

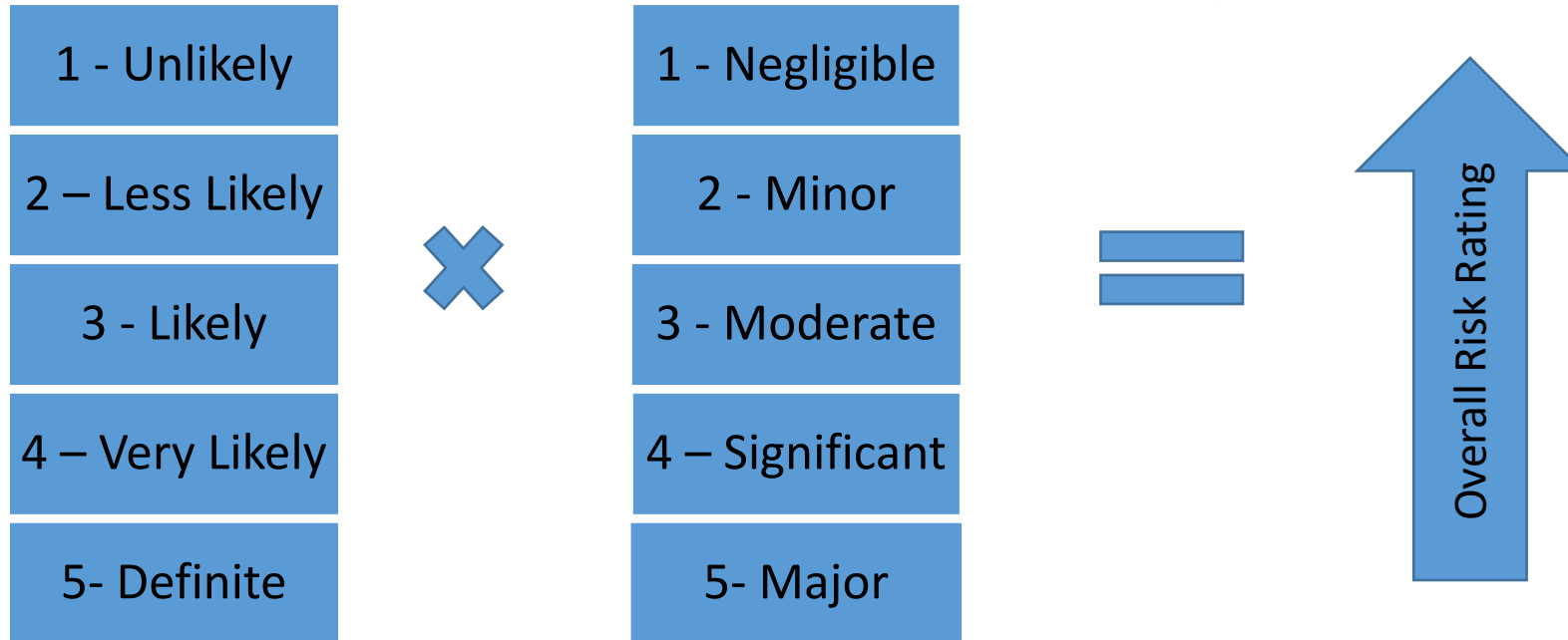
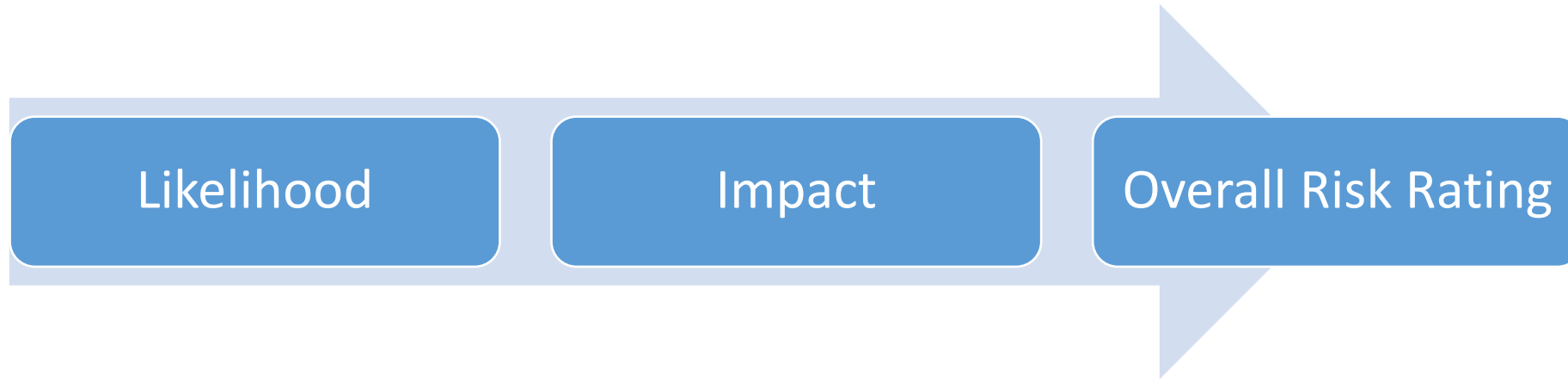
# Corporate Risk Report Q2 – Appendix 1

November 2021

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



# Risk Assessment Scale



**APPENDIX 1**

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supply of Housing Land	5	5	25	Risk Rating Unchanged	Q2 - Housing restraint policies in LDP 2017 can now be considered out of date and the 'tilted balance' in favour of granting planning permission applies in the District. Continued reduction below 3 years would also impact on any housing restraint policies in made Neighbourhood Plans in the District. LDP Review underway to improve land supply by allocating more land and allocating a broader range of sites to help reinforce the land supply better over time, but this will not conclude before 2024. In the meantime, the only thing the Council can do is consider applications for residential development more favourably if they are otherwise acceptable, even if they are contrary to the LDP 2017. The housing market and the pace of construction of unimplemented planning permissions remains outside the council's control but these could also make this risk realisation worse over time.
R15	Failure to plan and deliver balanced budgets over the medium term	4	5	20	Risk Rating Unchanged	Q2 : A number of future uncertainties pose a significant risk to the MTFs; these include inflation rates, large contract renewals, HGV driver shortages, local government financial settlement and the ongoing pandemic. Budget setting for 2022/23 is currently underway.
R8	Failure to meet the affordable housing need	4	5	20	Risk Rating Unchanged	Q2 - A Commuted Sum Strategy has been agreed by S&R Committee. Needs formal agreement from Full Council. This will enable MDC to look to maximise the policy requirement affordable housing contributions. MDC also looking to progress a number of other options and projects to increase the delivery of affordable housing.

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R10	Failure to develop jobs to support the growing population	4	4	16	Risk Rating Unchanged	Q2 - The impact of Covid is reducing but businesses are still experiencing the effects of the pandemic and Brexit, including high numbers of vacancies. Nationally this is significantly reducing unemployment but industries like hospitality are struggling to recruit. With normally very low unemployment, the local picture is less clear. The recruitment of a fixed term Lead Specialist - Prosperity to undertake the (WBF, ARG/NEEB & COMF funded) Covid19 Economic Recovery and Transformation (CERT) Programme will support the medium term Covid recovery while the Development of an Investment Prospects will support longer term growth. The Council's Sense of Place programme is being reviewed to ensure it continues to support existing businesses and improved its 'reach'. Engagement with BRB (which would create a very large number of medium and long term jobs) is currently on hold. If the Council wishes to continue to directly support local businesses and job creation past the 12 month CERT programme it must consider its previous removal of its Economic Development function, support new business through the LDP review and prioritise delivery of its Commercial Strategy.
R25	Failure to deliver finances associated to transformation programme.	4	4	16	Risk Rating Unchanged	Q2 - The MTFS has been updated to reflect current forecasts, and the commercial strategy is being reviewed to set future commercial income targets. Reconciliation exercise has been done on the transformation exercise and built into MTFS. Recommend Closure.
R29	Failure to deliver services as a result of COVID- 19	4	4	16	Risk Rating Unchanged	Q2 - Services continue to be delivered and adapted in light of the easing of restrictions over the summer. General guidance and legislation is being followed. There were service issues associated with the operation of the splash park (staffing shortages) and equipment reliability after prolonged inactivity which were unexpected. Front of house services still remain suspended at this time with appointments being offered to customers requiring face to face meetings. Resources were provided to deal with the additional grant work generated in support of local business to ensure allocated funding could be issued without delay.

Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
R5	Failure to deliver the required infrastructure to support development arising from the LDP 2017	4	4	16	Risk Rating Unchanged	Q2 - Despite annual targets, the LDP remains behind where it should have been in terms of housing delivery; this is affecting other performance measures such as the 5 Year Housing Land Supply, but also is impacting on when S106 monies are due from development, from what was forecast as being due by this time in 2017. S106 continues to be accrued from development sites allocated in the LDP 2017 as required by planning policy. The Council is robustly monitoring its S106 agreements and seeking payments when specific triggers are hit. The Infrastructure Delivery Plan remains under review (as part of the LDP Review) and officers are seeking proactive engagement with infrastructure providers (e.g. ECC and NHS) to ensure projects (Maldon Health Hub/ Southminster Health Centre) that have enough S106 funds accrued can work through to their organisation's capital investment business case procedures to ensure they can be delivered to improve local services or facilities. The outcome of a bid to HM Treasury Levelling-Up fund is awaited which could help progress with the delivery of the South Maldon Relief Road and officers remain in discussions with Homes England and other partners about other funding that could help deliver other infrastructure projects.
R1	Failure to safeguard children and vulnerable adults	3	5	15	Risk Rating Unchanged	Q2 - The new case management system continues to perform well. The Maldon Safeguarding Forum meetings need to be prebooked for the following 6 months. MDC recently completed a SET Safeguarding Sec 11 Audit. This has identified a number of improvements that could be made to Safeguarding withing MDC such as: Improving/defining areas of responsibility Sharpening processes for safeguarding casework Redefining areas of responsibility and the interactions between Safeguarding matters and Corporate policy Updating policies so they are fit for purpose

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R9	Failure to have a coordinated approach to supporting inward investment and maximising business rate growth	3	5	15	Risk Rating Unchanged	Q2 - Work on the Maldon District Investment Prospectus has been delayed owing to operational pressures but will be prioritised in Q3 owing to the recruitment of a Lead Specialist - Prosperity to undertake the (WBF, ARG/NEEB & COMF funded) Covid19 Economic Recovery and Transformation (CERT) Programme. The Prospectus will provide coordination and to support inward investment, align with any future activity from ECC and the Council's review of the LDP. The impact of Covid is reducing but businesses are still experiencing the effects of the pandemic and Brexit, including high numbers of vacancies.
R11	Failure to protect personal or commercially sensitive data	3	4	12	Risk Rating Increased	Q2 - ICO complaints have been made in relation to Councillor breaches. Increased risk of breaches from Councillor's sharing information publicly. Training has been given to Councillors and the majority comply with the requirements.
R3	Failure to target services/influence partners effectively to support identified housing needs of increasing aging population	3	4	12	Risk Rating Unchanged	Q2 - Housing are continuing to use the new SHMA to set requirements for developers that meet our Housing need. Housing are also looking at extending the Housing strategy which will further support actions across the district to improve our affordable Housing supply.
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	Q2- Partnership work continues to address the key areas of public concern including providing community engagement events. A full update will be given to the Overview and Scrutiny Committee acting as the Crime and Disorder Committee at the end of October.

Title	Risk Description	Likelihood	Impact	Overall Risk Rating	Rating direction	Commentary
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	Q2 - Recruitment into specialist roles continues to be monitored. Officers are working to mitigate the risk through a workforce planning process. This work will take time to deliver results and includes the inclusion of senior apprentices as well as robust training plans for all team members. In the meantime a mixture of partnership working, temporary staff and outsourcing is being explored to address immediate skills gaps. Currently Development Management being an area that has 5 vacancies and 1 outsourced to ensure resilience This work is in addition to reviewing recruitment arrangements mentioned in Q1.
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	Q2 - We are actively working with services and partners to deliver the health and wellbeing needs of the vulnerable population. As part of this, we are delivering Maldon District Winter Response to ensure our most vulnerable residents are catered for over the coming months.
R13	Failure to manage impact of organisational change	2	3	6	Risk Rating Unchanged	Q2 - Ongoing change is being managed through the strategic cycle and CLT reviewing allocation of resources to deliver Corporate Plan
R16	Corporate policies not managed and reviewed	2	2	4	Risk Rating Unchanged	Q2 - Policies continue to be reviewed in a timely manner