


## Corporate Risk Register- Jan 25

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


**Key**

- CORSER002- Business Continuity arrangements
- ICT001- Cyber Security
- 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


## Corporate Risk Register- Jan 25

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	
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 other social housing providers.</li> <li>5. Taskforce of key staff in place to improve collection rates of charges</li> <li>6. Procured disabled units</li> </ol>	3	4	12	<ol style="list-style-type: none"> <li>1. Investigating an Essex wide solution</li> <li>2. Develop a vision and strategy for our building development</li> <li>3. Ensure drawing down on funding and plan</li> <li>4. Ensure adequate staffing levels are in place to avoid missing regulated times</li> <li>5. Working with other Councils to explore use of unused university accommodation.</li> <li>6. Explore using hard to let accommodation for temp accommodation.</li> <li>7. Leveraging the opportunities to build social housing homes with government targets.</li> </ol>	Interim Director Housing & Property	Mar 25	OPEN	
CURRENT REVIEW DATE	<b>CAUSE - EFFECT (detail narrative)</b>						TREATMENT STATUS				DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
Jan 25	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	Comp
										SB	Comp		
										CW	Comp		
										CW	Comp		
										CW	Apr 25		
										CW	June 25		
										SB/ CW	June 25		


## Corporate Risk Register- Jan 25

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		
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 Royal Institute of British Architects (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> <li>7. Review of Housing Revenue Account (HRA) business plan including development schemes underway. Close monitoring of expenditure required.</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 HRA budget in the pipeline.</li> <li>3. Explore development opportunities with 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. Explore the creation of a development strategy</li> <li>7. Leveraging development funding opportunities – notably Homes England.</li> <li>8. RTB receipts needs to be spent by Sept 2026. Linked to programmes.</li> </ol>	Interim Service Director Housing & Property	Mar 25	OPEN	
CURRENT REVIEW DATE	CAUSE – EFFECT (detail narrative)					TREAT							
Jan 25	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.											<ol style="list-style-type: none"> <li>1)LT</li> <li>2)LT</li> <li>3)SB</li> <li>4)SB</li> <li>5)LT</li> <li>6)SB</li> <li>7)JS</li> <li>8) SB</li> </ol>	<ol style="list-style-type: none"> <li>Comp</li> <li>Mar 25</li> <li>Ongoing</li> <li>June 25</li> <li>Ongoing</li> <li>June 25</li> <li>June 25</li> <li>Oct 25</li> </ol>

## Corporate Risk Register- Jan 25


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
<b>CORSER002</b> Business Continuity Arrangements	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 Major Incident Management (MIM) process for ICT issues to be managed.  2. Majority of '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 April 2023 conjunction with Essex Police BC Team.  5. BCP framework in place.  6. Service BC Plans and Business Impact Assessments (BIAs) in place for majority of Council  7. Training for Executive Leadership Team (ELT) and Senior Leadership team (SLT) for strategic decision making during an incident	3	4	12		Service Director Corporate Services	Mar 25	OPEN
<b>CURRENT REVIEW DATE</b>	<b>CAUSE - EFFECT (detail narrative)</b>					<b>TREATMENT STATUS</b>				<b>DIRECTION OF TRVEL</b>	<b>ACTION OWNER</b>	<b>ACTION DATE</b>
Jan 25	The Council is required to develop and implement robust Business Continuity (BC) 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"> <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>					TREAT		1. Some service areas BC Plans are requiring completion  2. Ongoing service manager workshop 26/11/2024 looking what their critical functions are and put in priority  3 Big switch off – has their own risk register and leading on that.  4-Sub group and working with Directors and managers to identify critical functions and update BCP  5-ICT and BCP joined up work underway		1) LL 2) LL 3 PM 4)LL 5)LL/ MKS	Apr 25 Comp Mar 25 June 25 June 25	

## Corporate Risk Register- Jan 25

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	TREAT	DIRECTION OF TRAVEL			ACTION OWNER	ACTION DATE	
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 staff communications where ICT identify any increase phishing attempts.</li> <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>	4	4	16	1-Microsoft audit has been undertaken across Epping and Colchester and a prioritised action plan will be created to increase our security posture. 2-Independent cyber security audit took place and recommendations accepted and work in progress 3. Additional information sharing and best practice across Essex Councils 4- Continued emphasis on educating and supporting colleagues, as human mistakes and mal use remain biggest threat – including Artificial Intelligence (AI) for which a policy is being drafted 5 - AI policy draft completed and is with SLT 6 - Further mitigations in relation to suppliers and supply chains – ICT to join work undertaken by Contracts and risk management. 7 - Establishing enterprise architecture principles for ICT standards – paper being prepared – paused owing to LGR 6.Lessons learnt exercise to inform security strategy being reviewed and will be implemented same time as AI policy	Joint ICT & Transformation Director	Mar 25	OPEN	
CURRENT REVIEW DATE	<b>CAUSE - EFFECT (detail narrative)</b>					TREATMENT STATUS					DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
Jan 25	Every organisation carries multiple risks in relation to cyber threats in particular government organisations  The Authority handles a large amount of personal and business data. Cyber risks stem from three main root causes that require a cross organisational response <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> potentially leading to <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>					TREAT					1)MW 2)MW 3)MKS  4)MW 5)MW  6)MW/ SM/ KD 7)MKS / MW 8)MKS	Comp Mar 25 Ongoing Comp Mar 25  June 25 Apr 25 Mar 25	




## Corporate Risk Register- Jan 25

<p>Jan 25</p>	<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 Electric Vehicle (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>	<ul style="list-style-type: none"> <li>- Fleet conversion to Electric Vehicles</li> <li>- EV charge points at offices and on EFDC public land.</li> <li>-Carbon Literacy training</li> <li>- Net zero training given to planning officers</li> <li>-Tree Policy approved by Cabinet</li> <li>-Cabinet approved July 2024 retrofit strategy up to 2030</li> </ul>	<p style="text-align: center;">TREAT</p>	<p>oversee carbon emissions and climate considerations.</p> <p>5.NECCP climate group using LGA using tools to use for measuring carbon emissions along with roles and responsibilities who will do this.</p> <p>6. Carbon reduction measures are being implemented for Waste vehicles and Ops Hub and to be included in the climate change budget</p> <p>7. Construction of BREEAM excellent leisure centre is underway</p> <p>8. Review and implement framework for utilisation rates including fuel/energy consumption for EFDC vehicles</p> <p>9. <b>Opportunity</b>  <b>Awaiting outcome from bidding the warm homes local grant scheme for funding of energy efficiency in private housing and part of ECC consortium.</b></p> <p>10. Retrofit programme in place via EON 11) review of air pollution mitigation strategy</p>		<p>1)SB/2) SB/JT 3)SB</p> <p>4)GC</p> <p>5JG/NR</p> <p>6) JG/NR</p> <p>7)JW/AH</p> <p>8) JG/NR</p> <p>9)MT</p> <p>10) JT</p> <p>11) NR</p>	<p>Comp Mar 25 Apr 25</p> <p>June 25</p> <p>June 25</p> <p>Mar 25</p> <p>Sept 25</p> <p>June 25</p> <p>Feb 25</p> <p>Mar 25</p> <p>Sept 25</p>
---------------	--	--	--	--	---	--	--






## Corporate Risk Register- Jan 25

Jan 25	<p>Failure to obtain planning permission for waste vehicle depot at NWA</p> <p>Consequences:</p> <ul style="list-style-type: none"> <li>• Reputational damage to the Council</li> <li>• Significant additional costs to the Council</li> </ul> <p>Environmental impact – increased rubbish on street, and health issues if waste left out too long before collected</p>	<p>3-Interim Managing Director appointed for the new waste company</p> <p>4-Award contract for Procurement of waste vehicles approved by Cabinet 15<sup>th</sup> Jan 2024</p> <p>5-Pre-construction services agreement (PCSA) Contractor awarded to construct operations hub</p> <p>6- EFDC/TVS Waste Licence obtain for waste vehicles at NWA</p> <p>7- Waste Management Partnership Board</p> <p>8- Contingency plans in place</p> <p>9-Planning permission approved at DDMC 13/02/2024 for operations hub at NWA.</p>	TREAT		<ol style="list-style-type: none"> <li>1) Future Waste services project steering group meet twice weekly up to go live.</li> <li>2) Value engineering exercise underway for construction of the operations hub. Tight budget monitoring</li> <li>3) Testing of all BCP</li> </ol>		<p>JW</p> <p>JW</p> <p>JW</p>	<p>Nov 24 Ongoing</p> <p>Jan 2025</p>
--------	---	--	-------	--	---	---	-------------------------------	---------------------------------------

## Corporate Risk Register- Jan 25


RISK REF (ID)	RISK (IF-THEN) - (one line snapshot)	INHERENT LIKELIHOOD	INHERENT IMPACT	INHERENT RISK SCORE	MITIGATION CURRENT CONTROLS	RESIDUAL LIKELIHOOD	RESIDUAL IMPACT	RESIDUAL RISKSCORE	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	Failure to demonstrate compliance with statutory health and safety (H&S) requirements could result in a Regulatory Notice and/or heavy fines. Failure to meet Consumer Standards in the Social Housing (Regulation) Act (2023) could result in reputational damage	4	5	20	1) Comprehensive suite of policies in place. 2) Specialist compliance IT solution has started to be implemented 3) Weekly oversight of compliance by ELT. 4) Chief Operating Officer is agreed lead on Health and Safety for Housing (as required by the Regulator)	2	5	10		Interim Service Director Housing and Property	Mar 25	OPEN
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)				5) The Director for Housing & Property is lead for Consumer Standards. As required by the Regulator. 6) HRA Business Plan is in place	TREATMENT STATUS				DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE

## Corporate Risk Register- Jan 25


Jan 25	<p>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.</p> <p>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.</p>	<p>7) Tenancy satisfaction survey has been completed</p> <p>8) New complaints policy and training has been rolled out</p> <p>9) Damp &amp; mould tracker in place</p>	TREAT		<p>1) Remaining Stock condition survey to be completed.</p> <p>2) Mock inspection to be implemented</p> <p>3) Gap analysis underway for policies procedures</p> <p>4) Gap analysis and development of plan for professional qualifications</p> <p>5) Annual letting draft under review</p> <p>6) Second round of TSM surveys are showing average of 73% which is better than our peers.</p> <p>7) Waiting for inspection from Regulator.</p> <p>8) Further develop the damp &amp; mould tracker with Qualis</p>		<p>1) SB</p> <p>2) SB</p> <p>3) SB</p> <p>4) SB</p> <p>5) SB</p> <p>6) CW</p> <p>7) SB</p> <p>8) JT</p>	<p>Comp June 25</p> <p>Mar 25</p> <p>Mar 25</p> <p>Mar 25</p> <p>Mar 25</p> <p>Feb 25</p> <p>June 25</p> <p>Mar 25</p>
--------	--	---	-------	--	---	---	---	--

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
											ACTION OWNER	ACTION DATE
CORSER001	Risk of data held by the Council ends up in inappropriate hands.	4	4	16	<p>1) The Council continues to have a designated SIRO, Data Protection Officer, and Freedom of Information (FOI) Officer.</p> <p>2) SIRO and Chief Auditor meet quarterly.</p> <p>3) E-Litmos training in place and part of the onboarding process.</p>	3	4	12		Service Director Corporate Services	Mar 25	OPEN
CURRENT REVIEW DATE	CAUSE – EFFECT (detail narrative)					TREATMENT STATUS				DIRECTION OF TRAVEL		

## Corporate Risk Register- Jan 25

Jan 25	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				1)Reviewing implications of Data Protection and Digital Information Bill that is with the House of Lords at Committee stage. This appears to have stalled with government  2)ICT to discuss further controls following the Microsoft tenancy audit  3)Data cleanse Z drive initiative underway  4) Align electronic data to retention and disposal policies		PM/MKS  MKS/PM  PM  PM/LR	June 25  June 25  Apr 25  Mar 25
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
<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	1)The active monitoring and reporting on internal and external factors affecting the MTFP, including the 2025/26 Budget through the established Financial Planning Framework  2)Regular communication of financial position and future	3	5	15		Strategic Director of Resources (Section 151 Officer)	Mar 25	OPEN


## Corporate Risk Register- Jan 25

CURRENT REVIEW DATE	CAUSE – EFFECT (detail narrative)	prospect to Members (through the Cabinet and Scrutiny process) and senior management (via SLT route).	TREATMENT STATUS	DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
Jan 25	<p>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) 2025/26 to 2029/30 approved by Cabinet on 7th October 2024 showed a General Fund budget gap of £1.048 million for 2025/26 (the Budget) and a further gap of £1.052 million for 2026/27 (the Forecast). A structural deficit of £3.113 million is forecast by 31/03/30. However, the forecast also assumes that the North Weald Airfield capital receipt is locked in (with the Council dependent on the interest generated) i.e. application of the receipt would worsen the base budget gap.</p>		TREAT		<p>CH AS  CH  MKS/ AS</p>	<p>April – March (24/25)  Feb 25  Feb 25</p>


## Corporate Risk Register- Jan 25

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
<b>FIN002</b> Ensuring the financial viability of Qualis.	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.	3	5	15		Strategic Director of Resources (Section 151 Officer)	Mar 25	OPEN
<b>CURRENT REVIEW DATE</b>	<b>CAUSE – EFFECT (detail narrative)</b>				2) Quarterly reporting on Council budget position (including Qualis loan margins and other transactions) through Cabinet and Scrutiny process.	<b>TREATMENT STATUS</b>				<b>DIRECTION OF TRAVEL</b>	<b>ACTION OWNER</b>	<b>ACTION DATE</b>
Jan 25	<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>				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).	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> <p>4) Acquisition of Cottis Yard multi storey</p>	↔	AS	June 25
					4) Monitoring and reporting on monthly Cash Flow Statement from Qualis.						AS	Jan 25 Comp
											AS	Mar 25

## Corporate Risk Register- Jan 25


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
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) Membership of Essex Procurement Partnership	3	4	12	1) Further develop, monitor and report on VFM metrics, including benchmarking and 'baselining' services prior to outsourcing. 2) Housing undertaken piece of work with Qualis and benchmarked with like providers and identified areas of improvement. Remodelled the SLA into a Partnering Agreement with different financial model to improve VFM 3) We have got ongoing monthly benchmarking with housemark -a sector specialist in benchmarking. 4) Shared services will ensure delivery of services adopting a value for money approach on pause owing to LGR 5) External scrutiny and benchmarking of value for money for SLA's. 6) Ensuring due diligence and VFM through procurement commissioning of services 7) Have regular refresh of 30-year HRA business plan to ensure VFM	Chief Operating Officer	Mar 25	OPEN
	<b>CAUSE – EFFECT (detail narrative)</b>											
Jan 25	<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					JG JG AS JG JG JW SB	Comp Mar 25 Mar 25 Apr 25 Ongoing Comp Comp

## Corporate Risk Register- Jan 25

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	
<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	<ol style="list-style-type: none"> <li>1. People Strategy 2024/27 in place that recognises the importance of attraction &amp; retention, employee development, supports our new ways of working and engagement with employees and trade unions, and wellbeing support.</li> <li>2. A successful Apprentice Scheme which maximises expenditure of the Apprenticeship Levy</li> <li>3. Well established and embedded hybrid/flexible ways of working</li> <li>4. Leadership development programmes and career pathways.</li> <li>5. A dedicated L&amp;D (Learning and Development) budget and team</li> <li>6. Partnership working/shared services other authorities and public services which offers potential career, specialist and personal development.</li> <li>7. Officers involved in a range of Essex wide groups/LGA/EELGA discussing attraction and recruitment to wider Essex.</li> <li>8. Wellbeing benefits and support in place</li> </ol>	3	4	12	<ol style="list-style-type: none"> <li>1. Service plans in place for corporate plan. Prioritisation of work to be identified following LGR announcement</li> <li>2. Service workforce development plans become an element of our Service Planning Process</li> <li>3. Shared Services in design phase has been paused following LGR announcement</li> <li>4. Devise action plan from current people strategy year 2 reviewed following LGR announcement</li> <li>5. Development and delivery of future workforce programme to support the fit for future portfolio to be reviewed in light of LGR</li> <li>6. Work in progress with Broxbourne to recruit Head of Legal monitoring officer</li> <li>7. Needing to understand what is required with Service planning and succession planning</li> </ol>	Service Director Corporate Services	Mar 25	OPEN
<b>CURRENT REVIEW DATE</b>	<b>CAUSE - EFFECT (detail narrative)</b>					<b>TREATMENT STATUS</b>	<b>TREATMENT STATUS</b>	<b>TREATMENT STATUS</b>		<b>DIRECTION OF TRAVEL</b>	<b>ACTION OWNER</b>	<b>ACTION DATE</b>
Jan 25	<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>					TREAT	TREAT	TREAT			M/NG	Apr 25
										JD	Comp	
										PM	Mar 25	
										N/C//L eads	Apr 25	
										JD	Mar 26	
										PM	Mar 25	
										PM	Comp	



## Corporate Risk Register- Jan 25

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
						3	5	15			DIRECTION OF TRAVEL	
<b>PLA005</b> Quality of Majors	Inability to achieve national KPI's with respect of Quality of Decisions on Major Applications	4	5	20	The quality of decisions made by the authority on applications for non-major development – currently over 10% at 13.46%  Case Management	3	5	15	<p>Manager training on performance management.</p> <p>Member training needs to be rolled out</p> <p>Continue to closely monitor applications</p>	Service Director Planning	Mar 25	OPEN
<b>CURRENT REVIEW DATE</b>	<b>CAUSE - EFFECT (detail narrative)</b>				Monitoring of Quality of Appeal Decisions.  Weekly PFH meetings Members being updated through Officer/Member Group meetings	<b>TREATMENT STATUS</b>						
Jan 25	<p>More than 10% of decisions on Major Applications being allowed on appeal.</p> <p>Inability to meet the target could result in decision making of Major Applications being taken from us and as a result. Applicants having the option of submitting major applications direct to the Planning Inspectorate for determination</p> <p>Reputation damage</p> <p>Loss of local decision making</p> <p>Low staff morale</p> <p>Loss of Planning income on Major Applications</p> <p>Additional cost on defending appeals for Committee overturns and/or difficulty in obtaining professional input.</p>				Additional resourcing for defending appeals, including external professional input.  New planning Committees are now up and running	TREAT					NR GC GC	Jan 25 Ongoing Ongoing