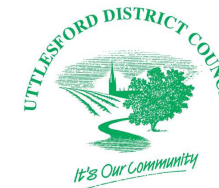


# Corporate Risk Register 2011-12



Risk Code & Title	Risk Description	Original Risk Impact	Original Risk Likelihood	Target Risk Impact	Target Risk Likelihood	Mitigating Actions	Code & Title of Linked Corporate Plan Action	Description of Linked Corporate Plan Action
11-CR-ENV 01 Change of Airport ownership	Change in Airport ownership may result in the Airport having different priorities which do not take into account the needs of the community	2	4	1	4	The Airport may change owners. Council will seek to work with and influence the current or new owners in order to ensure the needs of the community are understood	11-CP-ENV 01 (a) Stansted Airport	Encouraging the airport owners to improve relationships with the community
11-CR-ENV 02 Growth and local housing needs	Failure to accommodate growth and ensure local housing needs are met	3	3	2	2	Action 1: Progress the Local Development Framework Core Strategy, General Development Control and Site Specific Development Plan documents in accordance with a revised Local Development Scheme	11-CP-ENV 02 (a) Local Development Framework	Progress the Local Development Framework Core Strategy, General Development Control and Site Specific Development Plan documents in accordance with the Local Development Scheme
						Action 2: Revise Affordable Housing Strategy to reflect 10 year return and affordable rents. Prepare Tenancy Strategy. Review Housing Revenue Account Business Plan.	11-CP-ENV 02 (b) Housing	Maximising the award of new homes bonus to achieve the greatest community benefits commensurate with the proper long term planning of the area
						Action 3: Prepare Asset Management Strategy. Use Council assets where possible to pump prime affordable housing schemes	11-CP-ENV 02 (c) Affordable housing	Maximise affordable housing gain from new developments, and work with parish councils and other bodies to identify appropriate exception sites for 100% affordable housing. Use of Council assets where

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								appropriate, and not to the detriment of the HRA, to pump prime affordable housing schemes
							11-CP-ENV 02 (d) Affordable housing	Take advantage of new legislation for rents to contribute towards finance of the construction of affordable homes
							11-CP-ENV 02 (e) Empty Homes	Bring homes in private ownership that have been empty for a long time back into use
							11-CP-ENV 02 Manage the development and delivery of Affordable Housing for local people	
11-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	2	2	Action1: Explore potential of Community Right to Buy priorities in Localism Bill.  Action 2: Introduce, in partnership with the private sector, affordable radio broadband across Uttlesford.	11-CP-ENV 03 (a) Economic development	Review/support the Economic Development Group on Uttlesford Futures and via the LAA to give encouragement to local business in the Essex wide context
							11-CP-ENV 03 (b) Economic Development	Work closely with Epping Forest and Harlow DC's along the M11 corridor - the West Essex Alliance - as the basis for contribution towards the Essex/Kent/E Sussex LEP

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							11-CP-ENV 03 Developing sustainable communities by protecting and encouraging local facilities	
11-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	Action 1: Implement Climate Change Strategy which ensures that the majority of its housing stock are high energy efficient homes that contribute to a reduction in the authority's carbon footprint	11-CP-ENV 04 (a) Home energy	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
						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	11-CP-ENV 04 (b) Climate Change Strategy	Implement Climate Change Strategy actions and seek to achieve the eco management and audit scheme accreditation
							11-CP-ENV 04 (c) Emissions	Continue to reduce direct emissions via an ongoing programme of emissions reduction improvements to building and fleet including energy efficiency, renewable and efficient alternative fuels
							11-CP-ENV 04 Develop energy efficiency policies to reduce our carbon footprint and assist with fighting fuel poverty	
11-CR-ENV 05 Potential increase in environmental crime	Potential for more cases of environmental crime leading to increased pressures on	3	2	3	2	SMB to raise awareness of environmental crime through relevant committee reports and, in partnership with town and parish councils, enforce the	11-CP-ENV 05 (a) Keeping our streets and spaces clean	Implement the incremental review of street cleaning carried out in 2009-10 so as to make best use of

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	enforcement and other service areas and possible complaints					Clean Neighbourhoods and Environment Act by issuing and managing fixed penalty notices for littering, flyposting, graffiti and abandoned vehicles		available resource. Work with businesses to minimise the impact of their business on the street scene
							11-CP-ENV 05 (b) Keeping our streets and spaces safe	Raise awareness of environmental crime and, in partnership with town and parish councils, enforce the Clean Neighbourhoods and Environment Act, including fixed penalty notices for littering, fly-tipping, fly-posting, graffiti and abandoned vehicles
							11-CP-ENV 05 Improving environmental management and enforcement against environmental crime	
11-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	2	2	SMB and Members to continue to monitor waste sent to landfill and the costs associated with waste through the monitoring of relevant performance indicators.	11-CP-ENV 06 (a) Continuing with NVQ learning for relevant staff	Continuing to increase efficiencies and effectiveness of the services by relevant targeted training
							11-CP-ENV 06 Minimise waste by promoting re-use and maximise recycling	
11-CR-ENV 07 Localism Bill	The Localism Bill specifies measures that are beyond the capacity of the Council	3	3	2	2	Monitor progress of the Bill through Parliament and anticipate new requirements on the Council and develop skills in the workforce accordingly	11-CP-ENV 08 (b) Localism Bill	Ensuring that all the Council's services are fully prepared to embrace the provisions of the Bill as they are enacted
11-CR-ENV 08 The Council is unable to support the Environment Group of Uttlesford	Funding streams are coming to an end which may make it difficult to continue with the level of	2	2	2	1	Ensuring the aims of the group are compatible with the Council's policies and will continue to be implemented commensurate with available	11-CP-ENV 07 (a) Supporting the work of the Environment Group of Uttlesford Futures and the	Provide support staff resource to assist with implementing the objectives of the Group around addressing

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Futures	support					resources	reasonable implementation of its policies	climate change, promoting sustainability, supporting biodiversity and minimising waste - subject to review of the LSP
11-CR-ENV 09 Highways funding	Little money available for Highways improvements due to pressures on County Council budget	3	3	3	2	Seek to influence whatever funding is available for the best in the local community	11-CP-ENV 08 (a) Localism Bill	Setting up the Local Area Transport Forum to make decisions about investment at the most appropriate local level
11-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	2	3	2	Active measures are being pursued to implement the 5 workstreams in the MTFS. Formal mid year review will be presented to the Executive in September.	11-CP-FIN 01 (a) 2010-11 Accounts	Achieve an unqualified audit opinion
							11-CP-FIN 01 (b) 2011-12 Budget	Production of a balanced budget for 2011-12
							11-CP-FIN 01 (c) Medium Term Financial Strategy	Revise and update the Medium Term Financial Strategy in line with the Corporate Plan. Ensure the required rate of progress is maintained on Strategic Solutions workstreams.
							11-CP-FIN 01 Continually improving financial management and ensuring the Council remains financially sound	
11-CR-FIN 02 Insufficient provision for Landsbanki deposit	Council fail to make sufficient provision to cover the Landsbanki deposit	4	2	3	2	To maintain the Contingency Fund at the required level	11-CP-FIN 01 (a) 2010-11 Accounts	Achieve an unqualified audit opinion
							11-CP-FIN 01 (b) 2011-12 Budget	Production of a balanced budget for 2011-12
							11-CP-FIN 01 (c) Medium Term Financial Strategy	Revise and update the Medium Term Financial Strategy in line with the

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								Corporate Plan. Ensure the required rate of progress is maintained on Strategic Solutions workstreams.
							11-CP-FIN 01 Continually improving financial management and ensuring the Council remains financially sound	
11-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	2	2	2	Action 1: Prepare and implement robust procurement and asset management strategies	11-CP-FIN 02 (a) Procurement	Introduce a new procurement strategy, ensuring procurement promotes both the Council's equalities and diversity programme and its approach to Health & Safety
						Action 2: SMB and Executive to monitor implementation of key objectives of each strategy on a regular basis	11-CP-FIN 02 (b) Asset management	To produce a plan for better utilisation of organisational assets
							11-CP-FIN 02 Deliver effective and sustainable procurement and asset management	
11-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	2	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	11-CP-ENV 03 Developing sustainable communities by protecting and encouraging local facilities	

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							11-CP-FIN 03 (a) Value for Money	Testing our costs of service provision against the performance of those services in the context of achieving value for money in comparison with other LAs. Seek out best practice in similar authorities, benchmark against our family group and incorporate approach into service planning. To have an unqualified VFM assessment in the 2011 audit.
							11-CP-FIN 03 (b) Value for Money (discretionary fee services)	To ensure that discretionary fee services such as pest and building control operate without cost to the general fund
11-CR-FIN 05 International Financial Reporting Standards	Failure to implement IFRS has adverse effect on Council's reputation	3	2	1	1	Close working with auditors. Close working between Finance and Legal	11-CP-FIN 01 (a) 2010-11 Accounts	Achieve an unqualified audit opinion
11-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	3	2	Continue to seek opportunities for shared services/outsourcing where they benefit both the authority and its residents	11-CP-PAR 01 (a) Shared services	
							11-CP-PAR 01 (b) Outsourcing	To decide whether to outsource a range of services as an alternative to, or enhancement of, delivering shared services in partnership
							11-CP-PAR 01 (c) Devolution of services	
							11-CP-PAR 01 Implement the partnerships and service devolutions set up and identified in 2009-10. Actively seek opportunities	

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							for delivering services in partnership with, or by, third parties and/or devolving service provision and developing shared service provision	
							11-CP-PAR 01a(1) Devolution of Services (transfer of responsibilities)	Transfer responsibility for appropriate services to the relevant community agency or council
							11-CP-PAR 01a(1) Shared services(VfM)	Continue to seek partnership arrangements with other public, private and third sector organisations to promote effective working and to provide VfM.
							11-CP-PAR 01a(2) Devolution of services (Stansted CIC)	To open a new CIC in Stansted, in conjunction with the Parish Council and other partners using part of the savings from the termination of the "supaloos" contract
							11-CP-PAR 01a(2) Shared services(Revs&Bens)	Develop a revenues and benefits partnership with Harlow to build on top quartile performance and improve accuracy
							11-CP-PAR 01a(3) Shared services (Street Services)	Progress joint working with Braintree DC in the area of street service functions and grounds maintenance where value for money can be demonstrated



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11-CR-PAR 02 Partnerships do not deliver	Risk that partnerships do not deliver intended outcomes	4	3	3	2	<p>Action 1: Ensure (partnership) service level agreements are developed that detail corporately linked performance indicators/actions that will competently manage the partnership arrangement</p> <p>Action 2: SMB and members to regularly review and monitor performance of SLA's</p>	11-CP-PAR 01 (a) Shared services	
							11-CP-PAR 01 (b) Outsourcing	To decide whether to outsource a range of services as an alternative to, or enhancement of, delivering shared services in partnership
							11-CP-PAR 01 (c) Devolution of services	
							11-CP-PAR 01 Implement the partnerships and service devolutions set up and identified in 2009-10. Actively seek opportunities for delivering services in partnership with, or by, third parties and/or devolving service provision and developing shared service provision	
							11-CP-PAR 01a(1) Devolution of Services (transfer of responsibilities)	Transfer responsibility for appropriate services to the relevant community agency or council
							11-CP-PAR 01a(1) Shared services(VfM)	Continue to seek partnership arrangements with other public, private and third sector organisations to promote effective working and to provide VfM.

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							11-CP-PAR 01a(2) Devolution of services (Stansted CIC)	To open a new CIC in Stansted, in conjunction with the Parish Council and other partners using part of the savings from the termination of the "supaloos" contract
							11-CP-PAR 01a(2) Shared services(Revs&Bens)	Develop a revenues and benefits partnership with Harlow to build on top quartile performance and improve accuracy
							11-CP-PAR 01a(3) Shared services (Street Services)	Progress joint working with Braintree DC in the area of street service functions and grounds maintenance where value for money can be demonstrated
11-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	2	2	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	11-CP-PAR 03 (a) Strategic Assessment and Anti-Social Behaviour Strategy	Lead on the strategic assessment of community safety and produce an anti-social behaviour strategy with the Community Safety Partnership
							11-CP-PAR 03 (b) Reducing crime and disorder in partnership with the police and others	To implement the plans of the Community Safety Partnership
							11-CP-PAR 03 (c) Working through Uttlesford Futures to help reduce health inequalities in the District	Reviewing/facilitating where possible the implementation of the proposals of the Healthier Communities and Older People working group of Uttlesford Futures

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							11-CP-PAR 03 (d) Supported housing	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
							11-CP-PAR 03 (e) Housing stock	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
							11-CP-PAR 03 To work in partnership in order to improve the safety, health and well-being of our communities	
11-CR-PAR 05 Limited access to affordable sport, leisure and cultural activities	Community access to affordable sport, leisure and cultural activities is limited or non-existent	3	3	2	2	Action 1: 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  Action 2: Maintaining grant funding to voluntary sector at existing levels	10-CP-PAR 04 (c) Saffron Walden Museum	Establish a sustainable business model for the museum and reduce the Council's contribution to the day to day running costs
							11-CP-PAR 04 (a) Leisure Connection	Monitor the PFI with Leisure Connection and develop sports & leisure at Lord Butler, Great Dunmow and Mountfitchet Romeera
							11-CP-PAR 04 (b) Sports outreach	Support the community sports outreach programme provided for young people in the evenings to improve social interaction and reduce anti-social behaviour

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							11-CP-PAR 04 To improve access to affordable sport, leisure and cultural activities	
11-CR-PAR 06 Memorandum of Understanding	The Memorandum of Understanding does not result in closer working	3	2	2	2	Regular and close meetings with senior members and staff to maximise opportunities as they occur	11-CP-PAR 01 (d) Joint working	To develop the memorandum of understanding with Harlow and Epping District Councils for closer working over a number of areas
11-CR-PAR 07 Local Strategic Partnership	Key partners are unable to contribute to the LSP because of changes elsewhere in the public sector	2	3	2	2	Optimise the Localism agenda	11-CP-PAR 02 (a) Uttlesford Futures	To review the role of the LSP in the light of the demise of the Local Area Agreement and to agree a new focus with our partners within the District and across west Essex
11-CR-PEO 01 Key stakeholders excluded from decision making processes	Council do not involve key stakeholders in their decision making processes	2	2	2	1	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.	11-CP-PEO 01 (c) Committee structure	To develop the Community Area Forums in conjunction with Uttlesford Futures
							11-CP-PEO 01 (b) Consultation	Embed the consultation framework to better co-ordinate and more effectively engage the community, and continue to develop the citizen's panel
							11-CP-PEO 01 (d) Constitution	To introduce a cabinet system of government after the 2011 local elections
							11-CP-PEO 01 Encourage community participation through effective consultation and engagement	

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11-CR-PEO 02 Customer expectations and technological developments	Unable to manage customer expectations and keep pace with technological developments	3	2	3	1	<p>Action 1: SMB to further develop a customer services culture throughout the authority ensuring customer expectations are both understood and managed appropriately and complaints are minimised</p> <p>Action 2: Implementation of corporate approach to EDRM to facilitate and manage this culture</p>	11-CP-PEO 02 (a) To improve customer care in all aspects of the Council's work	Change the culture of the organisation through continued review of values and behaviours and continuing emphasis on customer care and equality and diversity. Introduce a new customer charter and feedback system and arrange training for all staff
							11-CP-PEO 02 (b) Electronic document management	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 to EDRM
							11-CP-PEO 02 Improve customer care and access to services	
11-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	3	1	<p>Action 1: Continue to use 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</p> <p>Action 2: Apply learning from external inspections to improve governance and management of service delivery</p>	11-CP-PEO 03 (a) Performance management	Embed the performance management framework to deliver continuous improvement, to co-ordinate corporate planning, budget setting, risk management and performance
							11-CP-PEO 03 (b) External inspection and challenge	Learn from external inspections and peer challenges. Implement recommendations to continually improve
							11-CP-PEO 03 (c) Scrutiny	Further develop the scrutiny function within the limits of available

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								resources while the current committee structure remains
							11-CP-PEO 03 (d) Customer feedback management	Develop corporate monitoring of customer comments, compliments and complaints
							11-CP-PEO 03 Maintain a high level of corporate governance and standards	
11-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	2	3	2	SMB to implement the Workforce Strategy that supports its key priorities with regards to diversity & equality, capacity building, succession planning, employee appraisal & development and health & safety	11-CP-PEO 04 (a) Mobile and homeworking	Continue to encourage mobile and home working where appropriate
							11-CP-PEO 04 (b) Human resources/workforce strategy	Implement a strategy for workforce development, diversity and equality, capacity building, succession planning, rewards, health, safety and welfare
							11-CP-PEO 04 Develop and maintain a motivated and high performing workforce	
11-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	2	2	2	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 these matters effectively. Monitoring of the effectiveness of these principles will be managed via premises safety inspections, employee inductions and employee development (UPerform).	11-CP-PEO 05 (a) Equalities	Equalities - Moving beyond former level 2 and progressing to equivalent of level 3 (new 'achieving' level)
							11-CP-PEO 05 (b) Health and safety	To make progress against the objectives of the HSE strategy, ensuring that all staff have available to them all the necessary information relating to their health, safety and welfare in addition to the

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								council's legal duty to communicate effectively on health and safety matters
							11-CP-PEO 05 (c) Supporting Essex Safeguarding Children's Board through the work of Uttlesford Futures	To contribute where possible to the initiatives set by the Board
							11-CP-PEO 05 Further embedding the principles of equalities and good health and safety throughout the organisation and beyond	
11-CR-PEO 06 Big Society	The concept of the Big Society is difficult to communicate	2	3	2	2	Ensure the Council retains its commitment to supporting the voluntary sector where this provides demonstrable value for money	11-CP-PEO 01 (a) Big Society	To encourage a culture of citizenship within our communities, and to build on our strong culture of volunteering within the district
11-CR-PEO 07 Conflict of Health Board priorities	The Public Health Board's priorities do not reflect the priorities of local communities	2	3	2	2	Seek to engage and influence the Public Health Board through all appropriate mechanisms	11-CP-PEO 05 (d) Preparing to take on a role in the promotion of public health	To participate in implementing the policies of the Public Health Board for Essex as it is set up