

## CORPORATE RISK REGISTER (FEBRUARY 2023)

<b>LIKELIHOOD</b>	<b>A</b> Very High				<b>11</b>
	<b>B</b> High			<b>2 7 9 10</b>	<b>1</b>
	<b>C</b> Medium			<b>4 5 6</b>	<b>3</b>
	<b>D</b> Low / Very Low		<b>8</b>		
		<b>4</b> Insignificant	<b>3</b> Minor	<b>2</b> Moderate	<b>1</b> Major
	<b>IMPACT</b>				

Risk no.	Risk score	Description
1	B1	Local Plan
2	B2	Increase in demand for housing assistance
3	C1	Financial resilience
4	C2	Economic Development
5	C2	Data/Information breach
6	C2	Business Continuity
7	B2	Cybersecurity
8	D3	Delays in issuing planning permission
9	B2	Failure to achieve carbon emissions targets
10	B2	Waste Management
11	A1	Failure to achieve regulatory/legal regulations

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<b>Risk No 1</b> <b>Local Plan</b>	<p><b>Vulnerability:</b> Deadline of December 2023 for all authorities to have up-to-date Local Plans in place. Delays in the adoption of the Local Plan (LP) and failure to meet the Housing Delivery Test will delay the implementation of the Local Plan Strategy and lead to the continuation of application of the presumption in favour of sustainable development.</p> <p><b>Consequence:</b> Delays in granting consent for planned new homes, affordable housing, and jobs because of delays in implementing the spatial approach including strategic housing and employment sites.</p> <ul style="list-style-type: none"> <li>• Vulnerable to ad hoc planning applications and appeal decisions</li> <li>• Loss of associated New Homes Bonus, Business Rates tax base growth and S106 monies to support key infrastructure projects.</li> <li>• Reputational damage</li> </ul> <p>An annual housing requirement of 963 homes per year (2021/22) far more than the Local Plan annual average of 518 dwellings per year.</p>	<p>Local Plan Submission Version 2017 agreed by Council Dec 2017 and published. Following the Judicial Review (JR) the plan was submitted for examination with hearings between Feb &amp; June 2019. The Inspector identified 39 Actions for the Council to complete in August 2019. The Council's response to these actions resulted in proposed amendments to the Plan (Main Modifications) in July 2021. The comments on these MMs were considered by the first Inspector but delayed before she was replaced by a new Inspector in May 2022 who indicated that further MMs are required. Consultation for the further MMs ran from 28 October - 9 December 2022.</p>	VERY HIGH	MAJOR	A1	<p>1) Extensive work undertaken to respond to the post hearing Actions set out by the Plan Inspectors, MMs and further MMs produced and consulted upon in 2021 and 2022.</p> <p>2) Consultants in place to support Habitats Regulations Assessment, Sustainability Assessment statements required alongside the Local Plan adoption.</p> <p>4) Financial contributions towards mitigation and enhancements required by Interim Air Pollution Mitigation Strategy for the Epping Forest, Green Infrastructure Strategy and Epping Forest Strategic Access Management and Monitoring Strategy already being secured.</p> <p>5) Implementation Team well-established to accelerate delivery of strategic site allocations</p> <p>5) Regular reports at officer and Member level through the Cooperation for Sustainable Development Group and Cabinet.</p>	HIGH	MAJOR	B1	<p>1) Regular updates to be provided and posted on the Council's website.</p> <p>2) Representations received to the further MMs in December 2022 collated and uploaded to the Local Plan page of the Council's website within two weeks of the close of consultation. Await Inspector's timetable for any further changes and his final report. Following receipt of the Inspector's report, the Plan can be formally adopted by the Council if it makes the MMs recommended. We will report to Full Council for Member adoption in Q4 2022/23</p>	Service Director – Planning Services	Regular programme meetings (but at least monthly)

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<b>Risk No 2</b>  <b>Increase in demand for housing assistance</b>	<p><b>Vulnerability:</b></p> <p>Rising cost of living could significantly impact residents' ability to meet housing costs leading to increase in demand for homelessness assistance.</p> <p>Ukrainian refugee schemes could result in increased demand for homelessness assistance directly affecting the general fund by increasing numbers in and cost of temporary accommodation.</p> <p>Increasing demand for homelessness assistance also poses significant risk in terms of staffing resources which meet current need, but which do not have any capacity for increased demand.</p> <p>Government's move to full dispersal model (asylum seekers) will inevitably put pressure on an already over stretched affordable private rented sector market and means the addition of yet another competing priority.</p>	<p>Fuel poverty crisis and general, significant, rise in living costs. Increasing competing priorities for finite number of affordable housing units.</p> <p><b>Consequences:</b></p> <ul style="list-style-type: none"> <li>• Tenants no longer able to afford current/new tenancies.</li> <li>• Residents no longer able to afford mortgages</li> <li>• Increase in evictions and homelessness</li> <li>• Increased costs of temporary accommodation</li> <li>• Unable to secure similar level of income due to payment defaults</li> <li>• Public dissatisfaction</li> <li>• Criticism of the Council for not mitigating the effects for residents.</li> <li>• Rise in mental health impacts</li> <li>• Rise in safeguarding issues</li> </ul>	HIGH	MAJOR	B1	<ol style="list-style-type: none"> <li>1. Virtual customer portal signposting access to a range of help, advice and support services (Frontline)</li> <li>2. Breathing Space</li> <li>3. Hub approach to service delivery centred at Civic Office with targeted holistic provision of services across the district (Waltham Abbey hub).</li> <li>4. Dedicated private sector lettings resource to increase prevention of homelessness, reduce demand for Temporary Accommodation and instances where a full rehousing duty would otherwise be owed</li> <li>5. RSI funding secured enabling enhanced targeted response to single homelessness including creation of a mental health navigator embed within the homelessness team</li> <li>6. Domestic Abuse (DA) Navigator and specialist DA safeguarding officer provide expert support and lead through DAHA accreditation ensuring a whole housing approach to DA</li> <li>7. Additional £57K funding secured for DA work</li> <li>8. Monthly tracking for early identification of spikes in demand</li> <li>9. £117K additional homelessness prevention grant to assist with homelessness prevention specifically for private renters affected by Covid-19</li> <li>10. Funded (Changing Futures) Job Coach that will assist 60 clients over 2 years into sustainable employment (as prevention of homelessness measure)</li> </ol>	HIGH	MODERATE	B2	Tolerate risk – continue to closely monitor the situation	Interim Housing and Property Director	Monthly

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<b>Risk No 3</b> <b>Financial Resilience</b>	<p><b>Covid-19 (Legacy)</b> The impact of Covid-19 (including long-lasting, or permanent legacy issues) has added to a recent downward trajectory in available reserves, as income is struggling to keep pace with expenditure</p> <p><b>Qualis Income</b> Securing planned income returns from LATCO initiative is vital to maintaining financial self-sufficiency and minimising expenditure reductions</p> <p><b>Economic Turbulence</b> Recent volatility in the worldwide economy, including sharply rising inflation and increasing interest rates poses a substantial threat to the Council's financial sustainability; this impacts on general expenditure costs (especially on pay and major contracts) and interest costs incurred on Qualis 'on-lending, as well as major capital projects (impacted by the increasing cost of building materials especially)</p> <p><b>Efficiency Savings</b> Maintaining an ongoing balanced budget is contingent on the continuous identification of cashable efficiency savings. Current spending levels are not sustainable; and</p> <p><b>Financial Control</b> Tighter financial control is essential in the more challenging financial environment that lies ahead.</p>	<p>Draft balanced budget prepared for 2023/24 (due to Cabinet 06/02/23). Updated Medium-Term Financial Plan (MTFP) for 2023 to 2028 (forecasting a cumulative deficit of £3.9 million by 31/03/28) now reflects budget.</p> <p>The economic turbulence experienced in 2022 appears to be calming with most commentators believing that the inflationary peak has passed and that the anticipated recession will not be as severe as originally feared. But inflation is still very high (December 2022 CPI was 10.5%) and the Bank of England raised the base rate to 4.0% on 02/02/23; increased interest rates are putting substantial strain on Council financing costs.</p> <p>The 2022/23 Quarter 3 General Fund forecast indicated an overspend of £1.313 million, which if it materialises will reduce the General Fund Reserve balance below the adopted minimum contingency level.</p> <p>Slippage on timetabled income from Qualis continues to be a risk, exacerbated by rising interest rates. Delays on Local Plan have held back receipts from Planning Applications (and Qualis loan margins).</p> <p>Heightened cost pressure on Waste Management service.</p>	VERY HIGH	MAJOR	A1	<p><b>Covid-19</b> Immediate pressure receded gradually in 2021/22. Medium/Long Term financial impacts being managed through MTFP (@ February 2023). <b>Qualis</b> Council's interests directly overseen and managed by Section 151 Officer with tailored support from specialist professional advisors. 25% contingency included in draft budget for 2023/24.</p> <p><b>Economic Turbulence</b> Inflationary impacts (including interest rate increases) closely monitored and assessed by Section 151 Office through the ongoing Financial Planning process with contingencies in place in key problem areas.</p> <p><b>Efficiency Savings and Service Cuts</b> Cashable savings of £4.3 million were identified in order to achieve the draft balanced budget for 2023/24. Substantial further savings will be required in 2024/25 and beyond, with transformation projects seen as the key enabler. Forecast budget deficit for 2024/25 now £2.4 million. Future savings likely to be harder to achieve with 'low hanging fruit' realised in preparing 2023/24 draft budget.</p> <p><b>Financial Control</b> Process improvements continuing to be rolled out by Deputy S151. Corporate Finance function fully resourced (since September 2022), with added focus on internal financial control procedure and increasing leadership of improvements in wider financial support services.</p>	MEDIUM	MAJOR	C1	<p>Complete transformation of Corporate Finance functions, utilising the benefits of a fully resourced Finance Team.</p> <p>Further develop wider leadership role of Corporate Finance Team, ensuring that improvements are achieved in financial process across the Council.</p> <p>Continue to deploy mitigating strategies with the aim of trying to control net expenditure within budget in 2022/23. Key areas to focus on include pay (vacancy control), energy, major contracts (Waste Management and Leisure) and major capital projects (Epping Leisure Centre, HRA housebuilding).</p> <p>Urgently 'ramp up' transformation initiatives ahead of the 2024/25 budget preparation process (the forthcoming budget deficit for 2024/25, identified in the February 2023 updated MTFP, is already known about).</p> <p>In the medium-term, continue cultural change process and improve efficiency and effectiveness. This includes prioritising, promoting, and supporting, the further development of the Council's medium and long-term transformation plans.</p>	Strategic Director & 151 Officer	Monthly

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<b>Risk No 4</b> <b>Economic Development</b>	<p><b>Vulnerability:</b> An economic downturn will have significant impacts on the health and wellbeing on the area and the Council's financial position in terms of commercial activity and greater calls on council resources.</p> <p><b>Consequence:</b></p> <ul style="list-style-type: none"> <li>Unable to secure sufficient employment opportunities</li> <li>Local area and people lose out</li> <li>Insufficient inward investment</li> <li>Impact on economic vitality of area</li> <li>Loss of business rate revenue</li> <li>Increased economic cost to the council</li> </ul>	<p>Economic conditions are challenging at the moment. It is anticipated that unemployment will begin to rise with a very challenging trading environment for local businesses caused by the cost-of-living crisis, impact on disposable income and other issues. This can have an impact on the Council's commercial activities in traded services, the demand on council services and business support to enable businesses to trade through the difficult conditions.</p> <p>Digital transformation continues to reshape much of the local economy and employment and income generation opportunities. This has implications for future skills provision and inward investment.</p>	<b>VERY HIGH</b>	<b>MAJOR</b>	<b>A1</b>	<p>Economic Development Plan (Nurturing Growth) in place until May 2025.</p> <p>A completely new action plan was developed and deployed for recovery of local high streets.</p> <p>The government announced in 2022 a new UK Shared Prosperity Fund (UKSPF) and the Council has secured £1 million of funding following a successful submission. Final quarter spend for UKSPF is now in delivery (£70k). A new inward investment site (Invest Epping Forest) has been produced and is live and awaiting formal launch.</p>	<b>MEDIUM</b>	<b>MODERATE</b>	<b>C2</b>	<p>Ensure full delivery of inward investment site and loyal free.</p> <p>Support development at North Weald for maximum return in jobs and investment.</p> <p>Remainder of £30k linked to UKSPF year 1 funding is capital support and will be deployed for playground enhancements with support of HRA team by end of March 2023.</p> <p>UK Shared Prosperity Fund year 2 delivery plan is in preparation and year 3 discussions with neighbouring authorities on skills provision schemes are being initiated.</p> <p>Awaiting confirmation from DLUHC and approval of UK Rural Prosperity Fund submission for £436k. Outline delivery plan is in place. Will need to be reviewed following award.</p> <p>Continue to develop DIZ, market digital economy, target public and private sector funding for enhanced infrastructure. New initiatives around enhanced 5G connectivity, SME digital clusters and support on environmental sustainability underway.</p> <p>Continue to develop and secure opportunities from the visitor economy to support high streets and local businesses. Upgrade and re-launch Visit Epping Forest website has been completed. Formal relaunch is now being programmed.</p> <p>New programme of town centre support contained in UKSPF delivery plans.</p>	<p>Chief Operating Officer via Economic Development and Planning</p>	Monthly

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<b>Risk No 5</b>  <b>Data / Information breach</b>	<p><b>Vulnerability:</b> The authority handles a large amount of personal and business data. Either through hacking or carelessness, security of the data could be compromised.</p> <p><b>Consequence:</b></p> <ul style="list-style-type: none"> <li>Breach of the 2018 Data Protection Act (DPA) and the General Data Protection Regulations leading to significant fines or/and intervention by the Information Commissioner's Office (ICO)</li> <li>Increased costs and legal implications</li> <li>Reputation damaged and loss of public confidence</li> </ul>	<p>Risk of data held by the Council ends up in inappropriate hands. System loss. Generally effective to date, with no significant lapses since the introduction of the 2018 DPA.</p> <p>The work programme for the Information Governance Group, who oversees this risk, is comprehensive but has limited resource to progress the work.</p>	<b>HIGH</b>	<b>MAJOR</b>	<b>B1</b>	<p>The Council continues to have a designated Data Protection Officer in post and a system of data breach and subject access request monitoring is in place.</p> <p>A Senior Information Risk Owner has been identified and an Information Governance Group (IGG) has been formed. In addition, an operational Information Asset Owner Group has been set up.</p> <p>The Information Governance Group has put together a work programme and is updated quarterly.</p> <p>A Retention and Disposals Policy was launched Feb 2021.</p> <p>GDPR &amp; Cyber security eLearning training on Litmos was provided during 2022.</p>	<b>MEDIUM</b>	<b>MODERATE</b>	<b>C2</b>	<p>The IGG Work Programme is being prioritised and is subject to ongoing review by SIRO and Chief Internal Auditor.</p> <p>A designated FOI Business Support Officer will be appointed.</p> <p>Information Governance policy review to be undertaken by Policy sub-group chaired by the SIRO. Executive Team Information Governance training to take place in 2023.</p> <p>FOI infographic eLearning on Litmos along with raising awareness communication and data governance will be rolled out during 2023. Redesign and populate the Council's 'Open Data' webpage to ensure EFDC is compliant with the Transparency Code 2015. Cleanse the Council's Z drive and review the Retention and Disposal Policy.</p> <p>Set up Teams channel and an action plan template circulated for Team Managers to manage their data overseen by the DPO Officer.</p> <p>Compiling/updating an information asset register/register of processing activities (RoPA).</p>	Service Director-Corporate Services (SIRO)	Quarterly

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<b>Risk No 6</b> <b>Business Continuity (BC)</b>	<p><b>Vulnerability:</b> The Council is required to develop and implement robust Business Continuity Plans (BCP) in line with the requirements of the Civil Contingencies Act. Following the re-organisation and negative outcomes from Internal Audit's review plans needed to be updated and changes in responsibilities confirmed.</p> <p><b>Consequence:</b></p> <ul style="list-style-type: none"> <li>• Services disrupted / Loss of service</li> <li>• Possible loss of income</li> <li>• Staff absence</li> <li>• Hardship for some of the community</li> <li>• Council criticised for not responding effectively</li> <li>• Strain on/or lack of staff resources.</li> <li>▪ Increased sickness absence due to potential pandemics – staff availability to work</li> <li>▪ Additional capacity needed for projects</li> <li>▪ ICT restructure</li> </ul>	<p>An Internal Audit of Business Continuity arrangements identified a number of weaknesses which were addressed through the BC project in 2020.</p> <p>An external consultant was engaged to develop the strategy and provide coaching to staff to develop plans. This has largely been completed and an exercise to test was undertaken in Feb 2020.</p>	VERY HIGH	MAJOR	A1	<p>Dedicated Contingency Planning and Council Safety Officer.</p> <p>Corporate BC Plan sits above all plans and is currently going through a refresh.</p> <p>Departments compiled their BC plans following the assistance provided by the external consultant in addition BC Plans in place for key suppliers e.g., waste contract.</p> <p>Departmental BC plans are underpinned by Business Impact Assessments.</p>	MEDIUM	MODERATE	C2	<p>Business impact assessments and departmental BC plans currently being updated.</p> <p>BCP Framework being worked on by BCP Officer and Service Director</p> <p>Service Director and BCP Officer forming Corporate Strategy Emergency Response Plan</p> <ol style="list-style-type: none"> <li>i) Incident manager Civic</li> <li>ii) BCP 'Battle' Box</li> <li>iii) Service specific emergency response</li> <li>iv) Service Business Continuity Planning</li> </ol>	Service Director – Corporate Services	Quarterly

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<b>Risk No 7</b> <b>Cyber Security</b>	<p><b>Vulnerability:</b> The Authority handles a large amount of personal and business data. Either through hacking or carelessness, security of the data could be compromised.</p> <p><b>Consequence:</b></p> <ul style="list-style-type: none"> <li>Loss of system access and/or data</li> <li>Unable to provide Council services</li> <li>Increased costs</li> <li>Reputation damaged</li> <li>Ransomware payment</li> <li>Corporate fines</li> </ul>	<p>Risk of data held by the Council ends up in inappropriate hands. System loss. However, no loss of data. Systems have remained protected from cyber-attack.</p> <p>EFDC is targeted directly. Unknown vulnerabilities in systems. Misconfigured systems. EFDC staff error. Disgruntled EFDC staff.</p> <p>System Loss, Data unavailable, Data stolen, Data changed,</p>	VERY HIGH	MAJOR	A1	<p>IT Security Officer is continually monitoring situation and potential risks. Most systems have in built controls to prevent unauthorised access. Controls in systems have been strengthened in response to specific occurrences. IT monitoring &amp; installing system updates &amp; patches All data back up now directly to the cloud. Considering extending to grandfather back-ups</p> <p>Latest windows major upgrade underway and on track (except GIS &amp; M3 PP).</p> <p>An eLearning module provided by the National Cyber Security Centre has been rolled out across the Council.</p>	MEDIUM	MODERATE	B2	<p>Mystery Phishing campaign will commence February 2023. Security audit has been undertaken by Internal Audit. Microsoft security audit data collection has been undertaken over a number of weeks in Sept/Oct 22. A prioritised remedial action plan will be created, and resources planned to mitigate key risks found – commencing February 2023. PSN compliance check, both internal and external, are booked. Supplier staffing shortages has pushed this out to w/c 27<sup>th</sup> Feb. A remedial action plan will then be created for action from April 2023. The Council may benefit from further assessment in 2023/24 given that the likelihood of attack is continuing to increase. EFDC are discussing with the Essex Digital Partnership being a pilot for a Cyber Essentials + assessment. The assessment should consider key IT supply chains as more of the estate moves to the cloud. The Council should also consider assurances from key Suppliers in the supply chain as part of understanding their business continuity preparedness. An updated draft information security policy has been created. After feedback from the above compliance checks and tests it will be shared with the business in Q4 2022/23. This requires input from and ratification from the IGG.</p>	Service Director – ICT & PMO, Strategy & Policy	Quarterly



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<b>Risk No 8</b>  <b>Delays in issuing Planning Permission</b>	<p><b>Vulnerability:</b> Delays in issuing around 260 Planning Permission for development following objections by Natural England regarding the impact of development on air quality in Epping Forest SAC.</p> <p><b>Consequence:</b></p> <ul style="list-style-type: none"> <li>• Delays in granting Planning Permission in the District and house building to create new homes.</li> <li>• Loss of New Homes Bonus</li> <li>• Restricted Business Rates tax base growth</li> <li>• Reputation damaged</li> </ul>	The Habitats Regulations Assessment (HRA) January 2019 found that the Plan would be likely to have a significant effect upon the Epping Forest Special Area of Conservation (the SAC) in respect of both atmospheric pollution and disturbance from recreation & urbanisation.	<b>VERY HIGH</b>	<b>MAJOR</b>	<b>A1</b>	Regular meetings held with key stakeholders including Natural England to update the HRA and develop a mitigation strategy. Interim mitigation strategy (SAMMS) was agreed by Council in October 2018 to mitigate the impact of recreational pressure on the Forest and Natural England have confirmed it is appropriate. The outstanding concerns in relation to the Green Infrastructure Strategy/ SANG strategy and the need for site specific projects to mitigate the impact of recreational pressure associated with growth in the South of District has been addressed in the GI Strategy approved at Cabinet on 20 April 2021. A Draft Air Pollution Strategy was agreed by Cabinet in July 2020 for further consultation with Natural England. An updated strategy has been prepared and was adopted by Council on 8 February 2021 following confirmation from Natural England that the strategy was agreed. Development Management employed a senior planning officer specifically to clear this backlog.	<b>MEDIUM</b>	<b>MODERATE</b>	<b>D3</b>	Mitigation strategy in place for both recreational pressure and air quality issues. Interim air pollution mitigation strategy has been agreed with Natural England and has been adopted by the Council through a PFH report which was called in to a Full Council meeting on 8 February 2021. The Interim Air Pollution Strategy was agreed by full Council on 8 February 2021 and opened the potential release of 260 planning permissions. Applications submitted after 8 February 2021 are being dealt with in a Business As Usual manner. Apart from a handful of applications awaiting the applicant to sign a s.106 agreement and therefore issue the planning permission, then can confirm that the backlog has been removed and as a result, the senior planning officer specifically brought in for this purpose finished his employment with us on 23 December 2022.	Service Director - Planning Services	Monthly – regular updates are being provided to the inspector

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<b>Risk No 9</b> <b>Failure to achieve carbon emissions targets</b>	<p><b>Vulnerability:</b> 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.</p> <p>The Council has identified a number of initial areas of focus, including: Local Plan site allocations achieving high standards of sustainability; carbon reduction of council owned properties; the promotion of sustainable transport and implementing an air quality strategy.</p> <p><b>Consequence:</b></p> <ul style="list-style-type: none"> <li>• Reputational damage</li> <li>• Greatly increased costs from Climate Change Adaptation requirements</li> </ul>	<p>Failure in achieving identified carbon reduction targets and taking action to reach the carbon neutral District by 2030 pledge.</p> <p>Contracts of both the Climate Change Officer and the Sustainable Transport Officer have been made permanent.</p> <p>Climate Change Officer returns from maternity leave in early Feb 2023</p>	VERY HIGH	MODERATE	A2	<p>The Climate Change and Sustainable Transport Officer developed a draft action plan with the overall objective of becoming carbon neutral by 2030. It covers all service areas and the wider District emissions. The draft Climate Change Action Plan went for public consultation, finishing on 26<sup>th</sup> November 2021.</p> <p>A report of the findings from the consultation went to Overview and Scrutiny at the end of March 2022. Final version of Climate Action Plan submitted and approved by Cabinet in April 2022</p> <p>DaRT87 launched in Jan 2021 as an emergency hybrid Demand Responsive Transport (DRT), had been hit by the effects of the pandemic with continued WFH work patterns suppressing demand for tube journey links and older/concessionary pass holders remaining cautious about using public transport (confirmed in ECC and national stats).</p> <p>Cabinet in March 2022, agreed in its current form and cost to continue the service.</p>	HIGH	MODERATE	B2	<p>The move to staff working from home and covid-19 associated projects including increasing active travel as part of the Safer Places project for High Street recovery, will contribute towards a positive impact on carbon reduction.</p> <p>The Climate Action Plan reviewed to identify what is Business as Usual and what are priority actions. Findings will be reported back to the PMO Steering Group. Climate work to be scoped and mapped.</p> <p>DaRT87 - further funding merited due to extreme challenges posed by Covid-19 conditions – as one third of interest had been from Harlow residents, Harlow's (and ECC's) financial support should also be sought in 22/23.</p>	Interim Strategic Director	Quarterly

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<b>Risk No 10 Waste Management</b>	<p><b>Vulnerability:</b> 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>Failure to procure new Waste Contractor to commence in Nov 2024</p> <p><b>Consequence:</b></p> <ul style="list-style-type: none"> <li>Reputational damage to the Council</li> <li>Significant additional costs to the Council</li> <li>Environmental impact – increased rubbish on street, health issues if waste left out too long before collected</li> <li>Ongoing service delivery issues</li> </ul>	<p>There has been significant increase in volume and frequency of missed collections, which has led to district wide disruption and complaints. This is due to staff shortages (particularly drivers) and vehicle breakdowns due to age of fleet.</p> <p>The Council was in discussion with Biffa regarding a contract extension, however a Cabinet decision has been made to run a procurement exercise for the new waste contract. The contract extension talks have stopped due to failure to agree on the costs of the Contract and EFDC's ability to demonstrate value for money.</p>	HIGH	MAJOR	B1	<p>Daily communications with Biffa, keeping members and residents informed.</p> <p>New management team at Biffa, Waltham Cross (Depot). Biffa have agreed a further 2-year pay deal with the GMB. Biffa have already managed to recruit an additional 6 drivers who will commence employment shortly.</p> <p>Biffa are currently sourcing newer / more reliable narrow access vehicles for the Contract, this should be finalised within the next 4 weeks.</p> <p>Biffa St Albans now providing further additional support for vehicle maintenance in Epping. Waste Management team have a vehicle and crew from another contractor which is being used as and when required to clear missed collections.</p> <p>A PIN (Prior Information Notice) was issued on 24<sup>th</sup> August. This is a soft market testing exercise which legally allows us to speak to waste contractors to ascertain if they would be interested in the contract should we go to market rather than extend the contract with Biffa. To date we have a number of waste contractors' express interest and market engagement meetings took place in September.</p>	HIGH	MODERATE	B2	<p>Continue to work with Biffa to resolve the issues. Issue Contract Defaults where necessary until issues are resolved.</p> <p>Continue to keep members and residents up to date.</p> <p>Market engagement meetings with waste contractors have taken place to find out their interest in the Waste Contract.</p> <p>Cabinet decision to go out to procurement for the waste contract was agreed in October. Procurement documents will go to market on 1<sup>st</sup> Feb 2023</p> <p>A Waste Management Portfolio Holder Advisory Group was agreed by Cabinet in November to look at current issues and service improvements.</p> <p>A feasibility report has been completed for an EFDC owned waste depot.</p> <p>Recommendations from feasibility report and next steps for an EFDC owned waste depot will go to Cabinet in Feb 23.</p>	Service Director – Contracts	Monthly

REF	RISK (IF-THEN)	BACKGROUND CAUSE-EFFECT	Likelihood	Impact	Inherent Risk Rating	MITIGATION/ CURRENT CONTROLS	Likelihood	Impact	Residual Risk Rating	FURTHER ACTION REQUIRED (INCLUDE TIMESCALES)	RISK OWNER	COMPLETION REVIEW DATE
<b>Risk No 11 Failure to achieve regulatory/legal regulations</b>	If the Council, as a social housing landlord, is unable to demonstrate compliance with statutory H&S regulations, then it could be open to unlimited fines and/or adverse publicity.	Building Safety Act 2022 – HSE is now the new regulator and whilst currently applies to 7 storeys and above 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. Applies to building control function who now have enhanced duties. 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	<b>VERY HIGH</b>	<b>MAJOR</b>	<b>A1</b>	Spreadsheets of compliance checks undertaken are maintained for each of the 'big six' (gas, electrical, fire, asbestos, legionella, lifting operations and lifting equipment regulations).  Individual action plans track the progress against recommendations  There are regular management meetings on compliance for gas, FRA (fire risk assessments), electric and water via a dashboard – providing 80% compliance  The interim Strategic Director has been designated Responsible Person for the HSE (Health and Safety Executive)  Director of Property has been appointed as Responsible Person for RSH (Regulator of Social Housing) Consumer Regulations	<b>VERY HIGH</b>	<b>MAJOR</b>	<b>A1</b>	Implement a dashboard to provide up to date visibility of the status of the Council's compliance with the 'big six'. Introduce a mechanism to centrally track progress against outstanding actions. A consultant has been engaged to assist in demonstrating compliance. Use of Fire Risk Assessment Prioritisation Tool to provide evidence of compliance and to assist the Responsible Person to develop a prioritisation strategy. 'Golden Thread' for documents recording and retention Ensure adequate number of fire wardens involved in managing the buildings on site at any one time and who are certified from an accredited training provider. External walls and flat entrance doors will need to be included in the Fire Risk Assessments as new statutory obligation Robust controls needed for Planned maintenance where contractors are used who can invalidate any fire stopping measures in place Stock condition surveys being undertaken to complete by end of March 2023 Ensure roles & responsibilities are clear for LOLER inspections. Asbestos is added to the dashboard facility.	Interim Strategic Director	Monthly