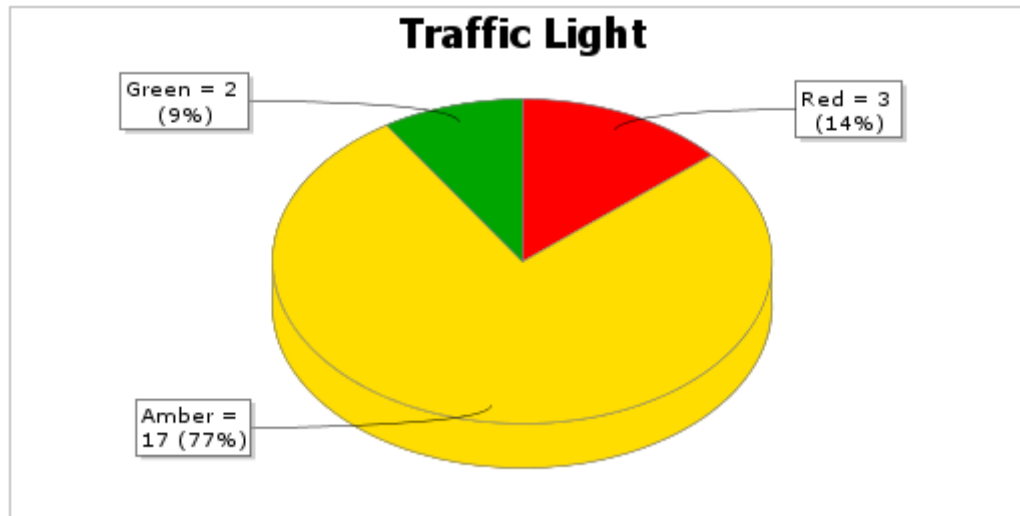
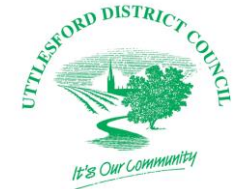








Corporate & Strategic Risk Register 2015-16 Quarter 1





Report Type: Risks Report
Report Author: Tülay Norton
Generated on: 15 September 2015










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	Latest Note	Mitigating Actions	Managed By
15-CR 01 Insufficient progress against savings	The council does not make sufficient progress against savings targets identified in the MTFS to achieve the necessary savings.	2	1	1	1	1		3	1	There are no savings targets identified in the current MTFS. Savings targets, if any, will be decided following the Autumn Spending Review	A Corporate Team was established in 2010. Savings to date exceed £2.5m. The team addresses quality issues as well as trying to achieve savings.	Adrian Webb




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15-CR 02 External factors impact negatively on Council's finances	External factors, such as the reforms to local government finance, negatively impact on Council's finances	2	3	2	2	4		2	3	Recent budget affects the HRA and has a negative but manageable impact on the service. Autumn Spending Review will outline changes to funding of the General Fund	Work with local and government to understand and implement post general election changes to core external funding such as New Homes Bonus and Business Rates Retention	Adrian Webb
15-CR 03 Decisions made by the LSP do not inform Council Policy	The Council staffs and hosts the LSP but decisions made by the LSP do not inform Council Policy	3	3	3	2	6		2	2	LSP board has been dissolved and the chairs of the 4 work streams meet to ensure there is no duplication. Each work stream has officer support and Member support is being considered. Further refinement may be anticipated.	Review the effectiveness and value for money of our engagement with partners, the voluntary sector and the community. Continue to review the working of the LSP to ensure it meets the needs of the council, its partners and the community rather than just itself. Ensure that LSP matters are championed by Cabinet members so that the Council determines the LSP agenda and takes responsibility for outcomes	John Mitchell
15-CR 04 Local Plan	Failure to meet objectively assessed housing need and identify suitable deliverable sites	3	2	3	2	6		3	2	Publication of new SHMA still awaited.	Complete SHMA, carry out Duty to Cooperate process with authorities across the housing market area, neighbouring councils and strategic bodies and issue new call for sites. New member working group established to steer process.	Roger Harborough


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15-CR 05 External contracts	Contracts with third parties do not benefit the Council & Community financially	3	2	3	2	6		3	1	Parent company guarantee for one major contract recently awarded being pursued through execution of a bond	Robust evaluation of contract bids. Once new contracts in place, proactive monitoring of contracts to ensure appropriate implementation	Roger Harborough
15-CR 06 The Council does not demonstrate how consultation responses have been taken into account	The Council does not demonstrate how consultation responses have been taken into account when formulating policy	3	3	3	2	6		3	1	A working group has been set up under the umbrella of the Constitution Working Group to report back on this by the new year. It can be supported by the project team if required. Improvements in communicating the local plan progress have been noted	A project team of Senior Managers has worked on this and will arrange a Members' workshop when the new Council is elected, with a view to rationalising consultation exercises to gain the maximum benefit	John Mitchell
15-CR 07 Failure to embed sound Equality & Diversity, H&S & Corporate Governance principles	Failure to embed sound equality & diversity, health & safety and corporate governance principles throughout the authority, which would make it difficult to then promote these ideals to the community	3	1	3	1	3		3	1	The Council is developing its action plan on the single equality duty in partnership with SCambs DC. Training for new and existing parish, town and district members on the code of conduct is taking place and extensive information on health and safety is set out on the Council's intranet which is linked to targeted training	The Health & Safety officer previously shared with Harlow DC is now a full-time UDC employee. Regular training and updates are given to all relevant staff and the Council continues its partnership arrangements with South Cambs DC regarding equality and diversity	John Mitchell

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15-CR 08 Little money available for Highways improvements	Highways Panel unable to deliver expectations owing to ECC financial constraints	2	3	2	3	6		2	3	The Highways Panel received a progress report on approved schemes and reviewed the prioritisation of potential schemes for 2015-16 at its June meeting	Targeted improvements in district due to local member involvement in Highways Panel/Locality Board	Roger Harborough
15-CR 09 Inability to implement the economic strategy	Inability to implement the economic strategy which could lead to a failure to support existing businesses and attract new investment	3	1	3	2	6		3	1	Workplace study received. Action plan to be determined. Parking study received. Consultations before finalisation. Way forward for high speed broadband still being explored.	Implement the economic strategy in conjunction with local business representatives, West Essex partners and allocate budget to support this work	Roger Harborough
15-CR 10 Adverse impact from reform of council tax benefits	The reform of council tax benefits will adversely impact some people currently in receipt of benefits	2	2	2	2	4		2	2	July budget has reduced benefit entitlement which may have a negative but manageable impact on the council LCTS scheme	Resource and implement the Council's annual Local Council Tax Support Policy	Adrian Webb
15-CR 11 Partner organisations unable to provide sufficient resources	Partner organisations unable to provide sufficient resources in times of austerity to implement new strategies	3	4	2	4	8		3	2	The Council is adapting to running partnerships with fewer expectations of directly provided outcomes.	New arrangements with partner authorities will need to be increasingly challenged and focused on prioritised needs and value for money	John Mitchell

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15-CR 12 Range of services provided by the Council is too broad	Range of services provided by the Council is too broad to allow necessary focus	4	4	4	4	16		4	2	The principle threat to the Council is the combined impacts of devolution, the autumn spending review and addressing traditionally low pay. The Council struggles to retain and recruit key staff	As resources diminish the Council will need to regularly review its' priorities and its' form and function as a provider of commissioner services	John Mitchell
15-CR 13 Shared service delivery model	Partner organisations unable or unwilling to sign-up to shared service delivery model	2	3	2	2	4		2	2	ECC have vacated top floor of main UDC building. Discussions with potential partners for use of other assets ongoing	Continue to work with those organisations who already share UDC assets i.e. ECC. Parish Councils and voluntary sector	Adrian Webb
15-CR 14 Neighbourhood plans	Local communities do not have adequate resources to develop neighbourhood plans	2	3	2	2	4		2	2	Resource contracted to support communities neighbourhood plan work.	Strategic Initiative Fund allocation to fund resources to support communities in preparing plans and getting them adopted	Roger Harborough
15-CR 15 Eco programme deadlines cannot be met and grant funding becomes unavailable	Changes to government eco programme mean deadlines cannot be met and grant funding becomes unavailable	3	3	3	3	9		3	3	EWI programme needs to be reviewed in the light of government policy on rent reduction as part of comprehensive re-assessment of the HRA Business Plan, which is in hand.	Pursue external funding opportunities for external wall insulation programme; smart procurement	Roger Harborough

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15-CR 16 Potential breaches of planning control	Council is not made aware of potential breaches of planning control	2	2	2	2	4		2	1	In the last quarter the Enforcement team has commenced 142 new enforcement investigations. 5 enforcement notices have been served and there was a successful prosecution for breach of an enforcement notice in respect of airport related parking where a fine of £17500 was imposed and costs of £2845 were awarded	Parish councils act as an important communications channel for reporting potential breaches, and this function is encouraged	Michael Perry
15-CR 17 Improving heritage assets	Aspirations outstrip available resources to improve heritage assets	2	3	2	3	6		2	3	New focus on buildings at risk in Directorate and Service plan for 2015-16	Pursue external funding opportunities	Roger Harborough
15-CR 18 Partners' agendas (for economic prosperity) are not aligned	All partners' agendas (for economic prosperity) are not aligned and what is delivered for the wider area is not in the best interest of the Uttlesford district	2	2	2	2	4		2	2	Economic Plan for Essex close to being finalised. Will inform Essex Combined Authority bid to government.	Engage strongly in LSCC, West Essex Alliance (and through West Essex Alliance seek to influence the Greater Essex Business Board and SELEP), GCGP LEP and Essex Integrated Growth Forum to promote Uttlesford's interests	Roger Harborough

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15-CR 19 Aspirations of airport owners conflict with the council's views	Aspirations of airport owners conflict with the council's views on appropriate development and with community interests	3	3	3	1	3		3	2	Davies Commission final recommendations to not include additional runway capacity at Stansted. Government commitment to take decision on recommendations by the end of the year.	Seek to influence the airports policy of the new Government informed by the Davies Commission final report recommendations. Work with the airport owners to agree environmental impact mitigation measures, particularly the surface access strategy	Roger Harborough
15-SR 01 Disruption of Council business	Disruption of council business caused by: loss of building, widespread staff absence, extreme weather conditions	3	2	3	2	6		3	2	Assistant Director Corporate Services has volunteered to develop new business continuity plan templates and is working with the Emergency Planning officer for Epping Forest DC on this project	Ensure that emergency plans are in place to provide frontline services. Maintain regular engagement in emergency planning activities, close liaison with county council and regular communication with residents. Ensure relevant HR policies are in place and understood	Michael Perry
15-SR 02 Major emergency at the airport	Major emergency at the airport e.g. due to plane crash, terrorism etc.	2	1	2	1	2		2	1	A joint emergency planning exercise with Stansted Airport is scheduled for November	Ensure that emergency plans are in place and that there is regular liaison with airport operator and engagement in emergency planning activities	Michael Perry

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15-SR 03 Refugee crisis	Public expectation that the council will be sole provider of accommodation for refugees. Risk of insufficient accommodation or displacement of people on housing waiting list.	2	2	2	2	4		1	2	Council to meet to agree position and establish Cabinet Working Group 16/9/15. Government position still evolving.	Council will work with other agencies to coordinate community response.	John Mitchell