


## Corporate Risk Register- Aug 2024

<b>LIKELIHOOD</b>	Almost Certain	5					
	Highly Likely	4				<b>ICT001</b>	
	Possible	3				<b>HRA001 HRA002 CORSER001 FIN002 FIN003 PEOPLE001 CORSER002 SUS001</b>	<b>PLA005</b>
	Unlikely	2					<b>FIN001 COMP001 CONT001</b>
	Negligible	1					
				1	2	3	4
			Negligible	Low	Medium	High	Very High
<b>IMPACT</b>							

**Key**

- CORSER002- Business Continuity arrangements**
- ICT001- Cyber Security**
- CONT001 -Waste service delivery failure**
- HRA001- Increase in demand from homeless could increase financial need**
- HRA002-Council house build programme**
- SUS001- Climate Change**
- COMP001-Compliance with social housing regulations**
- CORSER001-Data information breach**
- FIN002- Ensuring the financial viability of Qualis.**
- FIN003- Maintaining and improving VFM.**
- FIN001- Delivering a balanced budget and Sustainable Medium-Term Financial Plan (MTFP)**
- PEOPLE001 – Future proofing the workforce**
- PLA005 – Quality of Majors**

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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"> <li>1. Senior officers authorise all placements.</li> <li>2. Entered into a block booking arrangement with a local provider at a reduced cost.</li> <li>3. Building our own stock.</li> <li>4. New provision by other social housing providers.</li> <li>5. Taskforce of key staff in place to improve collection rates of charges</li> </ol>	3	4	12	<ol style="list-style-type: none"> <li>1) Investigating an Essex wide solution. North Essex housing summit took place in February 2024 and an action plan being developed</li> </ol>	Interim Service Director Housing & Property	Nov 24	OPEN
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)					TREATMENT STATUS				DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
Aug 24	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					SB	Oct 24


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						TREATMENT STATUS	DIRECTION OF TRAVEL	ACTION OWNER			ACTION DATE	
HRA002 Council house build programme	Inability to deliver new affordable housing through our own pipeline, the strategic partnership or other ventures.	5	4	20	<ol style="list-style-type: none"> <li>1. Programme-wide risk management schedule is in place.</li> <li>2. Project management of all schemes to ensure effective delivery of time, budget, and quality.</li> <li>3. Carry out 360 Reviews with contractors to review performance. .</li> <li>4. Deliver schemes in line with RIBA development stages 1- 7..</li> <li>5. Involve Planning staff at early stages and throughout.</li> <li>6. Carry out robust feasibility studies.</li> </ol>	3	4	12	<ol style="list-style-type: none"> <li>1. Evaluate system for managing cashflow.</li> <li>2. Progressing schemes with approved Housing Revenue Account (HRA) budget in the pipeline.</li> <li>3. Explore development opportunities with Qualis, strategic partners and other developers. Considering all contract types.</li> <li>4. Review the local plan for development opportunities.</li> <li>5. Monthly meetings with finance business partner to manage cashflow of schemes.</li> <li>6. Creation of a development strategy</li> <li>7. Leveraging development funding opportunities – notably Homes England.</li> <li>8. RTB receipts needs to be spent within Sept 2026. Linked to programmes.</li> </ol>	Interim Service Director Housing & Property	Nov 24	OPEN
CURRENT REVIEW DATE	CAUSE – EFFECT (detail narrative)				TREAT							
Aug 24	If the Council fails to deliver new build housing, we are unable to provide housing to our most vulnerable residents who remain on the waiting list. Right to Buy (RTB) impact on the level of stock and without new build delivery we are unable to increase stock.											






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Aug 24	<p>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.</p> <ul style="list-style-type: none"> <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> </ul>	<p>4. BC Plan templates and manager training completed in April 2023 in conjunction with Essex Police BC Team.</p> <p>5. BCP framework in place.</p> <p>6. Service BC Plans and BIAs in place for majority of Council</p>	TREAT	<p>3. Training for Executive Leadership (ELT)/Senior Leadership Team (SLT) for strategic decision making during an incident.</p> <p>4. Ongoing service manager workshop 9/09/2024 looking what their critical functions are and put in priority.</p> <p>5. Work with Colchester City Council Emergency Planning Officer (EPO) to establish content for EFDC workshop booked for Nov 2024.</p> <p>6. Big switch off – the Security &amp; Infrastructure Officer has a separate risk register for this and is leading on that.</p> <p>7. Ensure that adequate contingency arrangements are in place for the Elections.</p>		<p>1) LL 2)LL 3) LL 4)LL</p> <p>5 LL 6) PM</p> <p>7) PM/ RP</p>	<p>Comp Oct 24 Oct 24 Sept 24</p> <p>Dec 24 Mar 25</p> <p>Comp 24</p>					
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ICT001 Cyber security	If EFDC are subject to a serious cyber incident, the impact to our services and communities could be extensive.	5	5	25	<ul style="list-style-type: none"> <li>- Data backed-up off-site.</li> <li>- Documented and tested incident management procedures in place.</li> <li>- Mandatory cyber security training is supported by</li> </ul>	4	4	16		Joint ICT & Transformati on Director	Nov 24	OPEN


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CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)		TREATMENT STATUS		DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE	
Aug 24	<p>Every organisation carries multiple risks in relation to cyber threats in particular government organisations</p> <p>The Authority handles a large amount of personal and business data. Cyber risks stem from 3 main root causes that require a cross organisational response</p> <ul style="list-style-type: none"> <li>• Insufficient technical controls</li> <li>• Poor staff awareness and practice</li> <li>• Third party and supply chain risks</li> </ul> <p>potentially leading to</p> <ul style="list-style-type: none"> <li>• Loss of system access and/or data</li> <li>• Interruption and degradation of Council services</li> <li>• Increase costs</li> <li>• Reputational damage</li> <li>• Corporate fines</li> </ul>	<p>staff communications where ICT identify any increase phishing attempts.</p> <ul style="list-style-type: none"> <li>- People Team notifies ICT of all leavers to ensure access rights are promptly disabled.</li> <li>- Single sign-on and/or multi-factor authentication applied wherever possible.</li> <li>- Mystery Phishing campaigns.</li> <li>- Updated Information Security, Security Breach, ICT Remote Access, and ICT Security policies in place.</li> <li>- Public Sector Network compliance, with penetration testing completed.</li> <li>- Network firewalls in place to protect network; device firewalls and anti-virus software deployed</li> </ul>	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. Additional information sharing and best practice across Essex Councils – on-going</p> <p>3. Continued emphasis on educating and supporting colleagues, as human mistakes and mal use remain biggest threat – including AI for which a policy is being drafted</p> <p>4. Further mitigations in relation to suppliers and supply chains – ICT to join work undertaken by Contracts and risk management.</p> <p>5. Establishing enterprise architecture principles for ICT standards</p> <p>6. Lessons learnt exercise to inform security strategy being reviewed</p>		<p>MW</p> <p>MKS</p> <p>MW</p> <p>MKS/ SM/ KD</p> <p>MKS/ MW</p> <p>MKS</p>	<p>Oct 24</p> <p>Ongoing</p> <p>Nov 24</p> <p>Nov 24</p> <p>Dec 24</p> <p>Dec 24</p>

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						TREATMENT STATUS	DIRECTION OF TRAVEL	ACTION OWNER			ACTION DATE		
SUS001 Climate Change	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	<p>Policy controls: Climate Change Action Plan, Local Plan - environmental policies, Sustainability Guidance vols 1-3 covering major and minor development and extensions/refurbishments, Interim Air Pollution Mitigation Strategy, Air Quality Action Plan</p> <p>Other controls:                      -Climate Change Steering Group                      - Fleet conversion to Electric Vehicles                      - EV charge points at offices and on EFDC public land.                      -Carbon Literacy training                      - Net zero training given to planning officers                      -Tree Policy approved by Cabinet                      - Interest into next round of Funding expressed. Marketing with SE energy hub for energy improvements on private housing.</p>	3	4	12	<p>1. Include energy efficiency investment in Housing Asset Management Strategy Plan, strategy due 2024 to complete remaining 50% of stock survey in 2024/25</p> <p>2.Include energy efficiency investment in operational asset management strategy</p> <p>3.EV charge points on EFDC land to be part of asset management strategy.</p> <p>4.Identify EFDC planning staff with required specialist knowledge to oversee carbon emissions and climate considerations.</p> <p>5. Carbon reduction measures are being implemented for Waste vehicles and Ops Hub</p> <p>6. Construction of BREEAM excellent leisure centre is underway</p> <p>7. Opportunity: Exploring Local Authority Retrofit Scheme (LARS) for funding of energy efficiency in private housing and part of Essex County Council consortium.</p> <p>8. Retrofit programme in place via EON.</p>	Chief Operating Officer/ Service Director Planning	Nov 24	OPEN	
CURRENT REVIEW DATE	<b>CAUSE - EFFECT (detail narrative)</b>												
Aug 24	<p>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>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.</p> <p>If we fail to achieve our targets could result in:</p> <ul style="list-style-type: none"> <li>• Reputational damage</li> <li>• Greatly increased costs from Climate Change Adaptation requirements (flooding, overheating, subsidence from drought, increased insurance claims)</li> </ul>					TREAT					<p>1)SB/ 2) DG Oct 24 Sept 24</p> <p>3)SB/ CH Sept 24</p> <p>4)GC Sept 24</p> <p>5) JW Mar 25</p> <p>6) JW/ AH Dec 24</p> <p>7)MT Nov 24</p> <p>8) JT Mar 25</p>		

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						2	5	10			TREATMENT STATUS	DIRECTION OF TRAVEL	ACTION OWNER
CONT001	Failure to implement future waste services project by Nov 2024 Current Provider fails to continue to deliver service	5	5	25	1 OPS Ltd appointed to project manage Future Waste Services Project. Programme Board set up. 2 There are 3 workstreams: Workstream 1 – Waste services delivery Workstream 2 - Mobilise a waste vehicle facility at NWA. Workstream 3 - Procure a Vehicle Fleet. 3-interim Managing Director appointed for the new waste company	2	5	10	1) Value engineering exercise underway for construction of the operations hub. Tight budget monitoring. 2) Testing of all BCP 3) TVS Operator Licence applied for	Service Director - Contracts	Nov 24	OPEN	
CURRENT REVIEW DATE	<b>CAUSE - EFFECT (detail narrative)</b>												
Aug 24	Failure to obtain planning permission for waste vehicle depot at North Weald Airfield (NWA)  Consequences: <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, and health issues if waste left out too long before collected</li> </ul>				4 Award contract for Procurement of waste vehicles approved by Cabinet 15 <sup>th</sup> Jan 2024 5- Waste Licence obtain for waste vehicles at NWA 6- Waste Management Partnership Board 7- Contingency plans in place 8-Future Waste services project steering group meet fortnightly	TREAT					JW JW JW	Nov 24 Sept 24 Nov 24	




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COMP001	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 as laid out in the Social Housing (Regulation) Act (2023).If the Council is unprepared, it will face serious reputational damage.	4	5	20	<ol style="list-style-type: none"> <li>1) Comprehensive suite of policies in place.</li> <li>2) Specialist compliance IT solution has started to be implemented</li> <li>3) Weekly oversight of compliance by ELT.</li> <li>4) Chief Operating Officer (COO) is agreed lead on Health and Safety for Housing (as required by the Regulator)</li> <li>5) The Director for Housing &amp; Property is lead for Consumer Standards. As required by the Regulator.</li> <li>6) HRA Business Plan is in place.</li> <li>7) Survey of phase 2 of social housing residents' satisfaction with housing services completed.</li> <li>8) HRA Asset Management Strategy to be in place ensuring that structural and compliance needs for the council's housing are given priority and are fully resourced.</li> </ol>	2	5	10	<ol style="list-style-type: none"> <li>1) Remaining Stock condition survey to be completed.</li> <li>2) HAMS project re-profiled with repairs forming phase 2 was due summer 2024</li> <li>3) Mock inspection to be implemented</li> <li>4) Gap analysis underway for policies procedures</li> <li>5) Gap analysis and development of plan for professional qualifications</li> </ol>	Interim Service Director Housing and Property	Nov 24	OPEN	
	<b>CAUSE - EFFECT (detail narrative)</b>										<b>DIRECTION OF TRAVEL</b>		
Aug 24	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.						TREAT					1) SB 2) SB 3) CW 4)KB 5)KB	Oct 24 Oct 24 Dec 24 Dec 24 Sept 24


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<b>CORSER001</b>	Risk of data held by the Council ends up in inappropriate hands.	4	4	16	1) The Council continues to have a designated Senior Information Risk Officer (SIRO), Data Protection Officer (DPO), and Freedom of Information (FOI) Officer. 2) A Strategic Information Governance Group is in place and meets monthly 3) The Information Governance Group 24/25 work programme is in place and is being prioritised and subject to ongoing review by the SIRO, Head of Internal Audit and DPO quarterly. 4) E-Litmos training in place and part of the onboarding process.	3	4	12	1) Reviewing implications of Data Protection and Digital Information Bill that is with the House of Lords at Committee stage  2) ICT and Information Governance Group to discuss further controls following review of the Microsoft Tenant audit – this links into Colchester work  3) Data cleanse Z drive initiative underway 4) Align electronic data to retention and disposal policies	Service Director Corporate Services	Nov 24	OPEN
<b>CURRENT REVIEW DATE</b>	<b>CAUSE – EFFECT (detail narrative)</b>					<b>TREATMENT STATUS</b>				<b>DIRECTION OF TRAVEL</b>	<b>ACTION OWNER</b>	<b>ACTION DATE</b>
Aug 24	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) <ul style="list-style-type: none"> <li>• Increased costs and legal implications</li> <li>• Reputational damage to the Council</li> </ul>					TREAT					PM/MKS MKS/PM PM PM/LR	Dec 24 Dec 24 Dec 24 Oct 24


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<b>FIN001</b> Delivering a Balanced Budget and Sustainable Medium-Term Financial Plan (MTFP)	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	5) The active monitoring and reporting on internal and external factors affecting the MTFP, including the 2025/26 Budget through the established Financial Planning Framework  6) Regular communication of financial position and future prospects to Members (through the Cabinet and Scrutiny process) and senior management (via SLT route).	2	5	10		Strategic Director of Resources (Section 151 Officer)	Nov 24	OPEN
Aug 24	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) 2024/25 to 2028/29 approved by Council on 20th February 2024 showed a balanced General Fund budget for both 2024/25 (the Budget) and 2025/26 (the Forecast) primarily due to a temporary fall in Capital Financing Costs following the North Weald Airfield capital receipt. There is however a medium-term structural deficit which re-emerges from 2026/27, including the need to reduce the base budget by £1.982 million by 2028/29.	TREAT		1) Maintain (timely) 2024/25 Quarterly Budget Monitoring Reporting process through Cabinet and Scrutiny.  2) Prepare Financial Planning Framework 2025/26 to 2029/30 for Cabinet in September 2024.  3) Continue the further development and delivery of “Fit for the Future” Transformation Plan (including Shared Services), ensuring key milestones, deadlines and financial targets are met.	CH	April – March (24/25)						
										CH	Sept 2024	
										MKS/AS	April – March (24/25)	


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FIN002	Ensuring the financial viability of Qualis.	3	5	15	1) Quarterly monitoring and reporting on progress against Qualis Business Plan through the established Governance Framework.	3	4	12		Strategic Director of Resources (Section 151 Officer)	Nov 24	OPEN
					2) Quarterly reporting on Council budget position (including Qualis loan margins and other transactions) through Cabinet and Scrutiny process.							
					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).							
Aug 24	<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> <p>The recent downwards Asset Revaluations means the Council no longer has security over all of its lending, increasing the Council's risk in the short-term.</p>				4) Monitoring and reporting on monthly Cash Flow Statement from Qualis.	TREAT			<p>1) Monitor and report quarterly on Qualis-related Council risk exposure.</p> <p>2) A refresh of the Qualis Business Plan to assess remedial actions.</p> <p>3) Monitor actions to improve the Asset valuations.</p>		AS	Dec 24
											AS	Oct 24
											AS	Dec 24

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FIN003	Maintaining and improving VFM. 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) Ongoing monthly benchmarking with Housemark -a sector specialist in benchmarking.	3	4	12		Chief Operating Officer	Nov 24	OPEN
CURRENT REVIEW DATE	<b>CAUSE – EFFECT (detail narrative)</b>					TREATMENT STATUS				DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
Aug 24	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”).  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”.  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.					TREAT		1) Further develop, monitor and report on VFM metrics, including benchmarking and 'baselining' services prior to outsourcing. 2) Shared services will ensure delivery of services adopting a value for money approach 3) External scrutiny and benchmarking of value for money for SLA's. 4) Ensuring due diligence and VFM through procurement commissioning of services 5) Have regular refresh of 30-year HRA business plan to ensure VFM			JG AS JG JW SB	Dec 24 Mar 25 Dec 24 Ongoing Ongoing

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<b>PEOPLE001</b> Future proofing the workforce	Experiencing significant workforce issues around 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 2024/27 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.	3	4	12		Service Director Corporate Services	Nov 24	OPEN
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)				2. A successful Apprentice Scheme which maximises expenditure of the Apprenticeship Levy 3. Well established and embedded hybrid/flexible ways of working 4. Leadership development programmes and career pathways.	TREATMENT STATUS				DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
Aug 24	<p>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;</p> <ul style="list-style-type: none"> <li>▪ financial restraints</li> <li>▪ cost of goods and services for employees and employers</li> <li>▪ tight labour markets</li> <li>▪ increasing trade union unrest</li> </ul> <p>The Council needs to attract, recruit, and retain a workforce that can meet these challenges whilst meeting high standards of delivery</p>				5. A dedicated L&D (Learning and OD 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/Local Government Association (LGA) /East of England (EE) LGA discussing attraction and recruitment to wider Essex. 8. Workforce planning upskilling is an essential skill for all leadership and line managers. SLT/Wider Leadership Team (WLT).	TREAT			<p>1. Service workforce development plans become an element of our Service Planning Process</p> <p>2. Shared Services in design phase</p> <p>3. Devise action plan from current people strategy year 2</p> <p>4. Development and delivery of future workforce programme to support the fit for future portfolio</p>		PM/NG	Dec 24
											PM	Dec 24
											PM	Nov 24
											JD	Mar 26

