

Corporate Risk Register - Q3

2021/2022

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

Title	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Commentary
R7	Failure to maintain a 5 year supply of Housing Land	5	5	25	Risk Rating Unchanged.	Q3 - Housing restraint policies in LDP 2017 are now considered out of date by the Council and NPPF and the 'tilted balance' in favour of granting planning permission applies in the District. Risk growing that by Q4 there could be a further reduction below 3 years would also impact on any housing restraint policies in made Neighbourhood Plans in the District; some of which are very recent. The LDP Review is underway, which is a positive step 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.

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Title	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Commentary
R8	Failure to meet the affordable housing need	5	4	20	Risk Rating Unchanged.	Q3 - Commuted Sum Strategy has been adopted by the Council; this provides direction on where we will accept financial contributions to better meet the housing needs of the District and how to spend the money in the future to deliver additional affordable housing. Council is progressing a couple of project to deliver affordable housing above the sites allocated through the LDP. The Council is currently unable to demonstrate a 5YHLS and is likely to have large scale developments, over ten units, delivered outside of the LDP. This will provide additional affordable housing outside of the LDP allocations.
R15	Failure to plan and deliver balanced budgets over the medium term	5	4	20	Risk Rating Unchanged.	Q3- Budget setting for 2022/23 has identified a number of significant pressures, in part due to COVID. It is likely reserves will be needed to balance the budget. Reserves are strong but on a downward trend, which will need to be addressed promptly and before balances fall below the minimum level.

Title	Risk Description	Impact	Likelihood	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.	<p>Q3 - 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 legally due to be paid by developers, from what was forecast as being 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; as well as considering whether further recovery action is necessary when contributions are not paid on time. The Infrastructure Delivery Plan remains under review (as part of the LDP Review) and officers are proactively engaging with infrastructure providers (e.g. ECC and NHS) to ensure projects (such as the 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 Council applied for funding from the Levelling Up fund to HM Treasury in 2021 to support the delivery of the South Maldon Relief Road as there remains a funding shortfall; this was unsuccessful. Officers remain in discussions with Homes England and other partners about other funding opportunities and options that could help deliver this and other infrastructure projects.</p>

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Title	Risk Description	Impact	Likelihood	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	4	4	16	Risk Rating Increased	Q3 - The Council continues to carry several vacancies (including specialists) across services which are proving difficult to fill. Advertisements for roles often result in no applications or from inexperienced persons not suitable for shortlisting. Officers continue to utilise interim resources where possible to cover vacancies, but this is also an area of shortage of supply of available skilled staff. An impact on the casework team is being felt (dealing with more complex issues) and training and development opportunities are reduced due to vacancies and workload.
R29	Failure to deliver services as a result of COVID- 19	4	4	16	Risk Rating Unchanged.	Q3 - Services continue to be provided working within relevant restrictions. Staff sickness (covid related) remains low. Principle contractors (waste & Leisure) continue to operate with minimal impact upon service delivery. Officers continue to monitor performance and manage activities accordingly. The introduction of Plan B Covid restrictions has meant office working remains limited for staff which in turn has had some impact on skills and training for teams. Public meetings continue to be accessible via Web streaming and Officers attend in person or remotely.

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R31	Resources and operating staffing structure is not sufficient for resilience	4	4	16	Risk Rating Unchanged.	Q3- The Council continues to have difficulties in recruiting into specialist roles (see risk R14). The Council continues to carry vacancies across services (not just specialists) which are proving difficult to fill. As a result the existing workforce is coming under increasing pressure in many areas of the Council to provide cover for vacant roles and adapt to changing circumstances and workloads. In addition, we have a high number of staff nearing retirement age and risk losing a significant amount of experience and skills over the next 3 years. Normal sickness and holiday cover is adding to the pressures which in turn has resulted in stress related illness in some staff. Managers continue to support staff through welfare resources available.
R9	Failure to have a coordinated approach to supporting inward investment and maximising business rate growth	5	3	15	Risk Rating Unchanged.	Q3 - Work on the Maldon District Investment Prospectus has progressed well. Despite the delayed start a soft launch is still envisaged for the end of Q4. Engagement with employment sites has been challenging, but the web platform, structure, content and photography are progressing well. We have engaged with ECC who are developing their Sector Development Strategy which will also steer their Inward Investment and Marketing Essex work. Engagement will continue to ensure alignment.

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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	4	3	12	Risk Rating Unchanged.	Q3 - The Council continues to work with partners through the Community Safety Partnership to ensure areas of local and National concern are addressed

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Title	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Commentary
R10	Failure to develop jobs to support the growing population	4	3	12	Risk Rating Decreased	<p>Q3 - Despite new social restrictions owing to Covid, the overall impact is reducing. Pressures still exist from 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. Recent High Street engagement has shown a high level of positivity and confidence, coupled with statistically low unemployment I have reduced the Likelihood of the risk, although this may be short term. Delivery of the Council's Commercial Strategy has been prioritised and it is hoped this will lead to improved outputs. The recruitment of a fixed term Lead Specialist - Prosperity to undertake the CERT Programme is supporting the medium term Covid recovery while the development of an Investment Prospects will support longer term growth. The Sense of Place programme review is concluding with results expected in Q4/1. Engagement with BRB (which would create a very large number of medium and long term jobs) remains 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 continue to prioritise delivery of its Commercial Strategy.</p>

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Title	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Commentary
R11	Failure to protect personal or commercially sensitive data	4	3	12	Risk Rating Unchanged.	Q3 - Due to recent breaches being reported to the ICO following disclosures by Council Members on social media the likelihood of further breaches has been increased.
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	4	2	8	Risk Rating Unchanged.	Q3 - : We are continuing to work with services and partners to deliver the health and wellbeing needs of the vulnerable population. At a Mid-Essex Level, we have continued to engage with Mid Essex Alliance to ensure progress and recovery from the pandemic. Whilst at a local level, we have delivered the Maldon District Winter Response catering for our most vulnerable population. To ensure consistent delivery, we have created a Maldon District Community Response Group which brings together partners to discuss how we can work together to support our most vulnerable residents.
R3	Failure to target services/influence partners effectively to support identified housing needs of increasing aging population	4	2	8	Risk Rating Decreased	Q3 - : The extension request relating to the Housing Strategy is due to be put before members over the coming months. The Strategic Housing Board has been reconvened with meetings for 2022/23 to be set which will help inform/identify MDCs Housing need. The new SHMA is in place and forming the basis for discussions with developers. Some of the delay has arisen because of disruption in Council meetings. However, the impact on risk is minimal.

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R13	Failure to manage impact of organisational change	3	2	6	Risk Rating Unchanged.	Q3 activity includes preparation of service plans, managers preparing for staff objectives reset and linking in key 22/23 strategies such as the climate action strategy. Once budget is approved recommendation to close this risk as additional posts have been identified to support the structure, and in 21/22 the overview and scrutiny item was also completed looking at the lessons learned from Transformation and how we embedded the original objectives including the gaps in the structure which have been addressed in 22/23 budget proposals.
R1	Failure to safeguard children and vulnerable adults	5	1	5	Risk Rating Decreased	Q3 - Audit actions for this area have been addressed and feeds into why risk proposed to come down. Case management system is working well and new licences have been obtained to allow more staff to access if required. There is continuous performance overview from the Safeguarding forum, so system issues are expected to be picked up swiftly. Staff training needs are also picked up within the Safeguarding forum and cases of concern are discussed. Though progress has been made, there are still things to be done to improve contractor management and support. However, this should have minimal bearing on risk and is contained within a separate audit action
R16	Corporate policies not managed and reviewed	2	2	4	Risk Rating Unchanged.	Q3 - : Internal audit of Corporate Policy has been completed in Q3 and gives moderate assurance and action points to improve consistency and this will be implemented within the shared Corporate policy library