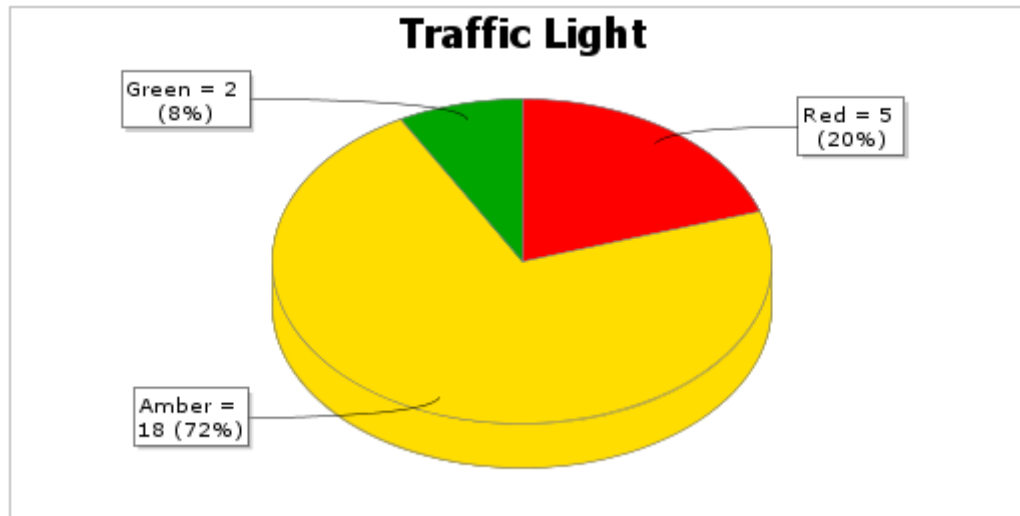
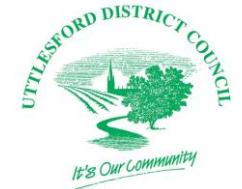






Corporate & Strategic Risk Register 2015-16 - Quarter 3




Report Type: Risks Report
Report Author: Tülay Norton
Generated on: 29 January 2016









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	2	1	1	1	1	✔	3	1	Following the announcement of the New Homes Bonus consultation in June a revised MTFS will be prepared in the	A Corporate Team was established in 2010. Savings to date exceed £2.5m. The team addresses quality issues as well as	Adrian Webb




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	savings.									Autumn. Any savings required will be set out at that time.	trying to achieve savings.	
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	3	4	12		2	3	Changes in New Homes Bonus following the current consultation will have a negative impact on the Council's finances	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. Appropriate staff support for working groups has been identified.	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	Roger Harborough


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											championed by Cabinet members so that the Council 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	Issues and Options consultation responses being analysed and report for PPWG to be prepared. Additional DtC meetings to be reported to PPWG.	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	Second contract management meeting with Viridor to be held 19 January.	Robust evaluation of contract bids. Once new contracts in place, proactive monitoring of contracts to ensure appropriate implementation	Roger Harborough



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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	There had been little progress but the chairman of the Constitution Working Group has now taken on responsibility to progress this work.	Some members of the Constitution Working Group are working together to look at wider issues of community engagement	Roger Harborough
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	Equality Objectives progress report prepared. Recommendations need to be considered by Cabinet.	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	Roger Harborough
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	Progress report with assessments for potential schemes to be considered by Highways Panel on 19 January	Targeted improvements in district due to local member involvement in Highways Panel/Locality	Roger Harborough



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										including prioritisation of potential 2016-17 schemes.	Board	
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	Superfast Essex seeking firm expression of interest in UDC providing financial support to expand superfast coverage. Modelling required before impact can be determined, but modelling will not be carried out without funding commitment. Option to withdraw if modelling does not show anticipated benefit.	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	LCTS scheme to remain the same for 2016/17. Current caseload is lower than this time last year	Resource and implement the Council's annual Local Council Tax Support Policy	Adrian Webb


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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	3	3	9		3	2	Briefing for all members to be held 11 January but significant risks around outcome of New Homes Bonus consultation, which will not be known until June.	New arrangements with partner authorities will need to be increasingly challenged and focused on prioritised needs and value for money	Roger Harborough
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	Significant uncertainty about resources available in 2017-18 and subsequent years.	As resources diminish the Council will need to regularly review its' priorities and its' form and function as a provider of commissioner services	Roger Harborough
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	Uttlesford remains part of the planned Essex Building Control partnership and the Council continues to explore other sharing arrangements	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	2	3	2	2	4		2	2	Further neighbourhood plan areas designated:	Strategic Initiative Fund allocation to fund resources to	Roger Harborough


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	resources to develop neighbourhood plans									Felsted, Thaxted.	support 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	2	6		3	3	Large programme of installations on housing stock commenced in December. Government has confirmed external funding will be available for installations completed by end of March 2016. Installations on museum store and vehicle workshop now complete.	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
15-CR 17 Improving Aspirations outstrip available	Aspirations outstrip available	2	3	2	3	6		2	3	No significant progress with	Pursue external funding	Roger Harborough





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heritage assets	resources to improve heritage assets									Tilty Mill Need to re-tender contract for west and north curtain walls at Walden Castle due to non-compliance with Public Contract Regulations in relation to below threshold.	opportunities	
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	Constructive discussions continue with government. Consultation with members, business communities and partners using the working draft will take place in Q4 to run alongside and feed into the programme of discussions with government. Full council decision will be needed once the deal has been negotiated. That decision is anticipated in 2016-17. Governance arrangements	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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										include provision for Growth Area Boards.		
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	Government has commissioned further work relating to the Davies report recommendations .	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	New, simplified, business continuity template has been developed and is being trialled in selected service areas.	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.	Michael Perry

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											Ensure relevant HR policies are in place and understood	
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	Officers have been briefed on Essex experience of December phase of programme delivery. Two specific Uttlesford properties to be entered onto Home Office system for matching with vulnerable person households by UNHCR. Availability of support to address their	Council will work with other agencies to coordinate community response.	Roger Harborough

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										specific needs will need to be confirmed for transfers to occur.		
15-SR 04 Greater Essex devolution	See below for sub-risks											Roger Harborough
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 opportunities for the District's social, environmental and amenity infrastructure	3	3	3	3	9		1	1	Proposal continues to be developed and refined. Constructive discussions continue with government. Consultation with members, business communities and partners using the working draft will take place in Q4 to run alongside and feed into the programme of discussions with government. Full council decision will be needed once the deal has	The Council joins the Combined Authority	Roger Harborough

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										been negotiated. That decision is anticipated in 2016-17.		
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	Governance arrangements being developed, which include provision for Growth Area Boards.	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	Roger Harborough

Risk Status	
	Alert
	High Risk
	Warning
	OK