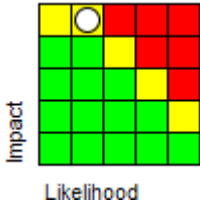

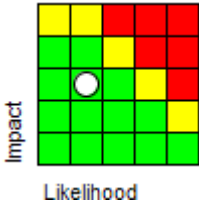

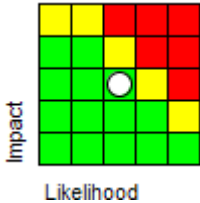

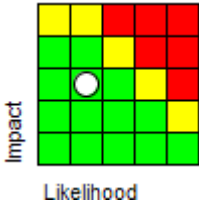




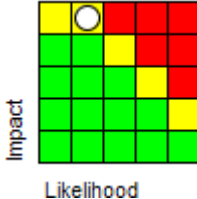

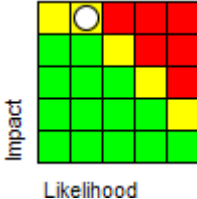



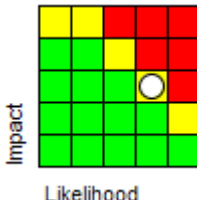

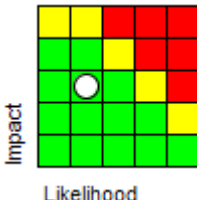

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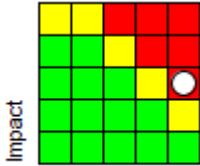

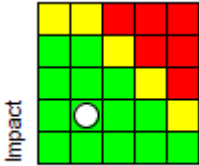
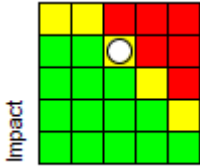

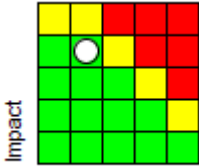


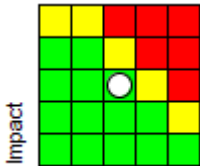

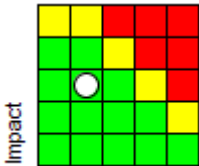



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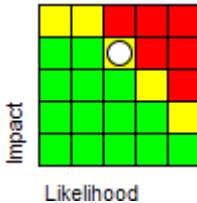

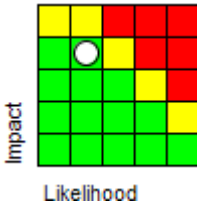

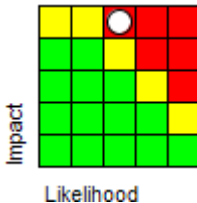

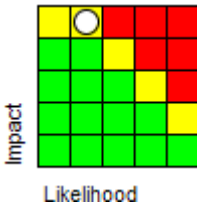




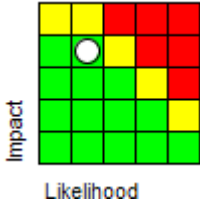

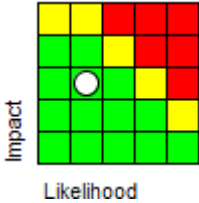

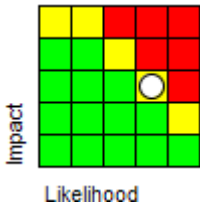

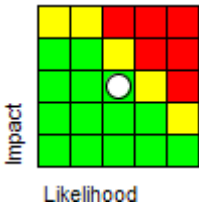

Risk Code & Description	Consequences	Risk Owner	Current Risk Matrix	Control Action	Control Action Owner	Status	Target Risk Matrix	Quarterly Update
<p>CRR01 Financial Source: The Council is reliant on Central Government funding (eg. New Homes Bonus). Event: Grant funding from Government is less generous than assumed in the MTFS.</p>	<ul style="list-style-type: none"> . Reductions in funding . Adverse effect on morale . Financial losses . Failure to achieve agreed objectives 	Tom Crowley	<p>Impact</p> <p>Likelihood</p>	CRR.01.1 Review current budgets in preparation for the 2016/17 budget	Dominic Bradley		<p>Impact</p> <p>Likelihood</p>	<p>March 2016 Update: 2016/17 balanced budget approved at February 2016 Council meeting. MTFS will be revised in the summer of 2016 and will be taken back to Council in the Autumn of 2016 following the outcome of the NHB consultation. December 2015 settlement confirmed continuing NHB, but in much reduced form. Work on income generation, efficiencies and commissioning and transformation under Future Horsham also in progress, feeding into the MTFS.</p>
				CRR.01.2 Develop options to deal with pressure for consideration by Members	Dominic Bradley			
				CRR.01.3 Develop a Medium Term Plan	Dominic Bradley			
<p>CRR02 Managerial / Professional Source: The Council has a legal obligation to protect personal data. The Information Commissioner has the power to levy significant financial penalties up to £500k for data breaches. Some information held by the Council is politically / commercially sensitive, and it is important that such information is not leaked.</p>	<ul style="list-style-type: none"> . People and businesses come to harm and suffer loss that might not otherwise have occurred . Complaints / claims / litigation . Resources consumed in defending claims . Financial losses . Censure by regulators . Adverse publicity . Reputation damage 	Tom Crowley	<p>Impact</p> <p>Likelihood</p>	CRR.02.1 Develop appropriate processes & procedures which underpin the IT Security Policy	Jane Eaton		<p>Impact</p> <p>Likelihood</p>	<p>March 2016 Update: Ongoing information security training will be provided.</p>
				CRR.02.2 Provide a programme of training on Information Security to all staff.	Jane Eaton			
				CRR.02.3 Annual PSN Accreditation	Jane Eaton			

Risk Code & Description	Consequences	Risk Owner	Current Risk Matrix	Control Action	Control Action Owner	Status	Target Risk Matrix	Quarterly Update
Event: Major data breach or leak of sensitive information to a third party.								
CRR03 Legal <u>Source:</u> The Civil Contingencies Act places a legal obligation upon the Council, with partners, to assess the risk of, plan, and exercise for emergencies, as well as undertaking emergency and business continuity management. The Council is also responsible for warning and informing the public in relation to emergencies, and for advising local businesses. <u>Event:</u> The Council is found to have failed to fulfil its obligations under the Act in the event of a civil contingency.	<ul style="list-style-type: none"> . People and businesses come to harm and suffer loss that might not otherwise have occurred . Complaints / claims / litigation . Resources consumed in defending claims . Financial losses . Censure by regulators . Reputation damaged 	Natalie Brahma-Pearl		CRR.03.1 Update corporate business continuity plan and regular review.	Trevor Beadle			<u>March 2016 Update:</u> CRR.03.1: An exercise took place towards the end of 2015, and an improvement action plan is being developed. CRR.03.2: The majority of plans have been completed and managers are required to review annually. Next review Summer 2016.
				CRR.03.2 Update departmental business continuity plans and regular review.	Trevor Beadle			
CRR05 Governance <u>Source:</u> Managers are responsible for ensuring that controls to mitigate risks are consistently applied. <u>Event:</u> Officers are either unaware of expected controls or do not comply with control procedures.	<ul style="list-style-type: none"> . Failure of business objectives . Health & Safety . Financial . Service Delivery . Compliance with Regulations . Personal Privacy Infringement . Reputation damage 	Tom Crowley		CRR.05.1 Officer training	Jane Eaton			<u>March 2016 Update:</u> No change. Risk is considered to be low, but remains on the risk register for monitoring purposes.
				CRR.05.2 Raise the profile of risk and control by incorporating them into the performance management framework (e.g. integrate into appraisal process).	Jane Eaton			
				CRR.05.3 All Service Managers required to sign an Internal Control Statement. (By 30th June Annually).	Jane Eaton			

Risk Code & Description	Consequences	Risk Owner	Current Risk Matrix	Control Action	Control Action Owner	Status	Target Risk Matrix	Quarterly Update
<p>CRR06 Physical <u>Source:</u> The Council is responsible for the health & safety of its clients, staff and other stakeholders, owns and maintains significant assets, and also has responsibility for H&S in some partner organisations where it does not have operational control.</p> <p><u>Event:</u> A health & safety failure occurs.</p>	<ul style="list-style-type: none"> . People come to harm . Complaints/claims/litigation . Financial losses . Censure by audit / inspection . Reputation damage . Adverse effect on morale . Stress and absenteeism 	Tom Crowley		CRR.06.1 Set up a Health & Safety Forum with clear terms of reference (by 30/11/15).	Robert Laban			<p><u>March 2016 Update:</u> CRR06.1 - Completed.</p> <p>CRR06.2 - The Corporate H&S Adviser is continuing a programme of inspections; the introduction of Premises Coordinators (PCs) at all sites has been agreed and 80% of localities have been assigned. A pilot log for PCs has been developed and is being tested – roll-out and training of PCs to start in April 2016.</p> <p>06.3 – Underway and on-going: H&S responsibilities have been set out, generically, in the newly revised Corporate H&S Policy; more specific responsibilities are being set out as each existing H&S subject policy is reviewed and as an additional suite of H&S subject policies is introduced.</p> <p>06.4 – Action is not yet due. The Corporate Health & Safety Adviser is working with Census to implement an electronic solution.</p>
				CRR.06.2 Develop and implement a corporate inspection strategy (By 30/11/15).	Robert Laban / Health & Safety Officer			
				CRR.06.3 Clarity of responsibilities and implementation of a training programme	Robert Laban			
				CRR.06.4 Implement a central repository for risk assessments (by 30/06/16).	Robert Laban / Health & Safety Officer			
<p>CRR07 Managerial / Professional <u>Source:</u> There is a lack of corporate consistency in terms of the way in which contracts are managed, and contract management is inadequate in some areas.</p> <p><u>Event:</u> Failure of contract / poor service delivery / failure to achieve value for money.</p>	<ul style="list-style-type: none"> . Failure of business objectives . Financial . Service delivery . Compliance with regulations . Personal Privacy Infringement . Reputation damage 	Tom Crowley		CRR.07.1 Specific contract management guidelines will be developed. (By 31/01/16).	Mark Pritchard			<p><u>March 2016 Update:</u> The amended Procurement Code has been adopted by Full Council. A Contract Management training programme has been developed, and officer training is nearing completion.</p>
				CRR.07.2 A contract management training programme will be designed and implemented. (By 31/01/16).	Mark Pritchard			

Risk Code & Description	Consequences	Risk Owner	Current Risk Matrix	Control Action	Control Action Owner	Status	Target Risk Matrix	Quarterly Update
<p>CRR08 Governance Source: The Councils decision-making processes are based on a Constitution that is overly bureaucratic and unnecessarily complicated</p> <p>Event: Non-compliance with the Constitution and delays in decision-making</p>	<ul style="list-style-type: none"> . Opportunities lost . Complaints / claims / litigation . Financial losses . Lack of openness and transparency 	Paul Cummins		CRR.08.1 The Council's Constitution will be updated using the 2011 template. (By March 2016).	Paul Cummins			<p>March 2016 Update:</p> <p>Members are currently undertaking a review of the Council's Governance arrangements. A recommendation will go to full Council in April. Implementation of an updated Constitution will follow on with the conclusion of the Governance Review.</p>
<p>CRR09 Governance Source: The Council's decision-making relies upon the taking of professional advice from officers or external consultants</p> <p>Event: Advice is not taken.</p>	<ul style="list-style-type: none"> . Poor/ultra vires decisions . Complaints/claims/litigation . Financial losses . Reputation damage 	Tom Crowley		CRR.09.1 Member training (ongoing)	Paul Cummins			<p>March 2016 Update:</p> <p>Member training in ethical governance, media/communications and equality/diversity has been arranged for early 2016. Regular briefings on planning matters are ongoing. Manager training takes place in briefings at Managers Forum and Managers Conference.</p>
				CRR.09.2 Officer training (ongoing)	Paul Cummins			
				CRR.09.3 Member briefings to improve communications	Paul Cummins			
<p>CRR12 Partnership / Supplier / Contractual Source: The Council is subject to EU procurement rules and regulations, is putting more services out to tender, and contractors are increasingly challenging contract awards.</p> <p>Event: A contractor successfully challenges an award (eg on inflexible price:quality ratios).</p>	<ul style="list-style-type: none"> . Financial losses . Censure by audit / inspection . Reputation damage . Adverse effect on morale 	Tom Crowley		CRR.12.1 Staff training	Mark Pritchard / Roger Dennis			<p>March 2016 Update:</p> <p>The amended Procurement Code has been adopted by Full Council. A Contract Management training programme has been developed, and officer training is nearing completion.</p>
				CRR.12.2 Up-to-date procedures	Mark Pritchard / Roger Dennis			
				CRR.12.3 Reference to Procurement Team for advice	Mark Pritchard / Roger Dennis			
				CRR.12.4 Proactive monitoring by the Procurement Team	Mark Pritchard / Roger Dennis			

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CRR13 Governance Source: Decisions are not always based on data. Event: Wrong decision made.	. Missed opportunities . Poor decisions . Poor VFM . Increased costs / financial losses	Tom Crowley		CRR.13.1 Robust evaluation of business cases to inform decisions (ongoing)	SLT			March 2016 Update: The Senior Leadership Team will continue to review the quality of business cases.
				CRR.13.2 Ensure that decisions are properly documented (Ongoing)	SLT			
CRR14 Customer/Citizen Source: The negotiation of Section 106 and CIL (Community Infrastructure Levy) are essential for ensuring outcomes for residents. Event: Failure to negotiate the optimum outcome.	Reduced funding to deliver outcomes for the community	Chris Lyons		CRR.14.1 Ensure that leisure priorities are understood within the CIL schedule process and keep under review	Trevor Beadle			March 2016 Update: Member briefings took place on 10th December 2015 and 27th January 2016 The CIL Monitoring Officer was appointed in January 2016 who will arrange training for Leisure Officers on how CIL will work. Initial discussions have taken place. Leisure officers informed the preparation of the CIL Draft Charging Schedule and the revised Infrastructure Delivery Plan which was agreed by Council on 24 February for publication for consultation between 11th March and 22nd April. It will be subject to examination during the summer and is anticipated to be adopted in October 2016. A further Member seminar was offered at Council to be held during the consultation period.
				CRR.14.2 Identify the impact of funding erosion with competing partners e.g. WSCC	Barbara Childs			
				CRR.14.3 Update the Planning Obligations SPD (Supplementary Planning Document) and CIL charging schedule.	Barbara Childs			

Risk Code & Description	Consequences	Risk Owner	Current Risk Matrix	Control Action	Control Action Owner	Status	Target Risk Matrix	Quarterly Update
<p>CRR16 <u>Source:</u> The Council has a statutory responsibility to employ the services of a suitably qualified and experienced Section 151 Officer to oversee the Council's financial affairs. In addition, the Section 151 Officer, in her capacity as Director of Corporate Resources, has responsibility for other important areas of the Council (namely, CenSus ICT, Legal & Democratic Services, HR & OD, Risk Management & Audit, Business Services, and Commissioning & Performance.</p> <p><u>Event:</u> The recent departure of the Council's Section 151 and the delay in the commencement date of the new Section 151 Officer could expose the Council to risk in terms of decision-making.</p>	<p>Failure of business objectives Health & Safety Financial Service delivery Compliance with regulations Personal privacy infringement Reputation</p>	Tom Crowley		<p>CRR.16.01 The Section 151 Officer at MSDC has been appointed as Interim Section 151 Officer to provide appropriate advice as required.</p>	Dominic Bradley			<p><u>March 2016 Update:</u> This risk has been added at the request of Members of the Accounts, Audit & Governance Committee. The new Director of Corporate Resources is due to commence employment on 29th March 2016.</p>
				<p>CRR.16.02 The Chief Executive will assume management responsibility for the Director of Corporate Resources' (DOCR) direct reports until the new DOCR commences employment.</p>	Tom Crowley			
<p>CRR17 <u>Source:</u> The External Auditors audit the HDC Benefits Grant Subsidy return to the Department for Work and Pensions (DWP) on an annual basis to identify errors. Targeted sample testing is undertaken to ensure that housing benefit claims have been correctly administered, and extended sample testing is carried out should</p>	<p>Financial Service Delivery Compliance with regulations Reputation</p>	Tom Crowley		<p>CRR.17.1 Increase / improve the level of quality control checking.</p>	Tim Delany			<p><u>March 2016 Update:</u> This risk has been added at the request of Members of the Accounts, Audit & Governance Committee. Kathryn Hall (Chief Executive for MSDC) has been invited to attend a meeting of the Finance and Performance Working Group on 22nd March 2016 to provide an update on progress in terms of the control actions.</p>
				<p>CRR.17.2 Continued implementation of the Census Quality Plan which came out of the 2013/14 audit.</p>	Tim Delany			

Risk Code & Description	Consequences	Risk Owner	Current Risk Matrix	Control Action	Control Action Owner	Status	Target Risk Matrix	Quarterly Update
<p>errors be identified. The amount of the error is then extrapolated across the entire population (for that particular cell) to produce an estimate of the total error amount. Where errors are identified, the Subsidy Claim may be qualified, and financial penalties may occur. It is important to note that the Administration of Housing Benefit is undertaken by the CenSus Partnership and Benefits staff are employed by Mid-Sussex.</p> <p><u>Event:</u> Errors may be made which are not identified by quality control checking. This may result in the Benefit Subsidy claim being qualified and/or financial losses.</p>								