

## Agenda Item 11

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<b>Date</b>	Tuesday 26 March 2019
<b>Ward (s) affected</b>	All wards in Mole Valley
<b>Subject</b>	2019-20 Annual Plan, Performance Indicators and Strategic Risk Register
<p><b>Recommendations</b></p> <p>That the Cabinet:-</p> <ol style="list-style-type: none"> <li>1. approves the 2019-20 Annual Plan and Performance Indicators, and;</li> <li>2. notes the Strategic Risk Register</li> </ol>	
<p><b>Executive Summary</b></p> <p>This report sets out the key areas of work and performance targets which will be delivered during 2019/20 in order to advance the priorities set out in the Council Strategy 2019-2024. These will be monitored throughout the year by Cabinet in the regular Business and Budget Monitoring reports.</p> <p>The Council's Strategic Risk Register sets out risks to achieving the commitments in the Council Strategy and the plans in place to mitigate these risks.</p> <p>There are three appendices to this report:-</p> <ul style="list-style-type: none"> <li>• Appendix A – Annual Plan 2019-20</li> <li>• Appendix B – Performance Indicators 2019-20</li> <li>• Appendix C – Strategic Risk Register</li> </ul>	
<p><b>Corporate Priorities</b></p> <p>The 2019-20 Annual Plan sets out Mole Valley District Council's (MVDC) objectives which demonstrate how it will deliver the commitments for each of the Council Strategy priority outcomes.</p>	
<p><b>The Cabinet has the authority to determine the recommendations.</b></p>	

### 1.0 Background/Introduction

1.1 In February the Council approved the Mole Valley District Council Strategy 2019-

2024. To ensure MVDC is making good progress in achieving its Council Strategy vision and priorities, an Annual Plan will be developed each year. The Plan for 2019/20 is attached as Appendix A and sets out objectives for 2019-20. In addition, a suite of performance indicators and targets will be agreed annually. Performance indicators and targets for 2019-20 are attached as Appendix B. Progress against the annual objectives and key performance indicators will be reported to the Cabinet in the regular Business and Budget Monitoring Reports.

- 1.2 The Strategic Risk Register sets out those risks identified by the Strategic Leadership Team, which could affect MVDCs overall ability to achieve its corporate objectives and execute its strategies successfully. Appendix C sets out the strategic risks currently being actively managed by the Strategic Leadership Team.

### **ANNUAL PLAN**

- 1.3 The Annual Plan sets out those objectives and performance targets on which the Council will have a specific focus during 2019-20. These have been drawn from a suite of Business Plans that are in place across the organisation. Any changes proposed to the Plan, for example in response to a new or emerging issue, will be reported to Cabinet as part of the Business and Budget monitoring reports. This will ensure that the Annual Plan is flexible and responsive to change.
- 1.4 The Council Strategy is a five year strategy and the aim is to make progress against each of the commitments detailed under each priority over this 5 year period. The Annual Plan highlights specific objectives which the Council aims to deliver and report on during the year. Services across the Council will continue to undertake other areas of work that support each of these commitments.
- 1.5 Each annual objective / performance indicator feeds into a commitment which sits beneath one of the Council Strategy priorities: Community Wellbeing, Environment and Prosperity.
- 1.6 For the Environment Priority there are some key activities planned for 2019-20, including the consultation on the draft preferred options for the Local Plan and the Community Infrastructure Levy draft charging schedule. Implementing measures to reduce single use plastics in Mole Valley is also planned, such as promoting the Water Refill Scheme and installing water refill stations in Leatherhead and Dorking.
- 1.7 Under Prosperity some key objectives for 2019-20 include developing the next phase of the Rural Community Strategy, taking into account outputs from the Rural Summit which took place at the end of February 2019. The development of a Town Market Strategy and implementation plan for Dorking to help provide business opportunities and create a new experience for shoppers is also planned.
- 1.8 For Community Wellbeing some key activities for 2019-20 include the delivery of objectives in the Wellbeing Strategy, with specific focus on getting and keeping children, young people and older people more active and tackling mental health.

## PERFORMANCE INDICATORS

- 1.9 The Performance Indicators for 2019-20 reflect progress against each of the Council Strategy priorities and support the ambition of the Council in certain key areas. Performance Indicators currently monitored by Cabinet have been reviewed and all have been retained in the suite for 2019/20. Five new indicators have been included for 2019/20. They are:
- **Reduction in the amount of residual waste.** Recycling figures are unlikely to increase greatly in the coming years, particularly with the introduction of initiatives to reduce the use of plastic. There has, instead, been a shift in focus to a reduction in the amount of residual waste produced.
  - **Number of new sign-ups to the water Refill scheme.** This is also linked to the reduction of single use plastics in the District.
  - **Percentage of planning enforcement investigations commenced within timeframe.** It is important to monitor the speed of initial investigation into alleged breaches of planning enforcement to ensure the Council's reputation is upheld and wider confidence in the planning system is maintained and enhanced.
  - **Management Plans outlined for MVDC owned countryside sites.** This is linked to the annual objective to deliver a programme of works to ensure its Parks and Open spaces are managed with biodiversity in mind.
  - **Percentage of eligible cases responded to within 2 working days by the Joint Enforcement Team.** During 2019-20 MVDC will be evolving and embedding its new Joint Enforcement Team and this indicator will be important in monitoring progress of this.
- 1.10 Following consultation with Scrutiny Committee, it was agreed that Appendix B would be updated to include a column with the current PI targets (2018/19) as a comparison.

## STRATEGIC RISK

- 1.11 The Strategic Risk Register is owned by the Chief Executive and is actively managed by the Strategic Leadership Team to minimise the likelihood of the risk occurring and, should it occur, the impact that this may have on the organisations ability to deliver the Council Strategy. The Strategic Leadership Team has a responsibility to undertake a review of the Strategic Risks on an annual basis. This review took place in December 2018 and the draft Council Strategy 2019-24 was taken into consideration as part of the review.
- 1.12 There are eight strategic risks in the Strategic Risk Register. The current analysis of residual risk is summarised in the table below. The Strategic Risk Register is attached as Appendix C.

IMPACT	Catastrophic 5						C1d Loss of rental income from key properties
	Major 4		C3, C4b	C5			C3 Health and Safety
	Moderate 3			C1d, C4c C7, C8			C4b IT – hacking C4c IT – resilience
	Minor 2				C4d		C4d Document Management System
	Insignificant 1						C5 Data Protection/Information Governance
		Remote 1	Possible 2	Likely 3	Probable 4	Highly Probable 5	C7 Organisational capacity to deliver C8 Safeguarding
		<b>PROBABILITY</b>					

### MANAGING PROGRESS

- 1.13 Progress against the Annual Plan and Performance Indicators will be monitored by Cabinet as part of the regular Business and Budget Monitoring reports. These reports will also provide Cabinet with a summary of the Strategic Risk Register.
- 1.14 An Annual Report on full year progress for 2019-20 will be submitted as part of the 'Outturn report' to Cabinet. This is scheduled for presentation to the Cabinet meeting in June 2020.

### Financial Implications

- 1.15 The Council agreed the MVDC budget for 2019/20. Everything covered in this report is in line with the approved budget. There are, therefore, no additional financial implications arising from this report.

### Legal Implications

- 1.16 There are no legal implications arising from this report.

## 2.0 Options

- 2.1 The Cabinet has two options for consideration:-

**Option 1:** that the Cabinet approves the 2019-20 Annual Plan and Performance Indicators, and notes the Strategic Risk Register

**Option 2:** that the Cabinet requests for further work to be undertaken

- 2.2 The risks and opportunities associated with each option are set out in the Risk Implications section below.

## **3.0 Corporate Implications**

### **Monitoring Officer commentary**

- 3.1 The Monitoring Officer confirms that all relevant legal implications have been taken into account.

### **S151 Officer commentary**

- 3.2 The S151 Officer confirms that all financial implications have been taken into account in this report.

### **Risk Implications**

#### **Option 1**

- 3.3 The Annual Plan, Performance Indicators, and Strategic Risk Register have been developed with reference to the Council Strategy 2019-2024 and the budget setting process. Approval of Option 1 would ensure continued alignment of the key elements of both business and budget planning and the monitoring of these.
- 3.4 The delivery of the annual objectives and performance indicator targets is dependent on the necessary resources being available. Therefore, there is a risk that, should those resources not be available, MVDC may not meet its targets and/or deliver its objectives for 2019-20. Organisational capacity to deliver has been identified as a strategic risk and actions are in place to mitigate.

#### **Option 2**

- 3.5 These three documents form a fundamental part of MVDC Business and Budget Planning arrangements 2019-20. Should Cabinet choose Option 2 the risk that the Council would not have an effective framework in place to monitor its progress in delivering against its vision and priorities.

### **Equalities Implications**

- 3.6 An equalities impact assessment was undertaken for the Council Strategy 2019-20 which was approved at Council in February. Once work is underway on specific areas of work in the Annual Plan, additional Equality Impact Assessments will be completed where relevant.

### **Employment Issues**

- 3.7 There are no employment issues as a direct consequence of this report.

### **Sustainability Issues**

- 3.8 There is an objective in the Annual Plan to 'Implement measures to reduce single use plastics; promote the Refill Scheme; and, introduce water bottle refill stations in Leatherhead and Dorking, including working with Surrey Waste Partnership.' In addition, there is an objective to 'Develop and deliver an Electric Vehicle Charging

strategy which supports the ambitions of SCC and MVDC'. The successful delivery of these projects would have a positive impact on sustainability.

### **Consultation**

- 3.9 This report went to Scrutiny Committee prior to presentation to Cabinet in March 2019.

### **Communications**

- 3.10 A Press Release has been prepared for this report.
- 3.11 The Annual Plan, Performance Indicators, and Strategic Risk Register will be published in the 2019/20 Budget Book which will be available on the MVDC website following this report going to Cabinet in March 2019.

### **Background Papers**

- 3.12 None.

## ANNUAL PLAN 2019/20

Ref	5-year Council Strategy Priorities	Annual Plan Objectives 2019/20	Cabinet Member for:	Executive Head of Service for:	Business Unit with lead delivery responsibility:
ENV1	Protect and enhance the natural and built environment, ensuring our areas of natural beauty and wildlife are well looked-after	Deliver a programme of works to ensure our Parks and Open spaces are managed with biodiversity in mind: and, complete a programme of work identifying and assessing 'high risk' trees	Wellbeing	Community	Parks
ENV2	Promote sustainable development that takes into account social, economic and environmental factors, including protection of the Green Belt	Consult on the draft Local Plan which sets out the Council's planning policies for the use and development of land in Mole Valley	Planning Policy	Place & Environment	Planning Policy
ENV3	Encourage the creation of Affordable Housing to meet local needs and explore innovative methods of delivery	Develop a new planning policy for inclusion in the new Mole Valley Local Plan requiring the provision of Affordable Housing in new residential developments	Planning Policy	Place & Environment	Planning Policy
		Publish a new Affordable Housing Strategy	Planning Services & Housing	Community	Housing
ENV4	Encourage and support residents and businesses to reduce the amount of waste that is produced and facilitate the recycling and reuse of materials	Implement measures to reduce single use plastics; promote the Refill Scheme; and, introduce water bottle refill stations in Leatherhead and Dorking, including working with Surrey Waste Partnership	Environment	Place & Environment	Environmental Services
		Work with Joint Waste Solutions to promote waste recycling and reuse	Environment	Place & Environment	Waste
		Develop an Electric Vehicle Charging strategy which supports the ambitions of SCC and MVDC	Wellbeing	People & Transformation	Strategy and Corporate Support
		Develop a strategy for MVDC Depot provision	Strategy & Assets	Resources	Property
ENV5	Work with other agencies to lessen the impact of environmental pollution, paying particular attention to air quality and flooding	Support the Environment Agency in its engagement activities with members and residents in relation to flooding in Leatherhead and Fetcham	Prosperity	Prosperity	Investment and Regeneration
PRO1	Work towards making Mole Valley a prime business location with improved infrastructure to attract and retain creative, entrepreneurial and innovative talent	Provide support to start up, small and medium sized enterprises (SMEs); and maximise the occupancy of commercial, industrial, and retail properties in the District	Prosperity	Prosperity	Economic Development
		Deliver phase two of the parking refurbishment programme and plan for future phases; and conduct research and analysis of parking in Mole Valley	Wellbeing	People & Transformation	Strategy and Corporate Support
PRO2	Continue to drive the transformation of Leatherhead Town Centre and promote the character, culture and economy of Dorking	Develop a Town Markets Strategy and implementation plan for Dorking to help provide business opportunities and create a new experience for shoppers	Prosperity	Prosperity	Economic Development
		Continue implementation of Transform Leatherhead Masterplan including engaging a delivery partner for Claire House and James House; commencing the securing of a delivery partner to undertake the redevelopment of the Swan Centre; commissioning feasibility studies arising from the options identified from the Transport Modelling; commence masterplanning of Bull Hill; commence masterplanning of the Riverside Park and associated consultations; progress options for sustainable transport, and; work with other stakeholders to maximise the impacts and benefits	Prosperity	Prosperity	Investment and Regeneration
		Support the development of plans for Pippbrook House	Strategy & Assets	Resources	Property
PRO3	Work with rural communities and businesses to enhance their strengths and address their challenges, helping them thrive and become more sustainable	Develop the next phase of the Rural Community Strategy taking into account the outputs from the Rural Summit	People & Rural Mole Valley	People & Transformation	Strategy and Corporate Support

Ref	5-year Council Strategy Priorities	Annual Plan Objectives 2019/20	Cabinet Member for:	Executive Head of Service for:	Business Unit with lead delivery responsibility:
<b>PRO4</b>	Promote Mole Valley as a place for people to spend their leisure time and support local businesses to maximise opportunities from recreation and tourism	Agree a way forward to support tourism and the visitor economy	People & Rural Mole Valley	People & Transformation	Strategy and Corporate Support
<b>CWB1</b>	Promote opportunities for residents of all ages to live safe, healthy and fulfilling lives	In line with the Wellbeing Strategy, working with partners to develop activities that focus on reducing social isolation and keeping people independent in their own homes for longer.	Wellbeing	Community	Mole Valley Life
		To deliver the objectives highlighted in the review of the Wellbeing Strategy in summer 2017, with specific focus on getting and keeping children, young people and older people more active and tackling mental health and social isolation	Wellbeing	Community	Wellbeing
<b>CWB2</b>	Foster community spirit, encouraging individuals, families and communities to support each other especially in times of particular need	Develop response to the recommendations made from the Listening Project in North Leatherhead	Wellbeing	Community	Wellbeing
		Commission a masterplan and feasibility study for a community hub on the site known as Kingston Road Recreation Ground, informed by engagement with relevant asset owners, stakeholders and residents	Strategy & Assets	Resources	Property
<b>CWB3</b>	Support individuals and families who find themselves unintentionally homeless, seeking to minimise disruption to education and employment	Develop a new Homelessness Strategy for 2020-2025	Planning Services & Housing	Community	Housing
<b>CWB4</b>	Encourage participation in sports, leisure, cultural and educational activities, to promote responsible enjoyment of our parks, open spaces, heritage and countryside	Continue to deliver improvements to play equipment in the District, focusing on the skatepark at Leatherhead Leisure centre and the extension to the skate park at King George V Playing Fields in North Holmwood	Wellbeing	Community	Parks
<b>CWB5</b>	Tackle environmental and community anti-social behaviour by working with partners to deliver education and effective enforcement	Establish and embed the new Mole Valley Joint Enforcement Team	Wellbeing	Community	Community Safety & Enforcement
<b>CWB6</b>	Represent the interests of Mole Valley residents by actively pursuing the effective provision of Health and Social Care services	Engage in the development of the joint Health and Social Care 5-10 year Strategic Plan; and, ensure the Council contributes to the discussions about future plans for the Epsom and St Helier Trust configuration of services	Wellbeing	Community	Wellbeing

	Priority: ENVIRONMENT	2018/19 Target	2019/20 Target
1a	<b>Housing: net number of additional dwellings</b> ( <i>net number of additional dwellings completed within a rolling three-year period</i> )	441	441 <sup>1</sup>
1b	<b>Housing :number of affordable homes</b> ( <i>actual number of affordable homes completed in the year</i> )	50	50 <sup>2</sup>
2	<b>Number of missed bins per 100,000 collections</b> ( <i>cumulative year to date figure calculated from the number of reported missed bins divided by the number of properties visited for scheduled collections of refuse and recycling</i> )	80	80
3	<b>Percentage of waste sent for recycling, reuse and composting</b> ( <i>cumulative year to date figure, calculated by comparing the amount of waste sent for recycling, reuse and composting against the total waste collected</i> )	60.88%	61.5%
4	<b>Residual waste per household</b> ( <i>number of kilograms of residual household waste collected per household</i> )	N/A	Lower than previous year
5	<b>The number of organisations signed up to the Refill scheme</b>	N/A	30

	Priority: PROSPERITY	2018/19 Target	2019/20 Target
6	<b>Percentage of council tax collected</b> ( <i>calculated, as a cumulative year to date figure, from the total council tax payments received compared to the total amount payable in that year</i> )	99.2%	99.2%
7	<b>Percentage of business rates collected</b> ( <i>calculated, as a cumulative year to date figure, from the total business rate payments received compared to the total amount payable in that year</i> )	98.7%	98.8%
8	<b>Overall business rateable value of the district</b> ( <i>total rateable value held on the Local Valuation List for Mole Valley in respect of the business properties situated within the Mole Valley area</i> )	Context indicator	Context indicator
9	<b>Cost of services</b> ( <i>net revenue budget divided by population of Mole Valley</i> )	Same or lower than previous year	Same or lower than previous year
10a	<b>Percentage of major applications processed within 13 weeks</b> ( <i>cumulative figure over assessment period of the number of applications processed within timescales against total received</i> )	63%	63%
10b	<b>Percentage of non-major applications processed within 8 weeks</b> ( <i>cumulative figure over assessment period of the number of applications processed within timescales against total received</i> )	78%	79%
10c	<b>Percentage of major development decisions overturned on appeal</b> ( <i>cumulative figure over</i>	8%	8%

<sup>1</sup> Based on a three-year rolling average

<sup>2</sup> This target will remain the same until the completion of a new planning policy for inclusion in the new Mole Valley Local Plan requiring the provision of affordable housing in new residential developments

	<b>Priority: PROSPERITY</b>	<b>2018/19 Target</b>	<b>2019/20 Target</b>
	<i>assessment period of applications that are subsequently overturned on appeal against total received)</i>		
10d	<b>Percentage of non-major development decisions overturned on appeal</b> (cumulative figure over assessment period of applications that are subsequently overturned on appeal against total received)	8%	8%
11	<b>Percentage of planning enforcement investigations commenced within timeframe</b> (cumulative year to date figure of the number of planning enforcement investigations commenced within a specified timeframe that accords with the Council's adopted Enforcement Plan Priorities)	N/A	70%

	<b>Priority: COMMUNITY WELLBEING</b>	<b>2018/19 Target</b>	<b>2019/20 Target</b>
12	<b>Percentage of Telecare calls answered within 60 seconds</b> (this is the most recent month figure, generated from Telecare's call handling system, which automatically records all answering times)	97.5%	97.5%
13a	<b>Number of households in temporary Bed &amp; Breakfast accommodation</b> (actual number of all households in temporary Bed & Breakfast at the end of the month)	Context indicator	Context indicator
13b	<b>Number of families with children in temporary Bed &amp; Breakfast accommodation for longer than six weeks</b> (actual number of households with children and/or expecting a child in temporary Bed & Breakfast for longer than six weeks at the end of the month)	0	0
13c	<b>Number of 16 or 17 year olds in temporary Bed &amp; Breakfast accommodation for longer than six weeks</b> (actual number of 16 or 17 year olds in temporary Bed & Breakfast for longer than six weeks at the end of the month)	0	0
14	<b>Number of homelessness preventions and relief</b> (cumulative year to date figure of the number of households prevented or relieved from becoming homeless, through advice offered by the housing team)	Context indicator	Context indicator
15	<b>Percentage of food businesses with a 'Scores on the door' of 3 or over</b> (this is an 'as is now' figure at the end of the month, which represents the number of business assigned an hygiene rating of 3 or over, by the environmental health team)	93%	93%
16	<b>Number of Management Plans</b> outlined for MVDC owned countryside sites	N/A	7 short-term plans 2 long-term plans
17	<b>Percentage of eligible cases responded to in 2 working days by Joint Enforcement Team</b> (a case is considered to be eligible if it relates to anti-social behaviour that falls within the remit and legislative powers of the JET)	N/A	75%

	<b>CUSTOMER SATISFACTION</b>	<b>2018/19 Target</b>	<b>2019/20 Target</b>
18	<b>Community Transport customer satisfaction</b> <i>(annual customer survey result)</i>	95%	95%
19	<b>Fairfield Centre customer satisfaction</b> <i>(annual customer survey result)</i>	85%	90%
20	<b>Telecare Service – customer satisfaction score following use of alarm service</b> <i>(this is the most recent month figure, calculated from surveys with customers)</i>	98.5%	98.5%



## 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					
	Major 4		C3, C4b	C5		
	Moderate 3			C1d, C4c C7, C8		
	Minor 2				C4d	
	Insignificant 1					
		Remote 1	Possible 2	Likely 3	Probable 4	Highly Probable 5
<b>PROBABILITY</b>						

C1d Loss of rental income from key properties

C3 Health and Safety

C4b IT – hacking

C4c IT – resilience

C4d Document Management System

C5 Data Protection/Information

Governance

C7 Organisational capacity to deliver

C8 Safeguarding

## 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 <sup>1</sup>
		Probability	Impact					Probability	Impact		
C1d	<p><b>Loss of rental income from key properties</b></p> <p>Rents from the property portfolio is a key source of income. The changing retail market is affecting demand and rental levels are falling.</p>	4	4	16	<p>- Proactive, rational and flexible approach to rents negotiations.</p> <p>- Good understanding of the retail market locally and nationally.</p> <p>- Positive relationship with tenants and Swan Centre Managing Agents.</p> <p>- Monitoring of tenant covenant strength in relation to AIS properties</p>	Cabinet Member (Strategy & Assets)	EHoS Resources	3	3	9	N/A (new risk Dec 18)
C3	<p><b>Corporate Health and Safety</b></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 preventable accidents to staff, contractors, public or others affected by our undertakings. . This is of particular importance due to the nature of some of the services we provide to the public and vulnerable people.</p> <p>This risk is informed by a number of factors, including:</p> <ul style="list-style-type: none"> <li>• Compliance with Health and Safety at Work Act</li> <li>• Civil Duty</li> <li>• Moral and Public Duty</li> </ul>	5	5	25	<p>- Corporate Health and Safety Policy, arrangements and procedures in place</p> <p>- Regular reviews of health and safety arrangements by Health and Safety consultant</p> <p>- Health and Safety action plan in place</p> <p>- Employee induction includes focus on Health and Safety and all employees provided with Health and Safety Guidance</p> <p>- Health and Safety risk assessments in place for all service areas</p> <p>- Lone working procedure in place</p> <p>- Fire risk assessments in place for relevant Council properties</p> <p>- Arrangements with partner organisations/contractors to ensure appropriate Health and Safety requirements are in place</p>	Cabinet Member (Finance, Performance and Risk)	EHoS (People and Transformation)	2	4	8	↔

<sup>1</sup> Within previous 6 months.

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 <sup>1</sup>
		Probability	Impact					Probability	Impact		
C4 b	<p><b>IT systems</b></p> <p><b>b) Risk of hacking</b> All IT systems contain vulnerabilities. Once exposed there is a danger period where systems are particularly vulnerable to attack.</p>	5	5	25	<ul style="list-style-type: none"> <li>-IT Security Policy in place and updated regularly</li> <li>- Regular communication and awareness in place for all staff</li> <li>-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</li> <li>- 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</li> <li>- Regular patching cycle of service infrastructure</li> <li>- Risk assessment on basis of industry knowledge and government information provided by the National Cyber Security Centre.</li> <li>- Action plan in place in response to LGA/NCSC audit</li> </ul>	Cabinet Member (Strategy & Assets)	EHoS Resources	2	4	8	↔
C4c	<p><b>IT Systems</b></p> <p><b>c) Operational Resilience</b></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>	4	4	16	<ul style="list-style-type: none"> <li>- IT Strategy in place and updated regularly</li> <li>- Automated centralised back-up of data and systems is in place should a systems or data recovery be needed</li> <li>- Improved on-site arrangements for physical environment (e.g. air con)</li> <li>- Corporate ICT priorities set out in Organisational Business Continuity Plan</li> <li>- Alternative working arrangements in place for staff</li> </ul>	Cabinet Member (Strategy & Assets)	EHoS Resources	3	3	9	↔

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 <sup>1</sup>
		Probability	Impact					Probability	Impact		
	<ul style="list-style-type: none"> <li>Majority of MVDC staff based at Pippbrook</li> <li>IT systems hosted at Pippbrook</li> <li>Increased agile working</li> </ul>				- Capital Investment agreed to invest in Disaster Recovery arrangements to ensure MVDC has robust arrangements in place to ensure that in the event of a major incident – ICT service provision can continue.						
C4d	<p><b>Document Management System</b></p> <p>The current Document Management and Customer Relationship Management system is provided by a small supplier who has stated that the system will become unsupported at an unspecified date in the short to medium term.</p> <p>The Firmstep CRM system provides the solution to Customer Relationship Management for all service areas and provides the DMS solution for most of them. However, it will not provide a DMS solution for the Benefits, Revenues and Planning teams and an alternative solution is required. If we fail to have a DMS in place for Benefits, Revenues and Planning it could lead to reduced levels of customer service in these areas and the inability to access certain information and documents.</p>	Probability 4	Impact 3	12	<p>-Engagement with affected teams. At a service level, initial appraisals of options have been undertaken</p> <p>-Planned workstream for 2019 to undertake a detailed options appraisal to identify the best solution and to develop a project plan to deliver the change</p> <p>-Regular engagement with system supplier</p>	Cabinet Member (People and Rural Mole Valley) and Cabinet Member (Strategy and Assets)	EHoS (People & Transformation) and EHoS (Resources)	Probability 4	Impact 2	8	N/A (new risk Dec 18)
C5	<p><b>Data Protection/Information Governance</b></p> <p>MVDC needs to make sure that personal data is secure and that an individual's right to privacy is protected.</p>	Probability 5	Impact 5	25	<p>- Data Protection Policy approved by Council and updated periodically</p> <p>- Data protection training and updates for new and existing</p>	Cabinet Member (Finance, Performance and Risk)	EHoS Prosperity	Probability 3	Impact 4	12	↑

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 <sup>1</sup>
		Probability	Impact					Probability	Impact		
	<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"> <li>Potential breaches in confidentiality enabling access to confidential data</li> <li>Loss of data</li> </ul>				<p>staff</p> <ul style="list-style-type: none"> <li>Member Training on responsibilities under appropriate Code of Conduct for new and existing Members</li> <li>Certification obtained on disposal of confidential information</li> <li>Information Asset Register in place</li> <li>Records Retention Policy in place and implemented</li> <li>Data sharing protocols in place and implemented</li> <li>Data protection considerations identified for all new projects and processes</li> <li>Software systems fully GDPR compliant</li> <li>Compliant use of email by staff/Members</li> <li>Statutory requirement for Data Protection Officer</li> <li>Completion of high risk contract variations</li> </ul>						
C7	<p><b>Organisational capacity to deliver</b></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</p>	<p><b>Probability</b></p> <p>4</p>	<p><b>Impact</b></p> <p>4</p>	<p>16</p>	<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"> <li>Enhancing our employer brand and ensuring this is underpinned by working practices that position MVDC as an employer of choice enabling us to attract</li> </ul>	<p>SLT</p> <p>(Head of Paid service has delegated responsibility in the constitution for staffing matters)</p>	<p>Chief Executive</p>	<p><b>Probability</b></p> <p>3</p>	<p><b>Impact</b></p> <p>3</p>	<p>9</p>	<p>↔</p>

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		Probability	Impact					Probability	Impact		
	<p>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"> <li>• Ability to recruit and retain talented staff</li> <li>• Effective prioritisation of key workstreams</li> <li>• Ability to respond to additional priorities</li> <li>• Managing public expectations of service delivery</li> </ul>				<p>and retain high quality employees</p> <ul style="list-style-type: none"> <li>- Efficient and effective recruitment and retention processes with targeted HR support and advice provided to hiring managers</li> <li>- Performance and Development Review process linked to assessment of risk areas within teams</li> <li>- Business and budget planning process aligned with the capacity of the organisation</li> <li>- Succession planning and talent management informed by a robust evidence base</li> <li>- Maximising our usage of the Apprenticeship scheme to increase development opportunities particularly in hard to recruit areas.</li> <li>- Two way communication arrangements in place to enable positive engagement across the organisation</li> </ul>						
C8	<p><b>Safeguarding</b></p> <p>MVDC needs to ensure that all employees are aware of the organisation's responsibilities in relation to safeguarding children and vulnerable adults.</p> <p>This means being able to identify signs of concern and knowing when to share information and to report those.</p> <p>MVDC also needs to ensure that there is an appropriate response in place in the event of a Domestic Homicide</p>	<p><b>Probability</b></p> <p><b>3</b></p>	<p><b>Impact</b></p> <p><b>4</b></p>	<p><b>12</b></p>	<p>-Policies and procedures for safeguarding in place and reviewed as appropriate.</p> <p>-Procedures in place for Mole Valley Life services including Telecare</p> <p>-All employees undertake foundation level awareness training for safeguarding and new employees undertake this as part of their induction.</p> <p>-Safeguarding forms part of the Terms of Reference of the Corporate Governance Board.</p>	<p>Cabinet Member for Wellbeing</p>	<p>EHoS (Community)</p>	<p><b>Probability</b></p> <p><b>3</b></p>	<p><b>Impact</b></p> <p><b>3</b></p>	<p><b>9</b></p>	<p>N/A (New risk Dec 18)</p>

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	<p>review or involvement in a serious case review.</p> <p>Failure to fulfil our responsibilities in relation to safeguarding could lead to significant harm or death of a child or vulnerable adult and the potential ensuing legal action and reputational damage for the authority.</p>				<p>-Bi-annual undertaking of S11 audit from Children's Safeguarding Board</p> <p>-Representation on the Surrey Adult Safeguarding Board and local Children's Safeguarding groups</p> <p>-Involvement in Surrey Lead Member and Lead Officer group chaired by SCC Cabinet lead Member</p> <p>-Chair authority for Safeguarding Lead officers Group</p> <p>-Involvement in Adult Safeguarding Board Quality Assurance activity.</p>						

EHoS = Executive Head of Service

Additions / deletions in last 12 months:

Deleted: C1b – Funding streams. February 2018

C1c – Asset Investment Strategy. December 2018

Added : C7 - Organisational capacity to deliver. February 2018

C1d – Loss of rental income from key properties. December 2018

C4d – Document Management System. December 2018

C8 – Safeguarding. December 2018