

Corporate Risk Register- November 2023


Summary Position November 2023

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


Key

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


Corporate Risk Register- November 2023

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


Corporate Risk Register- November 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		
HRA002	Inability to provide adequate new build social housing would result in not meeting the Council's housing targets.	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. 	3	4	12	<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. 6. HRA business plan review underway Q3 2023/24 including consideration of development schemes underway 	Interim Service Director Housing & Property	Jan 24	OPEN	
CURRENT REVIEW DATE	CAUSE – EFFECT (detail narrative)					TREAT							
Oct -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>											(All) RH	Dec 23


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


Corporate Risk Register- November 2023

RISK REF (ID)	RISK (IF-THEN) - (one line snapshot)	INHERENT LIKELIHOOD	INHERENT IMPACT	INHERENT RISK SCORE	MITIGATION CURRENT CONTROLS	RESIDUAL LIKELIHOOD	RESIDUAL IMPACT	RESIDUAL RISK SCORE	FURTHER ACTIONS REQUIRED	RISK OWNER (Officer & PFH)	COMPLETE OR NEXT REVIEW DATE	STATUS OPEN/ CLOSED
						TREATMENT STATUS	DIRECTION OF TRAVEL	ACTION OWNER			ACTION DATE	
CORSER001	Risk of data held by the Council ends up in inappropriate hands.	4	4	16	1) The Council continues to have a designated SIRO, Data Protection Officer, and FOI Officer. 2) A Strategic Information Governance Group and an Information Asset Owner Group are in place and meet quarterly to monitor breaches and learn lessons where needed. 3) The Information Governance Group 23/24 work programme is in place and is being prioritised and subject to ongoing review by the SIRO, Chief Auditor and DPO quarterly. 4) GDPR & Cyber security e-learning training on Litmos was provided during 2022. Cyber Security - 92.3% completion and GDPR 73.6% completion. People Team review employees who have not undertaken the training. Automated reports are sent to managers. 5) Training is underway with SLT, started on 30 January 2023 is ongoing until March 2024. Quarterly sessions in place for 2023. 6) ICT information Governance policy review completed. 7) Align electronic data to retention and disposal policy. Data cleanse project launch summer 2023 initially focussing on F drives. 8) Microsoft Tenant Audit completed.	3	4	12	1) FOI infographic eLearning on Litmos along with raising awareness communication and data governance will be rolled out during 2023. 2) Data quiz to be circulated. 3) Review of this to be completed. 4) ICT and Information Governance Group to discuss further controls following review of the Microsoft Tenant audit.	Service Director Corporate Services	Jan 24	OPEN
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)					TREATMENT STATUS	DIRECTION OF TRAVEL	ACTION OWNER		ACTION DATE		
Oct-23	Breach of the 2018 Data Protection Act (DPA) and the General Data Protection Regulations (GDPR) leading to significant fines or/and intervention by the Information Commissioner's Office (ICO) <ul style="list-style-type: none"> • Increased costs and legal implications • Reputational damage to the Council 					TREAT		1) PM/ SM/LR		Dec 23		
									2) PM/ MKS	Dec 23		
									3) PM/SL	Dec 23		
									4) PM	Jan 24		


Corporate Risk Register- November 2023

RISK REF (ID)	RISK (IF-THEN) - (one line snapshot)	INHERENT LIKELIHOOD	INHERENT IMPACT	INHERENT RISK SCORE	MITIGATION CURRENT CONTROLS	RESIDUAL LIKELIHOOD	RESIDUAL IMPACT	RESIDUAL RISKSORE	FURTHER ACTIONS REQUIRED	RISK OWNER (Officer & PFH)	COMPLETE OR NEXT REVIEW DATE	STATUS OPEN/ CLOSED	
						TREATMENT STATUS	DIRECTION OF TRAVEL	ACTION OWNER			ACTION DATE		
CORSER002	Failure to ensure robust plans are in place for critical services and regularly tested could result in an event occurring having adverse impact on service delivery.	5	5	25	1. There is a well-established MIM process for ICT issues to be managed. 2. All 'office' based employees can work from home. 3. The Council has alternative locations it could work from. 4. BC Plan templates and manager training completed in conjunction with Essex Police BC Team. 5. BCP framework in place. 6. Service BC Plans and BIAs in place.	4	4	16	1. Finalise Corporate BC Plan. Include the role of internal Gold officer and Group also Silver and Bronze response. - 1 st draft completed. 2. For both sets of BC Plans identify specific processes and agreed decisions related to the situation. 3. BC Officer booked to attend specific BC course and take exams.	Service Director Corporate Services	Jan 24	OPEN	
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)					TREATMENT STATUS	DIRECTION OF TRAVEL	ACTION OWNER		ACTION DATE			
Oct-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		Dec 23			
										2) LL	Dec 23		
											3) LL	Dec 23	

Corporate Risk Register- November 2023

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


Corporate Risk Register- November 2023

RISK REF (ID)	RISK (IF-THEN) - (one line snapshot)	INHERENT LIKELIHOOD	INHERENT IMPACT	INHERENT RISK SCORE	MITIGATION CURRENT CONTROLS	RESIDUAL LIKELIHOOD	RESIDUAL IMPACT	RESIDUAL RISK SCORE	FURTHER ACTIONS REQUIRED	RISK OWNER (Officer & PFH)	COMPLETE OR NEXT REVIEW DATE	STATUS OPEN/ CLOSED	
						TREATMENT STATUS	TREATMENT STATUS	TREATMENT STATUS			DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
SUS001 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	Policy controls: Climate Change Action Plan – overarching document to set actions to meet the 2030 target. Planning policy new development - Local Plan policies on flooding and environmental policies. Sustainability Guidance vols 1-3 covering major and minor development and extensions/refurbishments.	4	4	16	1. Include energy efficiency investment in Housing Asset Management Strategy 50% Stock Condition survey in place containing efficiency data. Plan to complete remaining stock in 2023/24. Additional overlay of efficiency data analysis via organisation called Parity to be commissioned Q3 23/34/ 2.Include energy efficiency investment in operational asset management strategy 3.EV charge points on EFDC land to be part of asset management strategy. 4.Identify EFDC planning staff with required specialist knowledge to oversee carbon emissions and climate considerations. 5.Investigate carbon emissions of non-EV waste fleet at proposed depot. 6.Implement a tree policy to protect against subsidence and building damage. 7. Asset Management Strategy work underway with Ark Consultancy appointed Oct 23, strategy due to be in place early 2024	Chief Operating Officer/ Service Director Planning	Jan 24	OPEN	
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)										DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
Oct 23	The Council declared a climate emergency and has pledged to do everything within its power to make the Epping Forest District carbon neutral by 2030. Areas key to this climate risk are transport including EV charge points, new builds and EFDC's own property, planning for new developments and masterplan areas considering carbon emissions and flood risk, the potential new waste depot and subsidence from trees. If we fail to achieve our targets could result in: <ul style="list-style-type: none"> Reputational damage Greatly increased costs from Climate Change Adaptation requirements (flooding, overheating, subsidence from drought, increased insurance claims) 				Transport and Air Quality - Interim Air Pollution Mitigation Strategy – to reduce impacts of pollutants on the Epping Forest Special Area of Conservation (SAC). Air Quality Action Plan – to reduce impact on human health. Other controls: -Climate Change Steering Group set up with officers from across the Council to oversee delivery of the Climate Change Action Plan -Fleet conversion to Electric Vehicles, EV charge points at Civic, Oakwood Hill and North Weald Airfield. -Charge points on EFDC public land. Pilot training Carbon Literacy course for service managers - Net zero training given to planning officers	TREAT						1) SB/DG 2) DG 3)SLJ 4) GC 5) JW 6) MT 7)SB	Nov 23 Nov 23 Nov 23 Nov 23 Nov 23 Nov 23 Feb 24


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


Corporate Risk Register- November 2023

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


Corporate Risk Register- November 2023

RISK REF (ID)	RISK (IF-THEN) - (one line snapshot)	INHERENT LIKELIHOOD	INHERENT IMPACT	INHERENT RISK SCORE	MITIGATION CURRENT CONTROLS	RESIDUAL LIKELIHOOD	RESIDUAL IMPACT	RESIDUAL RISK SCORE	FURTHER ACTIONS REQUIRED	RISK OWNER (Officer & PFH)	COMPLETE OR NEXT REVIEW DATE	STATUS OPEN/ CLOSED
						TREATMENT STATUS	DIRECTION OF TRAVEL	ACTION OWNER			ACTION DATE	
COMP001	If the Council, is unable to demonstrate compliance with numerous statutory H&S requirements it could face a Regulatory Notice and/or heavy fines. There is also a need to meet Consumer Standards and Consumer Standards as laid out in the Social Housing (Regulation) Bill (2023). If the Council is unprepared, it will face serious reputational damage.	4	5	20	<ol style="list-style-type: none"> 1) All key (Big 6) compliance polices have been adopted through Cabinet in Q1 & Q2 2023/24 2) 50% Stock Condition Survey in place 3) Trance 1 of the Tenant Satisfaction Measures (TSMs) completed September 2023 4) Compliance data available via dashboard for senior management to review monthly. 5) Weekly gas meetings take place monitoring and improving gas compliance. 6) Asbestos Re-Inspection programme completed October 2023. 7) COO is agreed lead on Health and Safety for Housing (as required by the Regulator) 8) The Director for Housing & Property is lead for Consumer Standards. As required by the Regulator. 	3	5	15		Interim Service Director Housing and Property	Jan 24	OPEN
CURRENT REVIEW DATE						CAUSE - EFFECT (detail narrative)	TREATMENT STATUS	DIRECTION OF TRAVEL			ACTION OWNER	ACTION DATE
Oct -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		1) SB 2) SB 3) SB 4) SB	Mar 24 Apr 24 Jan 24 Aug 24							


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


Corporate Risk Register- November 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
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)	Jan 24	OPEN
	CAUSE – EFFECT (detail narrative)				<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. 							
Oct 2023	<p>The Council's LATCO, the Qualis Group, has had to operate in particularly difficult economic and trading conditions since its inception. This is proving challenging in property development especially, with the recent sharp increase in worldwide interest rates threatening the viability of planned housing and regeneration schemes. In particular, the Council's medium-term income assumptions are dependent on the successful delivery of these schemes through the margins that it makes on on-lending to Qualis.</p> <p>The Council has obtained security wherever possible against its financial commitments to Qualis, so has purposely mitigated risk to a large extent. Nevertheless, in the event that Qualis fails to establish and maintain its financial viability in the medium-term, the Council would potentially suffer significant financial loss, as well as reputational damage.</p>					TREAT		<ol style="list-style-type: none"> 1) Monitor and report quarterly on Qualis-related Council risk exposure. 		AS	Dec 23	

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

Corporate Risk Register- November 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
PEOPLE001 Future proofing the workforce	The Council is facing significant pressures with not having the right skills, behaviours, productivity and capacity in place to deliver services to our residents and deliver the Corporate Plan 2023-27.	4	5	20	1. People Strategy 2020/22 in place that recognises the importance of attraction & retention, employee development, supports our new ways of working and engagement with employees and trade unions, and wellbeing support. 2. A successful Apprentice Scheme which maximises expenditure of the Apprenticeship Levy 3. Well established hybrid/flexible ways of working 4. Leadership development programmes 5. A dedicated L&D (Learning and Development) budget and team 6. Partnership working/shared services other authorities and public services which offers potential career, specialist, and personal development. 7. Officers involved in a range of Essex wide groups discussing attraction and recruitment to wider Essex. 8. People Strategy 2023/27 in place.	3	4	12	1. Service workforce development plans become an element of our Service Planning Process 2. Shared services in discovery phase.	Service Director – Corporate Services	Jan 24	OPEN
CURRENT REVIEW DATE	CAUSE - EFFECT (detail narrative)					TREATMENT STATUS				DIRECTION OF TRAVEL	ACTION OWNER	ACTION DATE
Oct-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/CG	Dec 23