

## Corporate Risk Management Report - Appendix 6

Report for 2019-2020

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	On / ahead of schedule	Completed and evaluated	No Data available
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Risks:

No Data (0+)	High (15+)	Medium (6+)	Low (1+)
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<b>Risk: <u>Absence of Key Staff</u></b> Loss of key staff from service (either temporary or permanent) could result in being unable to meet statutory duties and administer an election		
<b>Service: Elections and Electoral Registration</b>		
<b>Mitigating Action records</b>		
No Mitigating Action records found.		
<b>Current Status: Medium (12)</b>	<b>Current Risk Severity: 4 - High</b>	<b>Current Risk Likelihood: 3 - Medium</b>
<b>Service Manager: Jill May</b>		
<b>Review Note:</b> contingency plans - AEA and Devon Group partnership working (could borrow staff)		

<b>Risk: <u>Corp RA - Recycling Income</u></b>						
Reduction in material income levels due to market forces meaning income less than budget.						
<b>Service: Street Scene Services</b>						
<b>Mitigating Action records</b>						
Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
Completed and evaluated	Joint contract with Devon County Council - paper/glass/textiles	Security of contract covering all authorities. The contract is monitored by DCC, consultation takes place with all districts to ensure it fits requirements.	Lorraine Durrant	11/03/2019	11/03/2019	Fully effective(1)
On / ahead of schedule	Joint Purchasing with Exeter City Council	ECC broker ensures best price for	Lorraine Durrant	11/03/2019	11/03/2019	Satisfactory (2)

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Mitigating Action records						
Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
		plastic,cans and cardboard for both authorities using 'spot market'.				
On / ahead of schedule	Monitoring procedures in place to ensure quality of product.	To ensure standard of product sent for sale is at an acceptable level ; keeping rejects to a minimum.	Stuart Noyce	11/03/2019	11/03/2019	Satisfactory (2)
On / ahead of schedule	Monthly monitoring of income	Monthly monitoring of income and comparison to previous year for each material stream will identify any price fluctuations.	Lorraine Durrant	11/03/2019	11/03/2019	Satisfactory (2)
<b>Current Status: Medium (12)</b>		<b>Current Risk Severity: 4 - High</b>		<b>Current Risk Likelihood: 3 - Medium</b>		
<b>Service Manager: Stuart Noyce</b>						
<b>Review Note:</b> Prices seem to have stabilised; a possible effect of Brexit.						

### Risk: Culm Garden Village

Financial risk as costs are being incurred already and these would be unbudgeted.

**Service: Planning**

Mitigating Action records						
Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
On / ahead of schedule	Further bids for capacity funding		Jenny Clifford	29/03/2019	29/03/2019	Satisfactory(2)
<b>Current Status: Medium (10)</b>		<b>Current Risk Severity: 5 - Very High</b>		<b>Current Risk Likelihood: 2 - Low</b>		
<b>Service Manager: Jo Nacey</b>						
<b>Review Note:</b> £300,000 awarded for 18/19. Likelihood score adjusted accordingly. Recommend further risk review autumn 19 when more will be known on the Government's on-going position.						

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**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	06/06/2019	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	06/06/2019	Fully effective (1)
On / ahead of schedule	Regular user awareness training	Staff and Member updates help to reduce the risk	Alan Keates	03/01/2019	06/06/2019	Satisfactory (2)
Completed and evaluated	Technical controls in place	Required to maintain Public Sector Network certification	Alan Keates	03/01/2019	06/06/2019	Fully effective (1)

**Current Status: High (20)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 4 - High**

Service Manager: Alan Keates

**Review Note:** 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.

**Risk: Funding** Insufficient resources to deliver growth aspirations of Corporate Plan.

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**Service: Growth, Economy and Development**

### Mitigating Action records

No Mitigating Action records found.

**Current Status: Medium (12)**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Adrian Welsh**

**Review Note:** Multiple work streams requiring staff resource and wide skill set, lack of success to lever in funding to deliver growth and associated infrastructure.

Consequence: Failure to realise growth aspirations, hampers economic growth, insufficient housing to meet needs, lack of progress on strategic sites, failure to secure business rate growth, Garden Village project does not happen or does not meet GV quality aspirations.

Mitigation: Prioritisation of staff resource, bids and expression of interest submissions to suitable Government funding streams to deliver infrastructure, unlock sites and cover costs of staff resource, effective utilisation of s106 monies, develop collaborative and partnership working

**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
On / ahead of schedule	IDOX Records Handling Plan	To utilize IDOX bulk data handling tool across the Council services using Uniform	Catherine Yandle	01/03/2019	28/03/2019	Poor - action required(3)
On / ahead of schedule	Records Management Action Plan	To improve identified issues with records management	Catherine Yandle	15/06/2018	28/03/2019	Satisfactory (2)

**Current Status: Medium (10)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 2 - Low**

**Service Manager: Catherine Yandle**

**Review Note:** Other work continues. Report to LT due in June on position one year on.

**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
No Data available	Risk Assessments	Review risk assessments and procedures to ensure that we have robust	Paul N Williams	28/05/2013	15/11/2018	No Score(0)

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### Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
		arrangements in place.  In progress ready for September reports.				
<b>Current Status: Medium (10)</b>		<b>Current Risk Severity: 5 - Very High</b>		<b>Current Risk Likelihood: 2 - Low</b>		

**Service Manager: Michael Lowe**

**Review Note:** Whilst there is an improvement in procedures the safety reviews carried out still show further work is required in implementing these into the work place

**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.	Claire Fry	05/09/2017	13/05/2019	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 to be reviewed early 2018.	Claire Fry	22/06/2017	13/05/2019	Fully effective (1)
<b>Current Status: Medium (12)</b>		<b>Current Risk Severity: 4 - High</b>		<b>Current Risk Likelihood: 3 - Medium</b>		

**Service Manager: Claire Fry**

**Review Note:** The risk assessment remains the same, levels of workload remain challenging but grant funding has been awarded by MHCLG to the Council and we are currently working up proposals to extend work with rough sleepers.

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

### Service: Governance

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### Mitigating Action records

No Mitigating Action records found.

**Current Status: High (15)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Catherine Yandle**

**Review Note:** The Council has an up to date DP policy and training which is mandatory for all Members and staff.

Incidents are monitored and identified weaknesses and training needs remedied.

**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

No Mitigating Action records found.

**Current Status: Medium (12)**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Jo Nacey**

**Review Note:** This continues to be an opportunity rather than a risk and should be analysed as part of capital asset management on a case by case basis.

**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
On / ahead of schedule	Engaging in commercial activities		Jo Nacey	28/09/2017	10/05/2019	Satisfactory(2)
Completed and evaluated	Medium term planning		Jo Nacey	28/09/2017	10/05/2019	Fully effective (1)
On / ahead of schedule	We continue to work with managers to reduce costs and explore new income streams		Jo Nacey	07/02/2019	10/05/2019	Satisfactory(2)

**Current Status: High (15)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Jo Nacey**

**Review Note:** Although the funding streams from Central Government are receding, the Council continues to lobby for Fair funding through the review and also explores other ways of creating and enhancing income streams.



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**Risk: Partnership with North Devon** Partnership arrangement with North Devon fails and Building Control has to be brought back in house.

**Service: Building Control**

**Mitigating Action records**

No Mitigating Action records found.

**Current Status: Medium (12)**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 3 - Medium**

**Service Manager: None**

**Review Note:** Ensure marketing plan is implemented performance monitoring of surveyors.

**Risk: Poor Performance of New vehicle supply and maintenance contract** That the service provision is not as expected and causes disruption to front line services or additional expense

**Service: Street Scene Services**

**Mitigating Action records**

No Mitigating Action records found.

**Current Status: Medium (12)**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Stuart Noyce**

**Review Note:** PI's to be monitored quarterly. Close monitoring of weekly activity plan including finances. SLA's with contractor and suppliers.

**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
On / ahead of schedule	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	07/06/2019	No Score(0)
On / ahead of schedule	Identify Efficiencies	Taking proactive steps to increase income and reduce expenditure through efficiencies, vacancies that arise and delivering	Andrew Jarrett	28/05/2013	07/06/2019	No Score(0)

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Mitigating Action records						
Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
		services in a different way.				
On / ahead of schedule	Reserves	Cabinet have taken the decision to recommend a minimum general reserve balance of 25% of Net annual budget.	Andrew Jarrett	28/05/2013	07/06/2019	No Score(0)
On / ahead of schedule	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	07/06/2019	No Score(0)
<b>Current Status: High (20)</b>		<b>Current Risk Severity: 5 - Very High</b>		<b>Current Risk Likelihood: 4 - High</b>		
Service Manager: Jo Nacey						
<b>Review Note:</b>						

Mitigating Action records						
Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
<b>Risk: Reduction in Garden Waste Customers</b> Loss of income; reduction in recycling rate						
Service: Street Scene Services						
No Data available	Reminder to renew correspondence	To maintain the existing customer base	Lorraine Durrant	06/06/2019	06/06/2019	No Score (0)
No Data available	Social media campaigns & publicity	To ensure that information about the garden waste service reaches as many residents as possible	Lorraine Durrant	06/06/2019	06/06/2019	No Score (0)
<b>Current Status: Medium (12)</b>		<b>Current Risk Severity: 4 - High</b>		<b>Current Risk Likelihood: 3 - Medium</b>		
Service Manager: Stuart Noyce						
<b>Review Note:</b>						



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**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
No Data available	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**

**Review Note:**

**Risk: Reputational re Council Housing Stock** Failure in handling a disaster/mistake properly

**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	Proactive Working	Dynamic system of fire risk assessment being adopted to minimise risk of a disaster. Tenancy Home Checks enable us to identify issues in homes; and communal inspections and Neighbourhood Walkabouts enable us to identify issues in	Claire Fry	05/09/2017	13/05/2019	Fully effective (1)

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Mitigating Action records						
Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
		communal areas which could result in a disaster.				
Completed and evaluated	Staff Support	Trained staff who are knowledgeable and have a comprehensive suite of housing related policy and procedures in place. These include procedures in case of disaster.	Claire Fry	05/09/2017	13/05/2019	Fully effective (1)
<b>Current Status: Medium (10)</b>		<b>Current Risk Severity: 5 - Very High</b>		<b>Current Risk Likelihood: 2 - Low</b>		
<b>Service Manager: Claire Fry</b>						
<b>Review Note:</b> Risk assessment remains the same. We are monitoring this area of work closely due to the fact that there is a vacancy in the Estates Team. Once recruited we will give the new officer appropriate training and support. In the meantime, other members of the team are covering the workload which includes management of health safety of on our estates.						

**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: Medium (10)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 2 - Low**

**Service Manager: Jenny Clifford**

**Review Note:** S106 requirements have been comprehensively databased and reconciled against financial system allowing for more accuracy and confidence in monitoring

**Risk: Software failure** loss of electoral register and election information

**Service: Elections and Electoral Registration**

**Mitigating Action records**

No Mitigating Action records found.

**Current Status: Medium (12)**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Jill May**

**Review Note:**

**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**

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### Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
On / ahead of schedule	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	07/06/2019	No Score(0)
<b>Current Status: Medium (12)</b>		<b>Current Risk Severity: 4 - High</b>		<b>Current Risk Likelihood: 3 - Medium</b>		
<b>Service Manager: Jo Nacey</b>						
<b>Review Note:</b>						

**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
On / ahead of schedule	Openness and Transparency	Regular reports to Cabinet in open session where possible.	Catherine Yandle	20/05/2019	20/05/2019	Satisfactory(2)
<b>Current Status: Medium (10)</b>		<b>Current Risk Severity: 5 - Very High</b>		<b>Current Risk Likelihood: 2 - Low</b>		
<b>Service Manager: Catherine Yandle</b>						
<b>Review Note:</b> Directors of 3 rivers are aware of the importance of openness. Regular briefings for all Councillors by S151 Officer.						

**Risk: SPV Loan Recoverability - 3 Rivers** 3 Rivers are unable to service and repay the loan from MDDC, this will depend on Economic factors and their success in the marketplace commercially.

**Service: Financial Services**

### Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
On / ahead of schedule	Regular monitoring	The Board of 3 Rivers deliver a half yearly report to the Cabinet which provides an update on their	Jo Nacey	30/05/2019	07/06/2019	No Score(0)

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### Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
		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.				
<b>Current Status: High (15)</b>		<b>Current Risk Severity: 5 - Very High</b>		<b>Current Risk Likelihood: 3 - Medium</b>		
<b>Service Manager: Jo Nacey</b>						
<b>Review Note:</b>						

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