

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 |
|--------------------|-------------------------|------------------------|--------------------|--------------------------------|--------------------------|

| | | | | |
|--------|--------------|------------|-------------|----------|
| Risks: | No Data (0+) | High (15+) | Medium (6+) | Low (1+) |
|--------|--------------|------------|-------------|----------|

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 | | | | | | |

Printed by: Catherine Yandle

SPAR.net

Print Date: 08 January 2020
16:49