

## Risk Report Appendix 6

Report for 2017-2018

Filtered by Flag: Include: \* CRR 5+ / 15+

For MDDC - Services

Filtered by Performance Status: Exclude Risk Status: Low

Not Including Risk Child Projects records or Mitigating Action records

*Key to Performance Status:*

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

### Risk Report Appendix 6

**Risk: Affordable and Council Housing Demand** Housing supply does not meet local demand or reflect demographic shifts like increased demand for single occupancy

**Effects (Impact/Severity):**

- Increased costs for paying for private accommodation to house homeless
- Increase in number of homeless people in Mid Devon

**Causes (Likelihood):**

- Impact of economic downturn and reduced funding has reduced number of affordable housing units being built
- Under-occupation in existing stock
- Reduction in number of Right to Buys results in less HRA funding available for new builds

**Service: Housing Services**

<b>Current Status:</b> Medium (12)	<b>Current Risk Severity:</b> 4 - High	<b>Current Risk Likelihood:</b> 3 - Medium
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**Service Manager: Claire Fry**

**Review Note:** There is still a significant deficit between permissions granted and build-out rates

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**Risk: Asset Management** • The Council may not be optimising its portfolio of assets

- Assets purchased without prior approval may not be supported by Council policies and systems
- Misuse of assets could have a financial impact to the Council
- Inadequate inventory records could invalidate insurance claims, disrupt the business continuity process and hide instances of theft
- Failure to maintain the Asset Management Strategy could result in an inefficient use of resources

Not making a commercial ROI

**Effects (Impact/Severity):** • Theft of stocks and stores

**Causes (Likelihood):** • Mismanagement of stocks and stores

**Service: Property Services**

**Current Status:**  
Medium (12)

**Current Risk Severity: 3 -**  
Medium

**Current Risk Likelihood: 4 -**  
High

**Service Manager: Andrew Busby**

**Review Note:** Capital Asset Management Strategy 2016-2020 on the website

**Risk: Car Parks** Car Park Overcrowding

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Leisure Services**

**Current Status: No**  
Data

**Current Risk Severity: 4 -**  
High

**Current Risk Likelihood: 3 -**  
Medium

**Service Manager: Darren Beer**

**Review Note:**

**Risk: Dangerous Equipment** Risks associated with using powered equipment and machinery or that which has moving parts eg fans, woodworking machines, abrasive wheels. Also risks with using powered portable tools eg electric drill, off-hand grinders as well as manual tools eg knife, guillotine.

There are risks that some equipment may produce electromagnetic interference with pace-makers.

**Effects (Impact/Severity):** High if no PPE worn or risk assessments not followed

**Causes (Likelihood):** medium if procedures followed.

**Service: Property Services**

**Current Status:**  
Medium (12)

**Current Risk Severity: 4 -**  
High

**Current Risk Likelihood: 3 -**  
Medium

**Service Manager: Andrew Busby**

**Review Note:**

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**Risk: Decline in National Macro-economics** A decline in national macro-economics could result in level of influence by local government being limited and having little or no impact on local economic activity

**Effects (Impact/Severity):** High - Inability to meet Council objectives, customer requirements or financial commitments

**Causes (Likelihood):** High - no control over macro-economics but Council objectives and action plan currently in process to increase local economic activity

**Service: Community Development**

<b>Current Status:</b> Medium (12)	<b>Current Risk Severity: 4 -</b> High	<b>Current Risk Likelihood: 3 -</b> Medium
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**Service Manager: John Bodley-Scott**

**Review Note:**

**Risk: Economic Development Service** Failure to promote economic activity within the District will suppress the potential for new jobs and increased prosperity for residents

A continuing economic recession could jeopardise our ability to achieve corporate objective of 'A Thriving Economy'

**Effects (Impact/Severity):** - Inability to meet Council objectives

- A lack of inward investment

- Uncertain economic recovery, impact on employment and infrastructure development

**Causes (Likelihood):** - Decline in national macro-economics

**Service: Community Development**

<b>Current Status:</b> Medium (12)	<b>Current Risk Severity: 4 -</b> High	<b>Current Risk Likelihood: 3 -</b> Medium
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**Service Manager: Adrian Welsh**

**Review Note:** Economic Strategy currently being prepared which will focus the District Council's intervention in a more focused way and will also enable improved monitoring for this risk.

**Risk: Evictions** Tenants being evicted could become violent.

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Housing Services**

<b>Current Status:</b> Medium (10)	<b>Current Risk Severity: 5 -</b> Very High	<b>Current Risk Likelihood: 2 -</b> Low
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**Service Manager: Claire Fry**

**Review Note:**

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**Risk: Failure to deliver Transfer Station at Carlu Close** Loss would relate to financial penalties for late delivery, loss of savings, increased mileage

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Property Services**

**Current Status: Medium (10)**

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

**Current Risk Likelihood: 2 - Low**

**Service Manager: Andrew Busby**

**Review Note:**

**Risk: Fire and Explosion** Risks associated with storage of combustible materials, fuels and flammable substances and sources of ignition, as well as emergency procedures (existence, display and knowledge of), accessibility (or obstruction) of emergency exits and walkways to. Also, risks associated with use of fire extinguishers, having correct type in location, in date and trained operatives on site.

**Effects (Impact/Severity):** Very High (5) – Although the risk is low, a fire in the server or storage room could potentially cause loss of life, have serious financial implications and severely impact the councils ability to provide services due to loss of IT infrastructure.

**Causes (Likelihood):** Very Low (1) – The likelihood of a fire within ICT is extremely low. No quantities of combustible materials are stored within the work area. There is easy access to the emergency exit and all staff have received fire awareness training.

**Service: I C T**

**Current Status: No Data**

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

**Current Risk Likelihood: 1 - Very Low**

**Service Manager: Liz Reeves**

**Review Note:**

**Risk: Five Year Commercial Land supply** Failure to identify a 5 year land supply will stunt economic growth

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Planning**

**Current Status: High (20)**

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

**Current Risk Likelihood: 4 - High**

**Service Manager: Jenny Clifford**

**Review Note:**

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**Risk: Five year housing land Supply** Risk: Housing land supply. Inability to demonstrate the required 5 year housing land supply (+20% ) until Local Plan Review approved

**Effects (Impact/Severity):** Effects (Impact /severity):

- Receipt of speculative housing applications in unplanned locations with less community benefit and less infrastructure / coordination compared with allocated sites.
- Objections
- Pressure on major application appeal performance (Government indicator of quality of decision making). Risk of intervention: loss of fee and less local control over major application decision making.

**Causes (Likelihood):** - Lack of sufficient housing completions, housing market conditions.

**Service: Planning**

**Current Status: High (15)**

**Current Risk Severity: 3 - Medium**

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

**Service Manager: Jenny Clifford**

**Review Note:** Found to not have sufficient housing supply at appeal. Mitigation principally via new Local Plan once adopted. Close monitoring of applications, decisions and associated appeal performance.

**Risk: Green Spaces** Green Spaces - arborist team

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Grounds Maintenance**

**Current Status: Medium (10)**

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

**Current Risk Likelihood: 2 - Low**

**Service Manager: Joe Scully**

**Review Note:** Because of the nature of the work which can be in areas of limited access to emergency services and of a high risk all team members should be First Aid at Work (FAW)

**Risk: H&S RA - Recycling Depot Operatives** Risk assessment for role - Highest Risk scored - Vehicle Movements inside Depot

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Street Scene Services**

**Current Status: Medium (10)**

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

**Current Risk Likelihood: 2 - Low**

**Service Manager: Stuart Noyce**

**Review Note:** No incidents or further mitigating actions added.

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**Risk: H&S RA - Refuse Driver/Loader** Risk Assessment for Role - Highest risk from role RA. - Risk of RTA from severe weather conditions

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Street Scene Services**

**Current Status:**  
Medium (10)

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

**Current Risk Likelihood: 2 -**  
Low

**Service Manager: Stuart Noyce**

**Review Note:** Annual review - No incidents or further mitigating actions added.

**Risk: H&S RA - Street Cleansing Operative** Risk assessment for role - highest risk from role - Risk of RTA from severe weather conditions

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Street Scene Services**

**Current Status:**  
Medium (10)

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

**Current Risk Likelihood: 2 -**  
Low

**Service Manager: Stuart Noyce**

**Review Note:** Risk with control measures added

**Risk: Hoarding** Some tenants are known hoarders but we have policies in place and we do regular inspections.

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Housing Services**

**Current Status:**  
Medium (10)

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

**Current Risk Likelihood: 2 -**  
Low

**Service Manager: Claire Fry**

**Review Note:**

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**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.

**Effects (Impact/Severity):** - Dissatisfied customers and increase in complaints.  
 - This will involve an increase in officer time in dealing with Homelessness prevention and early intervention.  
 - Possible increase in temporary accommodation usage.

**Causes (Likelihood):** - Social and economic factors like the recession and mortgage repossessions increase the number of homeless.  
 - Lack of private sector housing.

**Service: Housing Services**

**Current Status: High (16)**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 4 - High**

**Service Manager: Michael Parker**

**Review Note:** It is likely that the new Homelessness Reduction Act 2017 will place additional responsibilities on the Council.

### **Risk: Impact of Welfare Reform and other emerging National Housing**

**Policy** Changes to benefits available to tenants could impact upon their ability to pay. Other initiatives could impact upon our ability to deliver our 30 year Business Plan.

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Housing Services**

**Current Status: High (15)**

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

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Claire Fry**

**Review Note:**

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**Risk: Information Security** Inadequate Information 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 information strategy in place.

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

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: I C T**

**Current Status: High (20)**

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

**Current Risk Likelihood: 4 - High**

**Service Manager: Liz Reeves**

**Review Note:** Increased awareness training for all staff and members, Information Security training calendar to ensure all year reminders.

Trialling systems to send phishing emails to staff as training tool.

**Risk: Legionella** Legionella

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Leisure Services**

**Current Status: Medium (10)**

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

**Current Risk Likelihood: 2 - Low**

**Service Manager: Darren Beer**

**Review Note:**

**Risk: Local Plan** Whether the Inspector will find the Plan unsound

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Planning**

**Current Status: High (15)**

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

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Jenny Clifford**

**Review Note:** Some mitigation is possible important to be as well prepared for the hearing in September as possible.



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**Risk: Lone Working** Risks associated with working alone (eg on site visits, call-outs, evening, weekend and emergency work and working from home).

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Property Services**

**Current Status:**  
**Medium (12)**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Andrew Busby**

**Review Note:**

**Risk: New Homes** A low housing build rate would equal less affordable housing resulting in a reduction in potential New Homes Bonus

**Effects (Impact/Severity):** - Loss of Affordable Housing Income Section 106

- Failure to meet targets in Development Plan

- Potentially unallocated sites being developed as 5-year housing supply reduces

**Causes (Likelihood):**

**Service: Planning**

**Current Status:**  
**Medium (12)**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 3 - Medium**

**Service Manager: Jenny Clifford**

**Review Note:**

**Risk: Pannier market general risk assessment** General risk assessment for the market's day to day operation

**Effects (Impact/Severity):** Score of 5 as their appears to be a movement in the structure causing the glass doors to bow

**Causes (Likelihood):** Survey done, not weight bearing. Market manager is inspecting regularly.

**Service: Pannier Market**

**Current Status:**  
**Medium (10)**

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

**Current Risk Likelihood: 2 - Low**

**Service Manager: Zoë Lentell**

**Review Note:**

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**Risk: Phoenix Lane Car Park** Increased difficulty in management of the facility while the Premier Inn is being built

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Property Services**

**Current Status:**  
Medium (10)

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

**Current Risk Likelihood: 2 -**  
Low

**Service Manager: Andrew Busby**

**Review Note:** Enabling meeting with the contractor 24 July 2017

**Risk: Plant Room** Plant Room

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Leisure Services**

**Current Status:**  
Medium (12)

**Current Risk Severity: 4 -**  
High

**Current Risk Likelihood: 3 -**  
Medium

**Service Manager: Darren Beer**

**Review Note:**

**Risk: Pool Inflatable** Pool Activities

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Leisure Services**

**Current Status:**  
Medium (10)

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

**Current Risk Likelihood: 2 -**  
Low

**Service Manager: Darren Beer**

**Review Note:**

**Risk: Power Take Off (PTO)shaft use** That the PTO shaft is not correctly guarded

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Grounds Maintenance**

**Current Status:**  
Medium (10)

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

**Current Risk Likelihood: 2 -**  
Low

**Service Manager: Joe Scully**

**Review Note:** Locking mechanism on the universal joint must be engaged successfully before engaging the PTO. Safe systems of work item

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

Effects (Impact/Severity):

Causes (Likelihood):

Service: Communications

**Current Status:**  
Medium (10)

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

**Current Risk Likelihood:** 2 -  
Low

Service Manager: None

Review Note:

**Risk: Reputational re Council Housing Stock** Handling a disaster/mistake properly would prevent any reputation damage.

Effects (Impact/Severity):

Causes (Likelihood):

Service: Housing Services

**Current Status:**  
Medium (10)

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

**Current Risk Likelihood:** 2 -  
Low

Service Manager: Claire Fry

Review Note:

**Risk: School Swimming Sessions** School Swimming Sessions

Effects (Impact/Severity):

Causes (Likelihood):

Service: Leisure Services

**Current Status:**  
Medium (10)

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

**Current Risk Likelihood:** 2 -  
Low

Service Manager: Darren Beer

Review Note:

**Risk: Stress** The physical and mental well-being of Officers could be affected by work environment and pressures caused by work demands and work relationships.

Effects (Impact/Severity):

Causes (Likelihood):

Service: Housing Services

**Current Status:**  
Medium (12)

**Current Risk Severity:** 3 -  
Medium

**Current Risk Likelihood:** 4 -  
High

Service Manager: Claire Fry

Review Note:

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### **Risk: Swimming Lessons** Swimming Lessons

Effects (Impact/Severity):

Causes (Likelihood):

Service: Leisure Services

**Current Status:**  
Medium (10)

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

**Current Risk Likelihood:** 2 -  
Low

Service Manager: Darren Beer

Review Note:

### **Risk: Swimming Pool** Swimming pool & spectator walkway

Effects (Impact/Severity):

Causes (Likelihood):

Service: Leisure Services

**Current Status:**  
Medium (10)

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

**Current Risk Likelihood:** 2 -  
Low

Service Manager: Darren Beer

Review Note:

### **Risk: Tenants with Complex Needs** As our housing stock shrinks, the proportion of such tenants will increase.

Effects (Impact/Severity):

Causes (Likelihood):

Service: Housing Services

**Current Status:**  
Medium (12)

**Current Risk Severity:** 4 -  
High

**Current Risk Likelihood:** 3 -  
Medium

Service Manager: Claire Fry

Review Note:

### **Risk: Welfare Reform Act - Benefits** Failure to implement and communicate the new benefits framework effectively could result in applications not being completed in time

Effects (Impact/Severity): If the changes from current benefits system to Universal Credit go ahead, the system will require greater staff resource

Causes (Likelihood): Will now happen

Service: Revenues - Benefits

**Current Status:** No  
Data

**Current Risk Severity:** 4 -  
High

**Current Risk Likelihood:** 3 -  
Medium

Service Manager: Andrew Jarrett

Review Note:

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**Risk: Widespread fire in block of flats** Fire in our multiple occupancy properties, could result in widespread damage, injury or even death

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Housing Services**

<b>Current Status: No Data</b>	<b>Current Risk Severity: 5 - Very High</b>	<b>Current Risk Likelihood: 2 - Low</b>
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**Service Manager: Mark Baglow**

**Review Note:** The Corporate H & S Officer has now carried out Fire Risk Assessments in the common rooms at Broad Lane and Westfield Road.

Housing Caretakers inspect communal areas on a 5 week cycle, which includes checking fire exit doors and signage.

Any issues are reported to the relevant Neighbourhood Officer.

**Risk: Workplace Welfare** The provision of adequate welfare arrangements is important both in terms of complying with the law and keeping the workforce happy. People tend to perform better and be happier at their work if they are working in a safe and healthy environment.

Workplace welfare includes the working environment (such as ventilation, noise, temperature, lighting, humidity, space, workstations and seating), welfare facilities (provision of drinking water, rest room and sanitary facilities including toilets, wash basins and showers), workplace safety and housekeeping (cleanliness and waste disposal).

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Legal Services**

<b>Current Status: Medium (12)</b>	<b>Current Risk Severity: 4 - High</b>	<b>Current Risk Likelihood: 3 - Medium</b>
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**Service Manager: Kathryn Tebbey**

**Review Note:** The risk is not well-related to Legal Services. The risk for Legal Services is from a constant high workload leading to burnout and stress. Some of this will be alleviated through improved systems, but this may prove insufficient mitigation.

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