



Appendix 1: Corporate Risk Matrix

 Risk Severity	5	5	10	15	20	25			
	4	4	CR9; CR13	8	CR8; CR12; CR17	12	16	CR7; CR11	20
	3	3	CR14	6	CR4; CR15; CR16	9	12	CR3	15
	2	2	2	4	6	8	CR5; CR9a	10	
	1	1	1	2	3	4	5		
			1	2	3	4	5		
		Risk Likelihood							
									

Appendix 2: Corporate Risk Register

CR1a	Culm Garden Village – Loss of capacity funding	Current Severity: 5	Current Likelihood: 5	Current Risk Rating: 25
Risk Description: Possible discontinuance of Government funding support for Culm Garden Village activities, thereby affecting Mid Devon District Council Culm Garden Village team capacity and leadership function, resulting in project/programme slippage.				
Risk Owner: Adrian Welsh		Risk Type: Economic/ Financial		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR1.1	Funding opportunities: Lobby for further rounds of Homes England garden communities capacity funding	Adrian Welsh	Action Required	23/02/2024
CR1.2	Identify alternative opportunities to secure funding to support the project – including from landowners/ developers involved in the Culm Garden Village project.	Adrian Welsh	Satisfactory	23/02/2024
Notes: This risk relates to the funding sources in place for the Culm Garden Village, rather than the overall delivery of the Culm Garden Village project. Discussions with Homes England are ongoing regarding future rounds of capacity funding.				
CR1b	Culm Garden Village – Delay/ impact to project arising from infrastructure delays	Current Severity: 5	Current Likelihood: 4	Current Risk Rating: 20
Risk Description: Lack of Government funding for enabling infrastructure – Cullompton Town Centre Relief Road/ Junction 28/ Cullompton station re-opening – resulting in delays to scheme progression and housing delivery.				
Risk Owner: Adrian Welsh		Risk Type: Economic/ Financial		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR1.1	Cullompton Town Centre Relief Road: Funding opportunities - Continue to work with Homes England and others to seek opportunities for funding. See mitigating actions in CR10.	Adrian Welsh	Action Required	23/02/2024
CR1.2	Junction 28, M5: Continue to work closely with Devon County Council on Strategic Outline Business Case with the aim of securing funding to upgrade Junction 28 – Devon County Council to submit bid to Government in March/ April 2024 following Devon County Council Cabinet approval.	Adrian Welsh	Satisfactory	23/02/2024

CR 1.3	Cullompton station re-opening: Continue to work closely with Network Rail to ensure the timely submission of the Final Business Case to Government.	Adrian Welsh	Satisfactory	23/02/2024
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Notes:

The Junction 28 Strategic Outline Business Case includes financial provision to support delivery of the Cullompton Town Centre Relief Road as an integral part of the J28 submission. The Network North announcement presents a significant opportunity with regard to securing funding to enable delivery of the upgrade to J28 and the Railway Station re-opening.

CR2	Cyber Security	Current Severity: 5	Current Likelihood: 4	Current Risk Rating: 20
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Risk Description: 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.

Risk Owner: Brian Trebilcock

Risk Type: Data Protection/Information Security

Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR2.5	Regular Vulnerability scans on network devices: ICT use 'Nessus' vulnerability scanner to access and detect vulnerabilities on all network devices. Mitigation is then completed to remove or reduce the risk due to the vulnerability. Although this has only been added now as an action, it has been running for a number of years.	Brian Trebilcock	Satisfactory	23/01/2024
CR2.6	Active Directory review: The current Active Directory (AD) (the address book for all users in MDDC to use computers) has been around for over 20 years. it has been managed, updated by ICT Staff and has a lot of clutter. A project is underway to review the configuration of AD to simplify the hierarchy and review the policies applied to the users, PCs and server on the MDDC Network. It will also provide a mean to fully incorporate the Microsoft and NCSC security baselines, to ensure full compliance and improve security.	Brian Trebilcock	Satisfactory	23/01/2024

Notes:

Officers are reviewing the report provided by the Local Government Association after the Business Continuity Planning Exercise. An action plan will be created and taken to IT and Information Governance Board for assessment and authorisation in the next few weeks/months.

CR2.6 added in January 2024.

CR3	Failure to meet Climate Change Commitments by 2030	Current Severity: 3	Current Likelihood: 5	Current Risk Rating: 15
Risk Description: Due to a variety of factors, there is a risk that the Council will not meet its goal of becoming carbon neutral by 2030. There is also a risk that the Council will not achieve district-wide progress to meet obligations under the Climate Act 2008 for climate adaptation (resilience) and mitigation (emission reductions).				
Risk Owner: Paul Deal		Risk Type: Environmental		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR3.1	Policy and Strategy: Policy and strategy relevant to the climate emergency includes: <ul style="list-style-type: none"> • Corporate Plan 2020-2024 sets a number of relevant aims; • Climate Strategy and Handbook 2020-2024; • Housing Strategy 2021-2025; • Procurement Strategy (March 2023); • Cabinet adopted a new Climate Emergency planning policy statement (March 2023); • Local Plan 2013-2033 review; Plan Mid Devon sets the Climate Emergency as the top overarching priority for the next Local Plan. 	Jason Ball	Satisfactory	01/02/2024
CR3.2	Oversight and decision-making: To embed a consistent approach to committee reports, project reports and decision-making, considering the potential climate impacts and opportunities and adaptation needs linked to the climate crisis.	Jason Ball	Action Required	01/02/2024
Notes: Corporate: Good progress has been made in many aspects such as electricity usage, however the overall carbon footprint has increased since 2018/19. This is in part due to the additional capital investment undertaken including the Salix decarbonisation works at Crediton and Tiverton leisure centres, plus other building and retrofit projects. This investment will make a difference in the future (reduction of annual footprint from energy use). Plans are being developed for the next major projects which will also contribute to carbon reduction in the future. Corporate Management Team agreed draft guidance on climate and sustainability statements (e.g. projects and committee reports).				

Community: Relevant Council activities in partnership with and in support of communities include engagement projects, efforts to boost green transport, planning policies and Local Plan review (climate change being the over-arching priority), development masterplanning, public health initiatives (e.g. private sector housing) and emergency / resilience planning.

CR4	Homes for Ukraine Scheme	Current Severity: 3	Current Likelihood: 3	Current Risk Rating: 9
Risk Description: There is a risk of the 'Homes for Ukraine scheme' failing should the host relationship breakdown and re-matching is not an option. Where refugees cannot afford to pay for private accommodation the Council has a Homelessness Duty.				
Risk Owner: Simon Newcombe		Risk Type: Social		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR4.1	Collaboration: Continue to engage with DLUHC, LGA and DCN on scheme roll out, pressures and risks/updated national guidance etc. Reviewing a Devon-wide exit strategy around pending housing/accommodation pressures once hostings end – joint solutions (work in progress).	Simon Newcombe	Satisfactory	01/02/2024
CR4.3	Re-matching demand: Re-matching demand is relatively low (host/guest arrangements ending early) and single figures but starting to see increase due to rurality of some hosts and requirement to be closer to employment, services and schools.	Simon Newcombe	Satisfactory	01/02/2024
CR4.6	Local Authority Housing Fund 1 acquired properties: Dedicated temporary accommodation for the scheme to alleviate potential homelessness pressure as hostings end.	Simon Newcombe	Completed	01/02/2024
CR4.7	Finance update: Revised payment for new guests are £5k per person and Government have changed monthly payments for long-term hosts to £500 per month. Scheme extended to March 2025. Review of monthly payments completed across mandated and discretionary elements completed. Some enhancement will continue for existing hosts then revert to £500 max under Government funding. All revisions costed as deliverable per new Q2 and Q3 returns for 2023/24 and revised scheme/payments per head going forward into 2024/25.	Simon Newcombe	Satisfactory	01/02/2024

CR4.8	Voluntary, Community and Social Enterprise contract support: Ongoing review of potential provision from April 2024 under more limited funds available from reduced per person funding from Government (see CR4.7). Some CHAT provision looks possible to support application of continued grants to support transition of existing guests into private rental sector accommodation/ Temporary Accommodation or homelessness avoidance. Citizens' Advice Bureau contract ended as pipeline of new hosts very limited and Universal Credit/ benefits support no longer required at scale.	Simon Newcombe	Satisfactory	01/02/2024
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Notes:
 CR4.6, CR4.7 and CR4.8 added in February 2024. CR4.6 marked as completed.
 Team Devon collaboration remains effective and implementation of private rental sector (PRS) transition support together with acquisition of accommodation under LAHF funding is managing risk - 10 properties purchased by 31 March 2024 by MDDC in our area; 9 specific to Homes for Ukraine. Budget review completed regards revised monthly payments and remaining funding with likelihood of being able to extend Voluntary, Community and Social Enterprise support contract on limited basis with focus on private rental accommodation transition of existing guests (CHAT). See additional mitigating actions.

CR5	Information Security	Current Severity: 2	Current Likelihood: 4	Current Risk Rating: 8
Risk Description: Inadequate data protection could lead to breaches of confidential information and ultimately enforcement action by the ICO.				
Risk Owner: Giovanni Wallace		Risk Type: Data Protection/Information Security		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR5.1	Completion of ROPA/RACI: Audit of our Records of Processing Activities (ROPA) and data ownership comprised of identified Responsible, Accountable, Consulted, Informed (RACI model) being compiled.	Lisa Lewis	Completed	
<p>Notes: CR5.1 Marked as complete in December 2023. ROPA has been completed and published on the MDDC website ensuring compliance with legislation. An internal ROPA is being completed to link to a RACI matrix for Council use. Following a review from Leadership Team, the current severity has been reduced from 4 to 2, and the current likelihood has been increased from 3 to 4. The overall risk rating is 8.</p>				

CR7	Financial Sustainability	Current Severity: 4	Current Likelihood: 4	Current Risk Rating: 16
Risk Description: The council faces a range of financial challenges. We are subject to ongoing budget reductions whilst the cost of providing services continues to increase due to a range of inflationary pressures. We are also subject to single year budget settlements which impacts on the ability for medium term financial planning. We need to be able to plan and meet these challenges so that we can continue to deliver effective services and achieve the priorities we wish to.				
Risk Owner: Paul Deal		Risk Type: Economic/Financial		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR7.1	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	Complete	01/02/2024
CR7.2	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	Satisfactory	01/02/2024
CR7.3	Reserves: Cabinet have taken the decision to recommend a minimum general reserve balance of £2m.	Paul Deal	Complete	01/02/2024
CR7.4	Set Budget: Each year as part of the budget setting process, members are consulted via PDGs in time to evaluate savings proposals.	Paul Deal	Complete	01/02/2024
CR7.5	Medium term planning: Work to close the budget gap 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. To close the budget gap and maintain services: We continue to work with managers to reduce costs and explore new income streams.	Paul Deal	Satisfactory	01/02/2024
Notes: A balanced budget approved by Cabinet in February 2024. This is largely based on low/ medium risk savings in terms of impact and deliverability. Additional funding through grant and the collection fund makes up the difference. The future year estimated deficits remain at £4m whilst significant uncertainty continues around Local Government funding and the ongoing implications of the cost of living crisis. Medium Term Financial Plan discussions are in progress with a strategy being developed that will mitigate longer term shortfalls. CR7.1, CR7.3, and CR7.4 are ongoing management controls and as such have been marked as complete and will be removed.				

CR8	Quality of Planning Committee Decisions	Current Severity: 4	Current Likelihood: 3	Current Risk Rating: 12
Risk Description: Planning decisions are monitored at Government level nationally – the risk is to stay significantly below 10%. Over 10% could put a Local Planning Authority into special measures. Links to Performance Indicator measures 11a, 11b, 12a and 12b.				
Risk Owner: Angharad Williams		Risk Type: Reputation		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR8.1	Planning Advisory Service Committee Review being undertaken: To minimise risk associated with decision making and Government targets	Angharad Williams	Completed	05/02/2024
CR8.2	Planning Advisory Service Training being undertaken: To minimise risk associated with Government targets and decision making	Angharad Williams	Satisfactory	05/02/2024
CR8.3	Regular informal planning committee meetings: Keeping planning committee informed of all appeals and upcoming planning policy, and any actions the Council is making.	Angharad Williams	Satisfactory	05/02/2024
Notes: Action to undertake PAS Committee Review has been marked as complete. This was undertaken with the previous committee and is not currently relevant. The risk rating was reduced in February 2024 from 16 to 12 to reflect the continued positive progress that committee have made.				

CR9	SPV – 3 Rivers – Delivery of Closedown Plan	Current Severity: 4	Current Likelihood: 2	Current Risk Rating: 8
Risk Description: Ability to deliver the close down plan to timetable/ budget and generate the estimated sales receipts. Finishing the Haddon Heights development per budget. Generating the estimated sales at the remaining development - set against a challenging housing market.				
Risk Owner: Paul Deal		Risk Type: Economic/Financial		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR9.3	Weekly meetings: Meetings are now held each week between the Shareholder Representative, the Corporate Manager for Finance, and the company to track progress against the closedown plan. An update on all material transactions will be provided to Cabinet at regular intervals.	Andrew Jarrett	Satisfactory	01/02/2024

Notes:

Agreement has been reached over the sale of St George's Court to the Housing Revenue Account. The sale is currently being finalised and will complete shortly. Similarly, the General Fund will purchase Knowle Lane and the property in Banksia Close imminently giving additional time to continue future options for the site.

The construction of Haddon Heights will complete in February 2024. Currently two units have been sold, a further two have offers accepted and are expected to exchange shortly. Marketing of the remaining five units continues which is now likely to extend past 31 March 2024.

Following review by Leadership Team in February, the risk rating was reduced from 25 to 8.

CR9a	Risk Name: Reputational Impact of 3 Rivers	Current Severity: 2	Current Likelihood: 4	Current Risk Rating: 8
Risk Description: A decision has now been made to soft close the company, so the remaining reputational risks are that public debate in future inadvertently damages the value of assets by hindering the remaining sales. Public debate has, at times, included unhelpful and inaccurate statements about the company and the consequential impact on the council, with these inaccurate statements being repeated in wider circles. This risk is likely to continue until such time as all remaining assets are sold and company activity is wound down. This risk is expressed as damage to the company (and hence the council as shareholder).				
Risk Owner: Stephen Walford		Risk Type: Reputational		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR9a.1	Committee and council chairs feeling empowered to appropriately challenge poor behaviour during public meetings.	Stephen Walford and Maria De Leburne	Satisfactory	09/02/2024
CR9a.2	Elected members being comfortable with steps being taken and managing debate amongst themselves in a respectful way.	Andrew Jarrett and Maria De Leburne	Satisfactory	09/02/2024
Notes: With decisions now having been made, the council clear in its intent, and 'lessons learned' report undertaken by scrutiny, any further reputational damage is now considered minimal. Any remaining reputational influences relate predominantly to external instigators who may choose to oppose the council activity or policy direction on many different areas of service, and as such would be described as a reversion to 'business as usual' in risk terms. Therefore, this risk will be re-evaluated and potentially removed at the next formal review point. Member induction training sessions covered committee and council chairs challenging poor behaviour, and Members managing debate respectfully. The risk rating was reduced from 10 to 8 in February 2024, with the likelihood decreasing from 5 to 4.				

CR10	Cullompton Town Centre Relief Road	Current Severity: 5	Current Likelihood: 5	Current Risk Rating: 25
Risk Description: Inability to deliver the Cullompton Town Centre Relief Road				
Risk Owner: Adrian Welsh		Risk Type: Economic/Financial		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR10.1	Alternative Funding: Alternative funding opportunities continually being explored.	Adrian Welsh	Action Required	23/02/2024
CR10.2	Ongoing Homes England Discussions: Officers discussing ongoing Housing Infrastructure Fund support	Adrian Welsh	Satisfactory	23/02/2024
CR10.3	Ongoing discussions with land promoters: Ongoing discussions to maximise private funding potential.	Adrian Welsh	Satisfactory	23/02/2024
CR10.4	Land Assembly: Continue land assembly discussions so as to de-risk the project, assist in unlocking scheme delivery and increase the likelihood of securing funding.	Adrian Welsh	Satisfactory	23/02/2024
CR10.5	Complementary projects: Continue to develop and deliver complementary projects such as the Railway Station and the Heritage Action Zone public realm scheme. This will support the case for investment in the town and demonstrate the capacity to deliver.	Adrian Welsh	Fully Effective	23/02/2024
CR10.6	Government Lobbying: Working with local MPs, Devon County Council and senior Members to lobby for investment.	Adrian Welsh	Satisfactory	23/02/2024
Notes: Conversations ongoing with government agencies regarding funding options, particularly regarding recent government transport funding announcements. Work continues with Devon County Council and Homes England to explore options to further de-risk the project. Member briefings undertaken in December 2023 and January 2024 in conjunction with J28 public consultation and Culm Garden Village briefings.				

CR11	Cost of Living Crisis	Current Severity: 4	Current Likelihood: 4	Current Risk Rating: 16
Risk Description: The high rates of inflation experienced in 2022 and 2023 have the potential to impact on council employees, residents, communities and businesses in Mid Devon. In turn this may affect the council in terms of increased costs, reduced council income, and put additional pressure on council services.				

Risk Owner: Dean Emery		Risk Type: Financial, Social		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR11.1	Benefit administration: The council delivers a range of benefits which support the financial position of our residents. This includes the Housing Support Fund, Discretionary Housing Fund, and the Exceptional Hardship Fund.	Fiona Keyes	Fully Effective	23/01/2024
CR11.2	Council Tax Reduction Scheme: The council has introduced a new scheme (from 1 April 2023) which provides a more generous level of support.	Fiona Keyes	Fully Effective	23/01/2024
CR11.3	Shared Prosperity Fund (SPF): The SPF and Rural England Prosperity Fund Investment Plans have a number of projects designed to support businesses and community organisations over Jan 2023 – March 2025. This includes grant schemes to support innovation and decarbonisation projects including those that reduce energy costs and increase productivity.	Zoë Lentell	Fully Effective	23/01/2024
<p>Notes: There is still a great deal of financial vulnerability in the community. Household Support Fund 4 is busy with applications. This UK Government funding is to support those who are struggling to afford food and energy bills during autumn/ winter. Collection of Council Tax showing improvement. The risk rating will be reviewed in 2024/25, until then it will remain the same. Household Support Fund 5 could be announced in the March budget.</p>				

CR12	Housing Crisis	Current Severity: 4	Current Likelihood: 3	Current Risk Rating: 12
<p>Risk Description: Failure to supply sufficient housing to meet Mid Devon’s needs leading to increased homelessness and increased temporary accommodation (TA). There may be insufficient TA to meet demand and financial pressure is placed on the Council through increasing volume of and dispersed provision of TA. Co-linked failure to prevent homelessness occurring through increasing demand on resources, poor existing housing and failure to meet prevention duty/deliver mitigating actions including support to vulnerable residents.</p> <p>It is a statutory duty on the Council to prevent and provide relief/assistance to people threatened with or actually presenting as homeless. There is a local, regional and national shortage of affordable housing including social housing at the most affordable social rent level with a significant, growing waiting list of those registered on Devon Home Choice. Together with the current, ongoing cost of living crisis and other pressures this is leading to a growing housing crisis.</p>				

Risk Owner: Simon Newcombe		Risk Type: Financial, Social		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR12.1	MDDC Housing Strategy 2021-2025: Coherent, corporate approach to providing affordable homes and maintaining housing quality	Simon Newcombe	Satisfactory	01/02/2024
CR12.2	MDDC Homeless Prevention & Rough Sleeping Strategy 2020-2025: Focus on rough sleeping, prevention, accommodation options and client support	Simon Newcombe	Satisfactory	01/02/2024
CR12.3	Strategic lobbying on social housing funding, flexibilities and homelessness pressures: Continued membership of DLUHC LA Strategic Housing Advisory Group	Simon Newcombe	Fully Effective	01/02/2024
CR12.4	Devon Housing Forum: Regional engagement and collaboration on affordable housing delivery and supported housing – continued engagement	Simon Newcombe	Satisfactory	01/02/2024
CR12.5	Local Plan housing delivery: Market provision of affordable homes	Tristan Peat	Action Required	01/02/2024
CR12.6	Mid Devon HRA Development Programme: 500 new homes 2022/23 – 2026/27	Simon Newcombe	Satisfactory	01/02/2024
CR12.7	Temporary Accommodation: Opportunities to purchase HMO or similar shared market accommodation to meet TA needs/successful business cases made into capital programme. Two HMOs recently purchased, available 2023/24	Simon Newcombe	Satisfactory	01/02/2024
CR12.8	Empty Homes: Bringing empty homes back in to use/local leasing scheme for TA (link to CR12.7) or to alleviate wider	Simon Newcombe	Action Required	01/02/2024
CR12.9	Long-term development voids: Effective use of long-term development voids in Mid Devon Housing stock as TA where safe	Simon Newcombe	Satisfactory	01/02/2024
CR12.10	Ivor Macey House: Ongoing provision of Ivor Macey House supported TA accommodation (MDH HRA lease to G/F)	Simon Newcombe	Satisfactory	01/02/2024
CR12.11	Housing Options team staff case load resourcing: Rolling review and successful vacancy approvals	Simon Newcombe	Satisfactory	01/02/2024
CR12.12	Homelessness Prevention Grant: Full utilisation of Homelessness Prevention Grant	Simon Newcombe	Fully Effective	01/02/2024

CR12.13	Funding applications: Successful bids into DLUHC Rough Sleeper Initiative (RSI). £300k+ RSI secured over 3-year programme from 2022/23	Simon Newcombe	Satisfactory	01/02/2024
CR12.15	Private Sector Homes for Ukraine: Team Devon Homes for Ukraine scheme Private Sector Housing transition support	Simon Newcombe	Satisfactory	01/02/2024
CR12.16	Residents Financial Support: Cost of living pressure, grants and signposted support, help with/access to benefits (https://www.middevon.gov.uk/residents/residents-financial-support/)	Dean Emery	Satisfactory	01/02/2024
CR12.17	Housing Assistance Policy (Better Care Funding): living well at home/homeless prevention and Home Start grants/loans	Simon Newcombe	Satisfactory	01/02/2024
<p>Notes: On track for 60 new MDH Council homes by 31 March 2024 - including first dedicated Care Leaver accommodation identified at Shapland Place, Tiverton modular development. Review of Housing Strategy agreed to commence Spring 2024. Additional refugee scheme Temporary Accommodation 10 properties on track for purchase under LAHF1 funding by 31 March 2024 - will alleviate Homes for Ukraine and Afghan scheme housing pressures and be long-term temporary accommodation (TA) for MDDC. Additional 2 former HMO purchases available Q4 2023/24 as general Temporary Accommodation following refurbishment (one already partly occupied). Department for Levelling Up, Housing and Communities/ Local Government Association National Strategic Advisory Group meeting Jan 2024 with Right To Buy reforms discussed - work stream for 2024/25. Restructure and resourcing proposal for Housing Options team review complete – Leadership Team presentation in February 2024.</p> <p>This risk also has interdependencies with Corporate Risk 11: Cost of Living Crisis.</p>				

CR13	Operation of a Waste Management Service	Current Severity: 4	Current Likelihood: 2	Current Risk Rating: 8
Risk Description: Operating and maintaining a continuous waste management service across Mid Devon within budget faces a range of risks. These include staff recruitment and retention, workforce sickness and the maintenance and operation of fleet vehicles.				
Risk Owner: Matthew Page		Risk Type: Financial, Technical, Reputational		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR13.1	Workforce management: Regularly reviewing (Morning Managers' catch-up calls, monthly budget monitoring and quarterly performance reviews) the state of the workforce and	Darren Beer	Satisfactory	24/01/2024

	how it is performing in terms of vacancies, recruitment, sickness and the impact it is having on collections and rounds. This also includes reviewing our Business Continuity Plan and whether we need to widen the flexible provision of the workforce.			
CR13.2	Employment Trends: Review trends in the wider employment market regarding key workers including HGV drivers and what the Council needs to do to ensure we are industry competitive regarding recruitment.	Darren Beer	Satisfactory	24/01/2024
CR13.3	Fleet Vehicles: Vehicle provision including maintenance and operation is reviewed on a daily basis by the Fleet Manager. Two weekly meetings are set up with SFS (maintenance and lease provider) backed up by quarterly meetings with MDDC and SFS management. Regular meetings are set up with other MDDC services that use the fleet to ensure current contractual guidelines and compliance are adhered to.	Darren Beer	Satisfactory	24/01/2024

Notes:

Long term sickness is now at its lowest for a considerable period of time. Sickness rate per FTE has reduced further. Recruitment programme in place to manage cover for holidays and average sickness levels. Vehicles are being hired on an ad hoc basis to cover peaks in requirement.

Following review by the Leadership Team in February 2024, the risk rating was decreased from 12 to 8, with the current risk likelihood now 2 (previously 3).

CR14	Workforce Shortage	Current Severity: 3	Current Likelihood: 2	Current Risk Rating: 6
Risk Description: If the Council fails to manage sickness absence, recruit and/or retain sufficient suitable staff it may not be able to maintain essential and/or statutory services.				
Risk Owner: Matthew Page		Risk Type: Legal, Financial, Reputational		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR14.1	Sickness Absence: Review and monitor sickness absence data to identify trends and patterns behind sickness absence	James Hamblin	Satisfactory	30/01/2024
CR14.2	Monitor and Manage Staff Turnover: Review data from the exit interview process to identify trends and patterns behind why staff leave.	James Hamblin	Satisfactory	30/01/2024

CR14.3	Retention: Consideration of employee benefits at the Council.	James Hamblin	Satisfactory	30/01/2024
Notes: Industrial action commentary in the media has reduced. Negotiations on next year's pay award have started, however we expect this not to be resolved by 1 April 2024. Sickness and turnover being discussed within services at the Quarterly Performance Meetings. Ongoing conversations with Leadership Team regarding staff benefits. Sickness absence is increasing, however we have seen a reduction in turnover and associated agency spend.				

CR15	Corporate Property Fire Safety	Current Severity: 3	Current Likelihood: 3	Current Risk Rating: 9
Risk Description: Upcoming changes in legislation will place more stringent demands on the council in terms of fire safety across its corporate property estate. Failure to meet these standards could lead to penalties being imposed by the Fire Service including fines, which would be an additional cost to any investment required to complete repairs. The corporate property estate requires investment to ensure that significant fire safety risks, identified through external fire safety health checks, are mitigated. Budget is in place for 2023/24 but this process will take some time to complete. There are a number of sites which require fire safety checks. It is likely that these will identify fire safety risks that will require remediation. These will be addressed on a priority basis. As with any risk associated with fire, there is a potential for damage or loss to property and/or life.				
Risk Owner: Stephen Walford		Risk Type: Physical, Reputational, Financial		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR15.1	Fire Safety Investment (2023/24): Funding has been allocated to implemented fire safety improvements.	Keith Ashton	Satisfactory	29/01/2024
CR15.2	Investment Programme (2024/25): Funding has been allocated to implement fire safety improvements at the same level as for 2023/24.	Keith Ashton	Satisfactory	January 2024
Notes: CR15.2 Added in January 2024. The project to ensure the Phoenix House escape routes were up to standard is complete, less two minor challenges. The surveys required prior to starting escape route works at the three leisure centres is complete, with works anticipated to begin during February 2024. Upon completion of these sites, focus will move to other corporate sites.				

CR16	Building Control Service viability	Current Severity: 3	Current Likelihood: 3	Current Risk Rating: 9
<p>Risk Description: The NMD Building Control Partnership has been struggling with maintaining staffing levels for the past two years owing to a national shortage of skilled Building Control officers and skilled support staff. The service has continued to meet obligations by utilising agency staff. But changes presented through the Building Safety Act 2023 and the creation of the Building Safety Regulator are likely to result in further pressures in terms of attracting and retaining skilled permanent staff and in terms of service viability owing to additional duties placed upon the service in an increasingly challenging economic climate.</p>				
Risk Owner: Andrew Howard, Building Control Manager		Risk Type: Reputational		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR16.1	Staff skills: Ensure existing staff are adequately trained and qualified in order to meet the new requirements of the Building Safety Regulator so that NMD can effectively discharge its legal duties	Andrew Howard	Satisfactory	20/02/2024
CR16.2	Recruitment and retention: Address staffing and skills shortage and reliance on agency surveyors by continuing to seek to recruit new staff to the service, building on recent successes.	Andrew Howard	Action required	01/02/2024
CR16.3	Fee Income: Ensure the service remains competitive and robust in terms of its fee charging, balancing the need for market share with effective cost recovery	Andrew Howard	Completed	20/02/2024
CR16.4	Prepare for new reporting obligations: Continue to preparation for the introduction of the new reporting obligations for the BSR, due to commence in April 2024 – including ensuring appropriate systems are in place.	Andrew Howard	Action required	01/02/2024
<p>Notes: CR16.2: 8 vacant posts reduced to 3. Three agency surveyors reduced to 1 currently. Future need for agency support will be dependent upon workload, future success in the next recruitment round and team's success in the forthcoming validation exams/ability to register.</p> <p>Market Supplements due to end in June 2024. Reviewing options with Human Resources to find a solution to maintain competitive Terms and Conditions.</p> <p>CR16.3: Economic climate has seen a reduction in income and number of applications received. End of year Outturn forecast reduced. Market share remains consistent at 74% (Average) - Q3 was 80%. Charges will be raised by 6.7% in April 2024.</p>				

CR16.4: First phase Duty Holder Building Safety Act Changes have been implemented: application forms, acknowledgement letters, approval notices, commencement and completion processes changed.

Delegation of enforcement powers to registered surveyors is in progress with legal.

Action and training plans/ training logs are being developed for individual surveyors and will be finalized once the exam results are known.

IDOX are yet to release the final upgrade to Uniform to allow us to commence work on the KPI requirements of the Building Safety Regulator. Anticipated release date now mid Feb 2024.

Local Authority Building Control yet to finalise changes to ISO QA Framework to accommodate Building Safety Regulator regime. Once received we will need to revise our back office processes to be in line with the new requirements.

CR17	Severe Weather Emergency Recovery	Current Severity: 4	Current Likelihood: 3	Current Risk Rating: 12
<p>Risk Description: When there is an event/incident which has potential to harm people or property a multi-agency response may be required in the form of declaring an “Emergency” through the Local Resilience Forum (LRF). This process is split into two phases; 1: The Response which is chaired predominantly by the police and is often heavily focused on the blue light services during/immediately following the event/incident. 2: Recovery which is chaired by the Local Authorities and is more focused on Local Councils working with communities to achieve a state of new normality. Because of this, MDDC has a large role to play within the Recovery Phase as a Category 1 responder of which there are many risk to the organisation from Financial, Reputational and Legal. This risk assessment is specifically looking at our most common event that escalates to an emergency which is Severe Weather including extremes in heat/cold, floods and wind etc.</p>				
Risk Owner: Simon Newcombe		Risk Type: Economic/Financial/Capacity/Reputation		
Mitigating Actions		Responsible Officer	Current Effectiveness	Review Date
CR17.1	CMT Capacity: There is a member of CMT on rota. This role covers incident manager (response) or can be specifically assigned to the recovery phase including chairing/ co-chairing the LRF recovery group. This will be in addition to their regular responsibilities. Due to this, the Resilience Officer or another Corporate Manager can be brought in to assist with the multi-agency duties as required. With CMT now being five people,	Simon Newcombe	Satisfactory	January 2024

	there is increased pressure and meeting this mitigation will be dependent on the CMT having no vacancies and being available during the recovery phase of an incident. This action will be kept under review.			
CR17.2	Adequate Continuity Planning: Each service area needs up to date Business Continuity Plans to effectively retain critical services during and after an emergency. Training will be provided and plans reviewed by the Resilience Officer.	Lewis Dyson	Action Required	January 2024
CR17.3	Overall Staff Capacity: Each business area will understand their critical functions and ensure they are functioning during recovery. Above this each service area will manage their own capacity to deal with recovery plus their business as usual through agency, overtime and mutual aid as detailed within their Business Continuity Plan.	Lewis Dyson	Action Required	January 2024
CR17.4	Out of Hours Capacity: Only CMT, Housing and Waste have Out of Hours within their contracts and so other services would need to rely on goodwill/ civic duty to cover any out of hours work during response and recovery. Paper detailing current out of hours gaps to be produced alongside a clear outline of which critical roles need some level of out of hours cover.	Lewis Dyson	Action Required	January 2024
CR17.5	Financial Availability: Vulnerable people may need financial assistance due to damage caused by an incident. There may be other additional costs incurred through the recovery stage and there is no central budget for the recovery phases of an emergency and government support under the Belwin Scheme only covers the response phase of an incident. Costs will therefore have to be met from strategic financial reserves retained at circa £2m. Exceptional support requests into central government if required.	Paul Deal	Completed Satisfactory	January 2024
CR17.6	Waste Collection Backlog: Due to the nature of the incident it is likely that there will be additional waste collection requirements in terms of debris, missed collections due to Health and Safety considerations, and additional waste from properties damaged by the weather (i.e. flooded properties). Additional agency staff/	Matthew Page	Satisfactory	January 2024

	overtime may be required alongside additional routes to meet the backlog and keep up with increased demand.			
CR17.7	Increased Public Health demand: Public Health may be required to support in additional assessments during recovery. They will be warned of potential increase in demand prior/ during recovery to ensure cover.	Simon Newcombe	Satisfactory	January 2024
CR17.8	Roles and responsibilities: To ensure effective and efficient delivery of the recovery there needs to be clearly defined roles and responsibilities at all levels in the Council. These will be set out within the upcoming resilience strategy.	Simon Newcombe	Action Required	January 2024
CR17.9	Reputational damage: During the recovery phase of an emergency there will be a lot of differing priorities and expectations from our communities. This can lead to potential conflicts, disputes and confusion. The Communications Team will work to give clear messaging which is in line with the multi-agency communications plan. Sufficient media training will be given to the Leadership Team and key members of the Council to ensure the correct information is being released to the media and communities.	Lisa Lewis	Action Required	January 2024
Notes: CR17: Added in January 2024.				