


operational risks for review



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Parent Risk Code & Title	Risk Code & Title	Qtr 3 Status	Current Rating	Current Impact	Current Likelihood	Target Date	Target Rating	Target Impact	Target Likelihood	Managed By	Assigned To	Last Review Date	Latest Author	Latest Note	Qtr 2 Status
07-OR-ACE-07 Procurement	07-OR-ACE-07-4 Ineffective Procurement Team		9	3	3	31/03/2009	2	2	1	Roger Harborough	Roger Harborough	16/01/2009	Michael Perry	Responsibility has been transferred to the Chief Financial Officer who has not yet had time to carry out the risk assessment.	
07-OR-ACE-07 Procurement	07-OR-ACE-07-7 No Service Plan/Objectives/Policy In Place To Ensure That Service Is Operated Efficiently		9	3	3	31/03/2009	2	1	2	Michael Perry	Michael Perry	16/01/2009	Michael Perry	Responsibility has been transferred to the Chief Financial Officer who has not yet had time to carry out the risk assessment.	
07-OR-CE-06 Museum	07-OR-CE-06-10 Insufficient storage/display facilities		9	3	3	31/03/2009	2	2	1	Richard Auty	Carolyn Wingfield	16/01/2009	Richard Auty	There will be nothing further to update on this until completion of HQ	
07-OR-CE-06 Museum	07-OR-CE-06-14 Inadequate insurance cover		9	3	3	31/03/2009	4	2	2	Richard Auty	Carolyn Wingfield	16/01/2009	Richard Auty	Still under review	
07-OR-HM-08 Land & Property Management	07-OR-HM-08-09 The Council is unable to meet the costs of external and structural repairs to property;		9	3	3	31/03/2009	9	3	3	Roz Millership	John Mitchell	14/11/2008	Roz Millership	Gold Enterprise Zone - dilapidations surveys received - dilapidations consultant appointed to review claim and recommend actions	
07-OR-PHS-04 Local Development Framework	07-OR-PHS-04-01 Submission Document could be found to be unsound at Public Examination stage		9	3	3	31/03/2009	3	3	1	Roger Harborough	Roger Harborough	16/01/2009	Roger Harborough	There will be nothing further to update on this at present	
07-OR-PHS-05 Housing Strategy	07-OR-PHS-05-06 Affordable housing development programme - S106 sites		9	3	3	31/03/2009	9	3	3	Roger Harborough	Roger Harborough	16/01/2009	Roger Harborough	There will be nothing further to update on this at present	
07-OR-SS-02 Car Parking	07-OR-SS-02-08 Abuse to and/or assaults on Parking Attendants		9	3	3	31/03/2009	6	3	2	Ron Pridham	Chris Demmer	04/05/2006	Ron Pridham		
07-OR-SS-03 Cemetery	07-OR-SS-03-15 Gravestones insecure		9	3	3	31/03/2009	3	3	1	Ron Pridham	Chris Demmer		Ron Pridham		
07-OR-SS-09 Transport Plant Utilisation	07-OR-SS-09-18 Increase in fuel prices.		12	3	4	31/03/2009	12	3	4	Ron Pridham	Chris Demmer	10/05/2006	Ron Pridham		
07-OR-ACE-02 Emergency Planning	07-OR-ACE-02-10 Insufficient funds are available to make effective plans;		4	2	2	10/09/2009	4	2	2	Michael Perry	Lisa Lipscombe	22/12/2008	Michael Perry	We are now working in partnership again with ECC which has improved our plan writing capacity	
07-OR-ACE-02 Emergency Planning	07-OR-ACE-02-11 Training is abandoned because of budgetary considerations;		6	3	1	11/09/2008	9	3	3	Michael Perry	Lisa Lipscombe	16/01/2009	Michael Perry	Sufficient training budget has been retained for next year	
07-OR-ACE-02 Emergency Planning	07-OR-ACE-02-16 Anticipated resources such as Rest Centres expected to be provided by external agencies are withdrawn.		6	3	2	31/03/2009	3	1	3	Michael Perry	Lisa Lipscombe	16/01/2009	Michael Perry	Although we liaise regularly with the owners of buildings which have been offered as rest centres and enjoy good relations in the past there has been a reluctance to actually make centres available when an emergency occurs. Although outside the risk appetite line there are no steps which can be effectively taken to reduce the risk further.	
07-OR-ACE-02 Emergency Planning	07-OR-ACE-02-21 The Council's premises are made unavailable for use, but information is not made available to the public..		3	3	1	07/03/2009	3	3	1	Michael Perry	Lisa Lipscombe	04/11/2009	Michael Perry	We now have a media strategy which will handle dissemination of information in an emergency and due to changes in working practices only customers who need to attend the Council Offices in person would be inconvenienced if they were not aware that the premises were closed.	
07-OR-ACE-08 Enforcement	07-OR-ACE-08-1 System failure		6	3	2	31/03/2009	4	2	2	Michael Perry	Paul Woolcott	04/11/2008	Michael Perry	A data base has been introduced for Enforcement which is working	

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07-OR-ACE-08 Enforcement	07-OR-ACE-08-2 Lack of up to date documented procedures		3	3	1	31/03/2009	4	2	2	Michael Perry	Paul Woolcott	16/01/2009	Michael Perry	Procedures have now been documented although this is an ongoing process when new work areas are investigated.	
07-OR-CE-04 Communications	07-OR-CE-04-01 Insufficient communications capacity		2	2	1	31/03/2009	3	3	1	Richard Auty	Richard Auty	16/01/2009	Richard Auty	Postholder established and situation largely resolved	
07-OR-HM-03 Homelessness	07-OR-HM-03-09 Provision of unsuitable or lack of suitable accommodation		6	3	2	31/03/2009	9	3	3	Roz Millership	Liz Petrie	14/11/2008	Roz Millership	Committee approval (21 Oct 2008) to gift land to Housing Association to build purpose built short term accommodation in Uttlesford	
07-OR-PC-01 Planning Control	07-OR-PC-01-08 Enforcement action is not taken		6	3	2	31/03/2009	3	3	1	Mike Ovenden	Mike Ovenden	16/01/2009	Mike Ovenden	The situation has improved. The enforcement team has recruited an extra member of staff. The enforcement team has become very competent in its new role and is very enthusiastic. There are weekly meetings with two enforcement officers, two senior officers from planning and two legal officers to consider progress and decide on actions. The new team has knowledge and skills from other work and have provided alternative means of investigation and dealing with suspected breaches. The team has greater contact with Members and a workshop is planned for DC Members about imposing and enforcing planning conditions. Work still needs to be done to improve the beginning of the enforcement process from receiving the initial complaint to passing it to the enforcement team.	
07-OR-PC-01 Planning Control	07-OR-PC-01-11 Insufficient qualified / trained staff available to process applications		6	3	2	31/03/2009	6	3	2	Mike Ovenden	Mike Ovenden	16/01/2009	Mike Ovenden	The situation remains challenging. The division has lost posts and has a reduced ability to buy in capacity especially for appeal cases. We have had some technical staff leave due to retirement and career progression. We have held vacancies open as required. We are about to fill planning technician posts which should help. The BI improvement plan should improve efficiency and change the balance of workload and workforce. We cannot predict workload for the future and if it dips it would alter this balance too. Staff generally are having to carry a greater workload and deal with more complex work earlier in their careers than would have been the case, extra hours are being worked though not claimed, and some are performing very impressively in their	
07-OR-PC-01 Planning Control	07-OR-PC-01-13 De-motivated staff		6	3	2	31/03/2009	3	3	1	Mike Ovenden	Mike Ovenden	16/01/2009	Mike Ovenden	There remain pockets of concern which periodically come out. Most people most of the time recognise that there is no alternative and wish to help and take on more challenging caseloads	
07-OR-PC-01 Planning Control	07-OR-PC-01-21 The Council's reputation suffers as the result of poor service provided by the Council		6	3	2	31/03/2009	6	3	2	Mike Ovenden	Mike Ovenden	16/01/2009	Mike Ovenden	This is linked to morale, workload and organisation. Staff know that complaints about attitude and behaviour are unacceptable. If complaints are the result of delays this is in part understandable given tight resources although senior managers discuss and work with staff to deal with it imaginatively and as effectively as possible	

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07-OR-PC-01 Planning Control	07-OR-PC-01-27 Workload exceeds staff resources		6	3	2	31/03/2009	1	1	1	Mike Ovenden	Mike Ovenden	16/01/2009	Mike Ovenden	This is linked to other items above. As we are partly reliant on the level of applications that people choose to submit and have little scope for increasing capacity we are at risk of increasing workloads (and decreasing workloads). Currently there are a number of large schemes expected to come in. We have bought in limited capacity through consultants but that is being trimmed in the BI review. We have to work creatively and use resources efficiently. DC Members recognise the challenges and act accordingly. We now deal with all appeals in house and have had quite a few cases of late. We are vulnerable to long term illness or jury service	