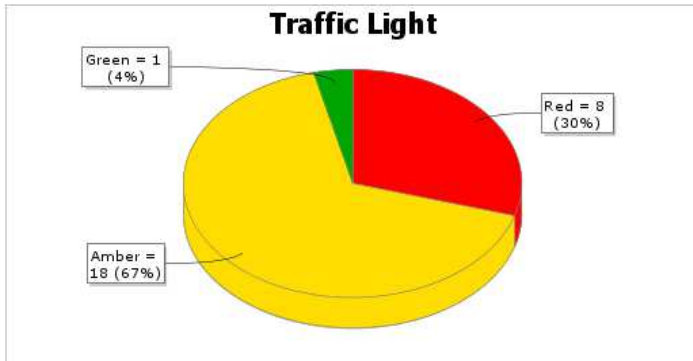
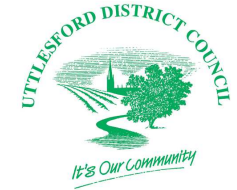



Corporate Risk Register 2011-12 - Quarter 1



Report Type: Risks Report
Report Author: Debra Admin_Collins
Generated on: 22 July 2011







Traffic Light Red

Risk Code & Title	Risk Description	Original Risk Impact	Original Risk Likelihood	Current Impact	Current Likelihood	Current Risk Score	Current Risk Traffic Light Icon	Target Risk Impact	Target Risk Likelihood	Mitigating Actions	Assigned To	Latest Note
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	2	4	8		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	Roger Harborough	BAA considering whether to apply for JR of Competition Commission's final decision that it should sell Stansted by end of 2011 (New Risk for 2011/12)



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11-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	<p>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</p> <p>Action 2: Revise Affordable Housing Strategy to reflect 10 year return and affordable rents. Prepare Tenancy Strategy. Review Housing Revenue Account Business Plan.</p> <p>Action 3: Prepare Asset Management Strategy. Use Council assets where possible to pump prime</p>	Roger Harborough	Q4 2010/11 Impact 3, Likelihood 3 - Strategic assessment of housing market completed. Planning system is undergoing a process of radical change. East of England Plan still in force. Draft National Planning Policy Statement imminent July 2011. Therefore the risk level has not changed



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										affordable housing schemes		
11-CR-ENV 09 Highways funding	Little money available for Highways improvements due to pressures on County Council budget	3	3	3	3	9		3	2	Seek to influence whatever funding is available for the best in the local community	Roger Harborough	Local Highways Panel appointed by Leader, although role may be incorporated into proposed Locality Boards (New Risk for 2011/12)
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	4	2	8		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.	Stephen Joyce	Q4 2010/11 Impact 4, Likelihood 2 - Good progress has been made e.g. Revs & Bens partnership, staff allowances review and waste strategy. We must see these through to completion and progress other initiatives e.g. car parks tariff review




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11-CR-FIN 02 Insufficient provision for Landsbanki deposit	Council fail to make sufficient provision to cover the Landsbanki deposit	4	2	4	2	8		3	2	To maintain the Contingency Fund at the required level	Stephen Joyce	Q4 2010/11 Impact 4, Likelihood 2 - Contingency sum is being maintained in excess of expected losses, but other possibilities still remain. Resolution of this matter is expected in October 2011.
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	3	9		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	Adrian Webb	Q4 2010/11 Impact 3, Likelihood 3 - Options for high cost services being explored including potential ICT system changes
11-CR-PAR 02 Partnerships do not deliver	Risk that partnerships do not deliver intended outcomes	4	3	4	3	12		3	2	Action 1: Ensure (partnership) service level agreements are developed that detail corporately	Adrian Webb	Q4 2010/11 Impact 4, Likelihood 3 - Revenues and Benefits partnership business case has



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										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		been reviewed by a different consultant to the one who undertook the original study. Both reports identify significant and similar partnership saving opportunities . Ensuring the savings will be a function of the Joint Committee
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	4	2	8		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	John Mitchell	Q4 2010/11 Impact 4, Likelihood 2 - Workforce strategy complete and to be rolled out. Customer care training for all implemented




Traffic Light Amber



Risk Code & Title	Risk Description	Original Risk Impact	Original Risk Likelihood	Current Impact	Current Likelihood	Current Risk Score	Current Risk Traffic Light Icon	Target Risk Impact	Target Risk Likelihood	Mitigating Actions	Assigned To	Latest Note
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	3	2	6		2	2	Action 1: 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.	Roger Harborough	Q4 2010/11 Impact 3, Likelihood 2 - Council to consult on application of New Homes Bonus. Recent example of new local facilities include community hall at Prior's Green.
11-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	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	Michael Perry	Q4 2010/11 - Impact 3, Likelihood 2 - A number of fixed penalty tickets have been issued for environmental offences and have been publicised in the local press


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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	3	2	6		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.	Roger Harborough	Q4 2010/11 Impact 3, Likelihood 2 - Monitoring remains in place. Further development work is being done, both in conjunction with Braintree Council, and independently. Proposals to increase recycling have been presented to Waste Strategy Project Group prior to a recommendation going before Cabinet following analysis of a procurement exercise.
11-CR-ENV 07 Localism Bill	The Localism Bill specifies measures that are beyond the capacity of the Council	3	3	3	2	6		2	2	Monitor progress of the Bill through Parliament and anticipate new requirements on the Council and develop skills in the workforce accordingly	John Mitchell	Restructuring and re-allocation of resources to anticipate enactment scheduled for November. Staff briefing 26.07.11 (New Risk for 2011/12)



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11-CR-ENV 08 The Council is unable to support the Environment Group of Uttlesford Futures	Funding streams are coming to an end which may make it difficult to continue with the level of support	2	2	2	2	4		2	1	Ensuring the aims of the group are compatible with the Council's policies and will continue to be implemented commensurate with available resources	John Mitchell	Restructuring and re-allocation of resources to anticipate enactment scheduled for November. Staff briefing 26.07.11 (New risk for 2011/12)
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	4		2	2	Action 1: Prepare and implement robust procurement and asset management strategies Action 2: SMB and Executive to monitor implementation of key objectives of each strategy on a regular basis	Stephen Joyce	Q4 2010/11 Impact 3, Likelihood 2 - Procurement Strategy and Asset management plan in place and the actions plans are being implemented with regular monitoring by SMB
11-CR-FIN 05 International Financial Reporting Standards	Failure to implement IFRS has adverse effect on Council's reputation	3	2	2	2	4		1	1	Close working with auditors. Close working between Finance and Legal	Stephen Joyce	Q4 2010/11 Impact 3, Likelihood 2 - Draft IFRS Statement of Accounts completed on time (30 June 2011). Results of audit will be known in September


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												2011.
11-CR-PAR 01 Shared services/outourcing opportunities do not materialise	Appropriate shared services/outourcing opportunities do not materialise, therefore reducing the chances of lowering expenditure and improving services	4	3	3	2	6		3	2	Continue to seek opportunities for shared services/outourcing where they benefit both the authority and its residents	Adrian Webb	Q4 2010-11 Impact 4, Likelihood 3 - Revenues and Benefits moving into delivery phase following joint council approval. Shared services around waste continue to be explored
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	3	2	6		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	John Mitchell	Q4 2010/11 Impact 3, Likelihood 2 - A new concise and accessible corporate plan format is being prepared which should demonstrate accountability and responsiveness

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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	3	6		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	John Mitchell	Q4 2010/11 Impact 3, Likelihood 3 - Additional small scale facilities are coming forward with new developments, such as play areas, open spaces and community halls. Resources to run these facilities are limited and they are being devolved to town and parish councils
11-CR-PAR 06 Memorandum of Understanding	The Memorandum of Understanding does not result in closer working	3	2	3	2	6		2	2	Regular and close meetings with senior members and staff to maximise opportunities as they occur	John Mitchell	Chief Execs meetings continue. Leaders meetings recommencing after elections (New Risk for 2011/12)
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	3	6		2	2	Optimise the Localism agenda	John Mitchell	This remains a concern. LSP will have to adapt its work in accordance with the availability of partners (New Risk for


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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	2	4		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.	John Mitchell	Q4 2010/11 Impact 2, Likelihood 2 - Citizens Panel established. 1st round of consultation carried out, 2nd round imminent. Work around consultation processes progressing.
11-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	Action1: SMB to further develop a customer services culture throughout the authority ensuring customer expectations are both understood and managed appropriately and	Adrian Webb	Q4 2010/11 Impact 3, Likelihood 2 - Public consultation on the Charter about to start. Charter itself to be launched in autumn. EDRM implementation on hold due to

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										complaints are minimised Action 2: Implementation of corporate approach to EDRM to facilitate and manage this culture		system issues and potential change of software provider
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	4	1	4		3	1	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 Action 2: Apply learning from external inspections to improve governance and management of service delivery	John Mitchell	Q4 2010/11 Impact 4, Likelihood 2 - Services performing well. Move to cabinet implemented and operating from May 2011. New voluntary code of conduct under preparation. New constitution agreed.






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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	3	2	6		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).	John Mitchell	Q4 2010/11 Impact 3, Likelihood 2 - 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. Assistance seconded from SCambs DC which have reached standard. Cabinet and SMB training to commence 22.07.11
11-CR-PEO 06 Big Society	The concept of the Big Society is difficult to communicate	2	3	2	2	4		2	2	Ensure the Council retains its commitment to supporting the voluntary sector where this provides demonstrable value for money	John Mitchell	Much is already happening and we are adapting structure and resources to meet the challenges staff briefing 26.07.11 (New Risk for

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												2011/12)
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	3	6		2	2	Seek to engage and influence the Public Health Board through all appropriate mechanisms	Roger Harborough	White Paper Healthy Lives Healthy People Update and Way Forward published July 2011. Retains proposals for local health and well being boards (New Risk for 2011/12)

Traffic Light Green

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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	1	1	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	Roger Harborough	Q4 2010/11 Impact 2, Likelihood 1 - Authority to apply Natural Resources Management Strategy that ensures the majority of its housing stock are high energy efficient homes that contribute to a reduction in the authority's carbon

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										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		footprint. Contractual negotiations are at an advanced stage with a supplier to provide PV panels to up to 1,000 council homes by end of March 2012 following a procurement exercise. The position in other respects is stable and continues to be monitored

Risk Status	
	Alert
	High Risk
	Warning
	OK
	Unknown