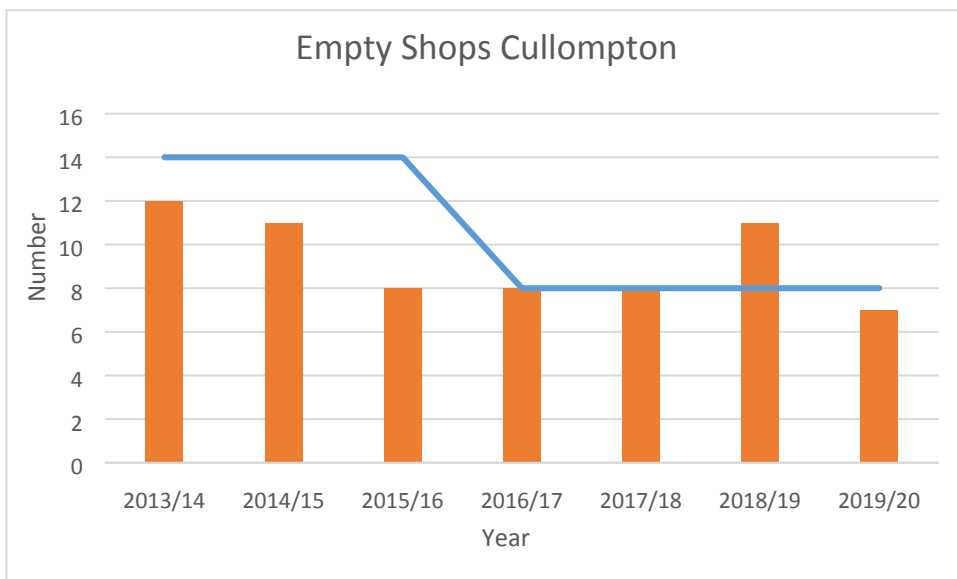
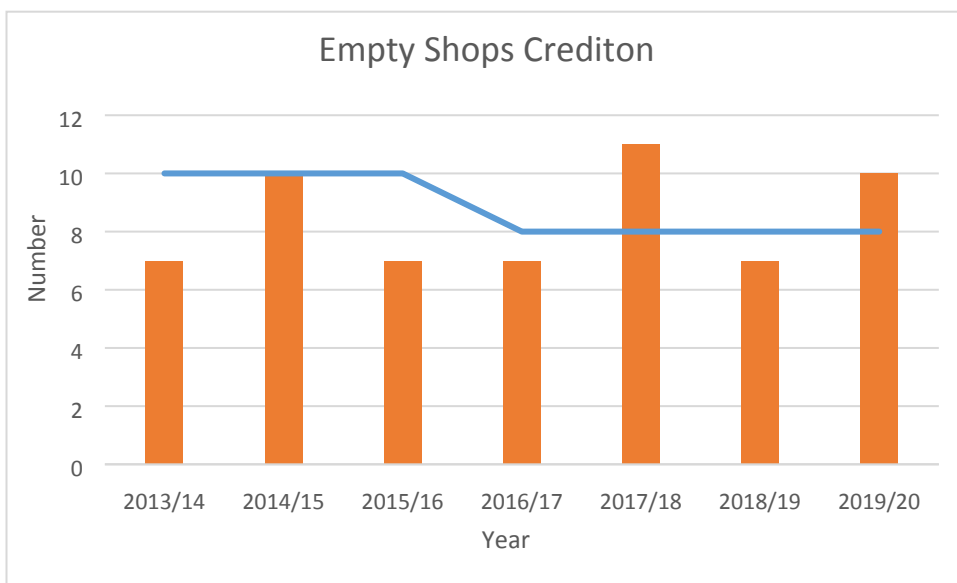
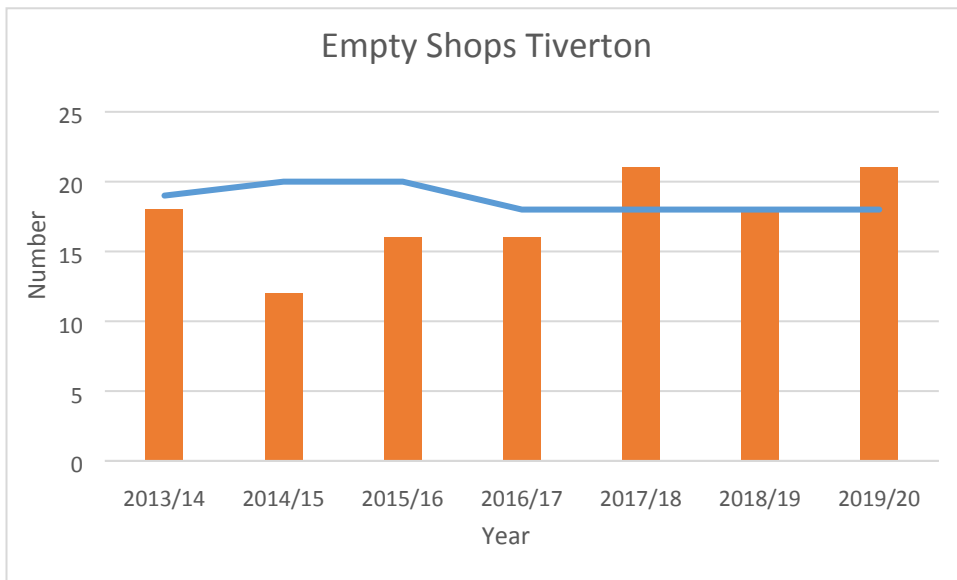
Corporate Plan PI Report Economy**Priorities: Economy****Aims: Other****Performance Indicators**

Title	Prev Year (Period)	Annual Target	Apr Act	May Act	Jun Act	Jul Act	Aug Act	Sep Act	Oct Act	Nov Act	Dec Act	Jan Act	Feb Act	Mar Act	Group Manager	Officer Notes
<u>Funding awarded to support economic projects</u>	£160,395 (3/4)	£100,000	n/a	n/a	£10,000	n/a	n/a	£10,000	n/a	n/a	£25,000	n/a	n/a		Adrian Welsh	(Quarter 3) 15,000 Euros awarded from WiFi4EU Programme (JB), Funding actively sought for corporate priorities

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Corporate Plan PI Report Community

Monthly report for 2019-2020
 Arranged by Aims
 Filtered by Aim: Priorities Community
 Filtered by Flag: Exclude: Corporate Plan Aims 2016 to 2020
 For MDDC - Services

Key to Performance Status:

Performance Indicators: No Data Well below target Below target On target Above target Well above target

* indicates that an entity is linked to the Aim by its parent Service

Corporate Plan PI Report Community																	
Priorities: Community																	
Aims: Other																	
Performance Indicators																	
Title	Prev Year (Period)	Prev Year End	Annual Target	Apr Act	May Act	Jun Act	Jul Act	Aug Act	Sep Act	Oct Act	Nov Act	Dec Act	Jan Act	Feb Act	Mar Act	Group Manager	Officer Notes
<u>Compliance with food safety law</u>	87% (9/12)		90%	93%	93%	92%	93%	93%	92%	92%	92%	91%				Simon Newcombe	

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Corporate Plan PI Report Corporate

Monthly report for 2019-2020
 Arranged by Aims
 Filtered by Aim: Priorities Delivering a Well-Managed Council
 For MDDC - Services

Key to Performance Status:

Performance Indicators:	No Data	Well below target	Below target	On target	Above target	Well above target
-------------------------	---------	-------------------	--------------	-----------	--------------	-------------------

* indicates that an entity is linked to the Aim by its parent Service

Corporate Plan PI Report Corporate

Priorities: Delivering a Well-Managed Council

Aims: Put customers first

Title	Prev Year (Period)	Prev Year End	Annual Target	Apr Act	May Act	Jun Act	Jul Act	Aug Act	Sep Act	Oct Act	Nov Act	Dec Act	Jan Act	Feb Act
<u>% of complaints resolved w/in timescales (10 days - 12 weeks)</u>	94% (9/12)		90%	96%	98%	95%	95%	96%	96%	95%	91%	90%		
<u>Number of Complaints</u>	29 (9/12)			26	31	33	34	33	31	30	29	28		
<u>New Performance Planning Guarantee determine within 26 weeks</u>	99% (3/4)		100%	n/a	n/a	99%	n/a	n/a	99%	n/a	n/a	99%	n/a	n/a
<u>Major applications determined within 13 weeks (over last 2 years)</u>	86% (3/4)		60%	n/a	n/a	72%	n/a	n/a	72%	n/a	n/a	73%	n/a	n/a
<u>Minor applications determined within 8 weeks (over last 2 years)</u>	77% (3/4)		65%	n/a	n/a	77%	n/a	n/a	78%	n/a	n/a	78%	n/a	n/a
<u>Major applications overturned at appeal (over last 2 years)</u>	3% (3/4)		10%	n/a	n/a	0%	n/a	n/a	2%	n/a	n/a	2%	n/a	n/a
<u>Major applications overturned at appeal % of appeals</u>	n/a	n/a	% Appeals overturned in Q /No of appeals decided in quarter / 2 Appeal Decisions in Q3/ 0 Overturne	n/a	n/a		n/a	n/a	40.00%	n/a	n/a	20.00%	n/a	n/a
<u>Minor applications overturned at appeal (over last 2 years)</u>	0% (3/4)		10%	n/a	n/a	0%	n/a	n/a	0%	n/a	n/a	0%	n/a	n/a
<u>Minor applications overturned at appeal %</u>	n/a	n/a		n/a	n/a		n/a	n/a	42%	n/a	n/a	26%	n/a	n/a

Corporate Plan PI Report Corporate														
Priorities: Delivering a Well-Managed Council														
Aims: Put customers first														
Performance Indicators														
Title	Prev Year (Period)	Prev Year End	Annual Target	Apr Act	May Act	Jun Act	Jul Act	Aug Act	Sep Act	Oct Act	Nov Act	Dec Act	Jan Act	Feb Act
<u>of appeals</u>														
<u>Response to FOI Requests (within 20 working days)</u>	95% (9/12)		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%		
<u>FOI/EIR Requests where the information was granted in full</u>	n/a	n/a	2018 -19 Q 3 & 4 190 i.e. 59.4%	32	28	26	26	44	34	32	39	25		
<u>ICO Decision Notices</u>	n/a	n/a	There were 4 complaints in 2018-19 2 Withdrawn 1 Upheld 1 Not Upheld	0	0	1	2	3	3	3	3	3		
<u>Working Days Lost Due to Sickness Absence</u>	6.36days (9/12)		7.00days	0.46days	0.96days	1.55days	2.17days	2.88days	3.51days	4.18days	4.79days	5.59days		
<u>% total Council tax collected - monthly</u>	84.11% (9/12)		98.50%	11.16%	20.41%	29.29%	38.20%	47.15%	56.18%	65.93%	74.94%	83.97%		
<u>% total NDR collected - monthly</u>	76.36% (9/12)		99.20%	12.02%	24.00%	33.07%	40.40%	48.98%	57.25%	65.21%	72.43%	80.12%		
<u>Number of visitors per month</u>	2,152 (9/12)		2,500	1,361	1,355	1,257	1,212	1,189	1,200	1,234	1,234	1,194		

Corporate Risk Management Report - Appendix 6

Report for 2019-2020

Filtered by Prefix: Exclude Risk Prefix: OP, PR, EV

Filtered by Flag: Include: * Corporate Risk Register

For MDDC - Services

Filtered by Performance Status: Exclude Risk Status: Low

Not Including Risk Child Projects records, Including Mitigating Action records

Key to Performance Status:

Mitigating Action:

Milestone Missed	Behind schedule	In progress	Completed and evaluated	No Data available
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Risks:

No Data (0+)	High (15+)	Medium (6+)	Low (1+)
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Corporate Risk Management Report - Appendix 6

Risk: Absence of Key Staff Loss of key staff from service (either temporary or permanent) could result in being unable to meet statutory duties and administer an election

Service: Elections and Electoral Registration

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
Completed and evaluated	Partnership working arrangements	may require experienced staff from other authorities if staff absent at key times	Jackie Stoneman	02/08/2013	11/03/2019	Fully effective (1)
Current Status: Medium (12)		Current Risk Severity: 4 - High		Current Risk Likelihood: 3 - Medium		
Service Manager: Jill May						

Corporate Risk Management Report - Appendix 6

Risk: Climate Change Declaration The implications to the Council's strategic, budget and medium term financial plans are not yet fully explored and understood. This introduces an increased level of uncertainty.

Service: Governance

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
No Data available	Consideration by the Environment PDG	This PDG has been tasked with considering the Council's own policy response(s) to the Climate Change Declaration made at Full Council on 26 June 2019.	Catherine Yandle	19/07/2019	06/12/2019	No Score(0)

Current Status: High (25)

Current Risk Severity: 5 - Very High

Current Risk Likelihood: 5 - Very High

Service Manager: Catherine Yandle

Corporate Risk Management Report - Appendix 6

Risk: Cyber Security Inadequate Cyber Security could lead to breaches of confidential information, damaged or corrupted data and ultimately Denial of Service. If the Council fails to have an effective ICT security strategy in place.

Risk of monetary penalties and fines, and legal action by affected parties

Service: I C T

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
Completed and evaluated	Email and Protective DNS	ICT have applied the all levels of the government secure email policy, which ensures secure email exchange with government agencies operating at OFFICIAL. PSN DNS has been configured at the Internet gateway, which ensures the validity of websites and blocks known sites.	Alan Keates	06/06/2019	15/10/2019	Fully effective (1)
Completed and evaluated	Information Security Policy in place, with update training	Information Security Policy reviewed. LMS (online policy system) included in induction.	Catherine Yandle	22/10/2015	15/10/2019	Fully effective (1)
In progress	Regular user awareness training	Staff and Member updates help to reduce the risk	Alan Keates	03/01/2019	15/10/2019	Satisfactory (2)
Completed and evaluated	Technical controls in place	Required to maintain Public Sector Network certification	Alan Keates	03/01/2019	15/10/2019	Fully effective (1)
Current Status: High (20)		Current Risk Severity: 4 - High		Current Risk Likelihood: 5 - Very High		
Service Manager: Alan Keates						

Corporate Risk Management Report - Appendix 6

Risk: Economic Strategy Failure to deliver projects/outcomes in Economic Strategy

Service: Growth, Economy and Development

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Continue to seek out existing and new funding opportunities	To assist in ensuring adequate funding for delivery.	Adrian Welsh	10/06/2019	17/09/2019	Satisfactory (2)
In progress	partnership working	Continue to work closely with delivery partners to gain advance warning of difficulties so as to seek to mitigate	Adrian Welsh	10/06/2019	17/09/2019	Satisfactory (2)
In progress	Project Management	Continue rigorous project management, monitoring and reporting	Adrian Welsh	10/06/2019	17/09/2019	Satisfactory (2)
Current Status: Medium (12)		Current Risk Severity: 4 - High		Current Risk Likelihood: 3 - Medium		
Service Manager: Jenny Clifford						

Risk: Funding Insufficient resources (including funding) to deliver growth aspirations of Corporate Plan.

Service: Growth, Economy and Development

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Officers have reprioritised work programmes to explore new funding opportunities	End of European funding sources	Adrian Welsh	10/06/2019	10/06/2019	Satisfactory (2)
Current Status: High (16)		Current Risk Severity: 4 - High		Current Risk Likelihood: 4 - High		
Service Manager: Adrian Welsh						

Corporate Risk Management Report - Appendix 6

Risk: GDPR compliance That the Council cannot demonstrate that we are compliant with GDPR requirements.

Service: Governance

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
Behind schedule	IDOX Records Handling Plan	To utilize IDOX bulk data handling tool across the Council services using Uniform	Catherine Yandle	01/03/2019	19/11/2019	Poor - action required(3)
In progress	Records Management Action Plan	To improve identified issues with records management	Catherine Yandle	15/06/2018	19/11/2019	Satisfactory (2)
Current Status: Medium (10)		Current Risk Severity: 5 - Very High		Current Risk Likelihood: 2 - Low		
Service Manager: Catherine Yandle						

Corporate Risk Management Report - Appendix 6

Risk: Health and Safety Inadequate Health and Safety Policies or Risk Assessments and decision-making could lead to Mid Devon failing to mitigate serious health and safety issues

Service: Human Resources

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
Completed and evaluated	Risk Assessments	Review risk assessments and procedures to ensure that we have robust arrangements in place. In progress ready for September reports.	Michael Lowe	28/05/2013	20/11/2019	Fully effective (1)
In progress	Risk assessments	Group Managers contacted with request to update the outstanding risk reviews	Michael Lowe	20/09/2019	20/11/2019	Satisfactory (2)
Current Status: Medium (10)		Current Risk Severity: 5 - Very High		Current Risk Likelihood: 2 - Low		
Service Manager: Michael Lowe						

Corporate Risk Management Report - Appendix 6

Risk: Homelessness Insufficient resources to support an increased homeless population could result in failure to meet statutory duty to provide advice and assistance to anyone who is homeless.

Service: Housing Services

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
Completed and evaluated	Computer System	New ICT system for recording homelessness data procured and fully functional including reporting facility.	Claire Fry	05/09/2017	31/12/2019	Fully effective (1)
Completed and evaluated	Staff Support	Officers are trained and knowledgeable and the structure of Housing Options team to be reviewed to build resilience. Homelessness strategy was reviewed Autumn 2019.	Claire Fry	22/06/2017	31/12/2019	Fully effective (1)
Current Status: Medium (12)		Current Risk Severity: 4 - High		Current Risk Likelihood: 3 - Medium		
Service Manager: Claire Fry						

Corporate Risk Management Report - Appendix 6

Risk: Information Security Inadequate data protection could lead to breaches of confidential information and ultimately enforcement action by the ICO.

Service: Governance

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Awareness and Training	Attend team meetings and other meetings such as Tenants Together to provide training and answer questions on request. Articles in the Link on an ad hoc basis.	Catherine Yandle	09/08/2019	19/11/2019	Satisfactory (2)
Completed and evaluated	Breach notification	Security breaches are logged via the helpdesk and monitored for developing trends. Training and advice is offered in response to items logged.	Catherine Yandle	09/08/2019	19/11/2019	Satisfactory (2)

Current Status: High (15)

Current Risk Severity: 5 - Very High

Current Risk Likelihood: 3 - Medium

Service Manager: Catherine Yandle

Corporate Risk Management Report - Appendix 6

Risk: Infrastructure delivery Inability to deliver, or delay in delivering, key transport infrastructure to unlock planned growth

Service: Growth, Economy and Development

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Partnership working with infrastructure providers and statutory bodies	Reduce risk of delays and communication.	Adrian Welsh	10/06/2019	17/09/2019	Satisfactory (2)
In progress	target funding opportunities	To seek to bring forward delivery	Adrian Welsh	10/06/2019	17/09/2019	Satisfactory (2)
Current Status: Medium (12)		Current Risk Severity: 4 - High		Current Risk Likelihood: 3 - Medium		
Service Manager: Jenny Clifford						

Corporate Risk Management Report - Appendix 6

Risk: Landlord Responsibilities - Anti-social Behaviour Failure to tackle ASB could lead to innocent victims experiencing harassment, alarm and distress

Service: Housing Services

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
Completed and evaluated	Partnership Initiatives	Partnership working with Community Safety Partnership, the Police and other agencies, and membership of SW ASB Group co-ordinated by the NHF.	Claire Fry	05/09/2017	13/12/2018	Fully effective (1)
Completed and evaluated	Proactive Working	Proactive approach with a programme of Tenancy Home Checks.	Claire Fry	05/09/2017	13/12/2018	Fully effective (1)
Completed and evaluated	Staff Support	Very experienced team and in-house Solicitors with strong policies and procedures in place. This has resulted in a good history of action taken with positive publicity.	Claire Fry	05/09/2017	13/12/2018	Fully effective (1)
Current Status: No Data		Current Risk Severity: 3 - Medium		Current Risk Likelihood: 1 - Very Low		
Service Manager: Claire Fry						

Risk: Localism Act - Community Right to Buy / Challenge Transference of services to the community could enable the Council to identify cost savings

Service: Financial Services

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	This is an opportunity - Communication with third parties needed		Jo Nacey	02/08/2019	02/08/2019	Satisfactory(2)
Current Status: Medium (12)		Current Risk Severity: 4 - High		Current Risk Likelihood: 3 - Medium		
Service Manager: Jo Nacey						

Corporate Risk Management Report - Appendix 6

Risk: Overall Funding Availability Changes to Revenue Support Grant, Business Rates, New Homes Bonus and other funding streams in order to finance ongoing expenditure needs.

Service: Financial Services

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Engaging in commercial activities		Jo Nacey	28/09/2017	06/01/2020	Satisfactory(2)
In progress	Medium term planning		Jo Nacey	28/09/2017	06/01/2020	Satisfactory(2)
In progress	We continue to work with managers to reduce costs and explore new income streams		Jo Nacey	07/02/2019	06/01/2020	Satisfactory(2)
Current Status: High (15)		Current Risk Severity: 5 - Very High		Current Risk Likelihood: 3 - Medium		
Service Manager: Jo Nacey						

Corporate Risk Management Report - Appendix 6

Risk: Reduced Funding - Budget Cuts We are subject to continuing budget reductions. If we concentrate on short term cost savings, it may increase long term impact of decisions

Service: Financial Services

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Business Plans	Service Business Plans are reviewed each financial year with suggestions for revised performance targets based on budget to be agreed by Cabinet Member and PDG.	Jo Nacey	28/05/2013	06/01/2020	Satisfactory (2)
In progress	Identify Efficiencies	Taking proactive steps to increase income and reduce expenditure through efficiencies, vacancies that arise and delivering services in a different way.	Andrew Jarrett	28/05/2013	06/01/2020	Satisfactory (2)
In progress	Reserves	Cabinet have taken the decision to recommend a minimum general reserve balance of 25% of Net annual budget.	Andrew Jarrett	28/05/2013	06/01/2020	Satisfactory (2)
In progress	Set Budget	Each year as part of the budget setting process, members are consulted via PDGs in time to evaluate savings proposals, ahead of the November draft budget.	Andrew Jarrett	28/05/2013	06/01/2020	Satisfactory (2)

Current Status: High (16)

Current Risk Severity: 4 - High

Current Risk Likelihood: 4 - High

Service Manager: Jo Nacey

Corporate Risk Management Report - Appendix 6

Risk: Reputational damage - social media impact of reputational damage through social media is a significant risk that warrants inclusion on the Authority's risk register.

Service: Communications

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Monitoring social media	Two members of the communications team monitor the main corporate social media accounts on a rota basis. Alerts are also set up so the team receives notification of comments and can respond as appropriate. This is monitored in office hours only and the team does not provide 24 hour monitoring or a call out function. The Comms Team also works with other local authorities and takes part in social media training with other local authorities as the opportunities arise budgets permitting.	Jane Lewis	05/06/2019	05/06/2019	Satisfactory (2)
Current Status: Medium (10)		Current Risk Severity: 5 - Very High		Current Risk Likelihood: 2 - Low		
Service Manager: Jane Lewis						

Risk: S106 Agreement Inability of the legacy systems to provide a full overview of the 'trigger points' for all of the s106 agreements

Service: Planning

Mitigating Action records

No Mitigating Action records found.

Current Status: No Data	Current Risk Severity: 5 - Very High	Current Risk Likelihood: 2 - Low
Service Manager: Jenny Clifford		

Corporate Risk Management Report - Appendix 6

Risk: SPV - 3 Rivers - Failure of the Company This will depend on Economic factors and the Company's success in the marketplace commercially.

For MDDC the impacts will be:

3 Rivers are unable to service and repay the loan from MDDC

Not receiving the forecast additional income

Not supporting corporate objectives.

Service: Financial Services

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Quarterly Officer Programme Board	Will receive detailed project updates and will ensure performance correlates with existing metrics, budgets, timetable and considers any specific material project risks that have been identified. Anything materially o/s of project confines would then be reported to Cabinet	Catherine Yandle	13/06/2019	06/01/2020	Satisfactory (2)
In progress	Regular monitoring	The Board of 3 Rivers deliver a half yearly report to the Cabinet which provides an update on their delivery against their business plan. We charge interest to them at a commercial rate in order to maintain an "arms-length" relationship and the interest provides some mitigation to the outstanding principal.	Jo Nacey	30/05/2019	06/01/2020	Satisfactory (2)

Current Status: High (20)

Current Risk Severity: 5 - Very High

Current Risk Likelihood: 4 - High

Service Manager: Jo Nacey

Corporate Risk Management Report - Appendix 6

Risk: SPV Disclosure requirements - 3 Rivers Failing to maintain the balance between commercial sensitivity and the transparency and openness requirements of a wholly owned entity.

Service: Financial Services

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Employed services of Ichabod	We can refer technical matters regarding group accounts etc. to our retained technical advisor. This is a cost effective way of receiving technical updates.	Jo Nacey	02/01/2018	06/01/2020	Satisfactory (2)
In progress	Liaison with External Auditors and 3 Rivers	We have regular discussions with our external auditors to ensure that we are providing the correct information for decision making purposes. We are mindful of the need to maintain commercial sensitivity but we are also aware that Members must be appraised to an appropriate level to be able to make informed decisions.	Jo Nacey	06/01/2020	06/01/2020	Satisfactory (2)
Current Status: Medium (12)		Current Risk Severity: 4 - High		Current Risk Likelihood: 3 - Medium		
Service Manager: Jo Nacey						

Corporate Risk Management Report - Appendix 6

Risk: SPV Governance Arrangements - 3 Rivers Not being able to demonstrate robust challenge and decision-making.

Service: Governance

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Included on AGS	This issue has been included on the Annual Governance Statement Action Plan so we do not lose sight of the issue throughout the year.	Catherine Yandle	15/07/2019	06/12/2019	Satisfactory (2)
In progress	Openness and Transparency	Regular reports to Cabinet in open session where possible. Need to balance commercial interests with Nolan principles.	Catherine Yandle	20/05/2019	06/12/2019	Satisfactory (2)
Current Status: Medium (10)		Current Risk Severity: 5 - Very High		Current Risk Likelihood: 2 - Low		
Service Manager: Catherine Yandle						

Corporate Risk Management Report - Appendix 6

Risk: ST-Reduction in Garden Waste Customers Loss of income; reduction in recycling rate

Service: Street Scene Services

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
Completed and evaluated	Reminder to renew correspondence	To maintain the existing customer base	Lorraine Durrant	06/06/2019	05/07/2019	Fully effective (1)
Completed and evaluated	Social media campaigns & publicity	To ensure that information about the garden waste service reaches as many residents as possible	Lorraine Durrant	06/06/2019	05/07/2019	Fully effective (1)
Current Status: Medium (12)		Current Risk Severity: 4 - High		Current Risk Likelihood: 3 - Medium		
Service Manager: Stuart Noyce						

Corporate Risk Management Report - Appendix 6

Risk: Tiverton Pannier Market Failure to maximise the economic potential of Tiverton Pannier Market

Service: Growth, Economy and Development

Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Continue to retain and prioritise market budget	To ensure most efficient use of resources	Adrian Welsh	10/06/2019	17/09/2019	Satisfactory (2)
In progress	continue to work with traders on promotion	To increase footfall.	Adrian Welsh	10/06/2019	17/09/2019	Satisfactory (2)
In progress	Implement and review market strategy	Implementation of strategy will increase market's financial success and help fulfill its function as a key driver for the town.	Adrian Welsh	10/06/2019	17/09/2019	Satisfactory (2)
In progress	Masterplan Implementation	To realise benefits from the Masterplan to increase visibility of market and increase footfall.	Adrian Welsh	10/06/2019	17/09/2019	Satisfactory (2)
Current Status: Medium (12)		Current Risk Severity: 4 - High		Current Risk Likelihood: 3 - Medium		
Service Manager: Jenny Clifford						

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Risk Matrix

Report
 Filtered by Prefix: Exclude Risk Prefix: OP, EV
 For MDDC - Services
 Current settings

Risk Likelihood	5 - Very High	No Risks	No Risks	No Risks	1 Risk	1 Risk
	4 - High	No Risks	No Risks	No Risks	3 Risks	1 Risk
	3 - Medium	No Risks	1 Risk	7 Risks	10 Risks	3 Risks
	2 - Low	No Risks	3 Risks	14 Risks	15 Risks	4 Risks
	1 - Very Low	2 Risks	3 Risks	1 Risk	4 Risks	5 Risks
	1 - Very Low	2 - Low	3 - Medium	4 - High	5 - Very High	
	Risk Severity					

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of the Local Government Act 1972.

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