

operational risks for review by Risk Management Steering Group



Report Author: Sheila Bronson
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Parent Risk Code & Title	Risk Code & Title	Status	Current Rating	Target Rating	Target Date	Managed By	Assigned To	Last Review Date	Latest Author	Latest Date	Latest Note	Current Impact	Current Likelihood	Target Impact	Target Likelihood
07-OR-ACE-02 Emergency Planning	07-OR-ACE-02-11 Training is abandoned because of budgetary considerations;		9	9	11/09/08	Michael Perry	Lisa Lipscombe	25/04/08	Michael Perry	04/11/08	Due to the fact that the current EPO has limited experience of emergency planning it has been necessary to use virtually all of the training budget to provide training for her. Subject to there being sufficient budget in the next financial year it will be possible to run training exercises for staff.	3	3	3	3
07-OR-ACE-02 Emergency Planning	07-OR-ACE-02-16 Anticipated resources such as Rest Centres expected to be provided by external agencies are withdrawn.		9	3	31/03/09	Michael Perry	Lisa Lipscombe	25/04/08	Michael Perry	04/11/08	Although we liaise regularly with the owners of buildings which have been offered as rest centres and enjoy good relations in the past there has been a reluctance to actually make centres available when an emergency occurs. Although outside the risk appetite line there are no steps which can be effectively taken to reduce the risk further.	3	3	1	3
07-OR-ACE-07 Procurement	07-OR-ACE-07-4 Ineffective Procurement Team		9	2	31/03/09	Michael Perry	Michael Perry	19/05/08	Michael Perry	04/11/08	The Council has recently commissioned an independent report regarding procurement and is considering the findings to determine what improvements can be made.	3	3	2	1
07-OR-ACE-07 Procurement	07-OR-ACE-07-7 No Service Plan/Objectives/Policy In Place To Ensure That Service Is Operated Efficiently		9	2	31/03/09	Michael Perry	Michael Perry	19/05/08	Michael Perry	04/11/08	This will be reviewed in the light of the procurement report recently received.	3	3	1	2
07-OR-ACE-08 Enforcement	07-OR-ACE-08-2 Lack of up to date documented procedures		9	4	31/03/09	Michael Perry	Paul Woolcott	29/05/08	Michael Perry	04/11/08	The enforcement team is a new team and is currently working on documenting procedures - something which had not been done by the departments it has taken enforcement work from.	3	3	2	2
07-OR-CE-04 Communications	07-OR-CE-04-01 Insufficient communications capacity		9	3	31/03/09	Richard Auty	Richard Auty	14/10/08	Richard Auty	14/10/08	Amalgamated post of Website and Communications Officer has been created which should help ease the situation. Postholder starts Monday 20 October. Further assessment of risk can be made once post is fully established.	3	3	3	1
07-OR-CE-06 Museum	07-OR-CE-06-10 Insufficient storage/display facilities		9	2	31/03/09	Richard Auty	Carolyn Wingfield	14/10/08	Richard Auty	14/10/08	Situation unlikely to improve until Heritage Quest Centre is built. There is no further storage available at museum.	3	3	2	1
07-OR-CE-06 Museum	07-OR-CE-06-14 Inadequate insurance cover		9	4	31/03/09	Richard Auty	Carolyn Wingfield	14/10/08	Richard Auty	14/10/08	SMB and senior memberst have requested further information on cost of conducting estimates for revised insurance and the estimated cost of insurance following that exercise. Serious concerns have been raised.	3	3	2	2
07-OR-HM-03 Homelessness	07-OR-HM-03-09 Provision of unsuitable or lack of suitable accommodation		9	9	31/03/09	Roz Millership	Liz Petrie	20/05/08				3	3	3	3
07-OR-HM-08 Land & Property Management	07-OR-HM-08-09 The Council is unable to meet the costs of external and structural repairs to		9	9	31/03/09	Roz Millership	John Mitchell	11/06/08				3	3	3	3
07-OR-PC-01 Planning Control	07-OR-PC-01-08 Enforcement action is not taken		9	3	31/03/09	Mike Ovenden	Mike Ovenden	10/10/08	John Mitchell	10/10/08	Planning enforcement staff reduced from 3 to 1 as part of savings 2007/8 will inevitably mean reduced level of service	3	3	3	1
07-OR-PC-01 Planning Control	07-OR-PC-01-11 Insufficient qualified / trained staff available to process applications		9	6	31/03/09	Mike Ovenden	Mike Ovenden	10/10/08	John Mitchell	10/10/08	Recruitment and retention issues will accelerate	3	3	3	2
07-OR-PC-01 Planning Control	07-OR-PC-01-13 De-motivated staff		9	3	31/03/09	Mike Ovenden	Mike Ovenden	10/10/08	John Mitchell	10/10/08	The programme of redundancies and deletions of posts including the Head of Division coupled with an increase in workload will inevitably lead to a loss of morale, for which the Council has no	3	3	3	1
07-OR-PC-01 Planning Control	07-OR-PC-01-21 The Council's reputation suffers as the result of poor service provided by the Council		9	6	31/03/09	Mike Ovenden	Mike Ovenden	10/10/08	John Mitchell	10/10/08	the redundancy prgrmmme means that the service delivery levels will suffer, complaints will increase and the financial outlook is such that there can be no mitigating circumstances	3	3	3	2

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07-OR-PC-01 Planning Control	07-OR-PC-01-27 Workload exceeds staff resources		9	1	31/03/09	Mike Ovenden	Mike Ovenden	04/02/08	John Mitchell	10/10/08	there is a short term significant risk	3	3	1	1
07-OR-PHS-04 Local Development Framework	07-OR-PHS-04-01 Submission Document could be found to be unsound at Public Examination stage		9	3	31/03/09	Roger Harborough	Roger Harborough	22/09/08	Roger Harborough	13/10/08	from information received from RH 22/09/08 - The risk to the Local Development Framework is that the submission document could be found unsound at the Public Examination. Action is in hand to reduce this risk. We are analyzing responses to the preferred options consultation and carrying out further technical studies. This is recorded in Covalent under related actions. Further consultation is envisaged to test conclusions, followed by further review before formal consultation on the pre-submission core strategy. This will only be submitted if all soundness issues have been addressed	3	3	3	1
07-OR-PHS-05 Housing Strategy	07-OR-PHS-05-06 Affordable housing development programme - S106 sites		9	9	31/03/09	Roger Harborough	Roger Harborough	22/09/08	Roger Harborough	13/10/08	from information received from RH 22/09/08 - The risk to the Affordable Housing development programme is that it is dependent on private sector market housing schemes progressing, in the main, as affordable housing opportunities are generally an element of a larger mixed tenure development. Action is hand to attempt to reduce the risk. This is recorded in Covalent under related actions. We are identifying the scope to bring forward the affordable elements of development. Resources to do so are limited, however, and the assessment is that the risk level is unlikely to be significantly reduced.	3	3	3	3
07-OR-SS-02 Car Parking	07-OR-SS-02-08 Abuse to and/or assaults on Parking Attendants		9	6	31/03/09	Ron Pridham	Ron Pridham	04/05/06	Ron Pridham	09/10/08	On hold until decision made on proposals for North Essex car parking management.	3	3	3	2
07-OR-SS-03 Cemetery	07-OR-SS-03-15 Gravestones insecure		9	3	31/03/09	Ron Pridham	Barry Stansfield		Ron Pridham	09/10/08	Way forward with topple testing being discussed with other authorities. Report on resulting proposals will be presented to committee in mid-2009.	3	3	3	1
07-OR-SS-09 Transport Plant Utilisation	07-OR-SS-09-18 Increase in fuel prices.		12	12	31/03/09	Ron Pridham	Ron Pridham	10/05/06	Ron Pridham	09/10/08	Fuel price changes are reviewed as part of the monthly budget monitoring process and the budget outturn predicted on the basis of the latest price. The move to using recycling transfer stations closer to the end of the collection rounds were introduced through May/June reducing fuel consumption.	3	4	3	4