

# Corporate Risk Report Q1 – Appendix 1

23rd September 2021

\*Please note risks are sorted in 'Overall Risk Rating' descending order\*

# Risk Assessment Scale



Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R7	Failure to maintain a 5 year supply of Housing Land	5	5	25	Risk Rating Unchanged	Q1 - Risk is realised. LDP Review progressing to allocate land for housing to boost the 5YHLS. Call for sites completed and assessment ongoing. LDP Review progressing to Issues and Options.
R15	Failure to plan and deliver balanced budgets over the medium term	4	5	20	Risk Rating Unchanged	Q1 - The 20/21 outturn showed an increased provisional general fund balance of £5.8m at year end. As such the probability of the balance falling below the £2.6m minimum level by 23/24 is much lower. However, challenges remain around setting a budget that does not continue to use reserves and key contracts are due for review in 2024, which pose a significant financial risk.
R8	Failure to meet the affordable housing need	4	5	20	Risk Rating Unchanged	Q1 - A Commuted Sums Strategy has been drafted and it is envisaged that this will be presented to the S&R in September. Alongside this MDC is progressing a number of options for assisting the delivery of additional affordable housing within the District.
R10	Failure to develop jobs to support the growing population	4	4	16	Risk Rating Unchanged	Q1 – While restrictions are lifting and enabling businesses to open up, Covid-19 still remains the dominant force on the economic landscape and the full impact and implications of the pandemic and related restrictions continue to be unknown. The Covid-19 Economic Recovery and Transformation Plan has been created and actions are being progressed.
R25	Failure to deliver finances associated to transformation programme.	4	4	16	Risk Rating Unchanged	Q1 - The shortfall in commercial income remains challenging and the MTFS is being updated to reflect realistic proposals in the current economic position.
R29	Failure to deliver services as a result of COVID- 19	4	4	16	Risk Rating Unchanged	Q1 - Services have continued to be delivered. Challenges still exist with some staff having to self-isolate which has an impact upon resources. The Council continues to follow Government guidance and legislation. Changes expected in mid July to the roadmap which will see restrictions eased.

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R5	Failure to deliver the required infrastructure to support development arising from the LDP	4	4	16	Risk Rating Unchanged	Q1 - All strategic housing sites progressing along with delivery of identified/necessary supporting infrastructure (monitored by S106 officer) as detailed in LDP. Recent focus is on delivering SMRR and Maldon Health Hub where known funding issues and access issues are progressed via Transport Coordination Group and Infrastructure Delivery Group in discussion with ECC H&T and NHS/CCG. Levelling up Funding applied for (June 2021) to fund design and planning app costs for SMRR. Business case progressing with the NHS for the Maldon Health Hub and Southminster Health Centre; at this time neither have been signed off. Options being explored to seek to assist the NHS in the delivery of the Maldon Health Hub and via Mid & South Essex HCP Strategic Estates Group.
R1	Failure to safeguard children and vulnerable adults	3	5	15	Risk Rating Unchanged	Q1 - The new Safeguarding Case management system continues to work well. Training in its use was delivered by the Resources Casework Manager to DSROs. Partnership meetings continue to progress but attendance did dip. This has been brought up at the most recent Safeguarding meeting.
R9	Failure to have a coordinated approach to supporting inward investment and maximising business rate growth	3	5	15	Risk Rating Unchanged	Q1 - The Maldon District Investment Prospectus will be created to provide coordination and support inward investment and business growth. This work will also align with any future activity from ECC and the Council's review of the LDP. As the full impact of Covid-19 is not yet known, it is important that this work is appropriately resourced and undertaken expediently.
R3	Failure to target services/influence partners effectively to support identified housing needs of increasing aging population	3	4	12	Risk Rating Unchanged	Q1 - The new SHMA has been completed and is in place to assess our housing development needs against. We have worked with developers to ensure the updated needs of the SHMA are recognised, which has resulted in a better property mix being offered from Bellways.

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R4	Failure to influence Community Safety partners to address the key areas of public concern (including rural crime) and the negative perception of crime	3	4	12	Risk Rating Unchanged	Q1 - Closer working links have been formed between partners relating to work, including anti social behaviour, safeguarding & housing to ensure casework is effectively managed in a coordinated way. The CSP action plan (based upon the Strategic Assessment) is progressing and progress will be reported to the October meeting of the Crime and Disorder Committee
R14	Unable to recruit and retain staff with specific skills sets in specialist areas to meet the demands of the service(i.e.) Planners	3	3	9	Risk Rating Unchanged	Q1 – Officers continue to use specialist recruitment agencies where necessary but increasingly we are experiencing difficulties in recruiting into vacant positions. Benchmarking of salaries is underway along with a review of recruitment materials to ensure they are descriptive enough to attract candidates.
R11	Failure to protect personal or commercially sensitive data	2	4	8	Risk Rating Unchanged	Q1 - Data Protection Training provided to housing team. Looking to review subject access request process. Reviewing possible new AI software to reduce/eliminate human error in email breaches.
R2	Failure to target services and influence partners with the aim of having an effective outcome on the identified (health and wellbeing) needs of the vulnerable population	2	4	8	Risk Rating Unchanged	Q1 - As stated in previous commentary, we have updated the Corporate Plan which makes strong reference to Health and Wellbeing. We are actively working with our partners and Mid Essex Health and Wellbeing Board to progress, learn and recover from the pandemic to ensure we are meeting the needs of the vulnerable population.
R13	Failure to manage impact of organisational change	2	3	6	Risk Rating Unchanged	Q1 - No change, but CLT are undertaking review to ensure the deliverability of the Corporate Plan based on resources and structure
R16	Corporate policies not managed and reviewed	2	2	4	Risk Rating Unchanged	Q1 - No change - Processes in place for regular updates and internal audit to be scheduled to test the processes