

MOLE VALLEY DISTRICT COUNCIL

Strategic Risk Register

This register details the strategic risks faced by Mole Valley District Council in relation to achieving the priorities as defined in the Corporate Strategy. It also notes the current mitigation action being taken to control these risks. The Register is owned by the Chief Executive.

Corporate Priorities

- 1. Environment - a highly attractive area with housing that meets local need
- 2. Prosperity - a vibrant local economy with thriving towns and villages
- 3. Community wellbeing - active communities and support for those who need it

Summary Matrix – key strategic risks after mitigation

IMPACT	Catastrophic 5						C1c Asset Investment Strategy
	Major 4		C1c, C3, C4b				C3 Health and Safety
	Moderate 3		C5, C4c	C7			C4b IT – hacking C4c IT – resilience
	Minor 2						C5 Data Protection/Information Governance
	Insignificant 1						C7 Organisational capacity to deliver
		Remote 1	Possible 2	Likely 3	Probable 4	Highly Probable 5	
		PROBABILITY					

Mole Valley District Council Strategic Risk Register

Ref	Description of the risk	Inherent risk level (no controls)			Controls in place at MVDC	Risk owner – Member	Risk owner – Officer	Residual risk level (after existing controls)			Movement of Residual Risk ¹
		Probability	Impact	Rating				Probability	Impact	Rating	
C1c	<p>Asset Investment Strategy If MVDC fails to deliver the Asset Investment Strategy by March 2020 we will not secure adequate funding streams through returns on property investment. This could lead to a lack of financial resilience and a failure to deliver statutory and essential services</p> <p>This risk is informed by a number of factors including:</p> <ul style="list-style-type: none"> • Availability of and access to cheap borrowing • Increase in property prices due to increased local government interest activity • Capacity of the organisation to deliver • The need for a dynamic and responsive approach to maximise outcomes 	4	4	16	-Rigour and due diligence applied through regular review of approach and criteria for investment by Executive -Use of expert consultants -Annual targets set - Regular monitoring by Executive through Business and Budgeting monitoring reports -Active assessment of the market for access to cheap borrowing, such as through the Public Works Loan Board -Consideration of alternative forms of property investment	Cabinet Member (Prosperity)	EHoS Prosperity	2	4	8	↔
C3	<p>Corporate Health and Safety</p> <p>MVDC needs to provide services in a safe manner that protects the health and safety not just of its employees but also members of the public, trainees, contractors and Members.</p> <p>If we fail to have good Health and Safety arrangements in place, this could lead to loss of service and / or</p>	5	5	25	- Corporate Health and Safety Policy, arrangements and procedures in place - Regular reviews of health and safety arrangements by Health and Safety consultant - Health and Safety action plan in place - Employee induction includes	Cabinet Member (Finance, Performance and Risk)	EHoS Place and Transformation	2	4	8	

¹ Within previous 6 months.

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	<p>preventable accidents to staff, contractors, public or others affected by our undertakings</p> <p>This risk is informed by a number of factors, including:</p> <ul style="list-style-type: none"> • Compliance with Health and Safety at Work Act • Civil Duty • Moral and Public Duty 				<p>focus on Health and Safety and all employees provided with Health and Safety Guidance</p> <ul style="list-style-type: none"> - Health and Safety risk assessments in place for all service areas - Fire risk assessments in place for relevant Council properties - Arrangements with partner organisations/contractors to ensure appropriate Health and Safety requirements are in place 						↔
C4 b	<p>IT systems</p> <p>b) Risk of hacking All IT systems contain vulnerabilities. Once exposed there is a danger period where systems are particularly vulnerable to attack.</p>	Probability 4	Impact 4	16	<p>-IT Security Policy in place and updated regularly</p> <ul style="list-style-type: none"> - Regular communication and awareness in place for all staff -Access to systems and data is strictly controlled and data is held securely in order to ensure it is only available as permitted and not at risk of loss or compromise - Regular testing of the ICT security perimeter of firewalls, monitoring for new vulnerabilities of systems and a cycle of ensuring all system versions are up to date is in place - Regular patching cycle of service infrastructure - Risk assessment on basis of industry knowledge and government information provided by the National Cyber Security Centre. 	Cabinet Member (Strategy & Assets)	EHoS Resources	Probability 2	Impact 4	8	↔

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C4c	<p>IT Systems</p> <p>c) Operational Resilience</p> <p>MVDC needs to make sure that its staff and IT systems are available to deliver the services for which it is responsible.</p> <p>If we fail to do this, there could be a major breakdown and disruption of systems that leads to an inability to deliver key services.</p> <p>This risk is informed by a number of factors, including:</p> <ul style="list-style-type: none"> Majority of MVDC staff based at Pippbrook IT systems hosted at Pippbrook 	4	4	16	<ul style="list-style-type: none"> IT Strategy in place and updated regularly Automated centralised back-up of data and systems is in place should a systems or data recovery be needed Improved on-site arrangements for physical environment (e.g. air con) Alternative working arrangements in place for staff 	Cabinet Member (Strategy & Assets)	EHoS Resources	2	3	6	↔
C5	<p>Data Protection/Information Governance</p> <p>MVDC needs to make sure that personal data is secure and that an individual's right to privacy is protected.</p> <p>If we fail to effectively act on and embed standards and procedures that enable us to do this, this could lead to a loss of public trust and financial penalties to the organisation.</p> <p>This risk is informed by a number of issues, including:</p> <ul style="list-style-type: none"> Potential breaches in confidentiality enabling access to confidential data Loss of data 	3	3	9	<ul style="list-style-type: none"> Data Protection Policy approved by Council and updated periodically Data protection training and updates for new and existing staff Member Training on responsibilities under appropriate Code of Conduct for new and existing Members Certification obtained on disposal of confidential information Information Asset Register in place Records Retention Policy in place and implemented Data sharing protocols in place and implemented 	Cabinet Member (Finance, Performance and Risk)	EHoS Prosperity	2	3	6	↔

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C7	<p>Organisational capacity to deliver</p> <p>MVDC needs to ensure that the organisation has the capacity to achieve the priorities in the Corporate Strategy and to ensure the effective delivery of services.</p> <p>If the organisation ceases to have capacity to deliver services this could have serious implications particularly in relation to statutory services ultimately leading to service failure. Capacity problems increase turnover and absence and adversely affect wellbeing and productivity levels. This sets up a negative cycle, further reducing resources, damaging service levels and increasing financial cost to the Council. If there is a significant gap between demands on employees and what they can realistically deliver, the risk of hidden problems causing damage (once discovered) increases.</p> <p>This risk is informed by a number of issues including:</p> <ul style="list-style-type: none"> • Ability to recruit and retain talented staff • Effective prioritisation of key workstreams • Ability to respond to additional priorities • Managing public expectations of service delivery 	4	4	16	<p>A workforce planning approach which ensures the right number of people with the right skills and behaviours are employed in the right place at the right time to deliver the organisation's short and long-term objectives. There are a number of controls in place including:</p> <ul style="list-style-type: none"> - Enhancing our employer brand and ensuring this is underpinned by working practices that position MVDC as an employer of choice enabling us to attract and retain high quality employees - Efficient and effective recruitment and retention processes with targeted HR support and advice provided to hiring managers - Performance and Development Review process linked to assessment of risk areas within teams - Business and budget planning process aligned with the capacity of the organisation - Succession planning and talent management informed by a robust evidence base 	SLT (Head of Paid service has delegated responsibility in the constitution for staffing matters)	Chief Executive	3	3	9	N/a (new risk Feb 2018)

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					<ul style="list-style-type: none"> - Maximising our usage of the Apprenticeship scheme to increase development opportunities particularly in hard to recruit areas. - Two way communication arrangements in place to enable positive engagement across the organisation 						

EHoS = Executive Head of Service

Additions / deletions during 2017/18:

Deleted: C1b – Funding streams. February 2018

Added : C7 - Organisational capacity to deliver. February 18