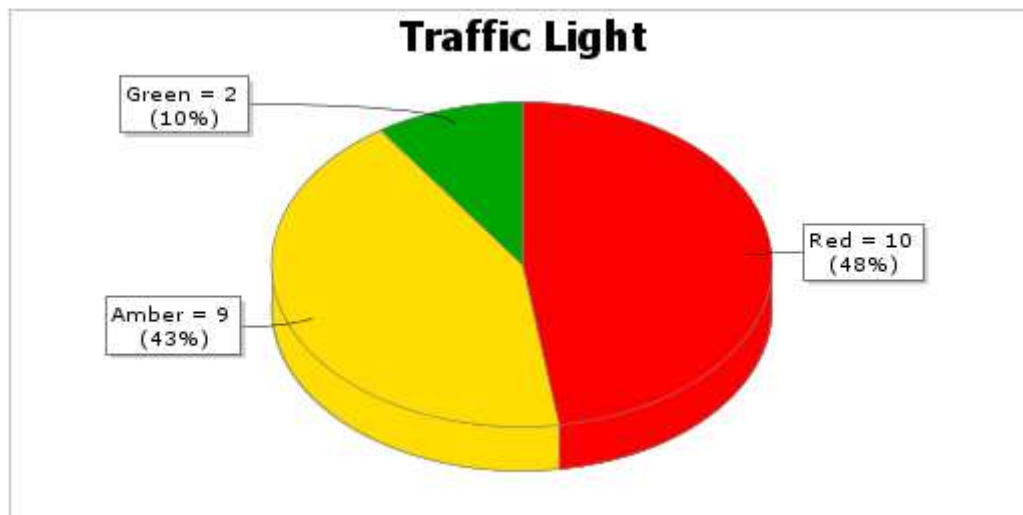
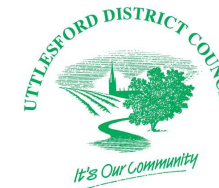


Corporate Risk Register 2010-11





Report Type: Risks Report








Traffic Light Red

Risk Code & Title	Description	Original Risk Impact	Original Risk Likelihood	Current Risk Impact	Current Risk Likelihood	Current Risk Score	Risk Traffic Light Icon	Target Impact	Target Likelihood	Assigned To	Mitigating Actions	Notes & History Note
10-CR-ENV 02 Growth and local housing needs	Failure to accommodate growth and ensure local housing needs are met	3	3	3	3	9		2	2	Roger Harborough	Action 1: SMB to facilitate development of all relevant strategies and projects to support local housing needs in the district via committee reporting process Action 2: Develop comprehensive	Planning system is undergoing a process of radical change. Therefore the risk level has not changed.




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											<p>housing strategy to identify key issues and develop solutions to meet the housing needs of the district</p> <p>Action 3: Progress the Local Development Framework Core Strategy, General Development Control and Site Specific Development Plan documents in accordance with the Local Development Scheme</p> <p>Action 4: Maximise affordable housing gain from new developments, and work with parish councils and other bodies to identify appropriate exception sites for 100% affordable housing</p> <p>Action 5: Undertake strategic assessment of housing market</p> <p>Action 6: Use Council assets where possible to pump prime affordable housing schemes</p>	




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10-CR-FIN 01 Insufficient progress against savings	The Council does not make sufficient progress against savings targets identified in the MTFS to achieve the necessary savings	4	3	4	3	12		3	2	Stephen Joyce	Regular quarterly monitoring of performance indicators associated with savings identified in MTFS by both SMB and PSC	Workstreams identified and corporate team being established to drive them forward.
10-CR-FIN 02 Insufficient provision for Landsbanki deposit	Council fail to make sufficient provision to cover the Landsbanki deposit	4	3	3	3	9		3	2	Stephen Joyce	SMB and Finance & Admin Committee to regularly review and authorise any underspends arising to be diverted to Landsbanki Contingency fund if necessary	Contingency fund topped up to £1.2 million. Latest CIPFA estimate is that councils will get 95% of deposit back. However, it will be up to a year before status as preferential creditor determined. Nonetheless, provision has been made.
10-CR-FIN 03 Non-value added Procurement and Asset Management	Procurement and asset management activities do not add value to the organisation (i.e. UDC assets are not utilised at an acceptable level)	3	3	3	3	9		2	2	Stephen Joyce	Action 1: Prepare and implement robust procurement and asset management strategies Action 2: SMB and F&A Committee to monitor implementation of key objectives of each strategy on a regular basis	Strategies complete but not yet implemented. Procurement officer recruited and will be in post 16th August. Asset management currently uncertain due to capacity issues at potential partner authority.
10-CR-FIN 04 Good service performance at a high cost	Services may perform well but at a relatively high cost to the authority	3	3	3	3	9		3	2	Stephen Joyce	Authority to adopt a VfM methodology and conduct annual reviews on all relevant services to establish cost and performance benchmarks that can be used to support corporate and divisional planning processes	Work commencing on benchmarking and VfM initiative.




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10-CR-PAR 01 Shared services/outsourcing opportunities do not materialise	Appropriate shared services/outsourcing opportunities do not materialise, therefore reducing the chances of lowering expenditure and improving services	4	3	4	3	12		3	2	Adrian Webb	Continue to seek opportunities for shared services/outsourcing where they benefit both the authority and its residents	Example of current partnership around asset management demonstrates difficulties. Discussions ongoing regarding benefits partnership and officers following all avenues around potential partnership opportunities where appropriate for this council
10-CR-PAR 02 Partnerships do not deliver	Risk that partnerships do not deliver intended outcomes	4	3	4	3	12		3	2	Adrian Webb	Action 1: Ensure (partnership) service level agreements are developed that detail corporately linked performance indicators/actions that will competently manage the partnership arrangement Action 2: SMB and members to regularly review and monitor performance of SLA's	Example of current partnership around asset management demonstrates difficulties. Discussions ongoing regarding benefits partnership and officers following all avenues around potential partnership opportunities where appropriate for this council
10-CR-PAR 05 Limited access to affordable sport, leisure and cultural activities	Community access to affordable sport, leisure and cultural activities are limited or non-existent	2	2	3	3	9		1	1	John Mitchell	Increase community access to sport, leisure and cultural activities within the district by seeking funding and support opportunities from external schemes and agencies such as Sport England	Free swimming for over 60s and under 16s funding withdrawn. Need for critical look at non-statutory services.

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10-CR-PEO 03 Deficient management and/or decision making processes	Failure to embed sound governance principles or provision of poor services through deficient management and/or decision making processes	4	2	4	2	8		3	1	John Mitchell	Action 1: SMB and PSC to embed the performance management framework throughout the authority to support the delivery of continuous improvement in all related processes. Use Covalent to co-ordinate corporate planning, risk management, scrutiny and performance processes Action 2: Apply learning from external inspections to improve governance and management of service delivery	Constitutional review underway. Services performing well.
10-CR-PEO 04 Council doesn't secure & develop staff capabilities	The Council do not secure & develop staff capabilities required to deliver services to organisational requirements	4	3	4	3	12		3	2	John Mitchell	SMB to prepare and implement a Workforce Strategy in conjunction with external consultants that supports its key priorities with regards to diversity & equality, capacity building, succession planning, employee appraisal & development and health & safety	Workforce strategy complete in draft.

Traffic Light Amber



Risk Code & Title	Description	Original Risk Impact	Original Risk Likelihood	Current Risk Impact	Current Risk Likelihood	Current Risk Score	Risk Traffic Light Icon	Target Impact	Target Likelihood	Assigned To	Mitigating Actions	Notes & History Note
10-CR-ENV 03 Perception that Council not doing enough regarding local facilities	The perception of the community is that the Council is not doing enough to influence the provision of viable local facilities	3	2	3	2	6		2	2	Roger Harborough	Support the Economic Development Group on Uttlesford Futures and via the LAA to give encouragement to local businesses in the Essex-wide context	Council has agreed that LABGI money may be used for projects that benefit the community as a whole. Recent example of new local facilities include community hall at Prior's Green.
10-CR-ENV 05 Potential increase in environmental crime	Potential for more cases of environmental crime leading to increased pressures on enforcement and other service areas and possible complaints	3	2	3	2	6		3	2	Michael Perry	SMB to raise awareness of environmental crime through relevant committee reports and, in partnership with town and parish councils, enforce the Clean Neighbourhoods and Environment Act by issuing and managing fixed penalty notices for littering, flyposting, graffiti and abandoned vehicles	Council is beginning campaign around littering. Position remains stable but will continued to be monitored
10-CR-ENV 06 Risk of increased waste costs	Risk of increased costs to both authority and residents and potential increase in land-fill requirements within the district	3	2	3	2	6		2	2	Diane BurrIDGE	SMB to continue to monitor waste sent to landfill and the costs associated with waste through the monitoring of relevant performance indicators at PSC and Environment committee and the Waste Strategy project team	Monitoring remains in place. Further development work is being done in conjunction with Braintree Council.

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10-CR-ENV 07 Failure to develop integrated approach to environmental issues	Failure to develop an integrated approach to the progression of environmental issues within the community	3	3	3	2	6		3	2	John Mitchell		Integrated approach to environmental issues through Sustainable Communities plan. New consultation will take place through corporate plan and budget process.
10-CR-PAR 03 High quality services not realised through LAA	High quality and better value for money services are not realised through the implementation of the LAA	2	2	2	3	6		2	2	John Mitchell	SMB and the Uttlesford Futures Board to monitor progress of LAA against corporate priorities and review performance of all related indicators via Full Council	Risk increased owing to halving of PRG funding. Uttlesford, with west Essex partners, taking robust approach.
10-CR-PAR 04 Public perception that the Council is not supporting the community	The public perception is that the Council is not seen to be actively supporting the community via its corporate priorities and actions	3	2	3	2	6		2	2	John Mitchell	Increase public awareness of progress against corporate actions and priorities through the implementation of the external communications strategy and other relevant communication channels such as community forums, members reporting to parish councils etc	Council continues to consult widely with community regarding corporate priorities and actions. Council has now establish representative citizens panel.






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10-CR-PEO 01 Key stakeholders excluded from decision making processes	Council do not involve key stakeholders in their decision making processes	3	2	2	2	4		3	1	John Mitchell	Embed the consultation framework through implementation and maintenance of key communication channels such as Citizens Panel, Community Forums and Tenants Group to better co-ordinate and more effectively engage with main stakeholders.	Citizens Panel established. Work around consultation processes underway.
10-CR-PEO 02 Customer expectations and technological developments	Unable to manage customer expectations and keep pace with technological developments	3	2	3	2	6		3	1	Adrian Webb	Action1: SMB to further develop a customer services culture throughout the authority ensuring customer expectations are both understood and managed appropriately and complaints are minimised Action 2: Implementation of corporate approach to EDRM to facilitate and manage this culture	Upcoming customer service training for all staff. Charter to be launched in autumn. EDRM project on track.
10-CR-PEO 05 Failure to embed Equality & Diversity and H&S	Failure to embed the principles of Equality & Diversity and H&S throughout the authority leading to increased risk of legal action	3	3	3	2	6		2	2	John Mitchell	SMB and HoDs to ensure that all staff have available to them all the necessary information relating to equalities, diversity, health, safety and personal welfare in addition to the councils legal duty to manage	Health and safety training continues to be delivered to staff, including new E-learning package. Strategic E&D group established and pushing forward programme to move council to "achieving" level of Equalities Standard.

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											these matters effectively. Monitoring of the effectiveness of these principles will be managed via premises safety inspections, employee inductions and employee development (UPerform).	

Traffic Light Green

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10-CR-ENV 01 Perception that Council's opposition to airport is ineffective	The perception of the community is that the Council's opposition to airport expansion may be ineffective	4	2	2	1	2		3	2	Roger Harborough	Authority to keep the community up to date with the Council's ongoing concerted efforts to oppose airport expansion through reports to committee and other relevant communication channels	Application has been withdrawn. Council's efforts throughout campaign have been widely publicised.
10-CR-ENV 04 Failure to reduce the number of low energy efficient homes	Inappropriate policies may fail to reduce the number of low energy efficient homes in the community and increase fuel poverty	2	1	2	1	2		2	1	Roger Harborough	Action 1: Authority to establish and apply an Environmental Policy that ensures that the majority of its housing stock are high energy efficient homes that contribute to a reduction in the	Position is stable and continues to be monitored.

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											<p>authority's carbon footprint</p> <p>Action 2: Authority to promote and support energy efficiency projects throughout the district in order to try and increase the number of high energy efficient privately owned properties</p>	

Risk Status	
	Alert
	High Risk
	Warning
	OK
	Unknown