

Corporate Risk Overview

2023/2024 Q4

Risk Category

● Compliance ● Financial ● Operational ● Strategic



Risk Control Strength

A control is an embedded action or process that helps control or minimise the likelihood &/ impact of the risk



Active Corporate Risks

14

Risks with active mitigating actions

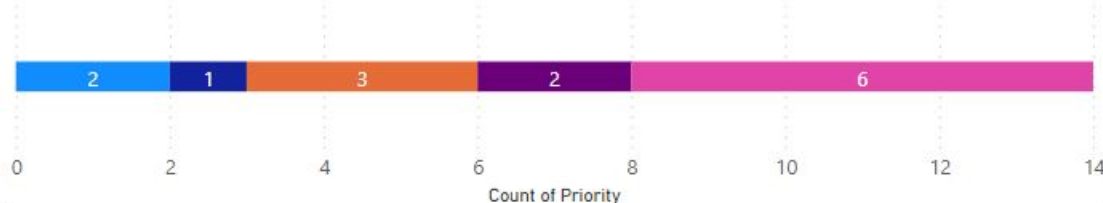
APPENDIX 1

1

Mitigating actions are identified to strengthen existing controls &/ risk reduction. They should be clearly defined and delivered, with a lead officer and timescales for implementation/completion.

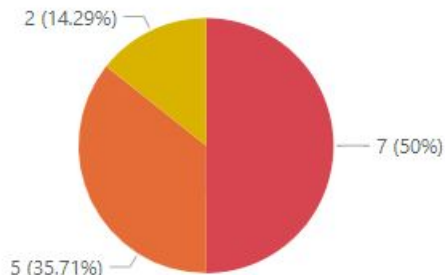
Affected Priority

● Connecting & Enhancing ... ● Helping the economy t... ● Provide Good Qu... ● Smarter Finances ● Supporting Co...



Tolerance Split

● Red Tolerance ● Amber Tolerance ● Yellow Tolerance



Risk Direction

No Changes

Corporate Risk Register

Ref	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Q4 2023/2024 Commentary	Control Strength	Additional Mitigating Action	Year Raised
R5	Damage to the Councils reputation associated with delays to planned infrastructure delivery in the District by third parties which is due to support approved development	4	5	20	Risk rating unchanged	The Council is not responsible for delivering and/or providing much of the infrastructure needed to support the delivery of the District's approved growth; instead it must seek to use its position to influence and hold other organisations that are responsible to account for their delivery. MDC does have a very important role however in securing developer contributions (S106) from relevant schemes where a likely impact on infrastructure can be evidenced, to justify mitigation where a grant of permission could then be possible. Whilst development is visibly occurring, it has not been at the pace forecast in the LDP in 2017, which has a knock on effect on the payment triggers for S106 funds. This money will come when the triggers are met, but this is leading to a slowing of infrastructure delivery on the ground and can seem as though development in the District is not providing infrastructure, despite the lawful process being followed by developers and MDC/ECC. S106 continues to be accrued from development sites allocated in the LDP 2017 (as well as all other permissions) as required by the LDP 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 reported annually in the Infrastructure Funding Statement to PGA Committee in Q1/Q2 of each financial year. The Maldon District 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 (such as the Southminster Medical Centre/ Burnham Surgery/ Maldon Health Hub/ South Maldon Relief Road, Limebrook Way Primary School, etc.) that were expected to be delivered during 2014-2029 (the LDP plan period). This engagement helps ensure work is started through their organisation's capital investment business case procedures to design and 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 ECC, Homes England, DfT and other partners about other funding opportunities and options that could help fund or bring forward schemes.	Good - controls in place are considered adequate and reduce the risk	None Required	2014/15
R8	Failure to meet the affordable housing need	5	4	20	Risk rating unchanged	The Housing Team continues to consider major developments against our Local Needs Assessment . The team continues to look for opportunities to bring forward options to maximise affordable housing provision in the district. Ongoing meetings with Housing associations continue to build working relationships and encourage collaborative working to tackle housing issues. Working with the Planning Policy Team, the S106 policy has been reviewed and Housing comments have been passed back for consideration	Fair - some controls in place and some reduction in risk but still not adequate	Under Review	2016/17

Ref	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Q4 2023/2024 Commentary	Control Strength	Additional Mitigating Action	Year Raised
R15	Failure to plan and deliver balanced budgets over the medium term	5	4	20	Risk rating unchanged	No change to risk score or controls compared to Q3. A balanced budget has been set for 2024/25 and the medium term gap has reduced as a result of the controls in place to manage the risk; however the longer term financial position remains challenging and delivery of savings agreed in 2024/25 and 2025/26 will need to be closely monitored to ensure they remain on track. The Finance Member Group will commence work on the 2025/26 budget in the spring of 2024 to allow sufficient time for plans to be agreed and delivered ahead of the new financial year.	Good - controls in place are considered adequate and reduce the risk	None Required	2008/09
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	The ongoing shortage of candidates for vacant roles within the Development Management & Building Control service continues to be challenging with heavy reliance (and associated costs and less flexibility) on agency staff. Following positive changes to the job descriptions in Development Management, recruitment to vacant Senior and Principal roles will get underway in Q1 24/25. A new Graduate Planner level of officer has also been introduced with apprenticeship and professional development support being made available. Like all Local Planning Authorities, whilst MDC offers a good professional platform for a career in town planning, there are aspects of the town planning system it cannot offer experience in due to its more rural character and heritage constraints and therefore where staff have left more recently it has been for professional progression opportunities in locations with greater growth and regeneration opportunities. Work is ongoing with Essex Planning Officers Association (EPOA) to further the learning picked up by the Maldon District Council sponsored project undertaken with the Local Government Association to see if there are ways of addressing resources better across Essex, as the Council is not alone in these challenges, which reflect a more national picture of professional capacity, in a planning system that is having more demands placed on it by changes to national policy and practice. North Essex Councils are aware of the challenges and may identify opportunities to work together. Officers will be presenting a report to Members in the summer setting out the position for service delivery and improvement with a view to making recommendations to help ease the situation. We may have to however accept a new reality in which the Council may need to continue to use contractors, at their higher costs, as part of the human resource mix baseline for service provision going forward in the medium term. This situation may continue until other initiatives that have a longer lead in times to realise, can positively impact the situation.	Good - controls in place are considered adequate and reduce the risk	None Required	2015/16
R31	Inadequate staffing structure and resource for resilience	4	4	16	Risk rating unchanged	Whilst the restructure of 2023 has allowed for logical reorganisation of teams, underlying resource shortages remain. It is becoming clear that some areas within Service Delivery are under continued pressure as a result of either being unable to compete with the private sector (Planning) through the recruitment of staff into roles or sufficient resources have not been allocated to match the work activity being undertaken. Areas of concern include services involved in land property and projects, whilst other services are being impacted by the introduction of new regulation. Environmental Health is experiencing difficulties in balancing activity. A report will be submitted for Members consideration this summer. The report will also cover Risk 14 - Unable to recruit and retain staff with specific skills sets in specialist areas to meet the demands of the service(i.e.) Planners. Delayed restructure work may impact Strategy and Resources directorate and further analysis will be done around the impact.	Fair - some controls in place and some reduction in risk but still not adequate	Under Review	2021/22

Ref	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Q4 2023/2024 Commentary	Control Strength	Additional Mitigating Action	Year Raised
R33	Lack of Temporary Accommodation & Social Housing to cope with demand	4	4	16	Risk rating unchanged	The Council continues to explore opportunities and options to improve supply. Activity includes lobbying Government highlighting local needs and issues, working with Essex partners and also reviewing opportunities to purchase property directly. In connection with this, the purchase of Stephens House has now been concluded and this is available for use of as Temporary Accommodation. Officers are working on finalising the SLA with Chelmer Housing Partnership and arranging for refurbishment works to be completed to bring this property into use as quickly as possible. The Council is investigating options for modular housing within the district, and is in negotiations to secure 2 supported housing units in Chelmsford. The Housing Team are also feeding into the North Essex Housing Summit, which is looking at ways to increase temporary accommodation and reduce associated costs.	Fair - some controls in place and some reduction in risk but still not adequate	Under Review	2022/23
R7	Failure to maintain a 5 year supply of Housing Land	5	3	15	Risk rating unchanged	Published position remains 6.35 years, however a Planning Appeal agreed figure of 5.97 years is considered to be the latest in year position, which officers and council representatives are defending at Planning Appeals. Monitoring of 5YHLS occurring when required to support in-year data updates to support planning appeal process. Update on 5YHLS will be reported to Council in Q1 24/25 using methodology approved by Council in May 2023	Good - controls in place are considered adequate and reduce the risk	None Required	2017/18
R1	Failure to safeguard children and vulnerable adults	5	2	10	Risk rating unchanged	Safeguarding risks continue to be managed via the Council's Freshserve system. Safeguarding Forum is due to meet in late April 2024. With the current Safeguarding Lead leaving MDC, interim Safeguarding arrangements have been put in place ahead of a review on which Service Area the workstream could be moved to and how the workstream will be managed.	Good - controls in place are considered adequate and reduce the risk	None Required	2012/13
R32	Uncertainty of the cost of living crisis impacts	3	3	9	Risk rating unchanged	Risk Unchanged - The Council continues to monitor the economic situation and regular meetings with partners continue through the One Maldon Partnership which helps identify emerging issues and trends. Customers are signposted to organisations who are able to provide independent financial support and reductions are available for low income households in the form of council tax support. Any additional Government funding made available for direct support is distributed in accordance with guidelines or locally agreed policies e.g. Council Tax Hardship awards which have been paid during 2023-24 to eligible customers	Good - controls in place are considered adequate and reduce the risk	None Required	2022/23

Ref	Risk Description	Impact	Likelihood	Overall Risk Rating	Rating direction	Q4 2023/2024 Commentary	Control Strength	Additional Mitigating Action	Year Raised
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	Risk rating remains unchanged. New Health Integration and Community Manager recruited into post in February 2024 to manage this risk and ensure implementation and strengthening of controls.	Good - controls in place are considered adequate and reduce the risk	Yes	2016/17
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	Attendance by all statutory partners at strategic meetings during 2023/24 has been good. On a operational level, the completion of the community safety hub and co-location of Council and Police staff will improve on data sharing and joint working, reduce duplication and result in improved outcomes for the public. Whilst all crime and ASB has reduced during 2023/24, there has been an increase in acquisitive crime which has prompted the partnership to include this as a priority for 2024/25. The introduction of Maldon Dispatch (weekly e-bulletin) and Let's Talk face-to-face meetings, together with planned public engagement events will help improve the negative perception of crime	Good - controls in place are considered adequate and reduce the risk	None Required	2017/18
R11	Failure to protect personal or commercially sensitive data	4	2	8	Risk rating unchanged	Managers Training Provided and one to one meetings planned. Review of Policies due to begin this quarter. Planning representations are subject to ongoing review	Good - controls in place are considered adequate and reduce the risk	None Required	2009/10
R3	Failure to target services/influence partners effectively to support identified housing needs of increasing aging population	4	1	4	Risk rating unchanged	The Local Housing Needs Assessment(LHNA) broadened the housing needs of the District to all types of demand, not just an aging population. The assessment now does not prioritise housing need for older people in the same way, and gives equal weight to housing demands, this will be managed through service level housing work. Discussions will continue with Essex County Council as to how best to approach extra care housing needs. Risk to now be managed at service level. Recommend closure from the Corporate risk register.	Good - controls in place are considered adequate and reduce the risk	None Required	2016/17

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R34	Failure to have a structured way to engage and support local business	2	2	4	Risk rating unchanged	The Supporting Local Business programme continues to see increased engagement through social media platforms, engaged users via the Locate Maldon District website, in person events and newsletters sign ups. In some areas the KPI target set against this risk is being overachieved.	Good - controls in place are considered adequate and reduce the risk	None Required	2023/24

Report End