

## Corporate Risk Management Report - Appendix 6 2021-2022

Report for 2021-2022

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 2021-2022

**Risk: Civil Contingencies Act Responsibilities** Civil Contingencies Act 2004 set certain responsibilities for category 1 responders to have in place

Service: Public Health

Mitigating Action records

No Mitigating Action records found.

**Current Status: Medium (12)**

Current Risk Severity: 4 - High

Current Risk Likelihood: 3 - Medium

Service Manager: Simon Newcombe

**Review Note:** Contingencies and responses have been well tested over the last 18 months as a result of the pandemic. Severity remains high and likelihood increased as a result of the ongoing uncertainties around how the pandemic will impact communities with the easing of restrictions and entering the autumn months.

## Corporate Risk Management Report - Appendix 6 2021-2022

**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. Impact of climate change on the financial viability of the Council.

**Service: Climate Change**

### Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
Completed and evaluated	Climate Change Strategy and Action Plan	Approved by Cabinet on 1 October 2020. The Climate Action Plan (CAP) was published December 2020. The Climate Strategy and Handbook was published December 2020 (to be updated with a link to the new Sustainable Mid Devon website). The Strategy, the CAP and Carbon Footprint (GHG Accounting Report) will be published and updated on the Sustainable Mid Devon website, on an annual basis.	Nicola Cuskeran	09/12/2020	01/05/2022	Satisfactory(2)
In progress	Consideration by the Environment PDG	This PDG was tasked with considering the Council's own policy response(s) to the Climate Change Declaration made at Full Council on 26 June 2019. Actively engaged in this work supported by the NZAG, the C&S Specialist and the Corporate Manager for Property, Leisure and Climate Change.	Nicola Cuskeran	19/07/2019	01/05/2022	Satisfactory(2)
Completed and evaluated	Devon Climate Emergency – Tactical Group	MDDC are part of the tactical group for the climate emergency that has strategic links to our own plans.	Nicola Cuskeran	18/05/2020	01/05/2022	Fully effective (1)
In progress	Net Zero Advisory Group	Meetings and minutes of these meetings are presented to the Environment PDG thorough out the year. Performance Indicators relating to the	Nicola Cuskeran	18/05/2020	01/05/2022	Satisfactory(2)

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## Corporate Risk Management Report - Appendix 6 2021-2022

Mitigating Action records							
Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions	
		Corporate Plan are updated					
<b>Current Status: High (20)</b>		<b>Current Risk Severity: 5 - Very High</b>			<b>Current Risk Likelihood: 4 - High</b>		
<b>Service Manager: Jason Ball</b>							
<b>Review Note:</b> The Climate and Sustainability Specialist is prioritising work streams for future consideration. A report on budget options for climate investment went to Environment PDG on 11 January 2022.							

## Corporate Risk Management Report - Appendix 6 2021-2022

**Risk: Coronavirus Pandemic** The risk to MDDC's ability to conduct business as usual

**Service: Governance**

### Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Business Continuity Planning (BCP)	BCPs have been reviewed. Regular updates are being obtained from Public Health England and the Local Resilience Forum. Meetings of managers and Leadership Team via Skype now monthly.	Catherine Yandle	06/03/2020	02/05/2022	Satisfactory(2)
Completed and evaluated	Financial and Economic effects monitoring	To ensure that local authorities including MDDC are reimbursed in full for the Covid 19 response by Central government. Assurance has been received from Internal Audit reveiws of our claims.	Catherine Yandle	13/05/2020	02/05/2022	Fully effective (1)

**Current Status: High (20)**

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

**Current Risk Likelihood: 4 - High**

**Service Manager: Simon Newcombe**

**Review Note:** Staff absence rates are at present the highest they have been during the entire pandemic, it is expected that BCPs may need to be invoked over the next few months.

## Corporate Risk Management Report - Appendix 6 2021-2022

**Risk: Culm Garden Village** Possible discontinuance of Government funding support

Service: Planning

### Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Funding opportunities	Lobby for the creation of further funding opportunities and for further rounds of the garden communities capacity funding	Adrian Welsh	03/02/2021	29/04/2022	Satisfactory(2)
In progress	Further bids for capacity funding	To continue to secure external funding to support the project	Tristan Peat	29/03/2019	29/04/2022	Satisfactory(2)

**Current Status: No Data**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Tristan Peat, Adrian Welsh**

**Review Note:** Future bid opportunities unknown at this stage and will be announced by Government in due course

## Corporate Risk Management Report - Appendix 6 2021-2022

**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
In progress	Regular user awareness training	Staff and Member updates help to reduce the risk	Lisa Lewis	03/01/2019	28/04/2022	Satisfactory(2)
Completed and evaluated	Technical controls in place	Required to maintain Public Sector Network certification	Lisa Lewis	03/01/2019	28/04/2022	Fully effective(1)

**Current Status: No Data**

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

**Current Risk Likelihood: 4 - High**

**Service Manager: Brian Trebilcock**

**Review Note:** Continued email warnings ongoing. DAP and MHCLG audits completed. Member briefing scheduled 28th Sept 2021 and Desktop exercise for Senior Managers/Members scheduled for 5th October. Cyber risk mitigation plan in place work programme due to be commenced shortly.

## Corporate Risk Management Report - Appendix 6 2021-2022

**Risk: Economic Development Service** The macro economic position might necessitate a reactive response, impacting on the Council's resourcing and reducing its ability to deploy resources as planned.

**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	Distribution and processing of Gov business support funding.	To assist businesses during the Covid19 pandemic and to help sustain them during this time of national restrictions.	Adrian Welsh	12/05/2020	29/04/2022	No Score(0)
In progress	Hardship funding	To support individuals/households but also crucial for self employed and furloughed staff as a result of the pandemic.	Adrian Welsh	12/05/2020	29/04/2022	No Score(0)
In progress	Recovery plans	Work underway in partnership with other Devon and regional partners to develop economic recovery plans to assist positive outcomes on local economy.	Adrian Welsh	12/05/2020	29/04/2022	No Score(0)

**Current Status: High (25)**

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

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

**Service Manager: Adrian Welsh**

**Review Note:** The pandemic has had a critical impact on the local, national and global economy. Distribution of grant assistance again being required following the impacts of the Omicron variant.

Development of a longer term approach to recovery is currently being considered by the Economy PDG.

## Corporate Risk Management Report - Appendix 6 2021-2022

### 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 of COVID19 economic recovery work.	Adrian Welsh	10/06/2019	29/04/2022	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 and also to develop joint responses to COVID economic recovery	Adrian Welsh	10/06/2019	29/04/2022	Satisfactory(2)
In progress	Project Management	Continue rigorous project management, monitoring and reporting of economic development projects	Adrian Welsh	10/06/2019	29/04/2022	Satisfactory(2)
In progress	Recovery Plans	Recovery Plans will be put in place to aid recovery.	Adrian Welsh	12/05/2020	29/04/2022	Satisfactory(2)
In progress	Review and re-prioritisation	Part of review of projects for Year 2 actions and a review of the likely impacts on the economy of the pandemic. This will consider maximising investment through external funding and prioritising officer time.	Adrian Welsh	31/01/2020	29/04/2022	Satisfactory(2)

**Current Status: High (20)**

**Current Risk Severity: 4 - High**

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

**Service Manager: Adrian Welsh**

**Review Note:** Work is underway with regard to Economic Strategy actions with a number of projects being progressed; however many

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## Corporate Risk Management Report - Appendix 6 2021-2022

other actions will be reviewed as part of the longer term recovery plan work and the need for revised prioritisation.

**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	Actively pursue funding opportunities through Levelling Up Agenda/Shared Prosperity Fund	Work currently being undertaken to be in a state of readiness as opportunities become available	Adrian Welsh	03/02/2021	29/04/2022	Satisfactory(2)
In progress	Lobbying	Officers will continue to review funding opportunities and seek opportunities to work closely with local partners and the HotSWLEP to seek additional funding support for key infrastructure.	Adrian Welsh	12/05/2020	29/04/2022	Satisfactory(2)
In progress	Officers have reprioritised work programmes to explore new funding opportunities	End of European funding sources	Adrian Welsh	10/06/2019	29/04/2022	Satisfactory(2)

**Current Status: High (16)**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 4 - High**

**Service Manager: Adrian Welsh**

**Review Note:** Given ongoing constraints on resource and the scale of the challenges to the GED team at this time there has been need to carefully prioritise project delivery. Funding opportunities are actively being pursued.

## Corporate Risk Management Report - Appendix 6 2021-2022

**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: Governance**

**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: Nicola Cuskeran**

**Review Note:** Covid working arrangements unchanged. RAs continue to be kept under review.

## Corporate Risk Management Report - Appendix 6 2021-2022

**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: Public Health**

### Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Multi-skilled Staff	Due to an increase in homelessness approaches more applicants with complex needs are coming through the system that require far greater staff attention than normal. In order to mitigate this, staff are expanding their training around mental health, drug and alcohol awareness, and safeguarding, in order to create a more multi-skilled and adaptable workforce. This may require a greater allocation of resources as homelessness increases.	Michael Parker	21/12/2020	27/04/2022	Satisfactory (2)
In progress	RSI funding	The number of homeless approaches and the number of rough sleepers in the District are both likely to increase as a result of the economic instability and the current outbreak of Covid19. Our success in obtaining up to £6,400 in RSI funding to deliver services during the cold weather means that we can adapt to this increased caseload and better carry out early intervention and prevention options to aid rough sleepers and prevent returning to the streets.	Michael Parker	21/12/2020	27/04/2022	Satisfactory (2)
Completed and	Staff Support	Officers are trained and knowledgeable and the structure of Housing Options team reviewed to	Michael Parker	22/06/2017	27/04/2022	Fully effective (1)

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<b>Corporate Risk Management Report - Appendix 6 2021-2022</b>						
<b>Mitigating Action records</b>						
<b>Mitigation Status</b>	<b>Mitigating Action</b>	<b>Info</b>	<b>Responsible Person</b>	<b>Date Identified</b>	<b>Last Review Date</b>	<b>Current Effectiveness of Actions</b>
evaluated		build resilience.				
In progress	Temporary Accommodation	With the rise in homelessness applicants, the overall cost of homelessness provisions will increase and therefore there is a need to make use of existing stock as temporary accommodation, as opposed to more costly alternatives such as bed and breakfast.	Tanya Wenham	21/12/2020	<b>27/04/2022</b>	<b>Satisfactory (2)</b>
<b>Current Status: High (16)</b>		<b>Current Risk Severity: 4 - High</b>		<b>Current Risk Likelihood: 4 - High</b>		
<b>Service Manager: Tanya Wenham</b>						
<b>Review Note:</b> Position essentially unchanged from previous review. The number of approaches continues to increase. The temporary accommodation and homelessness strategy are being reviewed alongside wider housing policies to take account of the growing need for temporary accommodation of varying types. See also Affordable Housing risk for wider update						

## Corporate Risk Management Report - Appendix 6 2021-2022

**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	Data Protection Officer	Following the departure of the Corporate Lead for Performance, Governance and Data, a new post has been created of Data Protection Officer and is being recruited too.	Lisa Lewis	20/05/2022		No Score (0)

**Current Status: Medium (12)**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 3 - Medium**

**Service Manager: None**

**Review Note:** IS and IS Incident policies were reviewed and approved by Cabinet on 4 January 2022. Policies updated on LMS.

## Corporate Risk Management Report - Appendix 6 2021-2022

**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	Close working with Devon County Council (delivery partner) over the HIF schemes	DCC is the delivery partner for the Council's HIF highway infrastructure project. Close working is taking place in order to ensure risks of project delay or cost escalation are reduced. DCC is undertaking robust project management of the projects. These actions seek to ensure the projects remain on track and any problems are raised at an early stage allowing for corrective action.	Adrian Welsh	13/01/2021	10/03/2022	Satisfactory (2)
In progress	Close working with Homes England over the HIF schemes	Grant fund agreements over the HIF funding to deliver 2 highway infrastructure schemes. These include a range of requirements and project milestones. Close liaison with Homes England is taking place via monthly project update meetings and quarterly monitoring returns. This ensures Homes England is updated on both projects, is aware of issues as they arise and any corrective actions can be taken- for example seeking the revision of project milestones to reflect the latest project programme.	Adrian Welsh	13/01/2021	10/03/2022	Satisfactory (2)
In progress	Partnership working	Close working with delivery partners to attempt to mitigate risks.	Adrian Welsh	12/05/2020	10/03/2022	Satisfactory (2)
In progress	Partnership working with	Reduce risk of delays and communication.	Adrian Welsh	10/06/2019	10/03/2022	Satisfactory (2)

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## Corporate Risk Management Report - Appendix 6 2021-2022

### Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
	infrastructure providers and statutory bodies					
In progress	target funding opportunities	To seek to bring forward delivery	Adrian Welsh	10/06/2019	10/03/2022	Satisfactory (2)

**Current Status: High (16)**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 4 - High**

**Service Manager: Adrian Welsh**

**Review Note:** Officers are working closely with Homes England on both HIF schemes and looking to mitigate project risks as and when they occur. The Cullompton Relief Road has been granted planning permission and the project is progressing. As Levelling Up Funding was not made available to this project in the first round, additional funding opportunities to help deliver the Cullompton Relief Road scheme are being explored.

Work on re-opening Cullompton Railway Station is progressing well, a report went before the Cabinet on 8 March 2022, proposing a transfer of the lead to Network Rail given the intricate level of rail specific knowledge and expertise required to secure timely approvals and decisions in order to meet DfT requirements and key gateways. This change to the project is seen to be a significant mitigation with regard to project risks.

## Corporate Risk Management Report - Appendix 6 2021-2022

**Risk: Multi Storey Car Park** ASB may result in injury, may also be reputational damage if not seen to be dealing with issues.

**Service: Property Services**

### Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Essential Maintenance / Improvement Project is underway	A full review of the MSCP structure and maintenance requirements has been fully assessed and works completed. New upgraded CCTV installed.	Andrew Busby	02/05/2020	09/05/2022	No Score (0)
Completed and evaluated	MSCP Improvement Project	A full review of the MSCP structure and maintenance requirements has been fully assessed and works are completed.	Andrew Busby	23/08/2020	09/05/2022	No Score (0)

**Current Status: No Data**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Keith Ashton, Jason Ball, Andrew Busby**

**Review Note:** Corporate Risk Assessment in place - completed in conjunction with the Health and Safety Officer. Increased risk following



## Corporate Risk Management Report - Appendix 6 2021-2022

**Risk: Out of Hours ICT Cover** Ineffective out of hours ICT cover for services (eg leisure and Pannier Market) runs reputational risk of not having full system functionality

**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	Managed links in place and manual continence plans available	to enable Leisure Centre continue to function outside of office house	Lisa Lewis	22/10/2015	06/09/2021	Fully effective(1)
Completed and evaluated	Managed links, remote access to resolve issues	Support all businesses within MDDC	Lisa Lewis	12/09/2017	06/09/2021	Fully effective(1)

**Current Status: Medium (12)**

**Current Risk Severity: 3 - Medium**

**Current Risk Likelihood: 4 - High**

**Service Manager: Brian Trebilcock**

**Review Note:** Remote connectivity limits risk/access to staff. Mitigations in place at Leisure Centres, e.g. removing door access requirements and broadband for kit run off separate adsl lines.

## Corporate Risk Management Report - Appendix 6 2021-2022

**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	To provide additional revenue streams	Paul Deal	28/09/2017	27/04/2022	Satisfactory(2)
In progress	Medium term planning	Work to close is on-going. A range of options are being considered but Covid, business rates and uncertainty over fair funding review make the situation extremely challenging	Paul Deal	28/09/2017	27/04/2022	Satisfactory(2)
In progress	We continue to work with managers to reduce costs and explore new income streams	To close the budget gap and maintain services	Paul Deal	07/02/2019	27/04/2022	Satisfactory(2)

**Current Status: High (15)**

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

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Paul Deal**

**Review Note:** The 2022/23 Finance Settlement was better than forecast, but failed to provide any information about the future funding for Local Government. At the time of review, the S151 is confident that we will balance the 2022/23 budget without significant management action required. However, a budget deficit is still forecast in future years than must be addressed. The 2023/24 progress will need to begin promptly and thoroughly review all aspect of the budget. All options identified will be Cabinet and PDG's in the Autumn 2022.

## Corporate Risk Management Report - Appendix 6 2021-2022

**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.	Paul Deal	28/05/2013	27/04/2022	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.	Paul Deal	28/05/2013	27/04/2022	Satisfactory(2)
No Data available	Reserves	Cabinet have taken the decision to recommend a minimum general reserve balance of 25% of Net annual budget.	Paul Deal	28/05/2013	27/04/2022	No Score(0)
Completed and evaluated	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.	Paul Deal	28/05/2013	27/04/2022	Fully effective(1)

**Current Status: High (20)**

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

**Current Risk Likelihood: 4 - High**

**Service Manager: Paul Deal**

**Review Note:** At the time of review, the S151 is confident that we will balance the 2022/23 budget without significant management action required. However, a budget deficit is still forecast in future years than must be addressed. The 2023/24 progress will need to begin promptly and thoroughly review all aspect of the budget. All options identified will be Cabinet and PDG's in the Autumn 2022.

## Corporate Risk Management Report - Appendix 6 2021-2022

**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	25/04/2022	Satisfactory (2)

**Current Status: Medium (10)**

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

**Current Risk Likelihood: 2 - Low**

**Service Manager: Jane Lewis**

**Review Note:** A new SM governance group has been formed. SM will also be included in LMS and a database of those who access will be kept. IT have been contacted to put SM access on the leavers list too.

## Corporate Risk Management Report - Appendix 6 2021-2022

**Risk: Resourcing Risk** If the Council fails to recruit and/or retain sufficient, suitable staff it may not be able to maintain essential and/or statutory services.

**Service: Human Resources**

### Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Turnover Figure	<p>The actual turnover figure came in as 21.23% which was an increase from 14% in the year 2020/2021. The council is currently able to continue business whilst carrying a number of vacancies.</p> <p>You would expect to have a reasonable turnover during the financial year, it is natural to have a number of leavers and gives opportunities to bring in to the Council different skill set and knowledge</p>	Matthew Page	14/04/2022	14/04/2022	Satisfactory (2)

**Current Status: No Data**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Matthew Page**

**Review Note:** The vacancy rate for the organisation is around 10% with turnover looking to come in at 18% for the 21/22 financial year. Sickness has been fairly low to date given the rise of the Omicron variant but we expect this to be more challenging in quarter 4.

## Corporate Risk Management Report - Appendix 6 2021-2022

**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	Board report and action plan recommendations	The Board of 3 Rivers deliver a bi-monthly report to the Cabinet which provides progress still ongoing. All 33 governance and finance recommendations from the action plan are completed.	Andrew Jarrett	28/04/2022	28/04/2022	No Score (0)
Completed and evaluated	Cabinet	Regular meetings with Shareholder Representatives and updates to Cabinet on progress with the recommendations action plan and projects.	Andrew Jarrett	09/11/2020	28/04/2022	Satisfactory(2)
Completed and evaluated	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.	Andrew Jarrett	30/05/2019	28/04/2022	Satisfactory(2)

**Corporate Risk Management Report - Appendix 6 2021-2022****Current Status: High (16)****Current Risk Severity: 4 - High****Current Risk Likelihood: 4 - High****Service Manager: Paul Deal**

**Review Note:** The MDDC accounts (which includes 3R within the Group Accounts) was audited and no issues were identified. The company's latest business plan was recently approved by Cabinet and continues in line with that plan.

## Corporate Risk Management Report - Appendix 6 2021-2022

**Risk: SPV 3 Rivers Reputational Impact** That 3 Rivers' reputation is damaged by the actions of the council, threatening the long-term success of the company and potentially threatening the operational activity of the company through increased costs, reduced revenues, staff retention, or future claims against the council.

**Service: Governance**

### Mitigating Action records

Mitigation Status	Mitigating Action	Info	Responsible Person	Date Identified	Last Review Date	Current Effectiveness of Actions
In progress	Work with Members	Sustained work with elected members to ensure that the necessary balance is struck between constructive challenge and debate, without bringing the company or its activity into disrepute. Awareness raising relating to the roles of the council's scrutiny committee in assuring governance outcomes, the audit committee providing assurance on risk and mitigation, and the cabinet in its decision-making as shareholder. Use of external advice when necessary to provided added assurance.	Stephen Walford	11/11/2020	28/04/2022	Satisfactory(2)

**Current Status: High (15)**

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

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Stephen Walford**

**Review Note:** With matters of governance now addressed, this risk sits predominantly with the actions of members who must work to balance the need for process checking, challenge and assurance.

With regular updates at Cabinet continuing, alongside auditing, members have structurally embedded a range of mechanisms to give confidence in the governance, oversight and assurance process.



## Corporate Risk Management Report - Appendix 6 2021-2022

**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	29/04/2022	Satisfactory(2)
In progress	continue to work with traders on promotion	To increase footfall.	Adrian Welsh	10/06/2019	29/04/2022	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	29/04/2022	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	29/04/2022	Satisfactory(2)

**Current Status: Medium (12)**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Adrian Welsh**

**Review Note:** Plans to maximise economic potential of the pannier market are being reviewed to reflect the current challenges and future opportunities arising from changing retail habits as a result of the pandemic. The Market Manager is embarking on a number of initiatives to attract more traders and customers to the market.

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