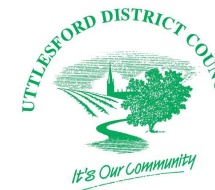






Corporate & Strategic Risk Register 2016-17 - Quarter 2






Report Author: Paula Evans






Generated on: 7th November 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
CORPORATE RISKS												
16-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	3	3	9		3	1	The New Homes Bonus (NHB) announcement has been delayed. The pause in the local plan process may also lead to loss of NHB in 2017/18	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
16-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	3	9		2	3	The New Homes Bonus (NHB) announcement has been delayed. The pause in the local plan process may also lead to loss of NHB in 2017/18	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
16-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 Annual Assembly held in Q3 focused on social isolation as a key cross cutting theme in considering the range of Living Well issues.	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	Roger Harborough


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16-CR 04 Local Plan	Failure to meet objectively assessed housing need and identify suitable deliverable sites	3	2	3	3	9		3	2	At beginning of Q3, testing of OAN and suitable deliverable sites undertaken leading to pause in local plan preparation process to enable further work.	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
16-CR 05 External contracts	Contracts with third parties do not benefit the Council & Community financially	3	2	3	2	6		3	1	Contract management meetings with Viridor confirm satisfactory performance. Roalco performance has generally improved following meetings, but some KPIs still not being achieved. Negotiations continue over performance bond.	Robust evaluation of contract bids. Once new contracts in place, proactive monitoring of contracts to ensure appropriate implementation.	Roger Harborough
16-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	3	9		3	1	No further progress on Member review of the issue.	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	Roger Harborough
16-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	New Equalities Scheme approved for consultation purposes and consultation conducted. Member training is being organised. Staff survey responses confirm 69% think that the council provides a healthy and safe working environment.	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




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16-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	Funding agreed for part of the 2017-18 programme. There was still some scope to review the programme and make adjustments.	Targeted improvements in district due to local member involvement in Highways Panel/Locality Board	Roger Harborough
16-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	1	3		3	1	Business rates incentive scheme has successfully attracted inward investment. Supported Town Teams have been successful in raising profile of their respective offers through promotional activity attracting national publicity.	Implement the economic strategy in conjunction with local business representatives, West Essex partners and allocate budget to support this work	Roger Harborough
16-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 for 2017/18 has now concluded the consultation phase and Members will decide the scheme at Council on 8 December 2016	Resource and implement the Council's annual Local Council Tax Support Policy	Adrian Webb
16-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	Peer review to take place in Q3	New arrangements with partner authorities will need to be increasingly challenged and focused on prioritised needs and value for money	Roger Harborough
16-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	Peer review to take place in Q3	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

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16-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	The Council withdrew from discussions around the proposed Building Control partnership. Options will be actively investigated as opportunities arise.	Continue to work with those organisations who already share UDC assets i.e. ECC. Parish Councils and voluntary sector	Adrian Webb
16-CR 14 Neighbourhood plans	Local communities do not have adequate resources to develop neighbourhood plans	2	3	2	2	4		2	2	Gt Dunmow NP endorsed in referendum by large majority and will now be adopted as part of the development plan. Other NPs in progress, including Felsted, Great & Little Chesterford, Newport, Radwinter, Saffron Walden, Stansted, Stebbing, Takeley and Thaxted.	Strategic Initiative Fund allocation to fund resources to support communities in preparing plans and getting them adopted	Roger Harborough
16-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	2	Current programme complete. About 300 homes still without EWI. Eco 2 programme announced for 2017/18, which will include EWI funding.	Pursue external funding opportunities for external wall insulation programme; smart procurement	Roger Harborough
16-CR 16 Potential breaches of planning control	Council is not made aware of potential breaches of planning control	2	2	2	1	2		2	1	New dedicated planning enforcement team established with Development Management Team under Planning Enforcement Team Leader	Parish councils act as an important communications channel for reporting potential breaches, and this function is encouraged	Roger Harborough (Sonia Williams)
16-CR 17 Improving heritage assets	Aspirations outstrip available resources to improve heritage assets	2	3	2	3	6		2	3	Current programme of work on Saffron Walden castle completed with HE grant support.	Pursue external funding opportunities	Roger Harborough

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16-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	Discussions about Combined Authority for Essex have made no substantive progress. Essex authorities are preparing Growth and Infrastructure Strategy.	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
16-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	Pre-application discussions commenced on new arrivals hall for Stansted. Pre-application discussions anticipated on variation of 35 mppa condition.	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
STRATEGIC RISKS												
16-SR 01 Disruption of Council business	Disruption of council business caused by: loss of building, widespread staff absence, extreme weather conditions	3	2	3	3	9		3	2	There has been a BC audit this year, as a result, there is need for an overall corporate strategy which needs to be developed, plus a need for 'champions' within the corporation to be responsible for departmental plans. Once this is completed and critical functions/services identified, a business impact analysis will be carried out ahead of their individual plans being written or updated as required. The EPO will then be able to co-ordinate the testing and validation of the plans.	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	Tony Cobden (Lisa Lipscombe)

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16-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	The EPO represents both the district council and the upper tier county council at the MAG emergency planning meetings. Plans are up to date and communications good between both parties.	Ensure that emergency plans are in place and that there is regular liaison with airport operator and engagement in emergency planning activities	Tony Cobden (Lisa Lipscombe)
16-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	One refugee family settled in Uttlesford in council housing stock with multi agency support. No further arrivals expected until Q4 in 2017.	Council will work with other agencies to coordinate community response.	Roger Harborough
16-SR 04 Greater Essex devolution	See below for sub-risks:											
16-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	1	3		1	1	Prospects for Essex Combined Authority have diminished because of Government expectation of a directly elected mayor.	The Council joins the Combined Authority	Roger Harborough

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16-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	1	3		1	1	Prospects for Essex Combined Authority have diminished because of Government expectation of a directly elected mayor.	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
	Warning
	OK