




















Corporate Risk Register 2009-12







Parent Risk Code & Title	Description	Risk Code & Title	Status	Risk Score	Impact	Likelihood	Assigned To	Action Code & Title	Due Date
09-CR FINANCE	09-CR1 Continually improving financial management and ensuring the Council remains financially sound	09-CR1-01 UDC finances are adversely affected by wider economic problems		12	3	4	Stephen Joyce	09-CR1-01 Medium Term Financial Strategy adopted and updated to reflect changing economic conditions	28/02/2010
09-CR FINANCE	09-CR1 Continually improving financial management and ensuring the Council remains financially sound	09-CR1-04 Permanent loss of a significant proportion of Landsbanki deposit that depletes revenue balances		12	4	3	Stephen Joyce	09-CR1-04 Any underspends arising to be diverted to Landsbanki Contingency Fund	31/03/2010
								09-CR1-04 Lobby for additional central government support through LGA collective representation	31/10/2009
								09-CR1-04 Monitor developments via LGA collective representation	31/10/2009
09-CR PARTNERSHIPS	Work in partnership to improve the safety, health and well-being of our communities particularly to meet the needs of those affected by the current recession	09-CR6-04 Mismanagement of housing stock arising from failure to use available funding to best effect		12	4	3	Diane Burridge	09-CR6-04 To take the necessary steps to ensure that the Council's housing stock is managed in such a way that it continues to provide the best quality for our tenants within the government-set funds available (LAA Priority 2)	31/03/2012
09-CR PARTNERSHIPS	Actively seek opportunities for delivering services in partnership, with or by third parties and/or devolving service provision and developing shared service provision	09-CR4-02 Business Cases and/or contractual arrangements underpinning new partnerships are not robust so that desired objectives are not met		9	3	3	John Mitchell	09-CR4-02 Ensure that business cases and proposed contracts are reviewed by Section 151 Officer and Monitoring Officer with reference to independent financial and legal advisers as appropriate.	31/03/2010
09-CR PARTNERSHIPS	Actively seek opportunities for delivering services in partnership, with or by third parties and/or devolving service provision and developing shared service provision	09-CR4-03 The Council lacks the corporate capacity and capability to operate effectively in a partnership environment		9	3	3	John Mitchell	09-CR4-03 Set up call off contracts with independent financial and legal advisers. Engage specialist consultancy advice where needed. Ensure that UDC structure includes partnerships/commercial manager with appropriate skills and experience.	31/03/2010
09-CR PARTNERSHIPS	Actively seek opportunities for delivering services in partnership, with or by third parties and/or devolving service provision and developing shared service provision	09-CR4-05 Major change of circumstances in a strategic partner e.g. insolvency of private sector partner or change in local government structure		9	3	3	John Mitchell	09-CR4-05 Robust business continuity and succession plans incorporated into contractual arrangements	31/03/2010
09-CR PEOPLE	Encourage community participation through effective consultation and engagement	09-CR8-02 Members fail to agree a new decision making structure		9	3	3	John Mitchell	09-CR8-02 Establish a new and more effective structure and continue to develop the Community Area Forums	31/03/2010
09-CR PEOPLE	Develop the customer service centre, improve customer care and improve access to services	09-CR9-04 Inability to improve the service provided to our customers by failure to develop a culture of cross service working		9	3	3	Adrian Webb	09-CR9-04 Secure a culture of cross service working as a means of enhancing services to the public and service users generally Develop the culture, through a corporate approach for EDM	31/03/2010
09-CR PEOPLE	Develop and maintain a motivated and high performing workforce	09-CR11-02 The Council may not have the right levels of staff and skills mix to operate effectively in a partnership environment		9	3	3	Stephen Joyce	09-CR11-02 Prepare and implement a Workforce Strategy that covers diversity & equality, capacity building, succession planning, health & safety, etc	31/03/2010

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09-CR ENVIRONMENT	Managing development and delivering affordable housing for local people	09-CR14-01 Failure to accommodate growth and ensure local housing needs		9	3	3	Roger Harborough	09-CR14-01 Develop comprehensive housing strategy to identify key issues and develop solutions to meet the housing needs of the district (LAA 2.2)	31/03/2010
								09-CR14-01 Progress the Local Development Framework Core Strategy, General Development Control and Site Specific Development Plan documents in accordance with the Local Development Scheme (LAA 2.2, 5, 10)	31/03/2010
09-CR ENVIRONMENT	Managing development and delivering affordable housing for local people	09-CR14-02 Planning growth which is not perceived to be reasoned by the majority of stakeholders		9	3	3	Roger Harborough	09-CR14-02 Maximise affordable housing gain from new developments, and work with parish councils and other bodies to identify appropriate exception sites for 100% affordable housing.	31/03/2010
								09-CR14-02 Undertake strategic assessment of housing market (LAA 2.2)	31/03/2010
								09-CR14-02 Use Council assets where possible to pump prime affordable housing schemes (LAA Priority 2)	31/03/2010
09-CR FINANCE	09-CR1 Continually improving financial management and ensuring the Council remains financially sound	09-CR1-02 The Council does not make sufficient progress to implement strategic solutions to longer term financial challenges		8	4	2	Diane BurrIDGE; Roger Harborough; Stephen Joyce; John Mitchell; Michael Perry; Adrian Webb	09-CR1-02 Initial Strategic Solutions proposals to be considered by Full Council	31/07/2009
09-CR FINANCE	09-CR1 Continually improving financial management and ensuring the Council remains financially sound	09-CR1-05 Insolvency of further bank(s) in which UDC has deposited funds		8	4	2	Stephen Joyce	09-CR1-05 Investment activity reporting to each Finance & Administration Committee	31/03/2010
								09-CR1-05 Maintain Investment Strategy based upon advice provided Arlingclose, only placing funds with UK banks covered by UK government guarantee and/or DMO	31/03/2010
09-CR PARTNERSHIPS	Improve access to affordable sport, leisure and cultural activities	09-CR7-01 Leisure Connect fails to deliver the services in accordance with the PFI contract		8	4	2	John Mitchell	09-CR7-01 Monitor the PFI with Leisure Connection and develop sports and leisure at Lord Butler, Great Dunmow and Mountfitchet Romeera (LAA Priority 6)	31/03/2010
09-CR PEOPLE	Develop the customer service centre, improve customer care and improve access to services	09-CR9-03 Failure to promote the principles of Equality and Diversity		8	4	2	John Mitchell	09-CR9-03 Change the culture of the organization through review of values and behaviours and increased emphasis on equality and diversity	31/03/2010
09-CR PEOPLE	Develop and maintain a motivated and high performing workforce	09-CR11-01 The development of "Strategic Solutions" adversely affects staff morale		8	2	4	Diane BurrIDGE; Roger Harborough; Stephen Joyce; John Mitchell; Michael Perry; Adrian Webb	09-CR11-01 Change management programme to ensure that uncertainties are resolved as soon as possible and mechanisms exist for staff to raise concerns and receive answers	30/06/2009
								09-CR11-01 Develop a strategy for mobile and homeworking and encourage staff participation	31/01/2010

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09-CR PEOPLE	Further embedding the principles of equalities and good health and safety throughout the organisation and beyond	09-CR12-02 HSE prosecution because no or inadequate assessments in place		8	4	2	Diane Burrridge; Roger Harborough; Stephen Joyce; John Mitchell; Michael Perry; Adrian Webb	09-CR12-02 Ensure that all staff have available to them all the necessary information relating to their health, safety and welfare in addition to the councils legal duty to communicate effectively on health and safety matters	31/03/2010
								09-CR12-02 To make progress against the objectives of the HSE strategy.	31/03/2010
09-CR FINANCE	09-CR1 Continually improving financial management and ensuring the Council remains financially sound	09-CR1-03 Budgetary control not effective leading to overspends and depletion of reserves		6	3	2	Stephen Joyce	09-CR1-03 Implement budget monitoring arrangements	30/09/2009
								09-CR1-03 Re-implementation of finance system to ensure clearer, more reliable reporting	30/04/2010
								09-CR1-03 Training for budget holders and members	30/09/2009
09-CR FINANCE	09-CR2 Deliver effective and sustainable procurement and asset management	09-CR2-02 Corporate procurement arrangements are not well advanced limiting scope for procurement to add value		6	3	2	Stephen Joyce	09-CR2-02 Address the recommendations of the procurement diagnostic	31/03/2010
09-CR FINANCE	09-CR2 Deliver effective and sustainable procurement and asset management	09-CR2-03 Corporate asset management arrangements for benchmarking so that it is difficult to assess and demonstrate value for money		6	2	3	Diane Burrridge; Stephen Joyce	09-CR2-03 Prepare and implement Asset Management Strategy	31/03/2010
09-CR FINANCE	09-CR3 Increasing the emphasis on demonstrable value for money	09-CR3-01 The Council does not have corporate arrangements for benchmarking so that it is difficult to assess and demonstrate value for money		6	2	3	Diane Burrridge; Roger Harborough; Stephen Joyce; John Mitchell; Michael Perry; Adrian Webb	09-CR3-01 Embed consideration of efficiency savings and value for money into Divisional Plans	30/06/2009
								09-CR3-01 Seek out best practice in similar authorities, benchmark against our family group and incorporate approach into service planning	30/04/2010
09-CR PARTNERSHIPS	Actively seek opportunities for delivering services in partnership, with or by third parties and/or devolving service provision and developing shared service provision	09-CR4-01 Procurement rules inhibit progress of setting up new partnership arrangements		6	3	2	John Mitchell	09-CR4-01 Research practice in other councils to ensure that steps taken are compliant with procurement rules	31/03/2010
09-CR PARTNERSHIPS	Actively seek opportunities for delivering services in partnership, with or by third parties and/or devolving service provision and developing shared service provision	09-CR4-04 Audit Commission and/or central government impose bureaucratic restrictions that inhibit progress and/or dilute benefits realised		6	2	3	John Mitchell	09-CR4-04 Early engagement with Audit Commission representatives to identify and resolve possible problems at early stage	31/03/2010
09-CR PARTNERSHIPS	Actively seek opportunities for delivering services in partnership, with or by third parties and/or devolving service provision and developing shared service provision	09-CR4-06 Potential partners do not wish to have devolved services		6	2	3	Diane Burrridge; Roger Harborough; Stephen Joyce; John Mitchell; Michael Perry; Adrian Webb	09-CR4-06 To decide whether to outsource a range of services as an alternative to, or enhancement of, delivering shared services in partnership	31/03/2010
								09-CR4-06 Transfer responsibility for appropriate services to the relevant community agency or council	31/03/2010
09-CR PARTNERSHIPS	Actively lead Uttlesford Futures and contribute to the delivery of the local area agreement	09-CR5-01 Sustainable Community Strategy not updated		6	3	2	Roger Harborough; John Mitchell	09-CR5-01 Publish revised sustainable community strategy and action plans, with agreed performance indicators and targets	31/10/2009

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09-CR PARTNERSHIPS	Actively lead Uttlesford Futures and contribute to the delivery of the local area agreement	09-CR5-02 Failure to achieve the targets for the new local area agreement		6	2	3	John Mitchell	09-CR5-02 Implement the targets for the new local area agreement in partnership with Essex County Council and the wider Essex Partnership (LAA Vision)	31/03/2010
09-CR PARTNERSHIPS	Work in partnership to improve the safety, health and well-being of our communities particularly to meet the needs of those affected by the current recession	09-CR6-01 Strategy does not decrease Crime and Disorder		6	2	3	John Mitchell	09-CR6-01 Lead on the strategic assessment of community safety and produce an antisocial behaviour strategy, in conjunction with the Crime and Disorder Reduction Partnership (LAA Priority 7)	31/03/2010
								09-CR6-01 To implement the plans of the Crime and Disorder Reduction Partnership	31/03/2010
09-CR PARTNERSHIPS	Work in partnership to improve the safety, health and well-being of our communities particularly to meet the needs of those affected by the current recession	09-CR6-02 Failure to action the recommendations made by the Review Group		6	3	2	Diane Burridge	09-CR6-02 Review and update the supported housing service to ensure that the stock and type of support available meets the needs of elderly and vulnerable people (LAA Priority 2)	31/03/2010
09-CR PARTNERSHIPS	Improve access to affordable sport, leisure and cultural activities	09-CR7-02 Inadequate resource to meet community expectations contract		6	2	3	John Mitchell	09-CR7-02 Support the community sports outreach programme provided for young people in the evenings to improve social interaction and reduce anti-social behaviour (LAA Priority 1,6)	31/03/2010
09-CR PEOPLE	Encourage community participation through effective consultation and engagement	09-CR8-01 Significant decision are made without effective consultation with stakeholders in the community		6	3	2	Adrian Webb	09-CR8-01 Embed the consultation framework to better coordinate and more effectively engage the community	31/03/2010
09-CR PEOPLE	Maintain a high level of corporate governance and standards	09-CR10-01 Inability to improve performance because of ineffective monitoring and reporting		6	3	2	Adrian Webb	09-CR10-01 Embed the performance management framework to deliver continuous improvement, including further developing and embedding Covalent to coordinate corporate planning, budget setting, risk management and performance	31/03/2010
09-CR PEOPLE	Maintain a high level of corporate governance and standards	09-CR10-02 Lack of improvement in performance because of failure to learn from external inspections in terms of inspection methodology and preparation and implementation of recommendations		6	3	2	Adrian Webb	09-CR10-02 Learn from external inspections and peer recommendations to continually improve	31/03/2010
09-CR PEOPLE	Maintain a high level of corporate governance and standards	09-CR10-03 Reputational risk resulting from negative feedback from stakeholders		6	2	3	Adrian Webb	09-CR10-03 Further develop a framework for responding to the new community call for action and the Government's evolving policy on Scrutiny set out in the White Paper Communities in Control	31/03/2010
09-CR ENVIRONMENT	Opposing further expansion of Stansted Airport	09-CR13-01 Failure to mount an effective case opposing further expansion would undermine the credibility of the Council's community leadership		6	3	2	Roger Harborough	09-CR13-01 Present the Council's case at the Planning Inquiry on second runway (LAA Priority 10)	31/03/2010
09-CR ENVIRONMENT	Developing sustainable communities by protecting and encouraging local facilities	09-CR15-01 Inability to progress further in developing sustainable communities due to the current economic crisis		6	2	3	Roger Harborough	09-CR15-01 Support the Economic Development Group on Uttlesford Futures and via the LAA to give encouragement to local business in the Essex-wide context (LAA Priority 8)	31/03/2010

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09-CR ENVIRONMENT	Improving environmental management and enforcement against environmental crime	09-CR17-01 Failure to optimize the resources available for street cleaning		6	3	2	Diane Burridge	09-CR17-01 Undertake an incremental review of street cleaning to make best use of available resource. Work with businesses to minimise the impact of their business on the street scene.	31/03/2010
09-CR FINANCE	09-CR1 Continually improving financial management and ensuring the Council remains financially sound	09-CR1-06 The Council fails to achieve level 2 in the 2011 Use of Resources Inspection		4	2	2	Stephen Joyce	09-CR1-06 Programme management and monitoring to ensure that level 2 standards are met by end of 2009/10	31/03/2010
09-CR FINANCE	09-CR2 Deliver effective and sustainable procurement and asset management	09-CR2-01 The Council does not have sufficient capacity and capability to implement appropriate arrangements for procurement and asset management		3	1	3	Stephen Joyce; Adrian Webb		
09-CR PARTNERSHIPS	Work in partnership to improve the safety, health and well-being of our communities particularly to meet the needs of those affected by the current recession	09-CR6-03 Adequate funding no longer available to improve provisions		4	2	2	Diane Burridge	09-CR6-03 Improve provision, range and quality of temporary accommodation for the homeless by materially reducing use of bed and breakfast and developing managed short-term accommodation (LAA 2.2)	31/03/2010
09-CR PARTNERSHIPS	Improve access to affordable sport, leisure and cultural activities	09-CR7-03 UDC is unable to continue its current financial commitment to the museum		4	1	4	Adrian Webb	09-CR7-03 Establish a sustainable business model for the museum (LAA Priority 6)	31/03/2010
09-CR PEOPLE	Develop the customer service centre, improve customer care and improve access to services	09-CR9-01 Failure to meet the needs of UDC customers		3	3	1	Diane Burridge	09-CR9-01 Deliver the milestones for developing the customer service centre	31/03/2010
09-CR PEOPLE	Develop the customer service centre, improve customer care and improve access to services	09-CR9-02 CIC does not reflect UDC needs		2	2	1	Diane Burridge	09-CR9-02 To implement the plan for transferring the CIC to the new Great Dunmow library on its completion centre	30/09/2010
09-CR PEOPLE	Maintain a high level of corporate governance and standards	09-CR10-04 UDC signs up to the Sustainable Communities Act without receiving any benefit to Uttlesford residents at this time		4	2	2	John Mitchell	09-CR10-04 To decide whether signing up to the Sustainable Communities Act would be of benefit to Uttlesford Residents at this time	31/03/2010
09-CR PEOPLE	Further embedding the principles of equalities and good health and safety throughout the organisation and beyond	09-CR12-01 Failure to become an Achieving authority by 31 December 2009		4	2	2	Michael Perry	09-CR12-01 Equalities – Moving beyond Level 2 and progressing to equivalent of Level 3 (proposed new 'emerging' level)	31/12/2009
09-CR ENVIRONMENT	Developing energy efficiency policies to reduce our carbon footprint and assist with fighting fuel poverty	09-CR16-01 Lack of adequate staff resources to progress the required actions to implement the energy efficiency policies		4	2	2	Roger Harborough	09-CR16-01 Continue to reduce direct emissions via an ongoing programme of emissions reduction improvements to buildings and fleet including energy efficiency, renewable and alternative fuels (LAA Priority 9)	31/03/2010
								09-CR16-01 Establish an Environmental Policy (LAA Priority 9)	31/03/2010
								09-CR16-01 Implement actions in the climate change strategy and seek to achieve the Eco-Management and Audit Scheme accreditation (LAA Priority 9)	31/03/2010
								09-CR16-01 Seek to achieve the 2010 Home Energy Conservation Act target, and to help provide a permanent alleviation of fuel poverty, by promoting insulation grants, paying particular attention to listed buildings (LAA Priority 9)	31/03/2010

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09-CR ENVIRONMENT	Improving environmental management and enforcement against environmental crime	09-CR17-02 Failure to enforce the Clean Neighbourhoods and Environment Act in the appropriate cases		2	2	1	Diane Burrridge; Michael Perry	09-CR17-02 Raise awareness of environmental crime and, in partnership with town and parish councils, enforce the Clean Neighbourhoods and Environment Act by issuing fixed penalty notices for littering, flyposting, graffiti and abandoned vehicles (LAA Priority 7)	31/03/2010
09-CR ENVIRONMENT	Minimising Waste	09-CR18-01 Volume of waste increases in terms of waste : land fill and total waste arisings		3	3	1	Diane Burrridge	09-CR18-01 Continue to explore partnership or outsourcing options with neighbouring councils to provide better value for money services	31/03/2010