

Corporate Risk Register - Q4 2021/2022

APPENDIX 1`

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	<p>Q4 - Housing restraint policies in LDP 2017 are now considered out of date by the Council and NPPF and the 'tilted balance' in favour of granting planning permission applies in the District until it improves above 5 years again. As forecast in Q3, no significant supply has come forward (through planning applications being granted by the Council or on appeal) to replenish the land supply that has had homes completed on. This means that the housing restraint policies in any made Neighbourhood Plans in the District; some of which are very recent are also now considered out of date unless the situation improves in the future. The Council took action in Feb 2021 and started a review of the LDP 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 as reported previously this will not conclude before 2024. In the meantime, the only thing the Council can do is consider applications for residential development more favourably (by applying the tilted balance in the NPPF) if they are otherwise acceptable, even if they are contrary to the spatial strategy and policies of the LDP 2017 (given they are out of date by virtue of having less than the required years' supply of land. 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.</p>

R8	Failure to meet the affordable housing need	5	4	20	Risk Rating Unchanged	Q4 - Although risk not changed, work is progressing including utilising £4.2m in commuted sums to bring forward further affordable housing. Our commuted strategy approach has found to be sound by the planning inspectorate. Progression continues, although admittedly slow, on non-allocated sites.
R15	Failure to plan and deliver balanced budgets over the medium term	5	4	20	Risk Rating Unchanged	Q4 - The Medium Term Financial Strategy set in February 2022 identified the need to use increasing levels of reserves to balance the budget. Sustainability actions are currently underway to improve the position and will be monitored through the working group and Committee. Current high inflationary costs are adding further pressures to the budget.
R5	Failure to deliver the required infrastructure to support development arising from the LDP 2017	4	4	16	Risk Rating Unchanged	Q4 - The Council is not responsible for much of the infrastructure needed to support the delivery of the LDP. Despite annual targets, the LDP housing trajectory remains behind where it was forecast to be in 2017; this is not all in the Council's control, but it does have a knock-on effect on other performance measures such as the 5 Year Housing Land Supply, as well as when S106 monies to be paid, are legally due, when triggers have not been met due to the pace of construction being slower. S106 continues to be accrued from development sites allocated in the LDP 2017 as required by planning policy and legal agreements. The Council is robustly monitoring its S106 agreements on a weekly basis and seeking payments when specific triggers are hit; authorising the transfer of funds to third party providers or internal departments when projects are ready to draw down on their planning contributions, as well as considering whether further recovery action is necessary when

						contributions are not paid on time. This is now reported annually in the Infrastructure Funding Statement which is reported to PGA Committee. The Infrastructure Delivery Plan remains under review (as part of the LDP Review) and officers are proactively engaging with infrastructure providers more frequently (e.g. ECC Highways, Education and NHS) to ensure projects (such as the Maldon Health Hub/ Southminster Health Centre) that have enough S106 funds accrued can work through their organisation's capital investment business case procedures to ensure they can be delivered to improve local services or facilities as quickly as possible. Officers continue to remain alert to possible Government funding and remain in discussions with Homes England and other partners about other funding opportunities and options that could help deliver this and other infrastructure projects.
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 Unchanged	Q4. The situation remains unchanged and Officers continue to look to improve the situation and reduce risks to service delivery where possible. Some success has been made in the area of Planning Enforcement as an example with successful recruitment into long standing vacancies.

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R29	Failure to deliver services as a result of COVID- 19	4	4	16	Risk Rating Unchanged	Q4 - Covid restrictions have been relaxed/removed during this quarter. Working practices are being updated as part of the future ways of working trial underway. Officers are encouraged to adopt a hybrid working approach with a mixture of remote and in person attendance in the workplace. Front of house public services will be re-introduced in April after the closure of the vaccination centre (which has supported the community throughout the pandemic). Covid sickness is still an issue with loss of team members. Our contractors continue to deliver services and mitigate risks but some service disruption has occurred in the waste service due to covid related illness. There has also been some impact on the delivery of strategic objectives of the Council during 21/22. Resources were diverted to deal with emerging covid priorities. The delays will become more apparent during 22/23
R31	Resources and operating staffing structure is not sufficient for resilience	4	4	16	Risk Rating Unchanged	Q4 - The situation remains unchanged and kept under review. At the time of writing (end of March) Officers are reviewing resource allocation and specific service contingency plans are being developed. Members will be updated during Q1 of 22/23. This may also have an impact on strategic delivery

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R9	Failure to have a coordinated approach to supporting inward investment and maximising business rate growth	5	3	15	Risk Rating Unchanged	Q4 - The creation of the Maldon District Investment Prospectus has been delayed owing to pressure on internal ICT resources. Outsourced platform development has been commissioned using Addition Recovery Grant (ARG) funding and we expect to progress with a soft launch in Q2/3 2022/23. Time scales to be confirmed shortly. Engagement with employment sites has improved by working alongside the commissioned photography. Web structure and content progressing well. Delay is disappointing but unlikely to have a substantial impact on overall risk. We have engaged well with ECC's Sector Development Strategy, Inward Investment approach and Marketing Essex work. Engagement will continue to ensure alignment. There is also progress with the Local Development Plan's Employment and Premises Study with consultants working to establish an employment land baseline. Evidence suggests there is very low availability of commercial premises in the district, accordingly risk remains high.
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	Q4 : 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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R10	Failure to develop jobs to support the growing population	4	3	12	Risk Rating Unchanged	Q4 - The overall impact of covid is reducing with all restrictions lifted. Pressures still exist from the effects of the pandemic and Brexit, including high numbers of vacancies and rising costs, including energy. Nationally this is significantly reducing unemployment but industries like hospitality are struggling to recruit. With normally very low unemployment, the local picture is still unclear. Outputs from the Council's Commercial Strategy remain limited but the Covid19 Economy Recovery & Transformation (CERT) Programme has delivered on a very large range of initiatives to support the medium term Covid recovery. Outcomes and feedback from this are being compiled. Although delayed the development of an Investment Prospects will support longer term growth. The Sense of Place programme review has concluded with results presented to the Board and work underway to improve outcomes.
R11	Failure to protect personal or commercially sensitive data	4	3	12	Risk Rating Unchanged	Q4 - There have been a number of minor breaches across a number of departments in recent weeks, none of which have met criteria of having to involve the Information Commissioners office (ICO). However training on breaches - how to prevent them and what action to take if there is one is being prepared to be rolled out to staff in the near future.
R32	Failure to manage the operational impact of the cost of living crisis	3	3	9	New Risk	Q4 - Emerging cost of living increases could represent a risk to services in meeting increased demand. Areas of concern include housing and revenues and benefits

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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	Q4 - We have strong working relationships with services and partners to deliver the health and wellbeing needs of the vulnerable population. We have continued to engage with Mid Essex Alliance, Maldon District Community Forum, Maldon District Dementia Action Alliance, whilst also forming a Food Support Action Group with services and foodbanks across the District to ensure a joined-up approach to support our most vulnerable residents. We are actively working with services and partners to deliver the health and wellbeing needs of the vulnerable population.
R3	Failure to target services/influence partners effectively to support identified housing needs of increasing aging population	4	2	8	Risk Rating Unchanged	Q4 - Work on bringing the existing Housing Strategy to members for extension was delayed by work pressures from the Homes for Ukraine scheme. However, our existing Strategy is still relevant. The SHB had a recent meeting which identified a need to reconsider the purpose of the meeting and how it dovetails with similar forums in SPG and Planning.
R13	Failure to manage impact of organisational change	3	2	6	Risk Rating Unchanged	Q4 - Whist plans are being developed to address the growing pressures on services it is likely the effects will be felt and peak before mitigations can be introduced

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R1	Failure to safeguard children and vulnerable adults	5	1	5	Risk Rating Unchanged	Q4: Safeguarding risks continue to be picked up via the Councils online Freshserve reporting tool and its Safeguarding leads. New dates for the internal Safeguarding forum will be set. The Safeguarding forum continues to look at cases of note and trends which Officers discuss. In many instances, the key safeguarding duty sits with ECC and our Officers continue to engage where possible, with our ECC counterparts. A definitive Contractor management process continues to remain an outstanding point but considered low risk. Discussions are occurring as to standard conditions, approaches methods so that a clear expectation is given to Contractors about operations in the district
R16	Corporate policies not managed and reviewed	2	2	4	Risk Rating Unchanged	Q4 - No change. Positive assurance received from the Policy Audit, recommended Risk closure.