

Corporate Risk Overview

2023/2024 Q1

Active Corporate Risks

16

Risks with active mitigating actions

APPENDIX 1

2

Risk Category

Compliance Financial Financial,Economic,Strategic Operational Strategic



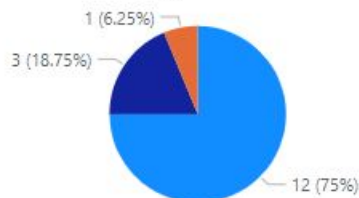
Affected Strategy

Connecting & Enhancing ... Helping the economy ... Provide Good Qual... Smarter Finances Supporting Com...



Risk Control Strength

Good - controls in plac...
Fair - some controls in ...
Excellent - effective con...

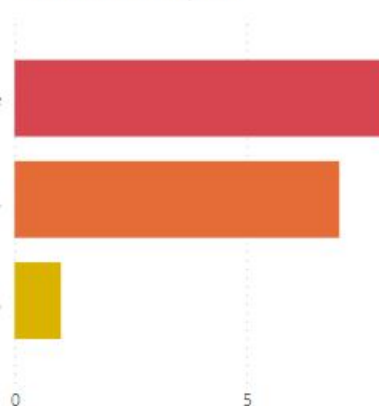


Tolerance Split

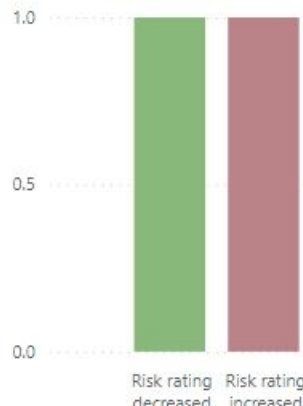
Red Tolerance

Amber Tolera...

Yellow Tolera...



Risk Direction



APPENDIX 1

Title	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Q1 2023/2024 Commentary	Control Strength	Additional Mitigating Action
R8	Failure to meet the affordable housing need	5	4	20	Risk rating unchanged	Q1 - The Council is continuing in the process of delivering of non-allocated sites with significant commuted sums have been agreed via S.106. Projects with potential for significant additional affordable housing units within district are being reviewed with Members and key partners. The number of Affordable new homes delivered in 2023/24 is - 35 (Affordable Rented) – 18 (Shared Ownership)	Fair - some controls in place and some reduction in risk but still not adequate	Yes

APPENDIX 1

R15	Failure to plan and deliver balanced budgets over the medium term	5	4	20	Risk rating unchanged	<p>Q1 – Following the LGA Finance Peer Challenge recommendations a refresh of MTFS assumptions has been undertaken and an updated position for 2024/25 and 2025/26 reported back to Council in July setting out the revised budget gap over the next two years. The Council has committed to an ambition of addressing the budget gap in 2024/25 without drawing on General Fund balances. Further work is being undertaken to refine the MTFS position and this will be reported back to Members over the autumn. A review of possible options to close the budget gap has commenced for consideration by the revised Finance Member Group, who will lead on this work. The outcomes of this exercise will be incorporated into a Savings Strategy which brings together all the Council’s activity around its plan to close the budget gap, which will be reported to Strategy and Resources Committee and Council for consideration as part of the overall budget process.</p>	Good - controls in place are considered adequate and reduce the risk	None Required
R5	Failure to deliver the required infrastructure to support development arising from the LDP 2017	4	4	16	Risk rating unchanged	<p>Q1 - As reported in previous quarters, the Council is not responsible for delivering and/or providing much of the infrastructure needed to support the delivery of the LDP; instead it must seek to use its position to influence and hold other organisations that are responsible to account for delivery. It does have a very important role however in securing developer contributions from relevant schemes where a likely impact on infrastructure can be evidenced, to justify mitigation where a grant of</p>	Good - controls in place are considered adequate and reduce the risk	None Required



permission could then be possible. Despite annual policy targets, the LDP housing trajectory remains behind where it was forecast to be in 2017 when the LDP was approved; whilst not all in the Council's control, it does have a knock-on effect on when S106 monies to be paid are legally due to the Council or others; affecting payment triggers which can slow infrastructure delivery on the ground and publicly seem as though development in the District is not providing infrastructure when it is needed, despite the lawful process being followed. S106 continues to be accrued from development sites allocated in the LDP 2017 (as well as all other permissions) as required by planning policy and legal agreements. The Council is robustly monitoring its S106 agreements 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/ take their financial 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 in Q1/Q2 of each financial year. The Infrastructure Delivery Plan remains under review (as part of the LDP Review) and officers are proactively engaging with infrastructure providers frequently (e.g. ECC Highways, Education and NHS) to keep track of projects

					<p>(such as the Maldon Health Hub/ Southminster Medical Centre/ Burnham Surgery/ South Maldon Relief Road, Limebrook Way Primary School, etc.) that are expected to be delivered during 2014-2029 (the LDP plan period) so work can start through their organisation's capital investment business case procedures to programme works to improve local services or facilities as quickly as possible. Officers continue to remain alert to national spending reviews that could impact on budgets of third parties and therefore their priorities and possible Government funding and will remain in discussions with Homes England and other partners about other funding opportunities and options that could help fund or bring forward expect.</p>		
--	--	--	--	--	--	--	--

APPENDIX 1

Title	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Q1 2023/2024 Commentary	Control Strength	Additional Mitigating Action
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	Q1 - Phase One of the changes to the structure within service delivery are complete. Heads of Service posts have been created and existing staff following consultation have taken up their respective roles. Following interview the Assistant Director, Planning and Implementation role has been appointed to and the post holder took up the role in early July. The Heads of Service and Assistant Directors are now finalising the structure for consultation with staff in Phase Two of the changes. Work continues with the Local Government Association on a regional planning project which aims for local authorities to work together to support the recruitment of planning professionals. A presentation has been made to a recent meeting of Essex Chief Executives which gained support and praise. Maldon through its Human Resources Team is leading this important regional work.	Good - controls in place are considered adequate and reduce the risk	None Required

APPENDIX 1

R31	Inadequate staffing structure and resource for resilience	4	4	16	Risk rating unchanged	Q1 - Phase One of the changes to the structure within service delivery are complete. Heads of Service posts have been created and existing staff following consultation have taken up their respective roles. Following interview the Assistant Director, Planning and Implementation role has been appointed to and the post holder took up the role in early July. The Heads of Service and Assistant Directors are now finalising the structure for consultation with staff in Phase Two of the changes over the summer period.	Fair - some controls in place and some reduction in risk but still not adequate	Under Review
R33	Lack of Temporary Accommodation & Social Housing to cope with demand	4	4	16	Risk rating unchanged	Q1 - Given the ongoing challenges around rehousing of asylum seekers into the local community, a growing housing register and a lack of affordable Housing availability being faced nationally, this risk is being closely monitored and does have the potential to increase. In the short term the Housing team have secured extra Temporary Accommodation units in the Colchester area and have recently completed a partnership project which brought a SAHA unit back into use for vulnerable clients with low level support needs. Housing continue to progress discussions with Housing Partners regarding the potential purchase of a local social housing asset. The potential of additional central government funding streams delayed some of the due diligence work while Officers considered the impact. However, this work is almost complete with the prospect of additional funds being	Fair - some controls in place and some reduction in risk but still not adequate	Under Review

					<p>made available which could significantly reduce the Council's funding requirements. Medium term, further negotiations have begun in relation to 2 other social Housing assets. However, this has not yet reached the stage where we are able to enter into detailed discussions with Housing Partners. Due to staff resource, work on Modular Homes has paused in favour of the projects above. However, this will be revisited soon. The biggest barrier to effective consideration is the lack of suitable land (with connected and local infrastructure services) to site the units on</p>		
--	--	--	--	--	--	--	--

APPENDIX 1

Title	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Q1 2023/2024 Commentary	Control Strength	Additional Mitigating Action
R7	Failure to maintain a 5 year supply of Housing Land	5	3	15	Risk rating decreased	Q1 - On 18 May 2023, a report was presented to Council concerning the Maldon District Five Year Housing Land Supply. This confirmed that following a Council appointed Working Group and a review by a barrister, Maldon District 5YHLS could be confirmed as being 6.35 years; an increase from the previously published position in 2022 of 3.66. Progress had continued to reduce this risk, which has been aided by the application of the National Standard Methodology for the assessment of housing need, which is a lower number than that previously present in the approved Local Development Plan, however with the Plan being older than 5 years, the NSM is required to be used instead by national policy. Whilst the supply is once again positive, the Council needs to continue to monitor the situation as the land supply will change as development takes place annually; hence why the likelihood for this risk has changed whilst the impact has not changed.	Good - controls in place are considered adequate and reduce the risk	None Required

APPENDIX 1

Title	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Q1 2023/2024 Commentary	Control Strength	Additional Mitigating Action
R10	Failure to develop jobs to support the growing population	4	3	12	Risk rating unchanged	Q1 - (Nomis) statistics Jan- Dec 2022 (latest data available) show the percentage of people economically active in the District's as 75.9%, which is lower than the East (80.6%) and Great Britain (78.5%) averages. The underlying data for the reasoning of this is unavailable due to the sample size being too small or the sample size is disclosive. Economic international/national issues continue to cause considerable uncertainty and pressures still exist from rising costs. Aligned with the Council's new Corporate Plan for 2023-27, the Supporting Local Business Programme has been developed to ensure businesses have access to grants, training and support schemes. This will also be supported via our collaborative work with NEEB and ECC.	Fair - some controls in place and some reduction in risk but still not adequate	Under Review
R11	Failure to protect personal or commercially sensitive data	4	3	12	Risk rating unchanged	Q1 - Egress is working across the Council. Training is planned for all managers in new structure to train them on their responsibilities for their areas for Data Security.	Good - controls in place are considered adequate and reduce the risk	None Required

APPENDIX 1

Title	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Q1 2023/2024 Commentary	Control Strength	Additional Mitigating Action
R1	Failure to safeguard children and vulnerable adults	5	2	10	Risk rating unchanged	Q1 - Safeguarding risks managed satisfactorily via Freshserve. Main point of concern is ensuring Tickets/Entries are closed as per system requirements. Safeguarding Forum met on the 06/06/23 and a new draft list of DSOs was agreed. This will be implemented for the next MDC safeguarding forum. Work continues to action the recommendations from the Safeguarding audit moving them into BAU	Good - controls in place are considered adequate and reduce the risk	None Required
R9	Failure to have a coordinated approach to supporting inward investment and maximising business rate growth	5	2	10	Risk rating unchanged	Q1 - The Maldon District Investment Prospectus (LocateMaldonDistrict.co.uk) is now live providing a co-ordinated approach to supporting inward investment. The website has been shared widely among partners and stakeholders, with key local businesses working with us to showcase the district's offer. A marketing campaign will be delivered as part of the Supporting Local Business programme under our Corporate Plan priority of helping the economy to thrive. We continue to work with partners, particularly the NEEB and ECC, and we are engaged with their multiple workstreams. In particular, the draft revised NEEB strategy identifies a priority of the area as 'a dynamic and connected region' which encourages inward investment in a coordinated approach. ECC are progressing Extraordinary Essex, which again seeks to collaborative activities on inward investment.	Fair - some controls in place and some reduction in risk but still not adequate	Under Review

APPENDIX 1

Title	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Q1 2023/2024 Commentary	Control Strength	Additional Mitigating Action
R32	Uncertainty of the cost of living crisis impacts	3	3	9	Risk rating unchanged	Q1 - The Council has recently issued communications to the public on services and support on offer to help with the ongoing cost of living crisis. The release highlights the ongoing partnership work in the district through the One Maldon Partnership. (https://www.maldonandburnhamstandard.co.uk/news/23635290.maldon-district-council-leader-highlights-support-services/) The situation remains under review and officers will update advice as and when required.	Good - controls in place are considered adequate and reduce the risk	None Required
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	Q1 - The risk rating remains unchanged due to the relationships we have built with statutory, private and voluntary sector partners. Work continues to progress with partners to support vulnerable residents with Mid Essex Alliance, One Maldon District, Maldon District Community Forum and Maldon District Community Support Network (previously Food Support Network). One risk to flag is the restructure of the Mid Essex Integrated Care System. However, this is currently an ongoing process so subsequent changes have yet to be made.	Good - controls in place are considered adequate and reduce the risk	Yes

APPENDIX 1

Title	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Q1 2023/2024 Commentary	Control Strength	Additional Mitigating Action
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	2	8	Risk rating unchanged	Q1 - No change. Previous update: The Audit of the Community Safety Partnership has been completed and given scores of substantial design and moderate effectiveness. The areas for improvement relate to updating the Terms of reference and partner attendance at RAG meetings. The work of the partnership continues. The likelihood score has been reduced following the audit.	Good - controls in place are considered adequate and reduce the risk	None Required
R29	Failure to deliver services as a result of COVID- 19	4	2	8	Risk rating unchanged	Q1 - The situation remains unchanged and sickness levels continue to be monitored as part of BAU. Recommendation to close	Good - controls in place are considered adequate and reduce the risk	None Required

APPENDIX 1

Title	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Q1 2023/2024 Commentary	Control Strength	Additional Mitigating Action
R3	Failure to target services/influence partners effectively to support identified housing needs of increasing aging population	4	1	4	Risk rating unchanged	Q1 - Discussions are ongoing with partners to see if they will be willing to take on Extra Care accommodation units within the District, sites which are confidential at this stage. The Housing Allocations policy (which is administered and maintained by Gateway Homechoice) allows Housing to deliver its obligations in relation to Housing Allocations. The Housing Register functions continue to run smoothly. However, there is increased demand to Housing due to a general lack of affordable social rented properties and lack of development schemes across the district to deliver such. The number of people on the Councils Housing Register continues to increase each month, and has seen an overall increase of 17% since January 2023. (The register has 1,077 cases/people as of the end of Q1) The number of affordable new homes delivered in 2023/24 is - 35 (Affordable Rented) – 18 (Shared Ownership)	Good - controls in place are considered adequate and reduce the risk	None Required