



Epping Forest District Council

CABINET ***Monday 4th December 2023***

You are invited to attend the next meeting of **Cabinet**, which will be held at:

Council Chamber, Civic Offices, High Street, Epping
on **Monday 4th December 2023**
at **7.00 pm**

Georgina Blakemore
Chief Executive

Democratic Services V Messenger (Democratic Services)
Officer: Tel: (01992) 564243

Members: Councillors C Whitbread (Leader of Council & Leader of the
Conservative Group) (Chairman), N Bedford (Deputy Leader
& Place Portfolio Holder) (Vice-Chairman), R Balcombe,
S Kane, S Patel, J Philip, H Whitbread and K Williamson

PLEASE NOTE THAT THIS MEETING IS OPEN TO ALL MEMBERS TO ATTEND

[This meeting will be broadcast live and recorded for repeated viewing.](#)

1. WEBCASTING INTRODUCTION

This meeting is to be webcast and the Chairman will read the following announcement:

“I would like to remind everyone present that this hybrid meeting will be broadcast live to the internet (or filmed) and will be capable of repeated viewing (or other such use by third parties).

Therefore, by participating in this meeting, you are consenting to being filmed and to the possible use of those images and sound recordings for webcasting and/or training purposes. If any public speakers on MS Teams do not wish to have their image captured, they should ensure that their video setting throughout the meeting is turned off and set to audio only.

Please also be aware that if technical difficulties interrupt the meeting that cannot be overcome, I may need to adjourn the meeting.

Members are reminded to activate their microphones before speaking”.

2. APOLOGIES FOR ABSENCE

To be announced at the meeting.

To report non-attendance before the meeting, please use the [Members Portal webpage](#) to ensure your query is properly logged.

Alternatively, you can access the Members portal from the front page of the [Council's website](#), at the bottom under 'Contact Us'.

3. DECLARATIONS OF INTEREST

To declare interests in any item on this agenda.

4. MINUTES (Pages 5 - 9)

To confirm the minutes of the meeting of the Cabinet held on 13 November 2023.

5. REPORTS OF PORTFOLIO HOLDERS

To receive oral reports from Portfolio Holders on current issues concerning their Portfolios, which are not covered elsewhere on this agenda.

6. PUBLIC QUESTIONS AND REQUESTS TO ADDRESS THE CABINET

To receive any questions submitted by members of the public and any requests to address the Cabinet.

(a) Public Questions

To answer questions asked by members of the public after notice in accordance with the provisions contained within Part 4 of the Constitution (Council Rules, Rule Q3) on any matter in relation to which the Cabinet has powers or duties or which affects the District.

(b) Requests to Address the Cabinet

Any member of the public or a representative of another organisation may address the Cabinet on any agenda item (except those dealt with in private session as exempt or confidential business) due to be considered at the meeting, in accordance with the provisions contained within Article 7 of the Constitution (The Executive, Paragraphs 27 and 28).

7. OVERVIEW AND SCRUTINY

To consider any matters of concern to the Cabinet arising from the Council's Overview and Scrutiny function and to identify any matters that the Cabinet would like the Overview and Scrutiny Committee to examine as part of its work programme.

8. RISK MANAGEMENT - CORPORATE RISK REGISTER (Pages 10 - 46)

(Finance and Economic Development – Cllr J Philip) To approve the current Corporate Risk Register, to consider any new or emerging risks and to approve the revised Risk Management Policy and Strategy (C-017-2023-24).

9. IMPLEMENTATION OF THE LOCAL PLAN (Pages 47 - 86)

(Place – Cllr N Bedford) To note the progress of Strategic Masterplans, Concept Frameworks and Planning Performance Agreements (Appendix A – attached).
To agree the Infrastructure Funding Statement 2022/2023 (Appendix B – attached) (C-030-2023-24).

10. AWARD OF CONTRACT FOR OFF-STREET PARKING ENFORCEMENT (Pages 87 - 90)

(Customer and Corporate Support Services – Cllr S Kane) To agree the contract (C-031-2023-24).

11. CALENDAR OF COUNCIL MEETINGS 2024/25 (Pages 91 - 96)

(Customer and Corporate Support Services – Cllr S Kane) To consider and recommend to Council the draft Calendar of Council Meetings for 2024/25 (C-032-2023-24).

12. ANY OTHER BUSINESS

Section 100B(4)(b) of the Local Government Act 1972, together with paragraphs 6 and 24 of the Council Procedure Rules contained in the Constitution requires that the permission of the Chairman be obtained, after prior notice to the Chief Executive, before urgent business not specified in the agenda (including a supplementary agenda of which the statutory period of notice has been given) may be transacted.

In accordance with Operational Standing Order 6 (non-executive bodies), any item raised by a non-member shall require the support of a member of the Committee concerned and the Chairman of that Committee. Two weeks' notice of non-urgent items is required.

13. EXCLUSION OF PUBLIC AND PRESSExclusion

To consider whether, under Section 100(A)(4) of the Local Government Act 1972, the public and press should be excluded from the meeting for the items of business set out below on grounds that they will involve the likely disclosure of exempt information as defined in the following paragraph(s) of Part 1 of Schedule 12A of the Act (as amended) or are confidential under Section 100(A)(2):

Agenda Item No	Subject	Exempt Information Paragraph Number
Nil	Nil	Nil

The Local Government (Access to Information) (Variation) Order 2006, which came into effect on 1 March 2006, requires the Council to consider whether maintaining the exemption listed above outweighs the potential public interest in disclosing the information. Any member who considers that this test should be applied to any currently exempted matter on this agenda should contact the proper officer at least 24 hours prior to the meeting.

Background Papers

Article 17 of the Constitution (Access to Information) define background papers as being documents relating to the subject matter of the report which in the Proper

Officer's opinion:

- (a) disclose any facts or matters on which the report or an important part of the report is based; and
- (b) have been relied on to a material extent in preparing the report and does not include published works or those which disclose exempt or confidential information and in respect of executive reports, the advice of any political advisor.

The Council will make available for public inspection one copy of each of the documents on the list of background papers for four years after the date of the meeting. Inspection of background papers can be arranged by contacting either the Responsible Officer or the Democratic Services Officer for the particular item.

EPPING FOREST DISTRICT COUNCIL COMMITTEE MINUTES

Committee: Cabinet **Date:** Monday 13 November 2023

Place: Council Chamber, Civic Offices, High Street, Epping **Time:** 7.00 - 7.32 pm

Members Present: Councillors C Whitbread (Chairman), N Bedford (Vice-Chairman), R Balcombe, S Kane, S Patel, J Philip, H Whitbread and K Williamson

Other Councillors: Councillors J Parsons and J M Whitehouse

Other Councillors (Virtual): Councillors S Heap, C McCredie and D Wixley

Apologies: None

Officers Present: G Blakemore (Chief Executive), S Balu (Interim Director of Housing and Property), T Carne (Corporate Communications Team Manager), N Cole (Corporate Communications Officer), J Gould (Strategic Director and Chief Operating Officer), V Messenger (Democratic Services Officer), R Pavey (Service Director (Customer Services)), N Richardson (Service Director (Planning Services)), R Schunemann (Principal Planning Officer) and A Small (Strategic Director, Corporate and Section 151 Officer)

Officers Present (Virtually): P Freeman (Service Manager (Revenues & Benefits)), L Kirman (Democratic Services Officer), T Larsen (Democratic Services Officer) and J Lewis (Team Manager - Benefits Operations)

[A RECORDING OF THIS MEETING IS AVAILABLE FOR REPEATED VIEWING](#)

51. WEBCASTING INTRODUCTION

The Leader of Council made a short address to remind everyone present that the meeting would be broadcast live to the internet, and would be capable of repeated viewing, which could infringe their human and data protection rights.

52. DECLARATIONS OF INTEREST

There were no declarations of interest pursuant to the Council's Members' Code of Conduct.

53. MINUTES

That the minutes of the Cabinet meeting held on 9 October 2023 be taken as read and signed by the Leader as a correct record.

54. REPORTS OF PORTFOLIO HOLDERS**(a) Regulatory Services Portfolio**

Councillor K Williamson reported he had checked with officers but there were no real problems with the weekend Remembrance events in the Epping Forest District.

(b) Community Health and Wellbeing

Councillor S Patel remarked that the Chairman's Diwali celebrations at the Civic Offices had been well attended.

55. PUBLIC QUESTIONS AND REQUESTS TO ADDRESS THE CABINET

The Cabinet noted that no public questions or requests to address the Cabinet had been received for consideration at the meeting.

56. OVERVIEW AND SCRUTINY

The Overview and Scrutiny Committee Chairman, Councillor D Wixley, reported that members had pre-scrutinised the Local Council Tax Support Scheme on 24 October 2023 and the draft minutes were being published tomorrow. He noted that the Cabinet and Scrutiny Joint Meeting on 14 November had been cancelled. The next meeting of the Overview and Scrutiny Committee would be held on 21 November, which would focus on Qualis. Also, an All-Members Briefing on Whipps Cross Hospital was being held on 23 November.

The Chairman announced an extra Overview and Scrutiny Committee meeting was being organised for 12 December to discuss the 2024/25 draft budget, which would be held in private session with the Cabinet. As this was an important meeting, he encouraged all other councillors to attend.

57. LOCAL COUNCIL TAX SUPPORT SCHEME 2024/25

The Finance and Economic Development Portfolio Holder, Councillor J Philip, introduced the scheme, which had been endorsed by the Overview and Scrutiny Committee, and remarked that 75% of responses to the public consultation had been in favour of the new scheme.

Decision:

- (1a) That the Cabinet approved the introduction of a new income banded / grid scheme for working age applicants with effect from 1 April 2024 to reduce the administrative burden placed on the Council since the introduction of Universal Credit and to target support to the lowest income families.
- (1b) That following the results of the consultation exercise the scheme proposed in (a) above be amended to include Child Benefit as a disregarded income.

58. HOUSING ALLOCATION SCHEME - 1-YEAR REVIEW

The Housing and Strategic Health Partnerships Portfolio Holder, Councillor

H Whitbread, reported that the scheme had been put in place last year and had largely been successful although there had been increased pressures on homelessness.

Decision:

- (1) That the Cabinet agreed there would be no change to medical banding’.
- (2) That the Cabinet agreed there would be no change to homeless households.
- (3) That the Cabinet agreed there would be no change to lacking one bedroom or sharing accommodation.
- (4) That the Cabinet agreed there would be no change to bedroom sizes.
- (5a) That the Cabinet agreed the scheme was to remain unchanged for new applications from 26 September 2022 in relation to requests to move from a flat to a house for existing council tenants.
- (5b) That the Cabinet agreed an end date of 25 September 2025 be introduced for applicants with ‘legacy’ rights to move from a flat to a house under the previous allocations scheme.

59. HGGT GOVERNANCE / JOINT COMMITTEE

The Place Portfolio Holder, Councillor N Bedford, commented that although informal arrangements were already in operation, the HGGT Board members had endorsed the proposal to establish a Joint Committee in July, which had been referred to the governing bodies of the respective five partner authorities for ratification. The main reasons for a joint committee were outlined in the report.

Councillor J Philip thought it was advisable to pass this to Full Council for approval because of the £2 million finance level and queried this with N Richardson (Planning Services Director). However, the Cabinet agreed final approval was to be ratified by Council at the meeting on 19 December 2023.

Decision:

- (1) That the Cabinet agreed to the establishment of a Joint Committee (JC) in respect of matters pertaining to the Harlow and Gilston Garden Town.
- (2) That subject to all authorities approving the agreement, the arrangements set out in the Inter Authority Agreement at Appendix A to this report be endorsed and agreed.
- (3) That the Cabinet delegated to the Chief Executive, in consultation with the Leader and the Portfolio Holder for Economic Development, to make any necessary, non-consequential and minor amendments and refer to the HGGT Chair and Director.
- (4) That the Cabinet agreed to refer final approval of the agreement to Council on 19 December 2023.

60. NORTH WEALD BASSETT MASTER PLAN ALLOCATION SITE

The Place Portfolio Holder introduced the report on the North Weald Bassett Master Plan Area which responded to the adopted Epping Forest District Local Plan 2011-2033 and Policy P6 'North Weald Bassett'. This master plan formed one of the allocated Strategic Master plan sites where the need for an SMF was identified. It had also been reviewed by the Quality Review Board three times. A formal public consultation was to be undertaken from mid-November 2023 through to January 2024.

Councillor J Philip asked for the consultation period to be extended to Monday 8 January 2024, from 5 January 2024, to allow for delays in postal responses over the Christmas period, which was agreed.

Councillor J M Whitehouse asked what the process was for unresolved elements. R Schunemann (Principal Planning Officer – Planning & Implementation Team) replied that there were still matters that had to be resolved such as the sustainability of the project to meet sustainability standards and targets, and a more landscape-led master plan but those issues would be resolved when this master plan came back to Cabinet to be endorsed on 18 March 2024.

Decision:

- (1) That the Cabinet approved the draft North Weald Bassett Strategic Masterplan Framework and commencement of the public consultation for the NWB Strategic Masterplan Area allocation identified under Policy P6 in the Adopted Local Plan.
- (2) That the Cabinet noted the staged public consultation would take place over a minimum of 8 weeks from mid-November 2023 and would run through to January 2024. The reason for the extended consultation period was to provide the public with the widest possible contribution and to take into account the Christmas / New Year period.
- (3) That the Cabinet noted a further update would be provided to share the results of the public consultation, any updates to the masterplan and/or framework document to reflect consultation and to endorse the masterplan, so that it could be given appropriate weight as a material planning consideration in the determination of future planning applications.

61. QUARTER 2 BUDGET MONITORING REPORT 2023/24

The Finance and Economic Development Portfolio Holder presented the quarter 2 report, which set out the 2023/24 General Fund and Housing Revenue Account budget positions, for both revenue and capital, as at 30th September 2023. It also considered a range of other financial performance and risk indicators alongside the budget position as detailed in the agenda report.

The Leader, Councillor C Whitbread, emphasised the importance of scrutiny of the draft 2024/25 budget at the Overview and Scrutiny Committee's extra meeting on 12 December 2023, which would be held in private session.

Councillor S Kane asked what the difference was between general reserves and earmarked reserves. Councillor J Philip replied that an earmarked reserve was used on purpose to set aside monies. General reserves were for monies not earmarked,

so these could be used more flexibly. It would be helpful if the Audits had been signed off, but this was not the situation currently.

When Councillor D Wixley asked if more reserves were needed to account for inflation, Councillor J Philip replied that £4 million was the target. Although the Section 151 Officer could raise the target, it was better if this was not raised for next year.

Decision:

- (1) That the Cabinet noted the General Fund revenue position at the end of Quarter 2 (30th September 2023) for 2023/24, including actions being undertaken or proposed to ameliorate the position, where significant variances had been identified (including Appendix A).
- (2) That the Cabinet noted the General Fund capital position at the end of Quarter 2 (30th September 2023) for 2023/24 (including Appendix B).
- (3) That the Cabinet noted the Housing Revenue Account revenue position at the end of Quarter 2 (30th September 2023) for 2023/24, including actions proposed to ameliorate the position, where significant variances had been identified.
- (4) That the Cabinet noted the Housing Revenue Account capital position at the end of Quarter 2 (30th September 2023) for 2023/24 (including Appendix C); and
- (5) That the Cabinet noted the wider position on Financial Performance and Risk at the end of Quarter 2 (30th September 2023).

62. ANY OTHER BUSINESS

It was noted that there was no other urgent business for consideration by the Cabinet.

CHAIRMAN

Agenda Item 8

Report to the Cabinet

Report reference: ***C-017-2023/24***

Date of meeting: ***4 December 2023***



**Epping Forest
District Council**

Portfolio: **Finance and Economic Development Portfolio (Cllr J Philip)**

Subject: **Risk Management**

Responsible Officer: **Andrew Small (asmall@eppingforestdc.gov.uk)**

Democratic Services Officer: **V Messenger (democraticservices@eppingforestdc.gov.uk)**

Recommendations/Decisions Required:

- (1) Cabinet approves the current Corporate Risk Register including whether the risks are appropriately scored.**
- (2) Cabinet considers whether there are any new or emerging risks that are not on the Corporate Risk Register that should be referred to the officer Risk Management Group.**
- (3) Cabinet approves the revised Risk Management Policy and Strategy.**

Executive Summary:

This report gives Cabinet the opportunity to comment on and suggest new risks for inclusion on the Corporate Risk Register or changes to the scoring of existing risks.

The Cabinet is asked to approve the Risk Management Policy and Strategy.

Reasons for Proposed Decision:

To enhance the Council's risk management framework.

Other Options for Action:














None. Formal responsibility for approving the corporate risk register and the risk management policy and strategy lies with Cabinet. Members may suggest new risks for inclusion or changes to the scoring of existing risks.

Report:

1. The corporate risk register was updated by the Senior Leadership Team in October 2023 and was subsequently presented to the Audit and Governance Committee for review and challenge on 30 November 2023.
2. Members are asked to approve the attached updated Corporate Risk Register (Appendix 1), including whether the risks listed are scored appropriately and whether there are any additional risks that should be included in the risk register. Appendices 2a and 2b set out

Council's risk likelihood and impact assessment matrices which are used to determine individual risk scorings.

3. The table below outlines the direction of travel for each risk since it was updated in June 2023.

New risk reference	Risk	Residual risk score Jun 2023	Residual risk score Oct 2023	Direction of Travel
HRA 001	Increase in demand from homeless increasing financial need	16	12	
HRA 002	Building/regeneration programme	16	12	
ECDEV 001	Economic Development	4	4	
CORSER 001	Data/information breach	12	12	
CORSER 002	Lack of and/or inadequate Business Continuity Plans	16	16	
ICT 001	Cyber security (previously titled Risk of a cyber security incident)	16	16	
SUS 001	Climate Change (previously titled Failure to achieve carbon emissions targets)	20	16	
CONT 001	Failure of waste contractor/ service	16	16	
COMP 001	Compliance with social housing regulation	15	15	
FIN 001	Delivering a Balanced Budget and Sustainable Medium-Term Financial Plan	10	15	
FIN 002	Ensuring the continued financial viability of Qualis	12	12	
FIN 003	Maintaining and improving VFM (value for money)	12	12	
PEOPLE 001	Future proofing the workforce	12	12	

4. Members are asked to approve the revised Risk Management Policy and Strategy (Appendix 3) which sets out the Council's approach to risk management and supports the consistent and robust identification, evaluation and management of opportunities and risks across the Council.

Scrutiny Comments:

Resource Implications:

None

Legal and Governance Implications:

Risk Management is an important part of the Council's overall governance arrangements.

Safer, Cleaner and Greener Implications:

None

Consultation / Scrutiny Undertaken:

The Corporate Governance Group and the Audit and Governance Committee have reviewed the corporate risk register and the risk management policy and strategy.

Background Papers:**Risk Management:**

If the Corporate Risk Register was not regularly reviewed and updated, a risk that threatened the achievement of corporate objectives might either not be managed or be managed inappropriately. In addition, new or emerging risks which could threaten achievement of the Council's corporate objectives would not be considered.

Equality:

An Equality Impact Assessment was carried out and there was no significant impact.

Corporate Risk Register- October 2023


Summary Position October 2023

LIKELIHOOD	Almost Certain	5					
	Highly Likely	4				CORSER002 ICT001 CONT001 SUS001	
	Possible	3				HRA001 HRA002 CORSER001 FIN002 FIN003 PEOPLE001	COMP001 FIN001
	Unlikely	2		ECDEV001			
	Negligible	1					
				1	2	3	4
			Negligible	Low	Medium	High	Very High
IMPACT							


Key

- CORSER002- Business continuity arrangements
- ICT001- Cyber security
- CONT001 -Failure of waste contractor/service
- HRA001- Increase in demand from homeless increasing financial need
- HRA002-House building/regeneration programme
- SUS001- Climate change (previously titled Failure to achieve carbon emissions targets)
- COMP001-Compliance with social housing regulations
- CORSER001-Data/ information breach
- FIN002- Ensuring the continued financial viability of Qualis.
- FIN003- Maintaining and improving VFM.
- ECDEV001- Economic Development
- FIN001- Delivering a balanced budget and sustainable Medium-Term Financial Plan (MTFP)
- PEOPLE001 – Future proofing the workforce


Corporate Risk Register- October 2023

RISK REF (ID)	RISK (IF-THEN) - (one line snapshot)	INHERENT LIKELIHOOD	INHERENT IMPACT	INHERENT RISK SCORE	MITIGATION CURRENT CONTROLS	RESIDUAL LIKELIHOOD	RESIDUAL IMPACT	RESIDUAL RISK SCORE	FURTHER ACTIONS REQUIRED	RISK OWNER (Officer & PFH)	COMPLETE OR NEXT REVIEW DATE	STATUS OPEN/ CLOSED	
						TREATMENT STATUS	DIRECTION OF TRAVEL	ACTION OWNER			ACTION DATE		
HRA001	Increase in numbers of homeless households and lack of supply of suitable accommodation could result in adverse financial impact directly affecting the general fund.	5	4	20	<ol style="list-style-type: none"> 1. Senior officers authorise all placements. 2. Entered into a block booking arrangement with a local provider at a reduced cost. 3. Building our own stock. 4. New provision other social housing providers. 5. Taskforce of key staff in place to improve collection rates of charges 	3	4	12		Interim Service Director Housing & Property	Jan 24	OPEN	
	CAUSE - EFFECT (detail narrative)												
Page 14 CURRENT REVIEW DATE Oct-23	We have seen an unprecedented increase in households becoming homeless due to national factors (cost of living and the implications of the Domestic Abuse Act). There is a possible additional risk of increasing numbers locally from the bridging hotels (2 in the district) if they are made to leave without arrangements for rehousing elsewhere being in place.					TREAT			<ol style="list-style-type: none"> 1) Project to improve tenancy sustainment in the private rented sector has been included in the Service Plan for 2023/4. The purpose being to prevent homelessness at an earlier stage. 2) Review the effectiveness of current support to people experiencing domestic abuse and our ability to prevent homelessness. 3) Investigating an Essex wide solution. 4) Exploring with Qualis whether they can assist with TA provision. 		(All) EG	Dec 23	


Corporate Risk Register- October 2023

RISK REF (ID)	RISK (IF-THEN) - (one line snapshot)	INHERENT LIKELIHOOD	INHERENT IMPACT	INHERENT RISK SCORE	MITIGATION CURRENT CONTROLS	RESIDUAL LIKELIHOOD	RESIDUAL IMPACT	RESIDUAL RISK SCORE	FURTHER ACTIONS REQUIRED	RISK OWNER (Officer & PFH)	COMPLETE OR NEXT REVIEW DATE	STATUS OPEN/ CLOSED	
HRA002	Inability to provide adequate new build social housing would result in not meeting the Council's housing targets.	5	4	20	1. Programme-wide risk management schedule is in place. 2. Robust assessment of contractors' ability to undertake role. 3. Ensure contractors are sufficiently insured. 4. Include provisions in contracts to deal with poor performance/failure of contract. 5. Project management of all schemes to ensure effective delivery of the schemes is in place. 6. Involve Planning staff at early stages and throughout. 7. Provide robust feasibility studies.	3	4	12	1. Implementation of sequel to manage cashflows for the schemes. Business case prepared. 2. Monitoring the Phase 5 schemes against the business plan budget, given huge build cost increases and planning is being submitted. 3. Seeking further collaborative working with Qualis and other partners for consideration of joint ventures and other contract mechanisms. 4. Further consideration to the Local Plan for development opportunities. 5. Review of HRA business plan including development schemes underway. Close monitoring of expenditure required. 6. HRA business plan review underway Q3 2023/24 including consideration of development schemes underway	Interim Service Director Housing & Property	Jan 24	OPEN	
CURRENT REVIEW DATE	CAUSE – EFFECT (detail narrative)					TREATMENT STATUS					DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
Oct -23	If the Council fails to implement an asset management strategy to include regeneration, retrofit of existing properties and/or development of new builds for social housing the Council will not be equipped to deal with increased demand for social housing. This will result in adverse financial impact for the Council with pressures for temporary accommodation failure of service delivery and reputational damage.					TREAT						(All) RH	Dec 23


Corporate Risk Register- October 2023

RISK REF (ID)	RISK (IF-THEN) - (one line snapshot)	INHERENT LIKELIHOOD	INHERENT IMPACT	INHERENT RISK SCORE	MITIGATION CURRENT CONTROLS	RESIDUAL LIKELIHOOD	RESIDUAL IMPACT	RESIDUAL RISK SCORE	FURTHER ACTIONS REQUIRED	RISK OWNER (Officer & PFH)	COMPLETE OR NEXT REVIEW DATE	STATUS OPEN/ CLOSED
						TREATMENT STATUS					ACTION OWNER	ACTION DATE
ECDEV001	A failure to deliver projects linked to the council's UK Shared Prosperity Fund (UKSPF) bid, mean that the council will miss out on the benefits linked to £1 million worth of external funding.	4	5	20	1) Strategic Partnerships specialist/Economic Lead responsible for overseeing delivery of various business support programmes to be delivered through economic development team. 2) A full-time officer is working on ensuring that other departments accessing the funds are aware of all the expectations around deploying these. 3) This full-time officer is also responsible for organising quarterly and six-monthly reports back to the UK Government around delivery. 4) Dedicated account manager working with economic development team is aware of key requirements regarding financial returns to government. 5) A process has been set up between the economic development team and the legal and procurement teams, to ensure all contracts for projects are reviewed before sign off.	2	2	4	<ul style="list-style-type: none"> Present to Strategic Leadership Team on the delivery plan. Deliver 2023 programmes, which include the procuring of several business support programmes alongside the completion of the Ninefields Playground which is partially funded through the UKSPF. Conduct quarterly and six-monthly reports highlighting outcomes and outputs associated with UKSPF projects. Understand status of Rural England Prosperity Fund which would bring an added £450,000 worth of extra funding into play in tangent with the existing UK Shared Prosperity Fund programme. Bid submitted but no confirmation of award yet. Continue to build communications channels with neighbouring authorities to understand any changes in UK Government reporting requirements and areas for joint delivery. 	Local Strategic Partnership Manager	Jan 24	OPEN
	CAUSE - EFFECT (detail narrative)									DIRECTION OF TRAVEL		
	i) A lack of staff resource to coordinate the programmes, means that the council is unable to report adequately back to the UK Government on the use of funds. ii) A failure to follow UK Government legal and procurement rules risks the delivery of UKSPF projects. iii) A failure to attend to marketing and communications rules linked to the programme leads to risk of the UK Government withdrawing funding support.					TREAT					DH (all)	Jan 24


Corporate Risk Register- October 2023

RISK REF (ID)	RISK (IF-THEN) - (one line snapshot)	INHERENT LIKELIHOOD	INHERENT IMPACT	INHERENT RISK SCORE	MITIGATION CURRENT CONTROLS	RESIDUAL LIKELIHOOD	RESIDUAL IMPACT	RESIDUAL RISK SCORE	FURTHER ACTIONS REQUIRED	RISK OWNER (Officer & PFH)	COMPLETE OR NEXT REVIEW DATE	STATUS OPEN/ CLOSED
						TREATMENT STATUS	DIRECTION OF TRAVEL	ACTION OWNER			ACTION DATE	
CORSER001	Risk of data held by the Council ends up in inappropriate hands.	4	4	16	1) The Council continues to have a designated SIRO, Data Protection Officer, and FOI Officer. 2) A Strategic Information Governance Group and an Information Asset Owner Group are in place and meet quarterly to monitor breaches and learn lessons where needed. 3) The Information Governance Group 23/24 work programme is in place and is being prioritised and subject to ongoing review by the SIRO, Chief Auditor and DPO quarterly. 4) GDPR & Cyber security e-learning training on Litmos was provided during 2022. Cyber Security - 92.3% completion and GDPR 73.6% completion. People Team review employees who have not undertaken the training. Automated reports are sent to managers. 5) Training is underway with SLT, started on 30 January 2023 is ongoing until March 2024. Quarterly sessions in place for 2023. 6) ICT information Governance policy review completed. 7) Align electronic data to retention and disposal policy. Data cleanse project launch summer 2023 initially focussing on F drives. 8) Microsoft Tenant Audit completed.	3	4	12	1) FOI infographic eLearning on Litmos along with raising awareness communication and data governance will be rolled out during 2023. 2) Data quiz to be circulated. 3) Review of this to be completed. 4) ICT and Information Governance Group to discuss further controls following review of the Microsoft Tenant audit.	Service Director Corporate Services	Jan 24	OPEN
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)					TREATMENT STATUS				DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
Oct-23	Breach of the 2018 Data Protection Act (DPA) and the General Data Protection Regulations (GDPR) leading to significant fines or/and intervention by the Information Commissioner's Office (ICO) • Increased costs and legal implications • Reputational damage to the Council					TREAT					1) PM/ SM/LR	Dec 23
									2) PM/ MKS	Dec 23		
									3) PM/SL	Dec 23		
									4) PM	Jan 24		


Corporate Risk Register- October 2023

RISK REF (ID)	RISK (IF-THEN) - (one line snapshot)	INHERENT LIKELIHOOD	INHERENT IMPACT	INHERENT RISK SCORE	MITIGATION CURRENT CONTROLS	RESIDUAL LIKELIHOOD	RESIDUAL IMPACT	RESIDUAL RISKSORE	FURTHER ACTIONS REQUIRED	RISK OWNER (Officer & PFH)	COMPLETE OR NEXT REVIEW DATE	STATUS OPEN/ CLOSED	
						TREATMENT STATUS	DIRECTION OF TRAVEL	ACTION OWNER			ACTION DATE		
CORSER002	Failure to ensure robust plans are in place for critical services and regularly tested could result in an event occurring having adverse impact on service delivery.	5	5	25	1. There is a well-established MIM process for ICT issues to be managed. 2. All 'office' based employees can work from home. 3. The Council has alternative locations it could work from. 4. BC Plan templates and manager training completed in conjunction with Essex Police BC Team. 5. BCP framework in place. 6. Service BC Plans and BIAs in place.	4	4	16	1. Finalise Corporate BC Plan. Include the role of internal Gold officer and Group also Silver and Bronze response. - 1 st draft completed. 2. For both sets of BC Plans identify specific processes and agreed decisions related to the situation. 3. BC Officer booked to attend specific BC course and take exams.	Service Director Corporate Services	Jan 24	OPEN	
	CAUSE - EFFECT (detail narrative)												
	The Council is required to develop and implement robust Business Continuity Plans in line with the requirements of the Civil Contingencies Act 2004. Failure to do so can result in loss of service delivery. <ul style="list-style-type: none"> Possible loss of income Staff absence Hardship for some of the community Council criticised for not responding effectively 												
	Oct-23 CURRENT REVIEW DATE					TREAT					1) LL 2) LL 3) LL	Dec 23 Dec 23 Dec 23	

Corporate Risk Register- October 2023

RISK REF (ID)	RISK (IF-THEN) - (one line snapshot)	INHERENT LIKELIHOOD	INHERENT IMPACT	INHERENT RISK SCORE	MITIGATION CURRENT CONTROLS	RESIDUAL LIKELIHOOD	RESIDUAL IMPACT	RESIDUAL RISK SCORE	FURTHER ACTIONS REQUIRED	RISK OWNER (Officer & PFH)	COMPLETE OR NEXT REVIEW DATE	STATUS OPEN/ CLOSED
						TREATMENT STATUS	DIRECTION OF TRAVEL	ACTION OWNER			ACTION DATE	
ICT001 Cyber security	Every organisation carries multiple risks in relation to cyber threats and as a government organisation, access to our systems and data is particularly appealing to threat factors. If we do not work to mitigate each angle of exposure, then we are more likely to fall victim to a cyber incident or data breach.	5	5	25	-All data back up now directly to the cloud. -Documented and tested incident management procedures in place. -Mandatory Cyber security training completed by 92% of staff	4	4	16		Joint ICT & Transformation Director	Jan 24	OPEN
	CAUSE - EFFECT (detail narrative)				-People Team notifies ICT of all leavers to ensure access rights are promptly disabled. -Access to the Council's Active Directory domain is protected by robust authentication and password settings. -Firewall appliances have been deployed to protect the Council's network. -Mystery Phishing campaign completed in March 23 -Updated Information Security, Security Breach, ICT Remote Access and ICT Security policies in place. -60% of staff attended Essex Police Cyber training in October 2023 - PSN compliance check, both internal and external completed.							
	Oct-23 The Authority handles a large amount of personal and business data. Either through hacking or carelessness, security of the data could be compromised resulting in: <ul style="list-style-type: none"> • Loss of system access and/or data • Unable to provide Council services • Increased costs • Reputation damaged • Ransomware payment • Corporate fines 					TREAT		<p>1. Microsoft audit has been undertaken across Epping and Colchester and a prioritised action plan will be created to increase our security posture.</p> <p>2. VMware expired Nov 2022 works to purchase parts and implement in progress.</p> <p>3. Additional information sharing and best practice across Essex Councils</p> <p>4. Continued emphasis on educating and supporting colleagues, as human mistakes remain biggest threat</p>		PT (All)	Dec 23	


Corporate Risk Register- October 2023

RISK REF (ID)	RISK (IF-THEN) - (one line snapshot)	INHERENT LIKELIHOOD	INHERENT IMPACT	INHERENT RISK SCORE	MITIGATION CURRENT CONTROLS	RESIDUAL LIKELIHOOD	RESIDUAL IMPACT	RESIDUAL RISK SCORE	FURTHER ACTIONS REQUIRED	RISK OWNER (Officer & PFH)	COMPLETE OR NEXT REVIEW DATE	STATUS OPEN/ CLOSED	
						TREATMENT STATUS	TREATMENT STATUS	TREATMENT STATUS			DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
SUS001	Failure to achieve carbon emission targets will result in not achieving our targets contained within our Corporate Plan and will result in increased costs.	5	5	25	Policy controls: Climate Change Action Plan – overarching document to set actions to meet the 2030 target. Planning policy new development - Local Plan policies on flooding and environmental policies. Sustainability Guidance vols 1-3 covering major and minor development and extensions/refurbishments.	4	4	16	1. Include energy efficiency investment in Housing Asset Management Strategy 50% Stock Condition survey in place containing efficiency data. Plan to complete remaining stock in 2023/24. Additional overlay of efficiency data analysis via organisation called Parity to be commissioned Q3 23/34/ 2.Include energy efficiency investment in operational asset management strategy 3.EV charge points on EFDC land to be part of asset management strategy. 4.Identify EFDC planning staff with required specialist knowledge to oversee carbon emissions and climate considerations. 5.Investigate carbon emissions of non-EV waste fleet at proposed depot. 6.Implement a tree policy to protect against subsidence and building damage. 7. Asset Management Strategy work underway with Ark Consultancy appointed Oct 23, strategy due to be in place early 2024	Chief Operating Officer/ Service Director Planning	Jan 24	OPEN	
	CAUSE - EFFECT (detail narrative)										DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
	The Council declared a climate emergency and has pledged to do everything within its power to make the Epping Forest District carbon neutral by 2030. Areas key to this climate risk are transport including EV charge points, new builds and EFDC's own property, planning for new developments and masterplan areas considering carbon emissions and flood risk, the potential new waste depot and subsidence from trees. If we fail to achieve our targets could result in: <ul style="list-style-type: none"> • Reputational damage • Greatly increased costs from Climate Change Adaptation requirements (flooding, overheating, subsidence from drought, increased insurance claims) 				Transport and Air Quality - Interim Air Pollution Mitigation Strategy – to reduce impacts of pollutants on the Epping Forest Special Area of Conservation (SAC). Air Quality Action Plan – to reduce impact on human health. Other controls: -Climate Change Steering Group set up with officers from across the Council to oversee delivery of the Climate Change Action Plan -Fleet conversion to Electric Vehicles, EV charge points at Civic, Oakwood Hill and North Weald Airfield. -Charge points on EFDC public land. Pilot training Carbon Literacy course for service managers - Net zero training given to planning officers	TREAT					1) SB/DG 2) DG 3)SLJ 4) GC 5) JW 6) MT 7)SB	Nov 23 Nov 23 Nov 23 Nov 23 Nov 23 Nov 23 Feb 24	


Corporate Risk Register- October 2023

RISK REF (ID)	RISK (IF-THEN) - (one line snapshot)	INHERENT LIKELIHOOD	INHERENT IMPACT	INHERENT RISK SCORE	MITIGATION CURRENT CONTROLS	RESIDUAL LIKELIHOOD	RESIDUAL IMPACT	RESIDUAL RISK SCORE	FURTHER ACTIONS REQUIRED	RISK OWNER (Officer & PFH)	COMPLETE OR NEXT REVIEW DATE	STATUS OPEN/ CLOSED
CONT001	Failure of Waste Contractor to deliver service and failure of the Council to determine and implement waste service delivery method by Nov 2024	4	5	20	1. Daily communications with Biffa, keeping members and residents informed. 2. Biffa have agreed a further 2-year pay deal with the GMB and have already managed to recruit an additional 6 drivers who will commence employment shortly. 3. Biffa have invested resources to improve the service delivery in terms of increasing pay, training, and new	4	4	16	1) Biffa have a vehicle repair/replacement plan in place and are applying for planning permission to have a workshop at their depot to maintain the vehicles. 2) Future Waste services project steering group set up and meet fortnightly 3) Planning permission will need to be sought for the new depot. Informal	Service Director Contracts	Jan 24	OPEN
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)					TREATMENT STATUS					DIRECTION OF TRAVEL	ACTION OWNER


Corporate Risk Register- October 2023

Oct-23	<p>1) Failure of Waste Contract Inability of the Council's partnering contractor, Biffa Municipal Limited to provide waste collection services as specified in Contract.</p> <p>2) Failure to procure new Waste Contractor to commence in Nov 2024</p> <p>Consequences:</p> <ul style="list-style-type: none"> • Reputational damage to the Council • Significant additional costs to the Council • Environmental impact – increased rubbish on street, and health issues if waste left out too long before collected. • Ongoing service delivery issues 	<p>vehicles. Additional external waste contractor has been deployed to help deal with the missed collections.</p> <p>4. Cabinet approval for capital and permission to develop an EFDC waste depot at NWA granted in Feb 23.</p> <p>5. Cabinet decision to go out to procurement for the waste contract was agreed in October 2022. Decision was reversed in July 2023 and approved set up of wholly owned company.</p> <p>6. OPS Ltd appointed to project manage Future Waste Services Project.</p> <p>There are 3 workstreams: 1 – Determine the preferred forward arrangements for Waste Collection provision. 2 - Mobilise a waste vehicle facility at NWA. 3 - Procure a Vehicle Fleet</p>	TREAT		<p>meeting with planning taken place. Drawings and layout in development. Pre-planning application to be submitted in October2023.</p> <p>4) Internal Waste workshops have taken place with Cabinet. Report approved by Place scrutiny committee in June and Cabinet in July to determine preferred option for delivery of waste services.</p> <p>5) Waste vehicle specification developed, soft market testing completed, and procurement documents issued to market on 19 October 2023.</p>		JW (all)	Jan 24
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Corporate Risk Register- October 2023

RISK REF (ID)	RISK (IF-THEN) - (one line snapshot)	INHERENT LIKELIHOOD	INHERENT IMPACT	INHERENT RISK SCORE	MITIGATION CURRENT CONTROLS	RESIDUAL LIKELIHOOD	RESIDUAL IMPACT	RESIDUAL RISK SCORE	FURTHER ACTIONS REQUIRED	RISK OWNER (Officer & PFH)	COMPLETE OR NEXT REVIEW DATE	STATUS OPEN/ CLOSED
						TREATMENT STATUS	DIRECTION OF TRAVEL	ACTION OWNER			ACTION DATE	
COMP001 Compliance with social housing regulation	If the Council, is unable to demonstrate compliance with numerous statutory H&S requirements it could face a Regulatory Notice and/or heavy fines. There is also a need to meet Consumer Standards and Consumer Standards as laid out in the Social Housing (Regulation) Bill (2023). If the Council is unprepared, it will face serious reputational damage.	4	5	20	1) All key (Big 6) compliance polices have been adopted through Cabinet in Q1 & Q2 2023/24 2) 50% Stock Condition Survey in place 3) Trance 1 of the Tenant Satisfaction Measures (TSMs) completed September 2023 4) Compliance data available via dashboard for senior management to review monthly. 5) Weekly gas meetings take place monitoring and improving gas compliance. 6) Asbestos Re-Inspection programme completed October 2023. 7) COO is agreed lead on Health and Safety for Housing (as required by the Regulator) 8) The Director for Housing & Property is lead for Consumer Standards. As required by the Regulator.	3	5	15		Interim Service Director Housing and Property	Jan 24	OPEN
						TREAT		1) SB 2) SB 3) SB 4) SB			Mar 24 Apr 24 Jan 24 Aug 24	
Oct -23	CAUSE - EFFECT (detail narrative) In addition to the requirements of the Social Housing Regulator described above there are requirements from the Building Safety Act 2022 and Fire Safety Act 2021. HSE is now the new regulator for building safety and whilst currently applies to 7 storeys and above the intention is to reduce this down to lower storey blocks. Requires a competent person to be formally appointed and 'golden thread' of records and retention of documents. Fire Safety Act 2021 – applies to EFDC from January 2023 and will amend the existing regulatory (reform) Fire safety order 2005. Applies to all buildings not just housing. The Council must self-refer if not compliant. Fire Safety (England) Regulations 2022.											


Corporate Risk Register- October 2023

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FIN001	Failure to maintain a Balanced Budget and Sustainable Medium-Term Financial Plan (MTFP) would breach a legal duty to maintain a balanced budget and could potentially result in the bankruptcy of the Council.	5	5	25	1) The active monitoring and reporting on internal and external factors affecting the MTFP, including the 2024/25 Budget through the established Financial Planning Framework 2) Regular communication of financial position and future prospects to Members (through the Cabinet and Scrutiny process) and senior management (via SLT route).	3	5	15		Strategic Director of Resources (Section 151 Officer)	Jan 24	OPEN
	CAUSE – EFFECT (detail narrative)											
Oct 23	The Council has a legal duty under the Local Government Finance Act 1992 to maintain a balanced budget. Furthermore, Section 114 (3) of the Local Government Finance Act 1988 dictates..." the CFO (Section 151 Officer) of a relevant authority shall make a report under this section if it appears to them that the expenditure of the authority incurred (including expenditure it proposes to incur) in a financial year is likely to exceed the resources (including sums borrowed) available to it to meet that expenditure". The updated Medium-Term Financial Plan (MTFP) 2023/24 to 2027/28 adopted by the Council on 28th February 2023 showed a forecast General Fund budget deficit of £2.389 million for 2024/25, which needs to be eliminated in order to set a balanced budget. The General Fund outturn 2022/23 recorded £1 million deficit (contingency balance now below £4 million min.)					TREAT		1) Maintain (effective) Recruitment Freeze in 2023/24. 2) Develop and deliver Action Plan for balancing 2024/25 Budget. 3) Develop Shared Services Strategy 4) Develop and deliver Transformation Plan (including Shared Services)		AS CH TBC TBC	April – March (23/4) Nov 23 Nov 23 Feb 24	


Corporate Risk Register- October 2023

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FIN002	Failure to ensure the continued financial viability of Qualis represents a major financial and reputational risk to the Council.	3	5	15	1) Quarterly monitoring and reporting on progress against Qualis Business Plan through the established Governance Framework. 2) Quarterly reporting on Council budget position (including Qualis loan margins and other transactions) through Cabinet and Scrutiny process.	3	4	12		Strategic Director of Resources (Section 151 Officer)	Jan 24	OPEN
	CAUSE – EFFECT (detail narrative)				3) Enhanced reporting (with effect from 2023/24 in compliance with December 2021 codes) through Audit & Governance Committee re Capital and Treasury Management strategies (especially on Qualis-related Service and Commercial Investments). 4) Monitoring and reporting on monthly Cash Flow Statement from Qualis.	TREAT			1) Monitor and report quarterly on Qualis-related Council risk exposure.		AS	Dec 23
Oct 2023	<p>The Council's LATCO, the Qualis Group, has had to operate in particularly difficult economic and trading conditions since its inception. This is proving challenging in property development especially, with the recent sharp increase in worldwide interest rates threatening the viability of planned housing and regeneration schemes. In particular, the Council's medium-term income assumptions are dependent on the successful delivery of these schemes through the margins that it makes on on-lending to Qualis.</p> <p>The Council has obtained security wherever possible against its financial commitments to Qualis, so has purposely mitigated risk to a large extent. Nevertheless, in the event that Qualis fails to establish and maintain its financial viability in the medium-term, the Council would potentially suffer significant financial loss, as well as reputational damage.</p>											

Corporate Risk Register- October 2023

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FIN003	A failure to maintain and improve Value for Money (VFM) in the commissioning and delivery of services would potentially jeopardise public funds and cause the Council significant reputational damage.	4	5	20	1) Quarterly performance monitoring and reporting through established Cabinet and Scrutiny progress. 2) Ad hoc scrutiny of Qualis service-delivery performance.	3	4	12		Strategic Director of Resources (Section 151 Officer)	Jan 24	OPEN
	CAUSE – EFFECT (detail narrative)											
Oct 2023	<p>The Council is a Best Value authority under the Local Government Act 1999 and is under a general Duty of Best Value, which requires it to “make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness” (an optimal balance thereof representing “Value for Money”).</p> <p>The Council’s Duty of Best Value is further reflected in Sections 20 and 21 of the Local Audit and Accountability Act 2014, which require (external) auditors to be satisfied that the Council “has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources”.</p> <p>The Council is redesigning service delivery arrangements in a range of areas (including the transfer of some services to Qualis), so has to ensure that the Duty of Best Value continues to be met.</p>					TREAT		1) Ensure protection of taxpayers’ interests in Grounds Maintenance contract from 2023/24. 2) Ensure protection of taxpayers’ interests in Commercial Assets contract from 2023/24. 3) Further develop, monitor and report on VFM metrics, including benchmarking and ‘baselining’ services prior to outsourcing. 4) Benchmark Housing Maintenance contract performance against industry standards. 5) Complete VFM assessment of Housing Maintenance contract based on 2022/23 performance.		AS AS AS JG AS	Nov 23 Nov 23 Nov 23 Jul 23 Jul 23	

Corporate Risk Register- October 2023

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PEOPLE001 Future proofing the workforce	The Council is facing significant pressures with not having the right skills, behaviours, productivity and capacity in place to deliver services to our residents and deliver the Corporate Plan 2023-27.	4	5	20	1. People Strategy 2020/22 in place that recognises the importance of attraction & retention, employee development, supports our new ways of working and engagement with employees and trade unions, and wellbeing support. 2. A successful Apprentice Scheme which maximises expenditure of the Apprenticeship Levy 3. Well established hybrid/flexible ways of working 4. Leadership development programmes 5. A dedicated L&D (Learning and Development) budget and team 6. Partnership working/shared services other authorities and public services which offers potential career, specialist, and personal development. 7. Officers involved in a range of Essex wide groups discussing attraction and recruitment to wider Essex. 8. People Strategy 2023/27 in place.	3	4	12	1. Service workforce development plans become an element of our Service Planning Process 2. Shared services in discovery phase.	Service Director – Corporate Services	Jan 24	OPEN
CURRENT REVIEW	CAUSE - EFFECT (detail narrative)					TREATMENT STATUS				DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
Oct-23 Page 27	The Council requires a highly skilled and motivated workforce to deliver the Corporate Plan and services to our residents. Public services are facing challenging times regarding; <ul style="list-style-type: none"> ▪ financial restraints ▪ cost of goods and services for employees and employers ▪ tight labour markets ▪ increasing trade union unrest The Council needs to attract, recruit, and retain a workforce that can meet these challenges whilst meeting high standards of delivery					TREAT					1) JB/CG	Dec 23

LIKELIHOOD ASSESSMENT

Score	Description	Probability of Occurrence	Likelihood of Occurrent
1	Highly unlikely	The event may occur only in rare circumstances (remote chance) 0-2% chance it will occur	1 in 8 plus years
2	Unlikely	The event may occur in certain circumstances (unlikely chance) 3- 10% chance it will occur	1 in 5- 8 year period
3	Possible	The event may occur (realistic chance) 11 - 20% chance it will occur	1 in 2 - 5 year period
4	Highly Likely	The event will probably occur (significant chance) 21 - 80% chance it will occur	1 in 1 - 2 year period
5	Almost Certain	The event is expected to occur or occurs regularly More than 80% chance it will occur	Up to 1 within 1 year

IMPACT ASSESSMENT

	1	2	3	4	5
	Negligible	Low	Medium	High	Very High
Financial	No or very minor loss that is unlikely to have an impact on ability to deliver services.	Loss of a scale that would have a minor impact on ability to deliver some services. Loss/overspend under £50K - or contained within Section/Team	Loss of a scale that would noticeably impact on ability to deliver some services. Loss/overspend £50K - £250K or contained within the Directorate	Loss of a scale that would significantly impact on ability to deliver services. Loss/underspend £250K - £1m Budget adjustments across Directorates	Loss of a scale that would threaten the ability to continue to deliver services. Loss/underspend over £1m - Corporate budget realignment
Service Delivery	No impact to the quality and effectiveness of Service Delivery, all demand for Services can be met and can be delivered in a sustainable manner	Minor impact to the quality and effectiveness of Service delivery but not resulting in disruptions, minor impact to strategic partnerships, ability to meet nearly all demand for Services and with minimal environmental impact.	Moderate impact to the quality and effectiveness of Service delivery resulting in short term disruptions limited to a single service, moderate impact to strategic partnerships. The majority of demand for most Services can be met and delivered with no environmental impact. Moderate impact on achievement of one or more objectives	Major impact to the quality and effectiveness of multiple Services and long term disruptions resulting in required standards, including environmental standards not being met. More than one strategic partnership affected. Demand cannot be met for some key services (e.g. waste) Impact on achievement of a key target(s)/objective(s)	Catastrophic impact to the quality and effectiveness of Service delivery for high number of key Services and key required standards including environmental standards are consistently not met. All strategic partnerships are significantly affected with long term adverse impacts and demand cannot be met for key Services. Catastrophic impact on achievement of several key targets/objectives
Reputation	No customer awareness and contained internally within the Council and no complaints received. No or insignificant impact on relationships with Strategic Partners. No adverse publicity	Contained within Directorate or minor customer awareness. No media concerns. Low level of complaints received from the community and minor impact to some strategic partners	Limited local public and media concern with "short lived" local coverage. Moderate level of complaints received from the public/customers and strategic partners moderately impacted.	Significant regional public ad media concern with the potential to escalate to national coverage. Significant level of complaints received from the public/customers and strategic partner adversely impacted.	Sustained national public and media coverage resulting in long term adverse impacts for the Council. Significant levels of complaints received wider than the District. Strategic partners experience long term catastrophic impacts.
Compliance/Regulatory/Legal	No legal proceedings brought against the Council and EFDC is compliant with all required policies and procedures.	No legal proceedings brought against the Council but minor breaches to some policies and procedures have occurred	The Council is subject to a low number of legal proceedings and some policies and procedures have been breached. Moderate breaches of regulations and standards with financial penalties involving Ombudsman and/or regulators	The Council is subject to a significant number of legal proceedings which are likely to be successful. A number of policies and procedures have been breached by a significant number of EFDC staff. Moderate sanctions by the Regulator	The Council is subject to high profile legal proceedings which is likely to be successful. There has been organisational breaches of all major policies and procedures which will in turn likely to further legal proceedings or sanctions from regulators
Health & Wellbeing of EFDC Staff	No work related fatalities and no adverse impact on staff health and wellbeing. Insignificant impact to staff morale and engagement.	No work related fatalities but potential impact on staff health and wellbeing (e.g. short term absence and sickness rates). Minor impact to staff morale and engagement. There is a diverse workforce where the majority of staff feel equal and included	No work related fatalities but significant impact on staff health and wellbeing (e.g. longer term absences/sickness) Increased numbers of vacancies. Minor impact to staff morale and engagement. Not all staff feel equal and included.	Potential work related fatalities or serious injury. Significant impact on staff and wellbeing, significant impact to staff morale and engagement. Short to medium terms implications with culture the workforce lacks diversity and a significant number of staff are made to feel unequal/excluded	Work related fatalities or multiple serious injuries and staff are affected across all Services. Long term impact to staff morale and engagement and sustained impact to EFDC culture. The workforce lacks any diversity at all and the majority of staff feel unequal/excluded
Partnership/key contractor (objectives/ deadline)	No impact on partnership.	Breach of contract with significant stakeholder Minimal impact on Partnership	Breach of contract with significant stakeholder. Adverse effect on partnering arrangements	Significant impact on Partnership/key contractor or most of expected benefits fail.	Complete failure/breakdown of partnership or key contractor with failure of achieving fundamental objectives
Community health and wellbeing	No impact on the health and wellbeing on the community. No individuals are at risk of physical or mental harm	Minor impact on the health and wellbeing of the community. Low level of individuals are at risk of physical or mental harm and communities are largely unaffected. Minor increase in high street vacancy rate up to 3 months. Minor increase in unemployment up to 3 months. Minor increase in homelessness	Moderate impact to the health and wellbeing of the community. Some individuals are at risk of physical or mental harm and specific communities are adversely impacted. Moderate increase in high street vacancy rate 3-6 months. Moderate increase in unemployment between 3 - 6 months. Failure to support delivery technology resulting in areas 'left behind' unable to embrace change. Moderate increase in homelessness 3 - 6 months period	Major failure to protect the health and wellbeing of the community and physical and mental harm to a high number of individuals is impacted. Communities are unable to thrive. Noticeable increase in high street vacancy rate 6-12 months. Noticeable long term increase in unemployment between 6 - 12 months impacting social services and deprivation. Noticeable long term increase in homelessness between 6 - 12 months.	Catastrophic failings to protect the health and wellbeing of the community. Almost all communities experience physical or mental harm and suffer long term adverse impacts. Significant increase in high street vacancy rate to over the UK National average greatly impacting high street viability. High increase in unemployment level impacting social deprivation with continued rise of unemployment for more than 12 months. High increase in homeless for longer than 12 months.
Environment and/or Public Health	Near miss or resolved without adverse impact	Short term local impact. No lasting detrimental effect on the environment or the community e.g. noise, fumes, dust etc	Moderate impact to the local environmental or social impact	Long term environmental or social impact such as a chronic and/or significant discharge of pollutant	Extensive long term impact. Major public health/environmental incident or loss of significant community facility

**Risk Management Policy & Strategy
2023 – 2024**



Author: Karen Dawson Insurance Specialist	20 April 2023
Policy & Strategy Owner	Andrew Small, Section 151 Officer
Version 1	Next review date April 2024

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Forward

Epping Forest District Council has a Corporate Plan “Your Epping Forest Our Plan 2023 – 2027”. Robust risk management practices are essential for managing the risks associated with achieving our ambitions and delivering our Corporate Plan objectives. To achieve our desired outcomes, management of risk should be integral to our culture.

Epping Forest District Council has seen, and will continue to see, unprecedented changes not only in its funding arrangements, but the way services will be delivered. Such changes will lead to new risks (Corporate, Service, Projects, Shared Services and Partnerships), which will need to be considered and managed appropriately. The Council will respond to such uncertainty as detailed in our Risk Management Policy and Strategy. .

The Council accepts that risks cannot always be totally eliminated. The purpose of the Council’s Risk Management Policy & Strategy is to support the development of a consistent approach to identifying, evaluating and managing risk, ensuring that all reasonable steps are taken to mitigate risks and maximise opportunities, and that the level of risk accepted is balanced against the expected reward.

The management of risk is an essential component of performance management and underpins good governance. Risk management is a key component of corporate governance in maintaining a strong control environment. Risk management must be embedded throughout the Council if it is to make sustained improvement.

Formally incorporating risk management into day-to-day management practices and processes increases the focus on what needs to be done (and not done) to meet objectives and improve performance.

Our approach to risk management provides easy to follow guidance on identifying and managing risks.

Andrew Small

Strategic Director and S151 officer

Epping Forest District Council

1. Risk Management Policy

1.1. Policy Statement

The Council recognises that an element of risk taking is essential if it is to realise opportunities, thrive and meet its objectives. As such the Council policy is to be:

“risk aware rather than risk averse by embedding the identification, evaluation and management of risk across all aspects of the Council at different levels to support the achievement of the Council’s objectives”.

Nationally there is a statutory requirement for risk management within the Accounts and Audit Regulations 2015, which states *“a relevant authority must ensure that it has a sound system of internal control which includes effective arrangements for the management of risk”.*

This is supported by the CIPFA (Chartered Institute of Public Finance and Accountancy)/SOLACE (Society of Local Authority Chief Executives) Delivering Good Governance guidance (2016). The guidance defines the principles that should underpin the governance of each local government organisation. One of these principles is around implementing robust and integrated risk management arrangements and ensuring that they are working effectively. Additional sector guidance is provided by the International and British Risk Management Standard (BS ISO 31000).

1.1.1. The Council’s risk management objectives are to:

- Integrate risk management into the culture of the Council adopting a ‘no blame’ approach using lessons learnt.
- Manage risk in accordance with good practice and sound governance practices.
- Anticipate and respond to changing social, economic, political, environmental, legislative and technological requirements.
- To provide early warning on key and emerging matters, to promote transparent, openness, timely decision making and intervention at appropriate levels.
- Raise awareness using a collaborative supportive approach and provide training on a rolling programme basis across the Council including Members, thus truly embedding within day-to-day decision making, business practices and processes.

1.1.2. These objectives will be achieved by:

- Establishing clear roles and responsibilities and reporting lines within the Council for risk management, making clear that everyone should take ownership of risk management.
- Incorporating risk management considerations in the strategic planning and decision making of the Council. To ensure that all Members and Officers make effective decisions to meet their objectives and to safeguard the Council’s assets.
- Incorporating risk management considerations into all levels of decision making, business planning and service delivery for effective decisions to be

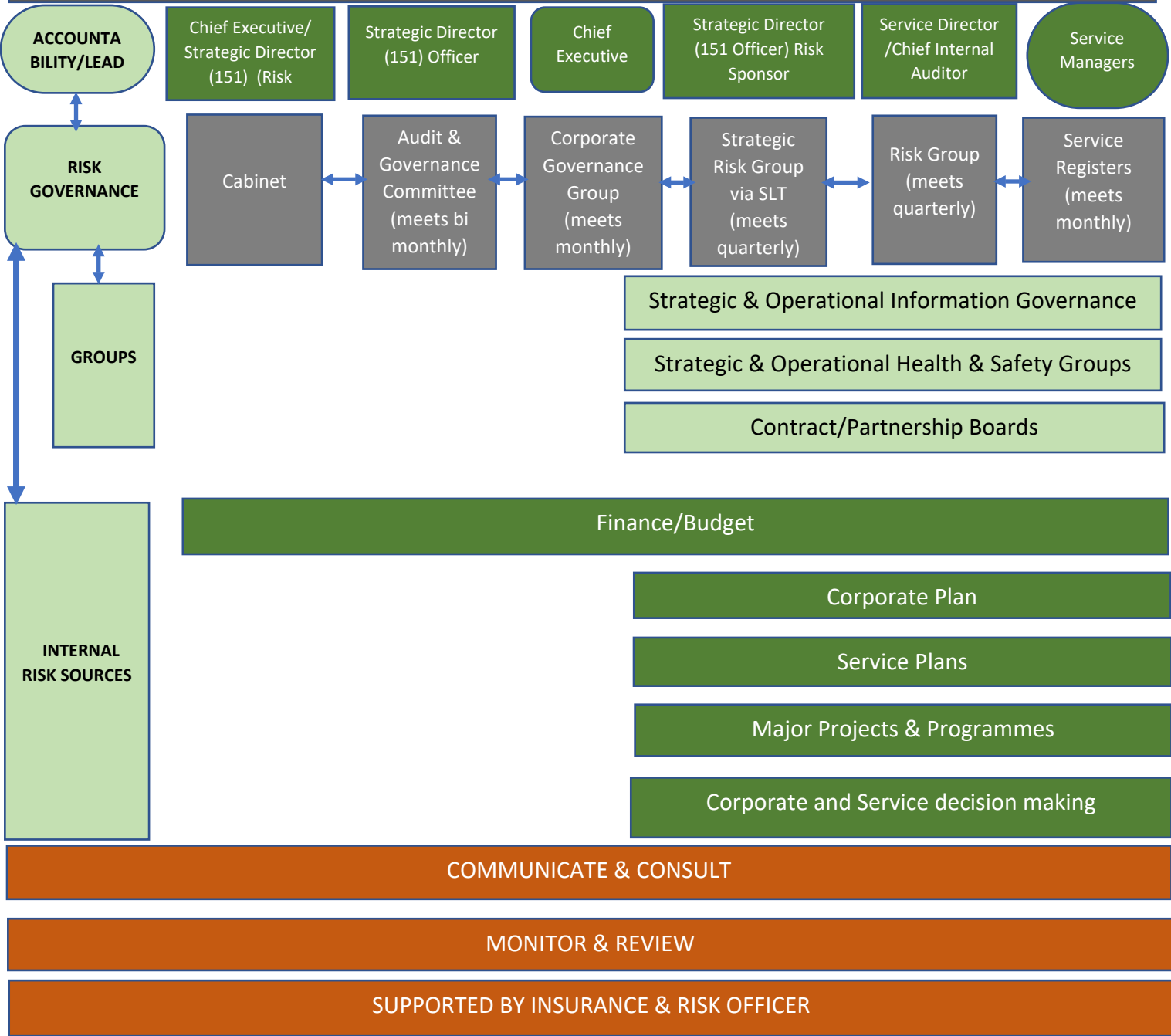
made based on a sound understanding of the risks and opportunities the Council face.

- Providing opportunities for shared learning on risk management across the Council and with Partner organisations.
- Providing a framework for allocating resources to identified priority risk areas.
- Ensure risk management practices are dynamic in order to capture and anticipate emerging risks and to be able to assess the trade-off between risk and opportunity.
- For risk registers to be live documents at strategic, operational and project levels; regularly updated, maintained and challenged as part of business as usual.
- To take actions, where appropriate, to minimise the likelihood of risks occurring and/or reducing the severity of consequences should risks occur.
- To ensure that risks are monitored on an ongoing basis by Senior Management and reported to Members.

2. Risk Management Approach

- 2.1. Our approach to risk management supports the consistent and robust identification, evaluation and management of opportunities and risks across the Council. The Council's approach to risk management (**figure 1**) supports openness, challenge and innovation in the achievement of objectives.

RISK MANAGEMENT APPROACH



(Figure 1 – EFDC approach to risk management)

3. Risk Management Strategy

3.1. What is risk? What is risk management?

- 3.1.1. Risks are significant uncertainties or missed opportunities that may affect the Council's ability to achieve both its strategic and operational objectives as outlined in its Corporate Plan.
- 3.1.2. Risk management is the planned and systematic process by which key risks are identified, evaluated and managed in order to maximise opportunities and minimise potential negative consequences to the Council, to ensure we meet our objectives and desired outcomes.

3.2. Benefits of Risk Management

- 3.2.1. Without good risk management practices fully embedded across the Council at all levels, the Council cannot manage its resources effectively, will fail to achieve its corporate objectives and fail to deliver to the community as outlined in the Corporate Plan. Risk Management is not just about avoiding or managing adverse impacts but also taking advantage of the opportunities to improve services, reduce costs and optimise the use of resources.
- 3.2.2. Effective risk management is a live, ongoing process. The Council is fully committed to developing a culture where risk is appropriately and effectively managed and by embedding strong risk governance the following benefits can be realised:

Improvement/Opportunities	Examples
Improved Strategic Management	<ul style="list-style-type: none"> • Sound system of corporate governance • Confidence in the rigour of the Annual Governance Statement • Greater ability to deliver against objectives • Informed decision making
Improved Operational Management	<ul style="list-style-type: none"> • Delivery of change management and organisational change • Reductions in interruptions to service delivery • Improved prevention of fraud, bribery and corruption • Reduction of waste of resource and reduced leakage
Improved Financial Management	<ul style="list-style-type: none"> • Better informed financial decision making • Enhanced financial control • Reduction in insurance premiums and claim related costs • Reduction in financial costs • Increase in revenue opportunities
Improved Customer Service	<ul style="list-style-type: none"> • Minimise service disruption to Customers • Reduce risk of adverse media coverage and loss of reputation

3.3. Embedding Risk Management

3.3.1. To ensure risk management is truly embedded across the Council it should form part of all plans, reports, business cases and decision making. It should be incorporated as part of business as usual activities i.e. in everything we do.

3.3.2. There are a number of ways to implement and support a strong risk culture including:

- Set and maintain the correct risk culture at Executive Team and Senior Leadership level
- Educate employees and Members of the importance of the Risk Management Policy & Strategy
- Employees at all levels to understand their responsibilities in managing risks
- Develop, implement and maintain an efficient risk management process
- Recognise and reward good risk behaviour

4. Key Roles & Responsibilities

4.1. To ensure risk management is effectively implemented, all Council Members and Officers should have a level of understanding of the Council's risk management approach and regard risk management as part of their responsibilities:

Responsible Body	Role	Monitoring Period
Executive Team	Ultimate responsibility to ensure the effectiveness for Risk Management , Policy and Strategy remains relevant	Quarterly
Senior Leadership Team	<ul style="list-style-type: none"> • All strategic risks are robustly managed and reviewed in line with the Council's Risk Management Policy & Strategy • Directorate risks are escalated for inclusion onto the Corporate Risk Register • Responsible for the effective leadership and management of risk in their service areas to meet business objectives and outcomes 	Ongoing/Quarterly
Elected Members including the Audit & Governance Committee	Constructively review, scrutinise and challenge the risks involved in delivering the Council's core purpose, priorities and outcomes	Quarterly (in line with Committee cycles)
Insurance & Risk Officer	<ul style="list-style-type: none"> • Design and facilitate the implementation of a Risk Management , Policy & Strategy. • Act as a centre of expertise providing support and guidance. • Collate risk information and prepare reports where necessary. 	Ongoing/Quarterly

	<ul style="list-style-type: none"> • Provide advice that risks are being effectively assessed and managed • Provide guidance to Officers and Members, and identify opportunities for workshops and training. • Highlight to SLT exceptions, cross cutting trends and themes for consideration 	
Service Directors, Service Managers and Team Managers	<ul style="list-style-type: none"> • Up to date Directorate risk registers are maintained and identify cross cutting risks, which impact on the achievement of directorate objectives • Service level registers are maintained and reviewed and any cross cutting risks are escalated onto the Directorate risk register. • Identify and manage operational service risks • Promote risk aware culture • Implement risk improvement recommendations within service departments 	Ongoing/Quarterly
All Employees	<ul style="list-style-type: none"> • All staff have a duty to consider the risks to the achievement of their day to day objectives and notify managers of any threats or opportunities which could hinder or enhance working practices. • Participate fully in risk workshops and action planning as appropriate • Attend training and awareness sessions as appropriate 	Ongoing
Chief Internal Auditor/Internal Audit	<ul style="list-style-type: none"> • Provide independent assurance of the Council's risk management arrangements, reporting on the efficiency and effectiveness of internal controls. • Promote risk management as part of good governance. 	Ongoing/Annual

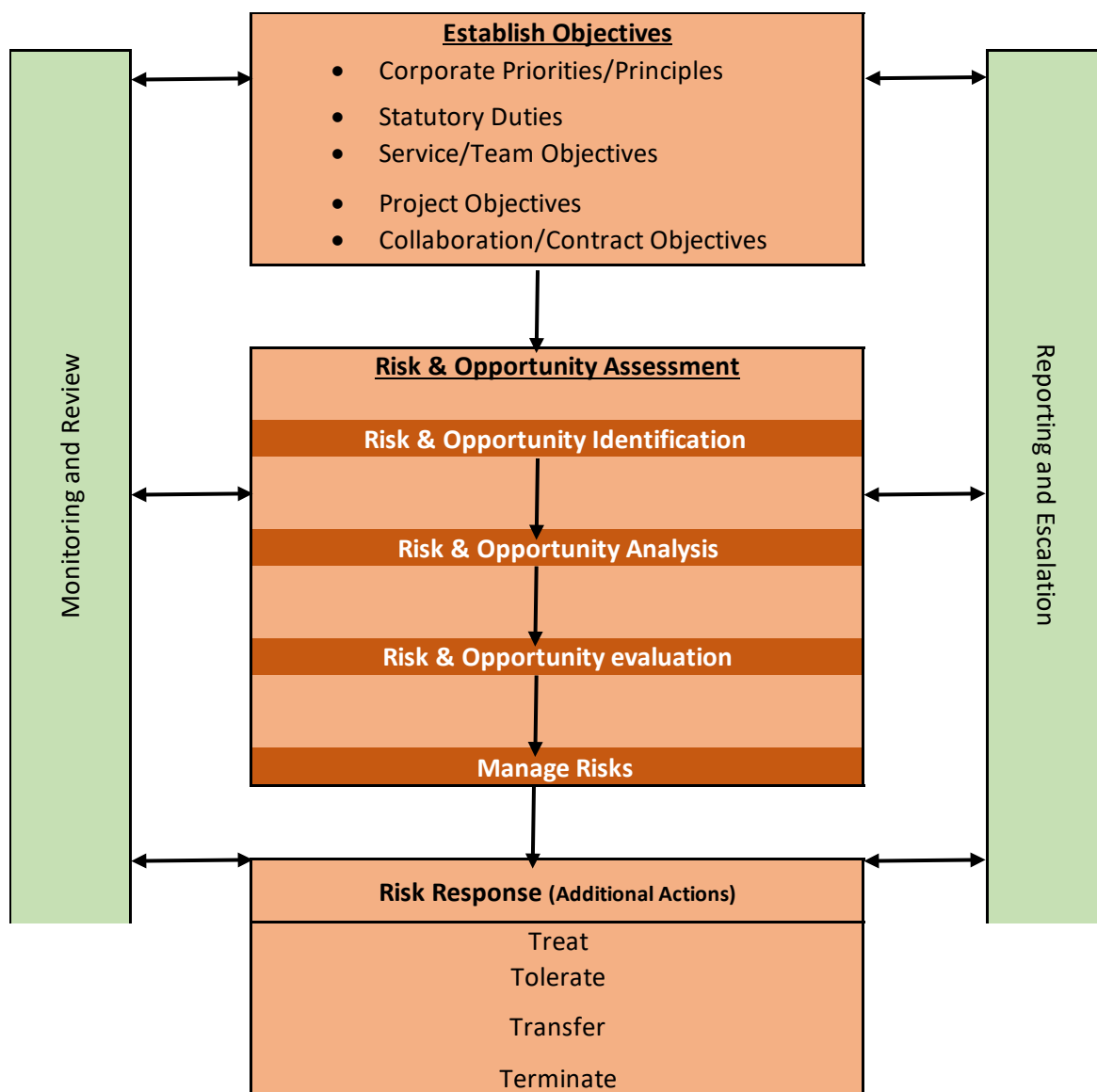
5. Training and awareness

5.1. The Insurance & Risk Officer and Internal Audit will contribute in developing workforce risk management capability across the organisation. This will be achieved through the provision of guidance, education, training and support. The existing suite of guidance materials includes:

- Risk management Policy & Strategy 2023 – 2024
- Risk management Guidance and toolkit

- 5.2. All risk management training materials are available on the insurance & risk page of the Council's intranet.
- 5.3. The Risk Management Policy & Strategy is reviewed annually and approved by the Audit and Governance Committee. Guidance and training materials are reviewed on a regular basis to ensure they continue to meet the needs of the organisation and incorporate the latest industry best practice.

6. Risk Management Process



(Figure 2 diagram risk management process)

- 6.1. The process should be iterative and fluid and should not be seen as an end to end process. The process should be integrated into all decision making, business case proposals, seeking approvals for change and new initiatives. The risk registers are part of risk management tools and their purpose is to assist directors and managers in managing their risks through every day business activities.
- 6.2. Significant risks identified outside the frequency of reporting requirements should be escalated to the relevant Director/Manager at the earliest opportunity to ensure that actions to mitigate the risk can be implemented in a timely manner.

- **Step 1 – Establishing objectives**
In order for the management of risks and opportunities the first place to start should be to establish the strategies and objectives which underpin the Corporate Plan, Directorate and Service Plans, Projects and Programmes.
- **Step 2 – Identify the risks & opportunities**
 - i) The purpose is to generate a comprehensive, up to date, easy to understand list of risks that are relevant to Corporate/Strategic, Directorate and Service Plan delivery as well as Corporate projects and programmes. These risks could have an adverse affect or result in missed opportunities in achieving the Council’s objectives and desired outcomes.
 - ii) Corporate risks are the key risks faced by the Council. By definition they will be of a cross cutting nature, have an impact on the delivery of one or more Council objectives/priorities and/or have a potentially significant financial impact if they were to crystallise.
 - iii) Nominations of proposed new corporate risks will be discussed at the quarterly SLT meetings and if agreed will be presented to the Executive Team for approval.

Ways of identifying risks is to:

- i) Undertake risk assessment exercises as a Senior Leadership Team, Directorate Management Teams, Service Management Teams and Project Management Teams.
- ii) Horizon scanning to identify emerging risks that are either coming from external factors such as Climate Change, Government changes in policy, legislation and regulatory. Events experienced at both local and national level, as well as exploring with peers to consider the risks or adverse incidents that have been experienced by others in other local authorities.
- iii) Measuring current performance and identifying any weaknesses
- iv) Ensure that all relevant available information and expertise is utilised to make informed decisions and identify any risks that remain.

Ways of identifying opportunities is:

- i) Changes in external environment such as government funding arrangements
- ii) Commercial opportunities within the District
- iii) Shared service opportunities
- iv) Innovative new ways of working and investing in new technologies

- **Step 3 – Analyse and evaluate the risk**

Once identified risks need to be analysed, evaluated and prioritised for treatment. Risks are evaluated through a combined assessment of:

- ❖ **Likelihood** - How likely is the risk to occur
- ❖ **Impact** – The extent of the impact or consequences should the event occur

A 5 X 5 scoring matrix set out in **(Figure 5 below)** is used to undertake the assessment of 'likelihood' and 'impact' to ensure the risks are scored/rated in a consistent way. This allows risks to be plotted on the matrix, which is a visual tool used to illustrate and compare risks.

The matrix/heat map enables the Council to prioritise the risks to ensure the allocation of resources is optimised. The greater the risk, the more effort will be required to manage it where it is within our control.

During this process the risk rating will need to be determined for the inherent risk and residual risk.

- i) The first measurement is to score the inherent risk. This is the potential likelihood and impact of a risk materialising, assuming no controls at all are in place.
- ii) Once the inherent risk has been scored any current controls that are in place to help manage the risk should be identified. The scoring should then be undertaken again and any reduction in the likelihood and impact scores will give the residual/current score of the risk.

It is essential that any controls that are being relied upon to manage risks are effective and working as intended.

The Council has predetermined 'likelihood' and 'impact' criteria to ensure consistency in scoring as set out below.

Likelihood Criteria – measures the probability of an occurrence materialising over a 1 year period **(see figure 3 below likelihood assessment)**

LIKELIHOOD ASSESSMENT

SCORE	DESCRIPTION	PROBABILITY OF OCCURRENCE	LIKELIHOOD OF OCCURRENCE
1	Highly unlikely	The event may occur only in rare circumstances (remote chance) 0-2% chance it will occur	1 in 8 plus years
2	Unlikely	The event may occur in certain circumstances (unlikely chance) 3- 20% chance it will occur	1 in 5- 8 year period
3	Possible	The event may occur (realistic chance) 21 - 50% chance it will occur	1 in 2 - 5 year period
4	Highly Likely	The event will probably occur (significant chance) 51 - 80% chance it will occur	1 in 1 - 2 year period
5	Almost Certain	The event is expected to occur or occurs regularly More than 80% chance it will occur	Up to 1 within 1 year

(Figure 3 – Likelihood assessment)

Impact Criteria – measures the extent of impact on key areas that could affect the achievement of our objectives (*see impact assessment below figure 4*)

IMPACT ASSESSMENT

	1	2	3	4	5
	Negligible	Low	Medium	High	Very High
Financial	No or very minor loss that is unlikely to have an impact on ability to deliver services	Loss of a scale that would have a minor impact on ability to deliver some services. Loss/overspend of under £50K or contained within Service Area	Loss on a scale that would noticeably impact on ability to deliver some services. Loss/overspend £50K - £250K or contained within the Directorate	Loss on a scale that would significantly impact on ability to deliver services. Loss/overspend £250K - £1m. Budget adjustments across Directorates	Loss on a scale that would threaten the ability to continue to deliver services. Loss/overspend over a £1m. Corporate budget realignment
Service Delivery	No impact to the quality and effectiveness of service	Minor impact to the quality and effectiveness of service delivery	Moderate impact to the quality and effectiveness of	Major impact to the quality and effectiveness of multiple	Catastrophic impact to the quality and effectiveness of

	delivery. All demand for services can be met and be delivered in a sustainable manner	but not resulting in disruptions, minor impact to strategic partnerships. Ability to meet nearly all demand for services and with minimal environmental impact	service delivery resulting in short term disruptions to a single service, moderate impact to strategic partnerships. The majority of demand for most services can be met with no environmental impact and moderate impact on achievement of one or more objectives	services long term disruptions resulting in required standards including environmental standards not being met. More than one strategic partnership affected. Demand cannot be met for some key services. Major impact in achievement of key objectives	service delivery for high number of key services and key standards are consistently not met. The majority of strategic partnerships are significantly affected with long term adverse impacts. Demand cannot be met for majority of key services. Catastrophic impact on the achievement of key objectives
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(Figure 4 – Impact Assessment)

A 5 X 5 scoring matrix set out in **(Figure 5 below)** is used to undertake the assessment of ‘likelihood’ and ‘impact’ combined to ensure the risks are scored/rated in a consistent way. This allows risks to be plotted on the matrix, which is a visual tool used to illustrate and compare risks.

The matrix/heat map enables the Council to prioritise the risks to ensure the allocation of resources is optimised. The greater the risk, the more effort will be required to manage it where it is within our control.

Likelihood and Impact depicted as a 5 X 5 Matrix with associated key

5 X 5 IMPACT and LIKELIHOOD MATRIX							
L I K E L I H O O D	Almost Certain	5	5	10	15	20	25
	Highly Likely	4	4	8	12	16	20
	Possible	3	3	6	9	12	15
	Unlikely	2	2	4	6	8	10
	Negligible	1	1	2	3	4	5
				1	2	3	4
			Negligible	Low	Medium	High	Very High
			IMPACT				

Key:

Severe	Immediate control improvement to be made to enable business goals and service delivery maintained improved
Material	Close monitoring to be undertaken and cost effective control improvements sought to ensure service delivery is maintained
Tolerable	Regular review to maintain effective controls, low cost control improvements sought if possible
To be Removed/newly arrived	Risks now fully manageable to be removed from the register as BAU (Business As Usual). Potential new risks identified requiring monitoring and review

(Figure 5 – 5 X 5 Matrix – likelihood and Impact and key)

- **Step 4 – Manage mitigate/treat risks**
Once the risk and current controls have been identified, prioritisation scoring has been completed, then the options for managing/mitigating the risk are:

The 4 T's	Description
Terminate	Cease the activity or proposed change as risks deemed too high when compared to expected rewards
Tolerate	The risk is not within the Council control, or the risk attracts a low score/green which the Council is prepared to accept
Treat	Identify actions that will reduce the likelihood and impact scoring or modify the activity to reduce the scoring.
Transfer	External Insurer or other Third Party

- **Step 5 – Reporting**

Reporting of risks should provide senior management and Members with assurance that key risk exposures have been identified, evaluated and effective controls have been implemented. Senior Leadership Team is accountable for strategic risks and each Service Director is accountable for monitoring the risks within their service. Risk information is reported quarterly to the Senior Leadership Team and regularly to Audit and Governance Committee.
- **Step 6 – Monitor/Review**
This is a key stage of the process and should happen on a continuous basis as part of normal business activities. Monitoring and review of our risks should be integrated into our normal business activities and not added to agendas once a quarter. Monitoring of strategic risks is undertaken by the risk owner with quarterly reviews by the Senior Leadership Team. Monitoring of service risks should be undertaken through regular management team meetings overseen by the Service Director.

7. Further Actions

- 7.1. To create a risk management group that will be represented by risk champions covering all directorates and service areas, which will be responsible for:
- Developing and co-ordinating a process for the effective monitoring of risk management arrangements across the Council
 - Supporting the embedding of the corporate approach through dissemination and escalation
 - Challenging directorate assessments of compliance within the framework by reviewing supporting evidence
 - Contributes towards the development of a framework in which partnerships can demonstrate adequate risk management arrangements and reporting and escalation processes
 - Developing, maintaining and implementing the corporate project risk management approach
 - Appraising Service Directors on how well the directorates have performed in embedding risk management into key management processes
 - To develop a risk assessment/criteria for Officers to use when seeking approval from Members which will enable Members to be satisfied that risks have been appropriately identified and will be managed
 - Develop a reporting mechanism for highest scoring Corporate Risks to be included within the Finance performance report that goes to Cabinet quarterly.
 - Longer term - formally define the Council's risk appetite

8. Risk Management links

- 8.1. The following documents are linked to the wider Risk Management Framework:
- Local code of Corporate Governance and Annual Governance Statement
 - Treasury Management Risk Strategy

Report to the Cabinet

Report reference: C-030-2023-24

Date of Meeting: 04 December 2023



**Epping Forest
District Council**

Subject: Implementation of the Local Plan
Responsible Officer: Nigel Richardson (01992 564110)
Democratic Services: Vivienne Messenger (01992 564265)

Recommendations/Decisions Required:

- (1) That the progress of Strategic Masterplans and Concept Frameworks, including the use of Planning Performance Agreements and the progress of proposals at pre-application and application stage be noted (see Appendix A);**
- (2) That the Infrastructure Funding Statement 2022/2023 (see Appendix B) is agreed for online publication by 31 December 2023.**

Executive Summary

Following the October 2018 Cabinet meeting which agreed the governance arrangements for the implementation of the Local Plan, the Policy and Implementation Team made a commitment to provide members with regular updates on the progress of Masterplans and Concept Frameworks within Epping Forest District to ensure that members are kept fully up to date.

This report is prepared by the Policy and Implementation Team to provide members with an update on the progress of Local Plan implementation in relation to the Strategic Masterplans, Concept Framework Plans and Planning Performance Agreements (PPAs) within the District, including major projects and planning applications dealt with by the team.

Regarding Strategic Masterplans scheduled meetings and workshops continue to take place with site promoters and developers in accordance with project plans agreed within PPAs.

In addition, this report provides the annual Infrastructure Funding Statement (IFS). Appendix B sets out the proposed Infrastructure Funding Statement for the District for 2022/2023. The IFS applies to financial year 2022/2023 and sets out s106 legal agreements completed in that year, the types and values of contributions included in the agreements and the monies paid to the Council.

Reasons for Proposed Decision

To ensure that members are kept fully up to date on the progress of Masterplans and Concept Frameworks and other major proposals being promoted within the District.

To comply with the Council's general obligations as a local planning authority and the requirements set out in national planning guidance.

Every Local Authority is required to publish an Infrastructure Funding Statement ('IFS') by 31 December each year that sets out the amount of planning obligation expenditure where funds have been allocated.

National Planning Practice Guidance sets out that:

“Reporting on developer contributions helps local communities and developers see how contributions have been spent and understand what future funds will be spent on, ensuring a transparent and accountable system.”
Paragraph: 172, Reference ID: 25-172-20190901

The Council's Infrastructure Delivery Plan has identified the infrastructure projects that are required to deliver development in the District to 2033.

Other Options for Action:

Not to update members on the progress on the above issues would be contrary to the commitment made by the Implementation Team as noted in the 18 October 2018 Cabinet Report.

Not to publish the Infrastructure Funding Statement within the deadline would result in a failure to comply with the Community Infrastructure Levy Regulations.

Report:

Strategic Masterplans, Concept Frameworks and other allocated sites

1. The Adopted Epping Forest District Local Plan 2011-2033 promotes a joined up, collaborative and proactive approach to the planning and implementation of key strategic sites across Epping Forest District. The production of Masterplans and Concept Frameworks will ensure that development proposals are brought forward in accordance with the Council's priorities and policies and facilitate the delivery of necessary infrastructure.
2. Strategic Masterplans and Concept Frameworks provide an overarching framework to ensure that development is brought forward in a coordinated and coherent way in accordance with high quality place making principles. The planning applications which follow must demonstrate general conformity with an endorsed Masterplan or Concept Framework. As set out in the [18 October 2018 Cabinet Report](#), the Council's Cabinet has the authority to approve Draft Strategic Masterplans for consultation. Following the six-week consultation period, Strategic Masterplans will then be taken to Cabinet for formal endorsement as a material planning consideration. The process for Concept Frameworks is broadly similar, however owing to their smaller scale, these will only be taken to Cabinet once for formal endorsement.
3. As set out in paragraph 15 of the report to Cabinet on 18 October 2018 a commitment was made to provide members with regular updates on the progress of masterplans and

concept frameworks within Epping Forest District to ensure that members are kept fully informed of the progression of each plan.

Current progress on the masterplans

Harlow and Gilston Garden Town

4. EFDC officers continue to liaise with key stakeholders across the five Harlow and Gilston Garden Town (HGGT) authorities and relevant site promoters. This is undertaken in the context of wider Garden Town activities. Key updates in terms of the Garden Town are:
 - Inter Authority Agreement for a Joint Committee is due to be taken to a full Council meeting for consideration.
 - HGGT Draft Stewardship Charter has been developed and was subject to public consultation between 7th August 2023 and 1st October 2023.
 - Updated HGGT Infrastructure Delivery Plan was approved by HGGT Board in September and has been subject of a EFDC portfolio holder report for noting as technical evidence.
 - HGGT Strategic Economic Framework was approved by HGGT Board in September and has been subject of a EFDC portfolio holder report for noting as technical evidence.

Updates in relation to each of the HGGT masterplans:

Latton Priory

5. The Latton Priory Strategic Masterplanning Framework (SMF) is complete and was endorsed by EFDC Cabinet as an important material planning consideration on 10th July 2023.

[Latton Priory Strategic Masterplan - Epping Forest District Council \(eppingforestdc.gov.uk\)](https://eppingforestdc.gov.uk)

6. The main site promoters (Commercial Estates Projects Ltd and Hallam Land) are understood to be progressing development of an Outline Planning Application for the site
7. The authority-led Latton Priory Design Code project (funded by DLUHC Pathfinders programme) is being progressed and was approved for public consultation at the 18th September 2023 Cabinet. The public consultation is taking place for a 6 week period that concludes on the 11th December 2023. Subsequent to this it will be subject to post consultation amendments and targeted for Cabinet endorsement in early 2024.

Water Lane

8. The site promoters for the whole strategic allocation of Water Lane area have been re-engaged, following a period of paused work. The promoters have formed a consortium for the purposes of the PPA and it was signed in October 2023. A process of topic

based meetings and workshops has commenced including in addition officers from Harlow Council and Essex CC.

East of Harlow

9. In the current absence of a master developer for the East of Harlow masterplan area, HGGT partners developed design principles for the masterplan area in order to progress design and delivery thinking. These masterplanning principles have been set out within a draft Masterplanning Guidance Supplementary Planning Document (SPD). The SPD has been subject to public consultation which ran from 31 July to 16 October 2023. It is anticipated that following consideration of the consultation responses and further development of the SPD that it will be brought forward for endorsement in 2024.

[Project: East of Harlow SPD \(hgg.co.uk\)](http://hgg.co.uk)

10. EFDC and Harlow Council officers continue to meet with John Lawson Partnership (JLP) working on behalf of Princess Alexandra Hospital (PAH) to discuss the proposed hospital relocation element in the East of Harlow strategic site. It is understood that PAH are currently intending to submit a planning application for the project in 2024.

Updates in relation to each of the other masterplans:

North Weald Airfield masterplan

11. The North Weald Airfield Strategic Masterplanning Framework (SMF) is complete and was endorsed by EFDC Cabinet as an important material planning consideration on 13th March 2023.

[North Weald Airfield Strategic Masterplan - Epping Forest District Council \(eppingforestdc.gov.uk\)](http://eppingforestdc.gov.uk)

North Weald Bassett masterplan

12. The draft North Weald Bassett Strategic Masterplanning Framework has been produced by Vistry Group who are the site promotor of largest of the five sub-allocations that comprise the masterplanning area. The draft SMF was approved by Cabinet on 13/11/23 to proceed to public consultation. The public consultation will take place over a minimum of 8 weeks from mid-November and run through to January 2024.
13. Vistry Group are also at an advanced stage of developing a planning application for their site (NWB.R3 Land South of Vicarage Lane) and have undertaken a formal EIA Scoping process to establish the scope of the Environmental Impact Assessment that they are to undertake. This can be viewed online within the EFDC application portal under Reference: EPF/1323/23.

South Epping masterplan

14. EFDC and Essex County Council officers are engaged under the terms of a PPA with a consortium of site promoters to bring forward a Strategic Masterplanning Framework. A number of topic based meetings and design workshops have taken place with the site promoters who are in the process of developing proposals. A fixed programme for wider

stakeholder and public engagement has not yet been set but it is currently anticipated that this will take place in 2024.

Waltham Abbey North masterplan

15. Development of the Waltham Abbey North Strategic Masterplanning Framework had progressed during 2021 under the terms of a PPA. Informal public consultation was held with local residents and key stakeholders between mid-July and September 2021. Subsequent to the adoption of the Local Plan in March 2023 the site promoters have reengaged and recommenced development of their proposals. Meetings have recently taken place with Essex CC to discuss highway matters. We currently anticipate the receipt of a draft SMF for review by officers in late 2023. A fixed programme for wider stakeholder and public engagement has not yet been set but it is currently anticipated that this will take place in 2024.

Updates in relation to each of the concept framework plans:

South Nazeing

16. Discussions are underway with the site promoter representing the site on the agreement of a PPA. It is anticipated that site masterplanning work will commence shortly and a concept framework plan will be subject to consultation in 2024.
17. This engagement from the site promoter follows their earlier submission of a planning application (reference: EPF/2280/22) which was refused on 23/12/22. The lack of an endorsed Concept Framework was cited as one of the reasons for refusal.

West Ongar

18. Discussions are underway with the two site promoters representing the site on the agreement of a PPA. It is anticipated that site masterplanning work will commence shortly and a concept framework plan will be subject to consultation in 2024.

Other allocated sites

19. Alongside the Strategic Masterplan and Concept Framework Plan sites, work has been progressing on other sites allocation within Local Plan that are not strategic allocations but constitute major development in the District. As with the strategic sites, some of these proposed allocations are further advanced than others, but officers are encouraged by the progress which has been made to date and work continues to progress their delivery.

Infrastructure Funding Statement

20. Authorities are required to prepare Annual Infrastructure Funding Statements. Appendix B sets out the proposed Infrastructure Funding Statement for the District for 2022/2023. The Infrastructure Funding Statement (IFS) applies to financial year 2022/2023 and sets out s106 agreements completed in that year, the types and values of contributions included in the agreements and the monies paid to the Council. The IFS also sets out how the s106 income will be spent and prioritised over the plan period. The IFS does not consider the Community Infrastructure Levy as one has not been put into place in EFDC.

21. Subject to meeting the three tests set out in regulations charging authorities can use funds from S106 planning obligations to pay for the same piece of infrastructure regardless of how many obligations have already contributed towards an item of infrastructure. The tests that must be satisfied for obligations to be required in respect of development proposals must be:
 - necessary to make the development acceptable in planning terms;
 - directly related to the development; and
 - fairly and reasonably related in scale and kind to the development.
22. In line with recommended practice the Council has been monitoring data on section 106 planning obligations in line with the Government's data format. This data includes details of the development and site, what infrastructure is to be provided including any information on affordable housing, and any trigger points or deadlines for contributions. Local authorities should also record when developer contributions are received and when contributions have been spent or transferred to other parties.
23. The Council procured an online s106 tool known as Exacom that enables the administration, monitoring of current, historic S106 contributions and future contributions that the Council will be required to secure to deliver the infrastructure for the growth included in the emerging Local Plan.
24. In line with the Infrastructure Delivery Plan the Council will be seeking a broader range of developer contributions in order to deliver the growth identified in the emerging local plan.
25. For larger developments the use of S106 agreements will extend to strategic infrastructure such as new schools; primary healthcare; and strategic highway and transportation improvements if they are needed as part of the development.
26. The Council has produced guidance, Delivery Infrastructure in the District: Developer Contributions Strategy on the approach to seeking developer contributions that provides a framework for the consideration of proposals to ensure that the appropriate infrastructure is realised in accordance with the policies in the Local Plan. It also set out how s106 contributions will be managed and monitored.
27. The Council will be putting in place a s106 funding grant scheme to allocate s106 monies for local community facility mitigation when it can be used for that purpose. This will be open to all community-based organisations that operate on a not-for-profit basis in Epping Forest District. The application process will be designed to capture all the information required to enable a fair and considered assessment. It is important to note that S106 monies may therefore only be spent on facilities where the new development has, at least in part, contributed to the need for the facilities. S106 funding is available for capital projects only. Revenue funding towards on-going running costs is not available.
28. The District Council is the accountable body for the spending of S106 monies and therefore must ensure that:

- The funding is spent on facilities that can be demonstrated to be required because of the new development taking place
- The process is transparent and fair to all
- Projects supported are necessary, viable, will deliver the required social and community benefits, and will be well managed.

Resource Implications:

As set out in the 18 October 2018 Cabinet Report, the successful delivery of the Garden Town and the other strategic sites within Epping Forest District will require considerable commitment of officer time from EFDC. The noting of the contents of this report do not give rise to additional resource implications.

Legal and Governance Implications:

The work on the Local Plan and Strategic Masterplans has been developed in accordance with Government policy (NPPF and NPPG) and Planning Law.

Safer, Cleaner, and Greener Implications:

The Local Plan contains a policy designed to promote the notion of making good places to live, work and visit. This will include safer by design principles, sustainable development, the provision of alternatives to the car, energy efficiency and environmental considerations as well as sustainable drainage systems and quality green infrastructure. Strategic Masterplans and Concept Framework Plans will be the mechanism for these place-making measures to be delivered in identified Masterplan Areas.

Consultation Undertaken:

Some of the Strategic sites have been the subject of informal public consultation and engagement. However as set out in the Council's Masterplan and Concept Framework Plan Briefing note, these sites will be subject to public and stakeholder consultation in accordance with an endorsed Statement of Community Involvement.

Background Papers:

C-015-2018/19: Governance arrangements for Local Plan Implementation, 18 October 2018

Risk Management:

If the Council was not to take a pro-active stance on the delivery of Masterplans and major applications arising from the Local Plan, there is a real risk of or development occurring of a type that does not extract maximum value for the provision of social infrastructure and poor quality development may occur.

Appendix A - Masterplan and Concept Frameworks

Masterplan Area/ Concept Framework Area	Local plan policy & site reference	Description of proposed allocation	PPA status	Delivery due to commence	QRP	Timescales / progress update	Proposal stage	Section 106	Case Officer
Latton Priory	Policy SP4 & SP 5: SP5.1	New Garden Town Community consisting of approximately 1,050 homes, 2 hectares of employment land, up to 5 traveller pitches, a new primary and secondary school and a local centre.	Signature pending	2024-2025	11/10/2018, 05/04/2019, & 28/07/22	The Latton Priory Strategic Masterplanning Framework (SMF) is complete and was endorsed by EFDC Cabinet as an important material planning consideration on 10th July 2023. The authority-led Latton Priory Design Code project is being progressed and is subject to a public consultation period that concludes on the 11th December 2023.	Masterplan	Not commenced	Nick Finney
Water Lane	Policy SP4 & SP5: S5.2	New Garden Town Community consisting of approximately 2,100 homes, up to 5 traveller pitches, a new primary school and a local centre.	New PPA signed with both parties October 2023.	2025/26	March 2024	Developer consortium has signed the PPA to recommence the process in October 2023. A series of topic based meetings are therefore being organised. The authority-led Latton Priory Design Code project is being progressed with a public consultation exercise running until the 11th December 2023.	Masterplan	Not commenced	Peter van der Zwan
East of Harlow	Policy SP4 & SP5: SP5.3	New Garden Town Community consisting of approximately 750 homes, up to 5 traveller pitches, a new primary school, a local centre, and a potential new secondary school and potential relocation of PAH.	To be secured once developers have been engaged	2025/26	QRP TBC	Joint consultation exercise undertaken with Harlow Council on a Masterplan Principles SPD with deadline of 16th October 23. Consultation responses are being reviewed and document to be updated. Meetings have been held with Harlow Council, HGGT and ECC with landowners. A master developer may come forward in November 23.	Masterplan	Not commenced	Peter van der Zwan
North Weald Bassett	Policy P6: NWB.R1, NWB.T1, NWB.R2, NWB.R3, NWB.R4 and NWB.R5	Provision of approximately 1,050 homes and 5 traveller pitches, a new local centre including retail, community and health facilities and the erection of a new primary school.	PPA agreed	2025	Final QRP 01 Sep 2023	The PPA programme has been mostly completed. Draft SMF is scheduled to be presented to Cabinet to endorse formal Consultation on 13th November. Thereafter endorsement of the SMF targeted for Q1 2024. Hybrid Planning application expected in late 2023 with agreement of determination to be delayed until SMF has been endorsed.	Masterplan	Not commenced	Rick Schunemann

Masterplan Area/ Concept Framework Area	Local plan policy & site reference	Description of proposed allocation	PPA status	Delivery due to commence	QRP	Timescales / progress update	Proposal stage	Section 106	Case Officer
North Weald Airfield	Policy P6: NWB.E4	Provision of new B1/B2/B8 employment uses on NWB.E4 and retention and expansion of aviation uses to the west of the main runway.	Masterplan endorsed Oct 2023	TBC	N/A	This SMF has been endorsed by EFDC Cabinet on 13 March 2023.	Masterplan	Not commenced	Peter van der Zwan
South Epping	Policy P1: EPP.R1 and EPP.R2	Provision of approximately 450 homes, community facilities, health facilities as well as a new primary school	PPA agreed	2025/26	Dec-23	Topic based meetings for SMF at advanced stage, having commenced summer 2023. Likely consultation on a draft SMF in June/July 2024.	Masterplan	Not commenced	Peter van der Zwan
Waltham Abbey North	Policy P3: WAL.R1, WAL.T1, WAL.R2 and WAL.R3	Provision of approximately 740 homes and 5 traveller pitches as well as a new local and community centre.	PPA agreed	2025	TBC	Anticipate the receipt of a draft SMF for review by officers in late 2023. A fixed programme for wider stakeholder and public engagement has not yet been set but it is currently anticipated that this will take place in 2024.	Masterplan	Not commenced	Rick Schunemann
West Ongar Concept Framework Area	Policy P4: ONG.R1 and ONG.R2	Provision of approximately 234 homes	PPA agreed, to be signed	2025/26	TBC	PPA scope agreed and in process of being signed with design workshops to commence shortly.	Concept Framework	Not commenced	Peter van der Zwan
South Nazeing Concept Framework Area	Policy P10: NAZE.R1, NAZE.R3 and NAZE.R4	Provision of approximately 93 homes.	PPA in discussion	2025/2026	QRP early 2024	Discussions are underway with the site promoter representing the site on the agreement of a PPA. It is anticipated that site masterplanning work will commence shortly and a concept framework plan will be subject to consultation in 2024.	Concept Framework	Not commenced	Rick Schunemann



INFRASTRUCTURE FUNDING STATEMENT

2022/23 Monitoring Period

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1 Introduction

- 1.1 The Community Infrastructure Levy (Amendment) (England) (No. 2) Regulations 2019 requires any local planning authorities who collect or spend planning contributions to publish an Infrastructure Funding Statement (IFS).
- 1.2 An Infrastructure Funding Statement (IFS) is an annual report which provides a summary of all financial and non-financial developer contributions relating to Section 106 Legal Agreements (S106) collected and spent by Epping Forest District Council.
- 1.3 The aim of the IFS is to increase transparency by providing an annual statement of accounts. This report has therefore been kept succinct and factual.
- 1.4 This report provides a summary of financial contributions the Council has received through S106 in the 2022/2023 financial year monitoring period.
- 1.5 The IFS is required to provide:
 - the total amount of money to be provided under any planning obligations which were entered into during the reported year.
 - the total amount of money under any planning obligations which was received during the reported year.
 - the total amount of money under any planning obligations which was received before the reported year which has not been allocated by the authority.
 - summary details of any non-monetary contributions to be provided under planning obligations which were entered into during the reported year.
 - the total amount of money (received under any planning obligations) which was allocated but not spent during the reported year for funding infrastructure.
 - the total amount of money (received under any planning obligations) which was spent by the authority.
 - the total amount of money (received under any planning obligations) during any year which was retained at the end of the reported year.

- 1.6 Throughout the IFS there will be references to the following definitions:
- Secured – Contributions that have been agreed within a signed legal document. These contributions have not been collected/ delivered and if the planning applications are not implemented, they will never be received.
 - Received – Contributions received, either non-monetary or monetary, that have been transferred to Epping Forest District Council (EFDC).
 - Allocated – Contributions that have been assigned to specific projects.
 - Spent/ Delivered – Monetary or non-monetary contributions that have been used as intended, either by spending the allocated funds or completing the contribution as agreed.
 - This Financial Year - unless stated otherwise, this refers to the period 01/04/2022 – 31/03/2023.
- 1.7 Essex County Council will be producing its own Infrastructure Funding Statement (IFS) setting out the contributions secured by s106 agreements in the Essex County and through agreements agreed with EFDC. Infrastructure secured by S106 agreements (Education, Sustainable transport, Highways, Libraries etc. and other mechanisms for securing infrastructure (s278 & S38 Agreements etc.) including any money that EFDC has transferred to ECC will be reported in its own IFS. Information on developer contributions managed by ECC is available on their website.

2 Planning Obligations Section 106 Report

- 2.1 Planning Obligations are secured through legal agreements which can be attached to a planning permission to mitigate the impact of an otherwise unacceptable development to make it acceptable in planning terms.
- 2.2 Obligations can only be sought where they are directly related to the development, fairly and reasonably related in scale and kind to the development, and necessary to make the development acceptable in planning terms.
- 2.3 S106 contributions can either be provided on-site, for example through the provision of affordable housing, or off-site in the form of financial payments.
- 2.4 The total amount of money Secured from planning obligations during the reported year was **£776,513.80**.
- 2.4 The total amount of money Received from planning obligations during the reported year was **£827,323.93**.
- 2.5 The total amount of money Spent from planning obligations during the reported year was **£172,500.00**
- 2.6 The total amount of money Received but not allocated before the reported year was **£996,427.40**.

Table 2.1 S106 Headline Figures 2022/2023

S106 monies Secured	£776,513.80
S106 receipts Received	£827,323.93
S106 expenditure	£201,012.88
S106 monies Retained	£1,622,738.45
Non-Monetary Contributions	
Affordable housing units Secured	42
Affordable housing units provided	0

Table 2.2 Summary of S106 monies Secured in the reported year

S106 Contribution	Total Secured
Affordable Housing – Sum in Lieu	£33,146.00
Health	£30,660.00
Green Infrastructure/Public Open Space	£70,762.01
Community Facilities	£114,168.01
Education	£65,975.00
EFSAC Air Quality Mitigation	£122,705.90
EFSAC Recreational Pressure Mitigation	£252,264.40
Monitoring	£86,832.48
Total	£776,513.80

Table 2.3 Summary of S106 receipts 2022/2023

S106 Contribution	Amount
Health	£239,639.34
Public Open Space Maintenance Fees	£13,120.00
Trees	£3,215.49
EDSAC Air Quality Mitigation	£69,842.04
EFSAC Recreational Pressure Mitigation	£63,690.50
Affordable Housing – Sum in Lieu	£407,871.68
Green Infrastructure	£1,432.00
Monitoring	£28,512.88

Total	£827,323.93
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Table 2.4 Summary of Expenditure 2022/2023

Infrastructure Project	S106 amount spent
EFDC Council Housebuilding Programme	£100,000.00
Stonards Hill Skate Park	£60,000.00
Waltham Abbey Wayfinding Project	£12,500.00
Monitoring	£28,512.88
Total	£201,012.88

Table 2.5 Non-monetary S106 Contributions: Affordable Housing 2022/2023

Reference	Units secured
EPF/0216/20	17
EPF/0332/22	25
Reference	Units delivered
N/A	0

Other expenditure of Section 106 receipts in 2022/23

2.6 In the last financial year, no money received through planning obligations (whenever agreed and money received), was spent in 2021/22 on repaying money borrowed, including any interest.

2.7 During 2022/23 the Council agreed, through signed S106 agreements, that Monitoring Contributions paid by developers would be used for the purpose of monitoring S106 Obligations.

Case Study 1

S106 Affordable Housing payments in lieu are transferred to the EFDC Housing team and utilised in support of the Council's housebuilding programme.



3 Additional Information

3.1 Contributions towards the Interim Mitigation Strategy to manage the impact on recreational pressure on Epping Forest Special Area of Conservation (EFSAC)

3.1.1 Epping Forest (the Forest) was a former royal forest and provides a large open space for the recreation of people living in London but also for residents from within and beyond Epping Forest District. It covers some 2,400 hectares and is run by the Conservators of Epping Forest owned and managed by the Corporation of London. The Council expects all relevant development proposals to assist in the conservation and enhancement of the biodiversity, character, appearance, and landscape setting of Epping Forest SAC.

3.1.2 An Interim Approach to Managing the Recreational Pressures on the Epping Forest Special Conservation Area (SAC) was adopted by Cabinet on the 18 October 2018. It is a material consideration in the determination of planning applications and permitted development right proposals for residential development which would result in net increase in new homes within the Epping Forest District administrative area.

3.1.3 The Interim Approach identifies schemes and their associated costings developed and programmed to cover the period up to 2033. Under the Interim Approach contributions of £1,852.63 per additional dwelling are sought from individual residential development schemes within 0-3 km's and £343.02 within 3 to 6.2 km's of the Epping Forest SAC boundary. The route for securing the contributions is by way of a Section 106 agreement in accordance with the Strategy.

3.2 Contributions towards The Interim Air Pollution Mitigation Strategy for EFSAC

3.2.1 The Interim Air Pollution Mitigation Strategy for EFSAC was adopted by Cabinet on the 20 December 2020. It is also a material consideration in the determination of planning applications and permitted development right proposals for residential development which would result in net increase in new homes within the Epping Forest District administrative area.

3.2.2 The Strategy has been developed to provide a strategic approach to mitigating the effects of development on the integrity of the Epping Forest SAC in relation to atmospheric pollution. It has been developed to support the implementation of policies contained within the Local Plan and specifically policies DM2 and DM22. It is clear from the evidence that without appropriate mitigation development proposed through the Local Plan, in combination with other plans and projects, would have an adverse effect on the integrity of the Epping Forest SAC as a result of atmospheric pollution.

3.2.3 The Epping Forest SAC is bisected by a number of roads which serve communities in Epping Forest District and beyond. New development, primarily for housing and

employment, will result in increases in traffic on those roads. Traffic modelling has been used to inform air quality modelling, if no mitigation measures are introduced, air pollution arising from vehicles will have further harmful effects on the health of the qualifying features within the Epping Forest SAC compared to a situation with no growth. It is important to recognise that whilst vehicles are a contributing factor, there are other activities that are also having an adverse impact on the ecological health of the Epping Forest SAC.

3.2.4 The Strategy has been developed to address the effects of atmospheric pollution arising primarily from new development proposed to be brought forward within the district and sets out how these mitigation measures will be implemented and how the efficacy of those mitigation measures will be monitored and reviewed. The financial contributions to be secured are as follows:

- The Garden Communities (GCs): £232 per dwelling.
- North Weald Bassett Masterplan Area and South of Epping Masterplan Area: £641 per dwelling.
- Smaller sites (including windfall sites) and the Waltham Abbey Masterplan Area: £335 per dwelling.

3.3 Infrastructure Delivery Plan

3.3.1 The emerging Epping Forest District Local Plan sets out the strategy in Policy SP2 to meet the housing requirement of 11,400 new homes and around 10,000 new jobs over the Plan period (2011-2033). This growth comes with a need for supporting infrastructure including transport, education, health, and community facilities to mitigate development impacts and support new communities.

3.3.2 The IDP formed a key evidence base document for the Independent Examination of the Local Plan and identified infrastructure required at different spatial scales for Epping Forest District for the period up to 2033.

3.3.3 The IDP is a “live” document updated to take account of the evolving plan making development and required changes in infrastructure provision.

3.4 Planned Income and Expenditure

3.4.1 The IDP sets out how the s106 income will be spent and prioritised over the plan period. The level of s106 contributions will depend on the nature and scale of the development, the number of implemented permissions, build out rates and the phasing of development etc. and the contributions must be spent in accordance with the terms of any agreement.

3.4.2 Sections 4.1 and 4.2 of the IDP show the District Wide and Garden Town Strategic Sites S106 Infrastructure within the District with delivery phasing identified in IDP in the next 5 years (and beyond).

Case Study 2

Green Infrastructure/Play Space funding provided to the Lower Swaines Recreation Ground project in financial year 21/22 with new playground delivered in November 2022



Appendix

4 Appendix

Section 106 (Legal) Agreements Entered into by Epping Forest District Council – 2022/2023

Application No	Site Address	Description	Deed Signed
EPF/2875/21	The Drive Stapleford Road Stapleford Abbotts Essex RM4 1 EJ	the development of the Site by the Redevelopment to provide six semi-detached houses all in accordance with the Planning Permission	01/04/2022
EPF/2825/20	Land ADJ to Clockhouse Mews, Daws Hill, LONDON E4 7RD	the development of the Site by the Conversion and extension of existing former garage to form a 2 bedroom house all in accordance with the Planning Permission	01/04/2022
EPF/0307/21	Bansons Yard, High Street, Ongar, Unit 4 side land/car, park, CM5 9AA.	Proposed change of an existing double garage into a two bedroom starter home (Revision to EPF/1994/20 refused 30/11/2020).	07/04/2022
EPF/3264/18	129/131 High Road Chigwell IG7 6QF	single storey rear extension and the sub-division of the existing pair of semi-detached almshouses into three residential units (revision to application EPF/2201/17) all in accordance with the Planning Permission	19/04/2022
EPF/1763/19	35 Torrington Gardens Loughton Essex IG10 3TB	the development of the Site by the Two Bedroom new dwelling all in accordance with the Planning Permission the development of the Site by EPF/0377/19	20/04/2022
EPF/0377/19	Warlies Gardens, Horseshoe Hill, Upshire, Essex EN9 3SL	for the Conversion of former boiler house into one residential dwelling, with ground floor and roof extensions. (revised application to EPF/2516/17) all in accordance with the Planning Permission	29/04/2022

EPF/0652/20	11 Hainault Road, Chigwell, Essex, IG7 6QU	the development of the Site by the demolition of a house and erection of 3 bed terraced houses all in accordance with the Planning Permission	29/04/2022
EPF/2782/19	Woodside Barn Paynes Lane Nazeing Waltham Abbey Essex EN9 2EY	Proposed demolition of an existing outbuilding & construction of a x2 no. bedroom bungalow.	29/04/2022
EPF/2085/21	143 High Road, Loughton, Essex 1610 4LT	the development of the Site by the Application for prior approval for a proposed change of use from B1 (office) use to provision of x 8 no. flats at first floor level C3 (dwellings) all in accordance with the Planning Permission	29/04/2022
EPF/2565/21	Paslow Cottage, 258 Nine Ashes Road, Blackmore Village, Ingatestone, Essex, CN4 03Z	Erection of a 4 bedroom dwelling on land adjacent to 258 Nine Ashes Road.	03/05/2022
EPF/2342/21	11 Hainault Road, Chigwell, Essex, IG7 6QU	the development of the Site by the demolition of a house and erection of 3 bed terraced houses all in accordance with the Planning Permission	09/05/2022
EPF/2846/18	Eagle House, Hamlet Hill ROYDON, HARLOW ESSEX CM19 SJY	the development of the Site by the Rebuilding of barn into a 1 bedroom dwelling all in accordance with the Planning Permission	11/05/2022

EPF/2870/19	Peacocks Cottage , Epping Long Green , Epping Green , Essex	the development of the Site by the Change of Use and Conversion of Curtilage Building to a Single Dwelling House all in accordance with the Planning Permission	12/05/2022
EPF/1325/19	Woodgreen Farm, Honey Pot Lane, Waltham Abbey, Essex, EN9 35G	the development of the Site by the Replacement of the existing barn with a three bedroom single storey dwelling and replacement of the existing storage, carport and mobile home buildings with a second bungalow, as well as the conversion of the existing pool building into an annexe all in accordance with the Planning Permission	12/05/2022
EPF/3188/21	Land Adjacent to Rosebank Norwood End Fyfield Ongar CMS ORL	Land Adjacent to Rosebank Norwood End Fyfield Ongar CM5 OR	17/05/2022
EPF/3254/21	Land known as Black Swan Public House, Common Road, WALTHAM ABBEY EN9 2DF	the development of the Site by two dwellings all in accordance with the Planning Permission	26/05/2022
EPF/3316/21	The Chelneys, Bury Road, Chingford, London, E4 7QL	Full planning application for the conversion of the existing detached dwelling to 4 No. two bed apartments, 1 No. three bed apartment and 1 No. maisonette, including replacement roof, rear single storey extension with balconies above and other alterations	31/05/2022

EPF/1165/20	21 Institute Road, Coopersale, Epping, CM16 7QY	the development of the Site by the proposed new build 2 storey/3 bedroom dwelling on land adjacent to No.21 Institute road all in accordance with the Planning Permission	14/06/2022
EPF/2364/19	Barn ADJ Great Notts Moreton Road Bobbingworth Ongar CM5 0LU	the development of the Site by the Conversion of an Essex Barn to a dwelling all in accordance with the Planning Permission	28/06/2022
EPF/2579/19	Spencers Farm, Oak Hill Road, Stapleford Abbotts, Romford, Essex, RM4 UH	the development of the Site by the proposed demolition of existing buildings & erection of x6 no. new dwellings all in accordance with the Planning Permission	28/06/2022
EPF/0773/22	Land adjoining 44 Ongar Road Abridge, Romford (RM41UH)	the development of the Site by the 2 X 4 bedroom new detached infill dwellings all in accordance with the Planning Permission	29/06/2022
EPF/2731/21	Mill House, Matching Road, Matching Harlow, CM22 7AS	the development of the Site by the Demolition of existing house and redevelopment to form two new bungalows (incorporating existing outbuilding), together with associated landscaping and car parking all in accordance with the Planning Permission	04/07/2022

EPF/0799/22	40 Rous Road, Buckhurst Hill, Essex, IG9 68W	the development of the Site by the EXTENSION TO EXISTING DWELLING TO CREATE A NEW DWELUNG all in accordance with the Planning Permission	06/07/2022
EPF/2895/21	Land at The Hoppit, The Street, Sheering, Essex CM22 7LR	the development of the Site in accordance with the Planning Permission	06/07/2022
EPF/3043/19	The Chimes Nursery Old Nazeing Road Nazeing Waltham Abbey EN10 6RJ	Application for Variation of Condition 2 'Plan numbers' of EPF/1351/18 (Demolition of site buildings and redevelopment to provide x33 no. new homes).	08/07/2022
EPF/1471/21	Auction Square, Market Place, , Abridge, RM4 1UA	the development of the Site by the Conversion of existing office building into 4 flats all in accordance with the Planning Permission	14/07/2022

EPF/2740/19	4 Hill Road, Theydon Bois, Epping CM16 7LX	the development of the Site by the Proposed demolition of an existing two storey & single storey side extension, subdivision of site, erection of a new detached dwelling & provision of a part two storey/part single storey rear extension to the donor property with x2 no. new vehicle crossovers for each dwelling. all in accordance with the Planning Permission	28/07/2022
EPF/2785/19	Telfords Farm, Pigstye Green, Willingale, Ongar, Essex CMS 0QF	the development of the Site by the proposed conversion of an existing outbuilding into a two bedroomed dwelling all in accordance with the Planning Permission	18/08/2022
EPF/0862/22	Site at Basons Lane Ongar Essex CM5 9AR	Variation of condition 2 on EPF/1854/19 (Erection of 5 no. 3 bed townhouses with associated car parking and landscaping)	25/08/2022
EPF/2056/19	142 Buckhurst Way Buckhurst Hill Essex IG9 6HP	Demolition of bungalow and construction of a two storey building of four luxury flats with room in the roof.	26/08/2022
EPF/1954/19	Chimes Garden Centre Old Nazeing Road Nazeing Essex EN10 6RJ	Application for Variation of Condition 2 - "completed strictly in accordance with the approved drawings" for EPF/1351/18. (Demolition of site buildings and redevelopment to provide x 33 no. new homes).	31/08/2022

EPF/0602/22	2 Warden Hall Cottages, Fyfield Road, Willingale, Ongar,, Essex, CMS OQB	the development of the Site by the "Subdivision of existing plot and establishment of structure, currently serving as ancillary to 2 Warden Hall Cottages, as own separate dwellinghouse" all in accordance with the Planning Permission	07/09/2022
EPF/3096/21	Skyview, Land Between Gables and Hillside House, Drapers Lane, CMS 9LS	the development of the Site by a new sustainable house and accessible chalet bungalow with landscape and ecological site enhancements featuring an 88% improvement in carbon emissions over application EPF/0836/20 all in accordance with the Planning Permission	12/09/2022
EPF/1219/19	5 Station Road, Chigwell, Essex, IG7 6QT	the development of the Site by the Alterations to cottage to return property to the original footprint. Erect two semi-detached houses on adjoining land all in accordance with the Planning Permission	21/09/2022
EPF/1148/22	Land On The East Side Of 3 Kensington Park, Oak Hill Road, Stapleford Abbots, Romford RM4 IAF	the development of the Site by the Application to reduce footprint, reduce number of bedrooms from 5 to 4 and design of approved planning application EPF/1148/22 all in accordance with the Planning Permission.	26/09/2022

EPF/0601/19	4 Station Road, Epping, Essex CM16 4HA	the development of the Site by the G Extension to provide 2 New Flats all in accordance with the Planning Permission	29/09/2022
EPF/0766/20	1 FOREST DRIVE, THEYDON BOIS, EPPING, CM16 7HA	the development of the Site by the creation of one bed flat and associated parking all in accordance with the Planning Permission	18/10/2022
EPF/2105/20	33 Chapel Road, Epping, CM 16 SOS	the development of the Site by the Erection of a two storey detached dwelling to the side of the existing property with one off-street parking space. Formation of a new off-street parking space at the existing house, all in accordance with the Planning Permission	18/10/2022

EPF/0304/19	Land at St Thomas More Church, Willingale Road, Loughton, Essex IG10 2DB	Demolition of a redundant church and associated buildings and redevelopment of site to provide 16 houses and 10 flats, including a new community hall (class D1/D2), associated parking, access, hard and soft landscaping and all ancillary works all in accordance with the Permission	19/10/2022
EPF/0212/21	10 Barncroft Green, , LOUGHTON, ESSEX, IG10 JET	Proposed new dwelling and alterations to fenestration on existing house	21/10/2022
EPF/1713/20	12-14 Brickfield Road Coopersale CM16 7QX	the development of the Site by the proposed demolition of existing two dwellings and associated structures and redevelopment to provide four new dwellings, associated gardens and infrastructure all in accordance with the	24/10/2022
EPF/2814/20	7-9 Sun Street, Waltham Abbey EN9 1ER	the development of the Site by the erection of five new dwellings to the rear of 7-9 Sun Street, Waltham Abbey EN9 1ER with associated landscaping and amenity works all in accordance with the Planning Permission	26/10/2022
EPF/0780/22	Chapelfield Nursery, 76 Weald Bridge Road, North Weald Bassett, Epping, CM16 6ES	Change of use of residential annexe to a single detached dwellinghouse	27/10/2022

EPF/1882/21	The Maltings, Station Road, Sheering, Harlow CM21 9JX	the development of the Site by the conversion of the first and second floors of the building from office and production space into residential dwellings in accordance with the Planning Permission	01/11/2022
EPF/1883/20	Widows Farm Toot Hill Road Stanford Rivers Ongar CM59QR	Proposed alteration and conversion of former blacksmiths workshop within curtilage of listed building to a single dwelling house	01/11/2022
EPF/0418/21	13/17 High Beech Road, Loughton, Essex IG10 4BN	the development of the Site by the erection of a third floor to provide two flats involving the raising of the existing parapet of the building all in accordance with the Planning Permission	03/11/2022
EPF/2408/20	8 Kimpton Close , Ongar, Epping Forest, Essex, CMS OBQ	the development of the Site by the construction of a tow storey three bedroom house attached to the existing dwelling all in accordance with the planning permission	21/11/2022
EPF/2058/18	Land adjacent to 1 Monkams Cottage, Aimes Green, Claverhambury Road, Waltham Abbey, Essex, EN9 2AU	the development of the Site by the Demolition of existing buildings and redevelopment of site to provide 3 new dwellings all in accordance with the Planning Permission	23/11/2022
EPF/1516/22	Land adj 167, The Dale, Waltham Abbey, EN9 1UB	the development of the Site by the erection of two flats all in accordance with the Planning Permission.	28/11/2022

EPF/2911/21	185/187 High Street, Epping, CM16 4BL	the development of the Site by Prior approval for proposed change of use from offices (B1) to 2no.residential (C3) all in accordance with the Planning Permission	30/11/2022
EPF/0403/22	186 High Street, Ongar, Essex, CMS 9JJ	the development of the Site by the The part change of use from Class E to C3 and internal alterations to create xl 1 bed, xl 3 bed and x2 2 beds all in accordance with the Planning Permission	06/12/2022
EPF/0313/22	Travellers Friend Car Park, Epping, CM16 6QL	Proposed replacement of domestic double garage with a single storey one bedroom dwelling	06/12/2022
EPF/0725/22	21 The Windsors, Buckhurst Hill, Essex 169 6DJ	the development of the Site by the 2 bedroom detached house all in accordance with the Planning Permission	07/12/2022
EPF/1152/22	Land off The Chestnuts, Ongar Road, Abridge, Romford, RM4 1UE	the development of the Site by the construction of a new chalet style dwelling all in accordance with the Planning Permission	07/12/2022

EPF/1413/22	Paslow Common Farm, Nine Ashes Road, High Ongar CM4 OJY	the development of the Site by the Redevelopment of commercial site to provide 9no. dwellings with associated access, hardstanding, landscaping and parking all in accordance with the Planning Permission	07/12/2022
EPF/1636/19	Land Adj to 8 Cascade Road, Buckhurst Hill, Essex, IG9 6DX	Proposed erection of a x2 no. bedroom dwelling.	13/12/2022
EPF/2653/20	19 Coopers Close, Chigwell Row, Essex, IG7 6EX	the development of the Site by the construction of three terraced houses all in accordance with the Planning Permission	14/12/2022
EPF/0235/21	4 A Albert Road Buckhurst Hill IG9 6EH	Proposed additional dwelling	21/12/2022
EPF/2036/20	Roydon Marina Village, High Street, Roydon, Harlow CM19 SEJ	extension to existing marina to provide an additional 168 berths, 99 parking spaces, additional associated facilities and widening and improvement to existing vehicular and pedestrian access all in accordance with the Planning Permission.	06/01/2023
EPF/0564/19	Land rear of 71 Stonards Hill, Loughton, Essex IG9 SLQ	the development of the Site by the erection of a pair of single storey garages, with access on Alderton Way all in accordance with the Planning Permission	11/01/2023

EPF/2472/20	91, QUEENS ROAD, BUCKHURST HILL, ESSEX IG9SBW.	the development of the Site by the Proposed demolition of the existing dwelling and the construction of a semi-detached pair of dwellings all in accordance with the Planning Permission.	11/01/2023
EPF/2122/20	LAND TO REAR OF 11 KENDAL AVENUE, EPPING, CM16 4PQ	the development of the Site by the construction of a new detached four bedroom house to the rear of the site, including a raised driveway and a detached garage all in accordance with the Planning Permission.	11/01/2023
EPF/2968/21	Land at Tile House Farm, Birds Green, Willingale, Ongar CM30PN	the development of the Site by the demolition of existing building & erection of a new dwelling, with associated curtilage, off-street parking & landscaping all in accordance with the Planning Permission	11/01/2023
EPF/0045/22	Southview, Coopersale Common, Coopersale, Epping, CM167QT	the development of the Site by the demolition of the existing dwelling and extensive outbuildings and the erection of three new detached traditional brick-built dwellings. all in accordance with the Planning Permission	12/01/2023
EPF/2948/19	117 High Road Loughton Essex IG10 4JA	the development of the Site to 6 self-contained flats all in accordance with the Planning Permission.	12/01/2023

EPF/0025/21	Land at Gregorio's Produce Limited, Former CWS Nursery, Hoe Lane Waltham Abbey Nazeing EN9 2RJ	the development of the Site by the removal of existing caravans, erection of a single storey building containing x 6 no. nursery worker accommodation units and provision of associated amenity space and parking all in accordance with the Planning Permission	17/01/2023
EPF/0055/21	The Ridings, Manor Road, Loughton IG10 4RP	the development of the Site by the Replacement of existing dwelling plus one additional infill dwelling all in accordance with the Planning Permission	17/01/2023
EPF/2445/22	Grainstore adjacent to Hoggs Farm, carters Green, Matching, Harlow, CM17 ONX	the development of the Site by the conversion of two adjoining barns on the agricultural holding of Hoggs Farm into five residential units all in accordance with the Planning Permission.	26/01/2023
EPF/0194/22	Falconry Court Bakers Lane Epping CM16 5DQ	Application for Approval of Details reserved by condition 3"written notification, Regulation 77" for EPF/2056/21. (Application to determine if Prior Approval is required for a proposed Change of Use from offices (Class B1(a)) to dwellinghouses (Class C3)	31/01/2023
EPF/2056/21	Falconry Court, Epping, CM16 5DQ	the development of the Site in accordance with prior approval decision with reference EPF/2056/21 dated 20 September 2021	31/01/2023

EPF/2765/22	1-6 River View, The Mead, Nazeing EN10 6GG	the development of the Site by the proposed new dwelling houses on detached blocks of flats of 1-6 River View, The Mead, Nazeing EN10 6GG all in accordance with the Planning Permission	31/01/2023
EPF/1060/21	LAND ADJACENT TO 66A BOWER HILL, EPPING, CM16 7AW	the development of the Site by the construction of a single detached house all in accordance with the Planning Permission	31/01/2023
EPF/2622/22	Land On The East Side Of 3 Kensington Park, Oak Hill Road, Stapleford Abbots, Romford RM4 1AF	the development of the Site by the Application to reduce footprint, reduce number of bedrooms from 5 to 4 and design of approved planning application EPF/2622/22 all in accordance with the Planning Permission.	07/02/2023
EPF/0050/22	Land at the Back of 33-34 Fairlands Avenue Buckhurst Hill , 169 STF	the development of the Site by the demolition of the existing garages and the erection of two houses with associated parking and landscaping all in accordance with the Planning Permission.	13/02/2023

EPF/2162/22	55 Pancroft, Lambourne, Romford, RM4 1BX	The development of the Site by the Demolition of existing rear extension /conservatory Erection of two storey 3 bedroom dwelling on land adjacent to 55 Pancroft Lambourne Romford RM4 1BX incorporating front porch and rear extension 3.0m deep with pitched roof and landscaping gardens all in accordance with the Planning Permission.	16/02/2023
EPF/0564/22	38 Queens Road Buckhurst Hill IG9 5BY	Alterations and extension to create two flats, with amended retail space to front	17/02/2023
EPF/2145/22	Land between 42 and 44 Ongar Road, Abridge, Romford, RM4 1UH	The development of the Site by the development of the Site by the 2 new detached infill dwellings all in accordance with the Planning Permission in accordance with the Planning Permission	22/02/2023
EPF/2351/22	24 Sun Street, Waltham Abbey, Essex, EN9 1EE	The development of the Site by the construction of a two and a half storey rear addition to form three flats and new rear shop unit facing Darby Drive all in accordance with the Planning Permission	22/02/2023
EPF/0073/19	Land Adjacent Brook Cottage, School Lane, Abbess Roding, Ongar, Essex, CMS ONY	The development of the Site by the construction of two additional dwellings all in accordance with the Planning Permission	23/02/2023

EPF/2538/22	Land at Little Croft, Toot Hill Road, Toot Hill, Ongar, CM5 9QP	Demolition and removal of existing stables and barn and its replacement with a new detached single storey dwelling (three-bed, five-person dwelling on the same footprint as the existing buildings on site) pursuant to the Planning Permission	28/02/2023
EPF/0107/20	Langridge Nursery, Valley Grown Nurseries Paynes Lane Nazeing Waltham Abbey EN9 2EX	Retention of a log cabin dwelling for occupation by nursery manager. (Revised application to EPF/1811/19)	01/03/2023
EPF/2590/22	161 Manor Road, Chigwell, IG7 5QA	The application for planning permission submitted to the Council by the Landowner for the Development and given application reference number EPF/2590/22	01/03/2023
EPF/0144/23	7 Brooklyn Avenue, Loughton, Essex, IG10 1BL	The development of the Site by the erection of a detached 3 bedroom dwelling in an existing side garden of 7 Brooklyn Avenue all in accordance with the Planning Permission.	14/03/2023
EPF/0160/23	Adjacent to Epping Long Green, Epping Long Green, Epping, CM16 6PU	Provision of 4 dwellings, including ancillary works on previously developed land all in accordance with the Planning Permission.	17/03/2023
EPF/0216/20	Land at Oak Hill Road Stapleford Abbots RM4 1JH	Proposed erection of x 42 no. residential units (including 1no.caretakers home) together with associated landscaping; car parking & highway works	17/03/2023

EPF/2713/21	Land at the former Chimes Garden Centre Old Nazeing Road Nazeing Waltham Abbey EN10 6RJ	Erection of 14 dwellings (4 flats and 10 dwellings) (resubmission of EPF/3040/19)	17/03/2023
EPF/0332/22	Rosario High Road Thornwood Epping Essex CM16 6LU	Outline Application for proposed demolition of existing buildings followed by comprehensive development of up to 62 new homes (inclusive of 40% onsite affordable housing), landscaping, community orchard, new access, parking and circa 1.9 ha of public open space	21/03/2023
EPF/0341/20	121 Honey Lane Waltham Abbey EN9 3AX	Proposed x2 no. bedroom new build bungalow with a covered cycle store under a canopy along the side of the property. Proposed off street parking for x2 no. cars with a bin storage area to the front	22/03/2023
EPF/0521/20	63 Cloverly Road Ongar CM5 9BX	Proposed construction of a new attached dwelling with associated parking	22/03/2023
EPF/2649/22	Land at Jemswood Widows Farm, Toot Hill Road, Ongar, CM5 9QR	Demolition of existing stable building and construction of single dwelling and associated external works all in accordance with the Planning Permission	22/03/2023
EPF/2830/21	The Old Coal Yard R/o 32 High Street Roydon CM19 5EA	Demolition of existing structures and the erection of 7 dwellings and associated infrastructure	28/03/2023

Report to the Cabinet



**Epping Forest
District Council**

Report reference: C-031-2023/24

Date of meeting: 4 December 2023

Portfolio: Customer and Corporate Support Services Portfolio (Cllr Sam Kane)

Subject: Award of Contract for Off-Street Car Park Enforcement

Responsible Officer: James Warwick (Service Director Contracts, Partnerships and Procurement)

Democratic Services Officer: V Messenger (democraticservices@eppingforestdc.gov.uk)

Recommendations/Decisions Required:

- (1) To agree the contract for off-street parking enforcement be awarded to Marston Holdings Ltd from 1st April 2024 for a period of five (5) years with an option to extend by two (2) years.
- (2) To agree the yearly contract cost of £229,830.03 allocated from the existing budget provision.
- (3) To agree to the trialling of IPS pay & display machines at two car parks (free of charge by the contractor) to enable EFDC to assess its performance and consider replacing the existing parking equipment.

Executive Summary:

Epping Forest District Council exercise civil parking enforcement powers in Council operated car parks conferred on them under the Traffic Management Act 2004. Since 2016, off-street parking enforcement is undertaken through a parking enforcement contract with Marston Holding Ltd (via NSL Limited) which expires on 31st March 2024. A new contract for off-street car park enforcement is required from 1st April 2024, therefore, a tendering exercise was carried out to procure the enforcement services and achieve best value for money. Following the evaluation of tenders, it is recommended that the contract for off-street enforcement be awarded to Marston Holdings Ltd, the Council's incumbent contractor, at a yearly cost of £229,830.03 for a period of five (5) years with an option to extend by two (2) years.

Reasons for Proposed Decision:

To award the contract for undertaking off-street enforcement, cash collection and front-line machine maintenance in all Council operated off-street car parks.

Other Options for Action:

The do-nothing option will mean that the Council will not have a parking enforcement contract from 1st April 2024 and will not be able to carry out enforcement on vehicles parking in contravention of parking restrictions in its public car parks. This option is not recommended as the Council will not

be able to enforce compliance with parking restrictions. This may also result in lower fees & charges income to the Council.

Insourcing parking enforcement services was considered, however, due to the scope and nature of services required, outsourcing the contract will provide greater efficiency and better value for the Council. Outsourcing parking enforcement services will save the Council money as it costs less work with a third party than employing a team of parking enforcement officers. This option is not recommended as a result.

Report:

1. Epping Forest District Council exercise its civil parking enforcement powers in Council operated car parks conferred on them under the Traffic Management Act 2004. The Council is in a five-year contract with NSL Ltd. to deliver parking enforcement, cash collection, first-line machine maintenance and the provision of an integrated IT system for all processing activities associated with parking enforcement and cashless parking. The contract expires on 31 March 2024 and a new contract is required from 01 April 2024 to be able to continue providing such services.
2. The management of the off-street car parks, including back office functions for the processing of Penalty Charge Notices (PCNs), is the responsibility of the Epping Forest District Council Leisure and Parking Team and this arrangement will remain in place.
3. Due to the value of the contract, it was necessary to carry out a procurement and tendering exercise to comply with The Public Contracts Regulations 2015 Act and the Council's Procurement Rules. The tender was issued and managed via the Council's electronic tender facility Delta e-Sourcing in accordance with The Public Contracts Regulations 2015 Act open tender procedure. The procurement process commenced with the issue of a Find a Tender (FTS) Notice on 08 August 2023 and a deadline for tenders to be received by 04 October 2023.
4. Two tender submissions were received from Marston Holdings Ltd (the incumbent contractor) and APCOA Ltd, which have been assessed by officers to determine which bid represents best Value for Money. The tenders were evaluated under a price and quality ratio of 40% and 60% respectively. Each tenderer submitted a Selection Questionnaire, five method statements, a Social Value proforma and pricing schedule. The pricing submissions were as follows;
 - Marston Holdings Ltd. - £229,830.03
 - APCOA Ltd. - £228,846.36

The combined score for both price and quality of each submission is noted in the table below:

Bidder	Marston Holdings Ltd.	APCOA Ltd.
Compliance check	Pass	Pass
Quality	52.75%	36.50%
Price	39.83%	40.00%
TOTAL SCORE	92.58%	76.50%

5. Martson Holdings Ltd. has demonstrated that it has provided the most economically advantageous tender based on a combination of price and quality. Marston Holdings Ltd. have also passed the Selection Questionnaire and financial stability assessments. It is therefore recommended that the contract be awarded to Marston Holdings Ltd. for a yearly

sum of £229,830.03, subject to yearly uplift of CPI, for a period of five (5) years with an option to extend by another two (2) years.

6. The cost of the contract is to be funded from the existing parking enforcement contract budget. The Council's existing parking enforcement contract budget is £262,840 for FY2024/25 and therefore the new contract will generate a saving to the Council. The savings are from reduced deployed hours due the closure of Cottis and Bakers Lane car parks.
7. The contract mirrors existing contract operations which consists of:
 - Civil Enforcement Officers (CEO) inspecting car parks to ensure vehicles are parked in compliance with the conditions applied and issue Penalty Charge Notices (PCN) to contravening motorists under civil parking enforcement powers;
 - Cash collection from pay & display machines;
 - First line machine maintenance of all pay & display machines;
 - Provision of an integrated IT system for all processing activities associated with parking enforcement and cashless parking.
8. The recommended contractor, Marston Holdings Ltd, is the incumbent contractor and proposes to continue offering motorists cashless parking via MiPermit. Therefore, there will be no change to end users and a smooth transition between contracts. Cashless parking is offered in addition to payment via pay & display machines in EFDC car parks.
9. The existing pay & display machines have reached the end of their designed life and is becoming expensive to maintain and unreliable for car park users. For example, 700 visits have been required over the last year just to service the machines at three car parks (Traps Hill, The Pleasance and Sainsbury's Basons Lane). Marston Holdings Ltd has proposed EFDC agrees to trialling (free of charge) IPS pay & display machines at two of the three sites mentioned to enable EFDC to assess its performance and consider replacing the existing metric parking equipment. IPS can update existing equipment by replacing the interior mechanisms of the machines, whilst keeping the same exterior that members of the public have become familiar with. The benefits of the IPS equipment would also include reduced transaction costs, good communication connectivity, secure units and maximised functionality.
9. As part of the social value commitments, the recommended contractor has committed to supporting the local community and delivering social value improvements. The contractor proposes to support three community organisations based in the Epping Forest District with monetary donations throughout the life of the contract. EFDC officers will work with the proposed contractor to identify the organisations.

Scrutiny Comments

N/A

Resource Implications:

There are minimal resource implications as the contract will be funded via the existing parking enforcement contract budget.

Management responsibility of the off-street enforcement contract will remain within the Leisure and Parking Team of the Council.

Legal and Governance Implications:

The Epping Forest District Council Contracts Team have prepared the proposed parking enforcement contract.

As the contract is recommended to be awarded to the incumbent contractor, TUPE transfer will not be necessary. The contractor's employees on the Epping contract will retain their existing employment contracts.

Safer, Cleaner and Greener Implications:

All the Council car parks have Park Mark accreditation by continuing to provide adequate enforcement action and maintaining all the pay and display machines in a good state of repair the Council can continue to keep the accreditation.

The current ability of motorists to pay by phone, app and pay & display machines (cash/card) will continue.

Consultation / Scrutiny Undertaken:

The procurement notices were published on the official Find a Tender Service (FTS) website.

Background Papers:

N/a

Risk Management:

As the incumbent contractor is recommended to be appointed for the new contract, there are no major risks identified. The recommended contractor proposes to continue using the current Council service providers which means a smooth transition process with minimal risk.

TUPE transfer will not be necessary. Avoiding a TUPE transfer avoids risk for the Council at the start of the contract and uncertainty for those directly affected.

Equality:

An Equality Impact Assessment was carried out and there was no significant impact identified.

Report to the Cabinet

Report reference: C-032-2023/24
Date of meeting: 4 December 2023



**Epping Forest
District Council**

Portfolio: Corporate & Customer Services (Cllr S Kane)
Subject: Calendar of Council Meetings 2024/25
Responsible Officer: G Woodhall (01992 564470).
Democratic Services: V Messenger (01992 564243).

Recommendations/Decisions Required:

That, as attached at Appendix 1, the draft Calendar of Council Meetings for 2024/25 be recommended to the Council for adoption.

Executive Summary:

The Cabinet considers the calendar of meetings each year prior to its final approval by the Council. The calendar has been developed over time to meet the changing needs of the authority and no fundamental changes have been proposed for 2024/25.

Reasons for Proposed Decision:

To review the proposed Calendar of Meetings for 2024/25, prior to its final adoption by the Council.

Other Options for Action:

Individual frequencies of meetings could be varied. In practice, additional meetings are added as and when issues dictate. Similarly, meetings can be cancelled if there is a lack of business.

Report:

1. Democratic Services submit a draft Calendar of Council meetings each year to the Cabinet for consideration prior to its approval by the Council.
2. The focus has been to ensure that the correct report lines are created to allow the relevant committees to be informed, to scrutinise and make valuable contribution to the the decisions of Council. Emphasis for 2024/25 has been on the financial framework, the scrutiny of the Medium-Term Financial Plan which includes the Budget Strategy and Capital programmes, and the scrutiny of the quarterly performance Management reports. Democratic Services held a workshop with various departments on 23 October 2023 to ensure that their requirements for reporting have been considered.
3. Friday evenings have continued to be kept free of meetings, and any encroachment into August has been kept to a bare minimum due to holidays. However, the Regulatory Committees have always continued to meet throughout August in the past and this practice

has been continued.

The Executive

4. The Cabinet is scheduled to meet 9 times throughout 2024/25. The Council is scheduled to meet 6 times throughout the year, starting with the Annual Council meeting on 23 May 2024. The Council meeting originally scheduled for the first week in October has been moved back this year to 15 October 2024 to avoid clashes with the national party conferences.

Overview & Scrutiny

5. The structure of the Council's Overview & Scrutiny function was reviewed last year, which resulted in amalgamation of the Stronger Council Select Committee with the main Overview & Scrutiny Committee. This has appeared to work well this year and no further changes to the structure are planned for 2024/25.

6. At the workshop, Finance and Programme Management Officers highlighted the difficulty of preparing their quarterly monitoring reports in time for the agenda for the Overview & Scrutiny Committee at the end of each quarter. Therefore, the meetings of the Overview & Scrutiny Committee in July, October and January have all been pushed back a week to facilitate this. It is also proposed that the meeting of the Overview & Scrutiny Committee that would normally happen in April also be pushed back to the first week of June, to allow the Quarter 4 monitoring reports to be considered. This meeting has been scheduled for Tuesday 4 June 2024.

7. The Communities and Place Scrutiny Committees have again been scheduled to meet 4 times during the year. The meeting of the Place Scrutiny Committee originally scheduled for 17 September 2024 has been pushed back to 1 October 2024 to avoid a clash with the national Party Conferences. An additional meeting of the Communities Scrutiny Committee will be scheduled for the Spring of 2025 and will be entirely dedicated to the District Police Commander and related Community Safety reports.

8. The proposed Scrutiny schedule does leave a gap between Overview & Scrutiny Committee meetings after January. However, if there are any items from the Communities or Place Scrutiny Committees that need to be considered by the Overview & Scrutiny Committee during their spring cycle of meetings then an extra meeting could be scheduled for April 2025.

Planning

9. The Area Plans Sub-Committees East and South continue to meet on a four-weekly cycle, with the District Development Management Committee and Area Plans Sub-Committee West meeting on a 6-weekly cycle. This was agreed by the Council as part of this process last year. The period between the local elections and the Annual Council meeting has again been kept free of Planning meetings. The first scheduled planning meeting in May is on Wednesday 29 May 2024.

10. A review of how the Council undertakes its Planning responsibilities is currently being undertaken and this might necessitate a change to the structure of the Council's Planning Committees, and/or the frequency of Planning Committee meetings. Any recommendations arising from the review will be reported to the Cabinet and then Council for approval and consequently, the proposed schedule could change before the end of the current municipal year.

Licensing

11. Licensing Sub-Committee meetings have remained on the first Tuesday morning of each month and additional meetings have been provisionally set aside on the third Tuesday of every month. This allows the Council to meet its statutory deadlines when considering Premises Licence applications. It is expected that some of these meetings will be cancelled due to a lack of business.

12. There have been no evening meetings scheduled for Licensing Sub-Committees in 2024/25, although a Premises Review could be held in the evening if the Chairman of the Licensing Committee felt that it would be in the public interest to do so. All members of the Licensing Committee continue to meet twice a year to consider policy and procedural matters.

Miscellaneous Committees

13. For the Audit & Governance Committee, two small changes have been proposed by Finance Officers, although the number of meetings throughout the year will remain as five. The first change is to move the meeting currently scheduled for July to September as this would ensure that the Treasury Management Monitoring Report would be available to be reviewed. The second change is to bring the February meeting forward by one week to allow the Treasury Management Policy, the Treasury Management and Investment Management Strategies and the Capital Strategy to be approved by the Committee in advance of the Council's budget meeting on 20 February.

14. Both the Youth Council and the Local Highways Panel have not been included in this schedule as it is felt that they are meetings which sit outside the Council Calendar. The Youth Council have their own programme, and although the Local Highways Panel involves both the County and District Councillors, they are not organised by the District Council.

15. Meetings of the Appointments Panel have been scheduled for Thursday 8 May and Thursday 15 May in the period between the Local Elections on 1 May 2025 and the Annual Council on 22 May 2025. The Local Councils Liaison Committee will again meet twice in the year in September and March. The Constitution Working Group has had an additional meeting scheduled as the Council's Constitution is undergoing a thorough review. In addition, there may be various Portfolio Holder Advisory Group and Scrutiny Task & Finish Panel meetings which will be organised outside of the formal calendar process as well.

Religious Festivals

16. The meeting of Area Plans Sub-Committee South (West) has been re-scheduled from 2 October 2024 to 9 October 2024 to avoid the Jewish holiday of Rosh Hashanah. This has also necessitated the re-scheduling of Area Plans Sub-Committee West from 9 October to 16 October 2024, and Area Plans Sub-Committee East from 16 October to 23 October. This will affect the gaps between meetings for the three Sub-Committees for this cycle, but their normal frequency of meetings resumes from November 2024. The Jewish festivals of Yom Kippur and Pesach do not clash with any meetings.

17. The Hindu festival of Diwali is on Friday 1 November in 2024 and does not clash with any of the Council's meetings. Ramadan is the period between Friday 28 February 2025 and Sunday 30 March 2025, and if any meetings are required to be re-scheduled during this period, perhaps with a slightly later start time, then this can be considered by the relevant Chairman at the time of the request.

Party Conferences

18. The dates of next year's Party Conferences have been determined (or the date of this year's conference used if the date for next year is not known), and there have been no Council, Cabinet or Scrutiny meetings organised during these dates. For the regulatory and miscellaneous committees, substitutes can be organised by the Groups if a meeting falls during this period and a particular member is not available.

Conclusion

19. The Cabinet is requested to consider the draft Calendar of Council meetings for 2024/25, as attached at Appendix 1, and advise whether any further changes are required. However, it should be noted that the current Calendar is extremely congested, and the organisation of any additional meetings should be given very careful consideration. Any changes requested by the Cabinet will be incorporated into the final version to be considered by the Council on 19 December 2023.

Resource Implications:

No identifiable savings as there are no significant changes planned for next year's Calendar.

Legal and Governance Implications:

None foreseen, as the proposed Calendar allows the Council to fulfil its obligations under the various Local Government Acts.

Safer, Cleaner and Greener Implications:

Any substantial increase in the number of Member meetings would hinder the Council in meeting its obligations under the Nottingham Declaration and successor agreements.

Consultation Undertaken:

Management Teams, and the Portfolio Holder.

Background Papers:

None.

Risk Management:

That an insufficient number of meetings would be scheduled for a Committee to complete its business for the year; however, if this became apparent then additional meetings could be arranged as necessary.

	May-24	Jun-24	Jul-24	Aug-24	Sep-24	Oct-24	Nov-24	Dec-24	Jan-25	Feb-25	Mar-25	Apr-25	May-25
Council	23		23			15		17		20		9	22
Cabinet	28		8		2	7	11	9	13	5	18		
O&S		4	30			29			28				
Communities		25			24				14		5		
Place			2			8			7	27			
Audit & Govn		27			19		28			9	28		
Appts Panel	9,16												8, 15
Constitution Working Group			11				15				14		
Local Councils					26						27		
Licensing Committee						10						3	
Licensing Sub-Committee (Day Time)	14	4,18	2,16	6, 20	3,17	1,15	5,19	3,17	7,21	4,18	4,18	1,15	
DDMC			3	14	25		6	18	29		12	23	
Area Planning Sub-Committee South		12	10	7	4	9, 30	27		8	5	5	2	28
Area Planning Sub-Committee East	29	26	24	21	18	23	13	11	22	19	19	16	
Area Planning Sub-Committee West		5	17	28		16	20		15	26		9	

Religious Festivals

Yom Kippur 11-Oct-24 → 12-Oct-24 (Friday/Saturday)
Rosh Hashanah 2-Oct-24 → 4-Oct-24 (Wednesday/Friday)
Pesach 12/13 April 2025 (Saturday/Sunday)

Diwali 1-Nov-24 (Friday)

Christian festivals are already bank holidays.

Ramadan 28-Feb-25 → 30-Mar-25

Party Conferences

Lib Dems 14-Sep-24 → 17-Sep-24 (Saturday/Tuesday)

Labour ? (6-Oct-24 → 9-Oct-24 (Sunday/Wednesday))

Conservatives 29-Sep-24 → 2-Oct-24 (Sunday/Wednesday).