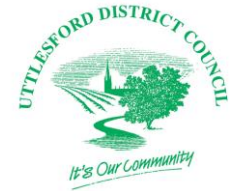
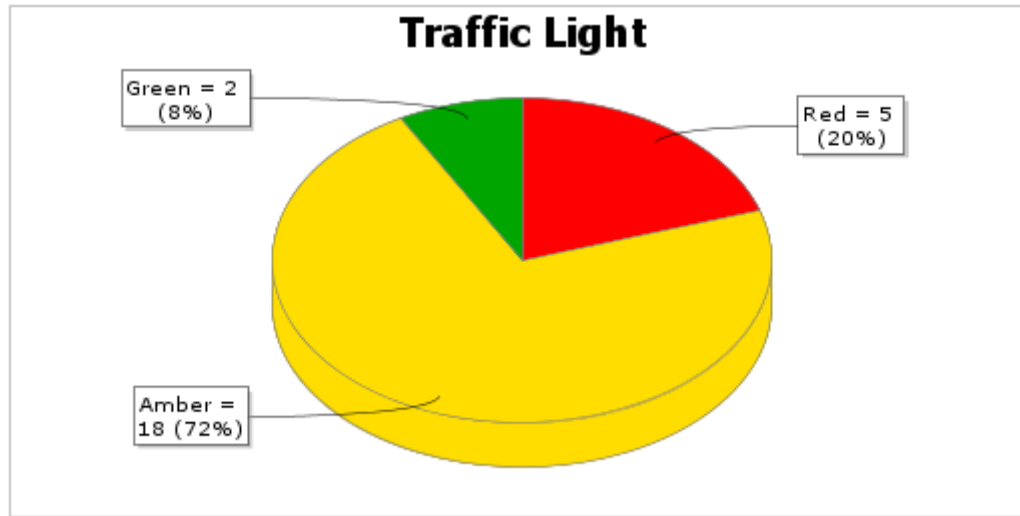




Corporate & Strategic Risk Register 2015-16 - Quarter 2







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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	The first round of workstream meetings following the abolition of the Board by the Leader has yet to conclude. However, a closer working relationship between council staff and the workstreams is already emerging.	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	John Mitchell



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											determines the LSP agenda and takes responsibility for outcomes	
15-CR 04 Local Plan	Failure to meet objectively assessed housing need and identify suitable deliverable sites	3	2	3	2	6		3	2	SHMA published. Issues and options consultation planned to start October. Programme of DtC meetings programmed with authorities not involved in the Cooperation for Sustainable Development Board.	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
15-CR 05 External contracts	Contracts with third parties do not benefit the Council & Community financially	3	2	3	2	6		3	1	Negotiations with responsive repairs contractor for the performance bond required by the contract are progressing	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	The Council does not demonstrate how	3	3	3	2	6		3	1	At the time of writing the task group had yet to	A project team of Senior Managers has	John Mitchell



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how consultation responses have been taken into account	consultation responses have been taken into account when formulating policy									meet. Subject to urgency not being a priority this is satisfactory progress.	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	
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 budget for 2015/16 has been fully allocated. For the remainder of the financial year ECC would continue with work on surveys and assessments for potential schemes in the pipeline	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	Broadband options proving difficult to progress due to unresponsiveness of some third parties.	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	Partner organisations unable to provide sufficient	3	4	3	3	9		3	2	The Autumn Spending Review is likely to diminish the	New arrangements with partner authorities will need to	John Mitchell


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sufficient resources	resources in times of austerity to implement new strategies									resources available to partner organisations	be increasingly challenged and focused on prioritised needs and value for money	
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 Autumn Spending Review is likely to diminish the resources available to partner organisations . Devolution to Greater Essex is gathering pace and a commitment will be expected in early 2016	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 vacated the top floor and also no longer promote UDC as a wedding venue. Thaxted CIC has proven to be a great success	Continue to work with those organisations who already share UDC assets ie 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	Great and Little Chesterford Neighbourhood Plan area designated. Stansted	Strategic Initiative Fund allocation to fund resources to support	Roger Harborough





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	d plans									Neighbourhood Plan area designated.	communities in preparing plans and getting them adopted	
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	Large programme of externally funded PV solar panel installations on housing stock may be feasible provided cost implications for the HRA associated with roof maintenance/renewal post installation can be mitigated. Currently under negotiation. Would need to meet FIT changes tight deadlines.	Pursue external funding opportunities for external wall insulation programme; smart procurement	Roger Harborough
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	Given the size of the district and the available resources the enforcement team is almost entirely reactive and depends upon reports being received from the public	Parish councils act as an important communications channel for reporting potential breaches, and this function is encouraged	Michael Perry

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15-CR 17 Improving heritage assets	Aspirations outstrip available resources to improve heritage assets	2	3	2	3	6		2	3	Discussions taking place about Tilty Mill with owner and Heritage England	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	3	2	6		2	2	Devolution deal discussions with government proceeding following submission of expression of interest signed by 15 Leaders of Greater Essex councils on 4 September. Impact will depend on outcome of those negotiations, its endorsement by each authority and the governance arrangements of a Combined Authority/ delegation arrangements to growth corridor groupings of authorities.	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	2	6		3	2	No further developments. Inclusion of Northside in EZ bid did not progress.	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 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

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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
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	Latest Government advice is that families will be allocated housing before they are evacuated. Upper tier authorities are expected to take the lead.	Council will work with other agencies to coordinate community response.	John Mitchell
15-SR 04 Greater Essex devolution	See below for sub-risks											John Mitchell
15-SR 04 (a) UDC fails to sign up to devolution	The Council fails to sign up to the devolution deal, becoming overlooked by the Combined Authority and resulting in loss of influence and investment	3	3	3	3	9		1	1	The proposal is still evolving but commitment is anticipated in January 2016	The Council joins the Combined Authority	John Mitchell

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	opportunities for the District's social, environmental and amenity infrastructure											
15-SR 04 (b) Loss of sovereignty and control	In joining the Combined Authority the Council over time loses sovereignty and control of its strategic growth policies and becomes an agency of the Combined Authority	3	2	3	2	6		1	1	The proposal is still evolving but commitment is anticipated in January 2016	Ensure that the Council is fully aware of the consequences before committing to the Combined Authority. Accept that in a world of diminishing resources some change in local governance is both desirable and inevitable	John Mitchell

Risk Status	
	Alert
	High Risk
	Warning
	OK