

Corporate Risk Register- June 2023


Summary Position June 2023

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

Key

- CORSER002- Lack of and/or inadequate BC Plans
- ICT001- Risk of cyber security incident
- CONT001 -Failure of Contractor/Service – waste
- HRA001- Increase in demand from homeless could increase financial need
- HRA002-Inability to provide building/regeneration programme
- SUS001- Failure to achieve carbon emission targets
- COMP001-Non-compliance with social housing regulations
- CORSER001-Risk of data/ information breach
- FIN002- Failure to ensure continued financial viability of Qualis.
- FIN003- Failure to maintain and improve VFM.
- ECDEV001- Economic Development
- FIN001- Failure to maintain a Balanced Budget and Sustainable Medium-Term Financial Plan (MFTP)
- PEOPLE001 - Failure to attract, retain skilled employees


Corporate Risk Register- June 2023

RISK REF (ID)	RISK (IF-THEN) - (one line snapshot)	INHERENT LIKELIHOOD	INHERENT IMPACT	INHERENT RISK SCORE	MITIGATION CURRENT CONTROLS	RESIDUAL LIKELIHOOD	RESIDUAL IMPACT	RESIDUAL RISK SCORE	FURTHER ACTIONS REQUIRED	RISK OWNER (Officer & PFH)	COMPLETE OR NEXT REVIEW DATE	STATUS OPEN/ CLOSED
						TREATMENT STATUS	DIRECTION OF TRAVEL	ACTION OWNER			ACTION DATE	
HRA001	Increase in numbers of homeless households and lack of supply of suitable accommodation could result in adverse financial impact directly affecting the general fund.	5	4	20	<ol style="list-style-type: none"> Senior officers authorise all placements. Entered into a block booking arrangement with a local provider at a reduced cost. Building our own stock. New provision other social housing providers. 	4	4	16		Interim Service Director Housing & Property	Sep 23	OPEN
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)					TREAT						
Jun-23	We have seen an unprecedented increase in households becoming homeless due to national factors (cost of living and the implications of the Domestic Abuse Act). There is a possible additional risk of increasing numbers locally from the bridging hotels (2 in the district) if they are made to leave without arrangements for rehousing elsewhere being in place.								<ol style="list-style-type: none"> Project to improve tenancy sustainment in the private rented sector has been included in the Service Plan for 2023/4. The purpose being to prevent homelessness at an earlier stage. Review the effectiveness of current support to people experiencing domestic abuse and our ability to prevent homelessness. Investigating an Essex wide solution. Exploring with Qualis whether they can assist with TA provision. 		(All) EG	Sep 23


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HRA002 Inability to provide adequate new build social housing would result in not meeting the Council's housing targets. Inability to provide house building/ Regeneration programme		5	4	20	<ol style="list-style-type: none"> 1. Programme-wide risk management schedule is in place. 2. Robust assessment of contractors' ability to undertake role. 3. Ensure contractors are sufficiently insured. 4. Include provisions in contracts to deal with poor performance/failure of contract. 5. Project management of all schemes to ensure effective delivery of the schemes is in place. 6. Involve Planning staff at early stages and throughout. 7. Provide robust feasibility studies. 	4	4	16	<ol style="list-style-type: none"> 1. Implementation of sequel to manage cashflows for the schemes. Business case prepared. 2. Monitoring the Phase 5 schemes against the business plan budget, given huge build cost increases and planning is being submitted. 3. Seeking further collaborative working with Qualis and other partners for consideration of joint ventures and other contract mechanisms. 4. Further consideration to the Local Plan for development opportunities. 5. Review of HRA business plan including development schemes underway. Close monitoring of expenditure required. 	Interim Service Director Housing & Property	Sep 23	OPEN
CURRENT REVIEW DATE	CAUSE – EFFECT (detail narrative)					TREATMENT STATUS				DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
Jun -23	<p>If the Council fails to implement an asset management strategy to include regeneration, retrofit of existing properties and/or development of new builds for social housing the Council will not be equipped to deal with increased demand for social housing.</p> <p>This will result in adverse financial impact for the Council with pressures for temporary accommodation failure of service delivery and reputational damage.</p>					TREAT				N/A	(All) RH	Sept 23


Corporate Risk Register- June 2023

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ECDEV001 Economic Development	A failure to deliver projects linked to the council's UK Shared Prosperity Fund (UKSPF) bid, mean that the council will miss out on the benefits linked to £1 million worth of external funding.	4	5	20	1) Strategic Partnerships specialist/Economic Lead responsible for overseeing delivery of various business support programmes to be delivered through economic development team. 2) A full-time officer is working on ensuring that other departments accessing the funds are aware of all the expectations around deploying these. 3) This full-time officer is also responsible for organising quarterly and six-monthly reports back to the UK Government around delivery. 4) Dedicated account manager working with economic development team is aware of key requirements regarding financial returns to government. 5) A process has been set up between the economic development team and the legal and procurement teams, to ensure all contracts for projects are reviewed before sign off.	2	2	4	<ul style="list-style-type: none"> Present to Strategic Leadership Team on the delivery plan. Deliver 2022-2023 programmes, which include the procuring of several business support programmes alongside the completion of the Ninefields Playground which is partially funded through the UKSPF. Conduct quarterly and six-monthly reports highlighting outcomes and outputs associated with 2022-23 UKSPF projects. Six monthly financial returns to Government completed by May 2023. Understand status of Rural England Prosperity Fund which would bring an added £450,000 worth of extra funding into play in tangent with the existing UK Shared Prosperity Fund programme. Bid submitted but no confirmation of award yet. Continue to build communications channels with neighbouring authorities to understand any changes in UK Government reporting requirements and areas for joint delivery. 	Local Strategic Partnership Manager	Sept 23	OPEN	
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)					TREAT							
Jun 23	i) A lack of staff resource to coordinate the programmes, means that the council is unable to report adequately back to the UK Government on the use of funds. ii) A failure to follow UK Government legal and procurement rules risks the delivery of UKSPF projects. iii) A failure to attend to marketing and communications rules linked to the programme leads to risk of the UK Government withdrawing funding support.											DH (all)	Sep 23


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CORSER001	Risk of data held by the Council ends up in inappropriate hands.	4	4	16	1) The Council continues to have a designated SIRO, Data Protection Officer, and FOI Officer	3	4	12	1) The IGG 23/24 Work Programme in place and is being prioritised and is subject to ongoing review by the SIRO and Chief Auditor. 2) ICT information Governance policy review to be undertaken by Policy sub-group chaired by the SIRO. 3) Executive Team Information Governance training to take place in 2023 quarterly along with SLT. 4) People Team are reviewing staff who have not undertaken the GDPR and cyber security training. Chase up 12 May 2023. Regular reports sent to managers. 5) FOI infographic eLearning on Litmos along with raising awareness communication and data governance will be rolled out during 2023. 6) Data Cleanse Project launch 7) Information Governance Group to discuss further controls.	Service Director Corporate Services	Sep 23	OPEN
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)				TREATMENT STATUS			DIRECTION OF TRAVEL		ACTION OWNER	ACTION DATE	
Jun-23	Breach of the 2018 Data Protection Act (DPA) and the General Data Protection Regulations (GDPR) leading to significant fines or/and intervention by the Information Commissioner's Office (ICO) • Increased costs and legal implications • Reputational damage to the Council				TREAT					1) PM/ SM 2) MM 3) PM 4) AP 5) LR (DPO) 6) DCP Team 7) PM	Mar 24 Oct 23 Mar 24 Jun 23 Jun 23 Jun 23 Jul 23	

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CORSER002	Failure to ensure robust plans are in place for critical services and regularly tested could result in an event occurring having adverse impact on service delivery.	5	5	25	1. There is a well-established MIM process for ICT issues to be managed. 2. All 'office' based employees can work from home. 3. The Council has alternative locations it could work from. 4. BC Plan templates and manager training completed in conjunction with Essex Police BC Team.	4	4	16		Service Director Corporate Services	Sep 23	OPEN		
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)							TREATMENT STATUS		DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE		
Jun-23	The Council is required to develop and implement robust Business Continuity Plans in line with the requirements of the Civil Contingencies Act 2004. Failure to do so can result in loss of service delivery. <ul style="list-style-type: none"> • Possible loss of income • Staff absence • Hardship for some of the community • Council criticised for not responding effectively 							TREAT			1) LL	Jul 23		
												2) LL	Jul 23	
												3) LL	Jul 23	
												4) LL	Jul 23	
												5) LL	Sep 23	


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ICT001	Failure to ensure adequate controls and firewalls are in place, along with close monitoring and training of staff could result in a cyber security incident.	5	5	25	All data back up now directly to the cloud. Documented and tested incident management procedures in place.	4	4	16		S151/ Interim Strategic Director	Sep 23	OPEN
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)				Cyber security training completed by all users and the People Team notifies ICT of all leavers to ensure access rights are promptly disabled.	TREATMENT STATUS				DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
Jun-23	The Authority handles a large amount of personal and business data. Either through hacking or carelessness, security of the data could be compromised resulting in: <ul style="list-style-type: none"> • Loss of system access and/or data • Unable to provide Council services • Increased costs • Reputation damaged • Ransomware payment • Corporate fines 				Access to the Council's Active Directory domain is protected by both two-factor authentication and robust password security settings. Firewall appliances has been deployed to protect the Council's network. Mystery Phishing campaign completed in March 23 Updated Information Security, Security Breach, ICT Remote Access and ICT Security policies in place.	TREAT		1. Microsoft security audit data collection has been undertaken and a prioritised remedial action plan will be created, and resources planned to mitigate key risks found – commenced February 2023. 2. PSN compliance check, both internal and external commenced first week of March. A remedial action plan will then be created. 3. VMware expired Nov 2022 works to purchase parts and implement in progress.		1) PT 2) PT 3) MM	Sep 23 Sep 23 Sep 23	

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SUS001 Failure to achieve carbon emission targets.	Failure to achieve carbon emission targets will result in not achieving our targets contained within our Corporate Plan and will result in increased costs.	5	5	25	Policy controls: Climate Change Action Plan – overarching document to set actions to meet the 2030 target.	4	5	20		Chief Operating Officer/ Service Director Planning	Sep 23	OPEN
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)				Planning policy new development - Local Plan policies on flooding and environmental policies. Sustainability Guidance vols 1-3 covering major and minor development and extensions/refurbishments.	TREATMENT STATUS			1.The Climate Change Action Plan reviewed to identify what is Business as Usual and what are priority actions.	DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE

Corporate Risk Register- June 2023


<p>Jun-23</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 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"> • Reputational damage • Greatly increased costs from Climate Change Adaptation requirements (flooding, overheating, subsidence from drought, increased insurance claims) 	<p>Transport and Air Quality - Interim Air Pollution Mitigation Strategy – to reduce impacts of pollutants on the Epping Forest Special Area of Conservation (SAC). Air Quality Action Plan – to reduce impact on human health.</p> <p>Other controls: Fleet conversion to Electric Vehicles, EV charge points at Civic, Oakwood Hill and North Weald Airfield. Charge points on EFDC public land at Basons Lane, Ongar, Oakwood Hill, Loughton and soon to be operating, Cottis Lane multistorey car park, Epping. Pilot training Carbon Literacy course for service managers</p>	<p>TREAT</p>	<p>Findings will be reported back to the Senior Leadership Team for 19 June meeting.</p> <p>2.Include energy efficiency investment in Operation Asset Management Strategy and Housing 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.Investigate carbon emissions of non-EV waste fleet at proposed depot.</p> <p>6.Implement a tree policy to protect against subsidence and building damage.</p>		<p>1) SB/DG</p> <p>2) SB/DG</p> <p>3) NR</p> <p>4) JW</p> <p>5) MT</p>	<p>Oct 23</p> <p>Oct 23</p> <p>Oct 23</p> <p>Oct 23</p> <p>Oct 23</p>
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CONT001	Failure of Waste Contractor to deliver service and failure of the Council to determine and implement waste service delivery method by Nov 2024	4	5	20	1. Daily communications with Biffa, keeping members and residents informed. 2. Biffa have agreed a further 2-year pay deal with the GMB. Biffa have already managed to recruit an additional 6 drivers who will commence employment shortly. 3. Biffa have invested resources to improve the service delivery in terms of increasing pay, training, and new vehicles. Additional external waste contractor has been deployed to help deal with the missed collections. 4. Cabinet approval for capital and permission to develop an EFDC waste depot at NWA granted in Feb 23. 5. Cabinet decision to go out to procurement for the waste contract was agreed in October 2022. 6. OPS Ltd appointed to project manage Future Waste Services Project. There are 3 workstreams: Workstream 1 – Determine the preferred forward arrangements for Waste Collection provision. Workstream 2 - Mobilise a waste vehicle facility at NWA. Workstream 3 - Procure a Vehicle Fleet	4	4	16	1) Biffa have a vehicle repair/replacement plan in place. Biffa are applying for planning permission to have a workshop at their depot to maintain the vehicles. 2) Stage 1 Procurement documents issued to market on 13 th March 2023. 5 bids received; stage 2 paused to determine preferred option for future delivery of waste services. 3) Future Waste services project steering group set up and meet fortnightly 4) Planning permission will need to be sought for the new depot. Informal meeting with planning taken place. Drawings and layout in development. Pre-planning application to be submitted by June 2023. 5) Internal Waste workshop with took place in April. Report to go to scrutiny committee in June and Cabinet in July to determine preferred option for delivery of waste services. 6) Waste vehicle specification being developed, and procurement of waste vehicles will begin in next few months.	Service Director Contracts	Sep 23	OPEN	
	CAUSE - EFFECT (detail narrative)												
Jun-23	1) Failure of Waste Contract Inability of the Council's partnering contractor, Biffa Municipal Limited to provide waste collection services as specified in Contract. 2) Failure to procure new Waste Contractor to commence in Nov 2024 Consequences: <ul style="list-style-type: none"> Reputational damage to the Council Significant additional costs to the Council Environmental impact – increased rubbish on street, and health issues if waste left out too long before collected. Ongoing service delivery issues 						TREAT						




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COMP001	Failure of compliance with social housing regulation	4	5	20	<ol style="list-style-type: none"> 1) An external consultancy has given advice on compliance to the council, including policies and procedures. 2) Extensive work has been undertaken to connect spreadsheets containing compliance data to a dashboard for senior management to review monthly. 3) Weekly gas meetings take place monitoring and improving gas compliance. 4) Improvement plan for asbestos being produced for mid-March 2023. 5) COO is agreed lead on Health and Safety for Housing (as required by the Regulator) 6) The Director for Housing & Property is lead for Consumer Standards. As required by the Regulator. 7) Results of the mid-point of the stock condition survey were made available on 8 March 2023. This will inform an assessment of Decent Homes Progress. 8) Live dashboard is in place and being reviewed regularly. 	3	5	15		Interim Service Director Housing and Property	Sep 23	OPEN
Jun-23	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			<ol style="list-style-type: none"> 1) Stock condition survey to be completed. 2) Survey of social housing residents' satisfaction with housing services will take place in the summer of 2023. 3) Asset Management Strategy to be in place for Autumn 2023 ensuring that structural and compliance needs for the council's council housing are given priority and are fully resourced. 4) HAMS project is delayed and not on course which may result in non-compliance and unable to monitor repairs costs adequately. Urgent review underway. 		1) SB 2) SB 3) SB 4) SB	Sep 23 Sep 23 Oct 23 Jul 23


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FIN001	Failure to maintain a Balanced Budget and Sustainable Medium-Term Financial Plan (MTFP) would breach a legal duty to maintain a balanced budget and could potentially result in the bankruptcy of the Council.	3	5	15	1) The active monitoring and reporting on internal and external factors affecting the MTFP, including the 2024/25 Budget through the established Financial Planning Framework 2) Regular communication of financial position and future prospects to Members (through the Cabinet and Scrutiny process) and senior management (via SLT route).	2	5	10		Strategic Director of Resources (Section 151 Officer)	Sep 2023	OPEN
Jun 2023	The Council has a legal duty under the Local Government Finance Act 1992 to maintain a balanced budget. Furthermore, Section 114 (3) of the Local Government Finance Act 1988 dictates...." the CFO (Section 151 Officer) of a relevant authority shall make a report under this section if it appears to them that the expenditure of the authority incurred (including expenditure it proposes to incur) in a financial year is likely to exceed the resources (including sums borrowed) available to it to meet that expenditure". The updated Medium-Term Financial Plan (MTFP) 2023/24 to 2027/28 adopted by the Council on 28th February 2023 showed a forecast General Fund budget deficit of £2.389 million for 2024/25, which needs to be eliminated in order to set a balanced budget. The General Fund outturn 2022/23 recorded £1 million deficit (contingency balance now below £4 million min.)	TREAT		1) Maintain (effective) Recruitment Freeze in 2023/24. 2) Develop and deliver Action Plan for balancing 2024/25 Budget. 3) Develop Shared Services Strategy 4) Develop and deliver Transformation Plan (including Shared Services)	AS	April – March (23/4)						
										CH	Oct 23	
										TBC	Oct 23	
										TBC	Feb 24	


Corporate Risk Register- June 2023

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FIN002	Failure to ensure the continued financial viability of Qualis represents a major financial and reputational risk to the Council.	3	5	15	<ol style="list-style-type: none"> 1) Quarterly monitoring and reporting on progress against Qualis Business Plan through the established Governance Framework. 2) Quarterly reporting on Council budget position (including Qualis loan margins and other transactions) through Cabinet and Scrutiny process. 	3	4	12		Strategic Director of Resources (Section 151 Officer)	Sep 2023	OPEN
Jun 2023	<p>The Council's LATCO, the Qualis Group, has had to operate in particularly difficult economic and trading conditions since its inception. This is proving challenging in property development especially, with the recent sharp increase in worldwide interest rates threatening the viability of planned housing and regeneration schemes. In particular, the Council's medium-term income assumptions are dependent on the successful delivery of these schemes through the margins that it makes on on-lending to Qualis.</p> <p>The Council has obtained security wherever possible against its financial commitments to Qualis, so has purposely mitigated risk to a large extent. Nevertheless, in the event that Qualis fails to establish and maintain its financial viability in the medium-term, the Council would potentially suffer significant financial loss, as well as reputational damage.</p>				<ol style="list-style-type: none"> 3) Enhanced reporting (with effect from 2023/24 in compliance with December 2021 codes) through Audit & Governance Committee re Capital and Treasury Management strategies (especially on Qualis-related Service and Commercial Investments). 4) Monitoring and reporting on monthly Cash Flow Statement from Qualis. 	TREAT			<ol style="list-style-type: none"> 1) Monitor and report quarterly on Qualis-related Council risk exposure. 		AS	Jul 23

Corporate Risk Register- June 2023

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FIN003	A failure to maintain and improve Value for Money (VFM) in the commissioning and delivery of services would potentially jeopardise public funds and cause the Council significant reputational damage.	3	4	12	1) Quarterly performance monitoring and reporting through established Cabinet and Scrutiny progress. 2) Ad hoc scrutiny of Qualis service-delivery performance.	3	4	12		Strategic Director of Resources (Section 151 Officer)	Sep 2023	OPEN							
Jun 2023	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) Ensure protection of taxpayers’ interests in Grounds Maintenance contract from 2023/24. 2) Ensure protection of taxpayers’ interests in Commercial Assets contract from 2023/24. 3) Further develop, monitor and report on VFM metrics, including benchmarking and ‘baselining’ services prior to outsourcing. 4) Benchmark Housing Maintenance contract performance against industry standards. 5) Complete VFM assessment of Housing Maintenance contract based on 2022/23 performance.		AS	AS	AS	JG	AS	Jun 23	Jun 23	Jul 23	Jul 23	Jul 23

Corporate Risk Register- June 2023

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PEOPLE001 Failure to attract and retain skilled employees	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 2020/22 in place that recognises the importance of attraction & retention, employee development, supports our new ways of working and engagement with employees and trade unions, and wellbeing support. 2. A successful Apprentice Scheme which maximises expenditure of the Apprenticeship Levy 3. Well established hybrid/flexible ways of working 4. Leadership development programmes 5. A dedicated L&D (Learning and Development) budget and team 6. Partnership working/shared services other authorities and public services which offers potential career, specialist and personal development. 7. Officers involved in a range of Essex wide groups discussing attraction and recruitment to wider Essex	3	4	12	1. Finalise agreement of our People Strategy 2023/27 which supports delivery of the corporate plan, improve skills & behaviours, attraction, develop the whole workforce, engagement, wellbeing, and digital transformation. On Cabinet Agenda 30 May 2023. 2. People Team service plan activating year 1 of the People Strategy 3. Service workforce development plans become an element of our Service Planning Process	Service Director – Corporate Services	Sept 23	OPEN
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)			TREATMENT STATUS		DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE				
Jun-23	The Council requires a highly skilled and motivated workforce to deliver the Corporate Plan and services to our residents. Public services are facing challenging times regarding; <ul style="list-style-type: none"> ▪ financial restraints ▪ cost of goods and services for employees and employers ▪ tight labour markets ▪ increasing trade union unrest The Council needs to attract, recruit, and retain a workforce that can meet these challenges whilst meeting high standards of delivery	TREAT		1) JB Jun 23		2) JB Jun 23	3) JB/CG Sep 23					

Corporate Risk Register- June 2023