

Corporate Risk Register 2021/22

Governance, Audit & Performance – 30th June 2021



Likelihood Scores

Score	Probability
1 (Little Likelihood)	Less than 10%
2 (Some Likelihood)	10% to 50%
3 (Significant Likelihood)	51% to 90%
4 (Near Certainty)	More than 90%

Impact Scores

Score	Impact Level on Strategic Objectives
1	Minor impact/delay/difficulty
2	Small impact/delay/difficulty
3	Considerable impact/delay/difficulty
4	Extreme impact/delay/Difficulty

Each risk score for likelihood and impact is plotted onto a risk matrix to produce its score. A green score indicates risks which the organisation is most prepared to accept and red those which are less likely to be accepted.

		1	2	3	4
LIKELIHOOD	4	4	8	12	16
	3	3	6	9	12
	2	2	4	6	8
	1	1	2	3	4
		1	2	3	4
		IMPACT			

Current Score Summary

Current Alert Level	Risk Names
0 risks	-
10 risks	21-CR-01 Financial Control 21-CR-02 Business Continuity 21-CR-03 Health & Safety 21-CR-04 People 21-CR-05 Data Protection 21-CR-06 Information Technology 21-CR-07 Governance 21-CR-08 Service Delivery 21-CR-09 Local Plan 21-CR-10 Fraud 21-CR-11 Climate Emergency
0 risks	-

21-CR-01 FINANCIAL CONTROL						
<p>If the council does not implement and sustain a robust 5 year financial strategy, including effective mitigation of the impacts of the Covid-19 pandemic, then reserves may be inadequate to meet unforeseen circumstances leaving the council with undue financial pressures</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	AW	2	4	8	<ul style="list-style-type: none"> • Monthly budget monitoring – Revenue and Capital (including HRA) • Quarterly budget monitoring to Members • Covid spend reporting the MHCLG 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		1	4	4	<ul style="list-style-type: none"> • Actively seeking one more major investment • Revised MTFS 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	4	4	AK	31.03.2022		
<p><u>Progress Update (May 2021)</u></p> <ul style="list-style-type: none"> ➤ The Commercial Strategy, approved as part of the budget set in February 2020, allocates £300million for commercial investments, which will underpin the costs of service delivery over the next 5 years. This strategy will reduce the need to draw upon Reserves. ➤ Six investments completed with another one under discussion. ➤ 2021 - 2026 MTFS approved by Council in February 2021, which identifies that the Covid-19 financial challenges and the ongoing pre-pandemic financial challenges have been almost entirely resolved by the investments made. 						

21-CR-02 BUSINESS CONTINUITY						
<p>If the council does not have sufficient and robust corporate resilience and Business Continuity management then a major disruptive event such as the Covid-19 pandemic could impact staff, property, or systems and networks leading to a reduction in service delivery, damage to organisational reputation or significant financial loss</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	RH	2	3	6	<ul style="list-style-type: none"> Existing Business Continuity Plans Covid-19 emergency response structure 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none"> Update corporate and service BCPs annually and schedule regular exercising. Continuous learning from emergency response to pandemic (and future incidents) will strengthen business continuity arrangements. Develop and approve Crisis Communications Plan (for both external and internal communications). 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	3	3	RM	31.03.2022		
<p><u>PROGRESS UPDATE (May 2021)</u></p> <ul style="list-style-type: none"> CMT approved Corporate Business Continuity Plan. Service Business Continuity Plans have been reviewed/prepared by service managers for approval. Testing of existing Business Continuity Plans was undertaken throughout the pandemic – including a recent major power outage CMT exercise run by our shared EPO with ECC. 						

21-CR-03 HEALTH AND SAFETY						
<p>If the council does not manage the Health and Safety and welfare of its general public, visitors and staff then it will not be meeting its statutory organisational responsibilities leading to a loss of reputation as a responsible employer, potential involvement in legal action or loss of life or serious injury. The Covid-19 pandemic has placed additional responsibilities on the council both as an employer and as a custodian of the district's welfare</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	AW	1	4	4	<ul style="list-style-type: none"> • Regular H&S Audits/Training/Risk Assessments • Up-to-date Policies and Procedures • New procedures for staff welfare due to Covid-19 pandemic 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		1	4	4	<ul style="list-style-type: none"> • Ongoing maintenance of systems, procedures and reporting • Further monitoring of staff welfare • Local level track and trace responsibilities • Uttlesford Moving Forward initiative 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	4	4	RM/TC	31.03.2022		
<p>Progress Update (May 2021)</p> <ul style="list-style-type: none"> ➤ Staff procedures to address Covid-19 pandemic and working practices have been kept under review as circumstances have developed. ➤ Council providing advice to businesses and individuals across district to ensure Covid-secure procedures are in place for the public, with the implementation of the government's road map for the scaling back of restrictions safely providing fresh impetus. ➤ Representation on key groups, from Essex wide to town-specific, in order to support the welfare of district residents has continued. ➤ The council has facilitated a PCR testing station by making available its site in London Road Saffron Walden, and is seeking to provide a site for a rapid LFT & PCR station in Great Dunmow. ➤ As part of Uttlesford Moving Forward initiative, all relevant HR policies and procedures will be updated to reflect any changes to working arrangements. 						

21-CR-04 PEOPLE							
<p>If there is insufficient flexibility in the council's working policies and practices and among its workforce, then this may hinder the effectiveness of recovery and transformation projects, leading to an impact on future service delivery</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls		
	AW		2	3	6	<ul style="list-style-type: none"> Transformational projects identified corporate planning process and staff resources identified to deliver. 	
		Current Likelihood	Current Impact	Current Score	Further Action		
			2	3	6	<ul style="list-style-type: none"> Recovery workstream established to create new way of working following Covid pandemic. Staff volunteers being recruited to work with key senior managers. Workforce Strategy ("People Plan") to be developed as per LGA peer review recommendation in order to identify organisational needs for the coming years and put in place actions to address those needs. These recommendations will need further refinement due to impact of pandemic on the way the council operates. 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date	
	1	3	3	RA	31.03.2022		
<p>Progress Update (May 2021)</p> <p>Staff Voice group established to help steer the future direction of workforce engagement. The Uttlesford Moving Forward (UMF) project is designed to look at workforce engagement alongside customer requirements. New HR policies will be designed to reflect the new ways of working with hybrid (part home part office) being the most likely form of employment. This form of flexible working will allow employees to split their time between attending the workplace and working remotely. It involves equipping staff to facilitate this, providing safe working spaces with a range of suitable meeting and training facilities.</p>							

20-CR-05 DATA PROTECTION							
<p>If the council does not adopt and implement Data Protection controls then there may be a loss of data, inadequate data handling, unlawful sharing of data or security breaches leading to loss of public and partner confidence, reputational damage, breach of legislation and financial loss due to fines</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls		
	DF		2	4	8	<ul style="list-style-type: none"> E-learning module for all staff Use, storage and sharing protocols Building and IT security Enhanced data validation processes due to additional document processing requirements during the pandemic. Appointment of DPO 	
		Current Likelihood	Current Impact	Current Score	Further Action		
			2	4	8	<ul style="list-style-type: none"> Learning, reflection and sharing of good practice arising from implementation of GDPR, in particular advice from the ICO; monitoring of subject access requests; monitoring of new procedures introduced to the organisation especially given COVID-19 pandemic; establishment of Information Governance Group; regular reports to the Corporate Management Team. 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date	
	1	4	4	AW	31.03.2022		
<p><u>Progress Update (May 2021)</u></p> <p>Work continues in general to promote awareness and deal with any data protection issues arising. A key area of concern is the use by councillors of personal emails and the retention of data on non-council systems. Members have been reminded of their duties but this practice continues; this will be raised again at the next meetings of Group Leaders.</p>							

21-CR-06 INFORMATION TECHNOLOGY					
<p>If the council does not ensure resilient and robust IT security is in place (particularly the monitoring of applications for remote access due to COVID restrictions) then the organisation may be exposed to network vulnerabilities such as cyber-attacks and system failures leading to reputational damage, liability issues, loss of service provision and reputation</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls
	AW	3	4	12	<ul style="list-style-type: none"> • The majority of ICT systems are held off site in data centres • Windows operating system security patches are updated • Members of CERT-UK WARP (Warning, Advice and Reporting Point) part of the Centre for protection of National Infrastructure. It provides us with privileged access to cyber threats. • All existing controls functioning despite remote working required by the pandemic. • Attendance at regular national security briefings, as relevant.
		Current Likelihood	Current Impact	Current Score	Further Action
		2	4	8	<ul style="list-style-type: none"> • Further investment in system security, cyber security and training given the COVID pandemic; all incorporating the system diversification/modification resulting from the COVID-19 pandemic. • Robust recovery plan, taking into account additional requirements given the pandemic. • Continued investment in cyber security and training.
		Target Likelihood	Target Impact	Target Score	Action owner
2	4	8	NW	31.03.2022	
<p><u>Progress Update (May 2021)</u></p> <p>ICT is a key workstream of the Uttlesford Moving Forward (UMF) project. Having several bases will aid resilience and recovery in the event of any cyber-attack. Each new site is being evaluated and setup with robust ICT security and monitoring in place to minimise the risk of compromise in the event of an attack. Ongoing monitoring of existing sites is being undertaken.</p>					

20-CR-07 GOVERNANCE						
<p>If the council does not have a clear and robust governance framework that includes any protocols to facilitate the implementation of COVID recovery plans that is understood and adhered to by councillors and officers, then this could lead to ineffective and potentially unlawful decision-making, resulting in financial and reputational loss, a detrimental impact on residents health and wellbeing, ineffective service provision, maladministration and potential legal challenge.</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	DF	2	4	8	<ul style="list-style-type: none"> Annual Governance Statement Have a documented constitution, which is regularly reviewed Adopted corporate plan and service plans; under review on a quarterly basis. Decision-making processes adapted swiftly during the pandemic and committees now being delivered via Zoom. Authority-wide COVID Recovery Plan. 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none"> Review corporate governance framework in accordance with CIPFA guidance notes Continue to ensure compliance with all altered/extended governance requirements due to the pandemic Inclusion of COVID references in CMT & Committee Report templates. Update training/awareness Roll out the use of mod.gov to all staff and members including the recording and public of key decisions 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	4	4	JR	31.03.2022		
<p><u>Progress Update (May 2021)</u></p> <p>Officers worked swiftly (again) to revert to in-person meetings, following the end of the provisions for virtual meetings, ensuring Covid secure arrangements and continued access by the public virtually, as appropriate. The Council's review of governance arrangements is due to conclude in a report to Council in July 2021; this will enable the corporate governance framework to be updated (and which is included in a number of individuals' UPerforms). Training has been provided on the new model code contents but will progress to formal adoption with the roll out of training to all members in September.</p>						

20-CR-08 SERVICE DELIVERY							
<p>If the council does not identify and implement a robust COVID recovery plan to support achievement of its key priorities, corporate plan, service plans and objectives, then opportunities to improve the wellbeing of the community and safeguard the character of the district will be missed leading to dissatisfied residents and stakeholders, reputational damage and potential government intervention</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls		
	DF		1	4	4	<ul style="list-style-type: none"> • Identification and implementation of the COVID Recovery Plan • Adopted corporate plan, delivery plan and service plans • Budget and MTFs to support delivery • Regular performance monitoring and reporting to CMT, Cabinet & GAP. Additional COVID-19 performance indicators introduced to monitor effect of pandemic on service delivery 	
			Current Likelihood	Current Impact	Current Score	Further Action	
			1	4	4	<ul style="list-style-type: none"> • Produce corporate governance framework • Ensure service plans are reviewed and updated on a quarterly basis, reflecting current operational requirements • Ensuring compliance with government mandated alterations/additions to service delivery during the pandemic • Continue review and adaption of COVID recovery plan 	
			Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
	1	4	4	DF	31.03.2022		
<p><u>Progress Update (May 2021)</u></p> <p>The Corporate Plan was refreshed in February 2021 and a new corporate plan delivery plan for 21/22 approved in March 2021; this includes a programme of work on economic recovery. A basket of Covid-19 PI's continue to be monitored, as well as staff absences arising from Covid directly and/or absence arising from vaccine related side effects. The staff survey was repeated at the beginning of 2021, with the findings demonstrating a continued high levels of performance, productivity and satisfaction reported by staff, despite the impact of winter, post- Christmas and continued lockdown restrictions; the results have been shared widely and an action plan is in place to address the issues raised. Environmental Services are preparing to move to their new operation site at Little Canfield Business Park and plans are advanced to ensure the service continues to be delivered with as little disruption to the services as possible.</p>							

21-CR-09 LOCAL PLAN						
<p>If the council does not have an approved local plan then it could impact on finances, planning resources and application decisions, leading to a loss of reputation; speculative and unsustainable development; potential intervention by the MHCLG; the inability to bid for government funding and the inability to recruit and retain high calibre staff</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	RH	2	4	8	<ul style="list-style-type: none"> Local Plan Project Board Corporate Overview Board Local Plan Leadership Group Cabinet Effective Risk and Project Management Quarterly reports to MHCLG Representation to Government on proposed changes to housing methodology and also 'Planning for the Future' White Paper 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none"> Effective community engagement through all key stages Maintain comprehensive and live Local Plan Risk Register Regular monitoring of Local Plan Project Management by Scrutiny Committee Complete and up to date Evidence Base 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	4	4	GG	30.10.2022		
<p><u>Progress Update (May 2021)</u></p> <ul style="list-style-type: none"> Strategic Infrastructure Delivery Group established and following its programme of work Community Stakeholder Forum established and has informed the work on the Strategic Objectives of the Plan The government introduced a new standard methodology from assessing the number of new homes needed. The Queen's Speech confirmed that the government intends to take forward its Planning for the Future planning reform proposals A multi-disciplinary team has been maintained to resource the Plan preparation process, including transport and infrastructure planners and an urban designer. 						

21-CR-10 FRAUD						
<p>If the council does not prevent, detect and respond effectively to incidents of fraud and corruption particularly those COVID-related this could result in financial loss, detrimental impact on services, risks to residents' health and wellbeing and ultimately reputational loss.</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	DF	3	2	6	<ul style="list-style-type: none"> • Ongoing work of the Counter Fraud & Corruption Working Group to raise aware across the authority • Corporate Policies in place, e.g. Corporate Counter-Fraud & Corruption Strategy • Participation in National Fraud Initiative 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		3	2	6	<ul style="list-style-type: none"> • Review and Implementation of Management Action Plan, following Fraud Risk Assessment 2019 • Inclusion of COVID related fraud actions • NFI 2020/21 Main Exercise • Revision of the Whistleblowing Policy • Counter Fraud Awareness Publicity Campaign • COVID fraud awareness campaign 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
2	2	4	AW	31.03.2022		
<p><u>PROGRESS UPDATE (May 2021)</u></p> <p>Work continues within the Revenues Department in assessing all applications for business grants, and ensuring fraud checks are carried out wherever necessary. There has been a significant amount of applications to assess, for the different strands of funding available (for example – Local Restrictions Support Grants & Restart Grants). The Management Action Plan following the Fraud Risk Assessment 2019 also continues to be reviewed, and relevant actions identified.</p>						

21-CR-11 CLIMATE EMERGENCY						
<p>If the council does not respond effectively and proportionately to the climate emergency, then relevant strategies and plans contributing towards a more sustainable environment may not be developed/implemented, which could result in environmental benefits not being achieved for the council or the district, not capitalising on available resource efficiencies, a lack of organisational resilience and a loss of reputation.</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	RH	2	3	6	<ul style="list-style-type: none"> • Dedicated Climate Change Officer now in post • Dedicated resource allocated within budgets • Climate Change Strategy & detailed action plan being developed to address current issues • Climate Change Officer working closely with Local Plan team to inform climate-related development policies 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	3	6	<ul style="list-style-type: none"> • Performance Indicators to be identified and monitored, to effectively report upon progress against the Climate Change Strategy/Action Plan to address current issues. • The Local Plan is being drafted with an understanding of, and need for action on, the Climate Emergency at its core. • Review of HR policies where relevant to harness all environmental benefits through new ways of working. • Improving UDC's carbon literacy. 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	2	2	GG	31.03.2022		
<p><u>PROGRESS UPDATE (June 2021)</u></p> <p>This Climate Emergency Risk has been included by the Corporate Management Team in the 2021/22 Corporate Risk Register. The risk remains at an Amber score for the time being; primarily because addressing issues requires competitive funding bids from central government. As yet, there is no guarantee of future rounds of funding is released, or of course that we are successful. With a dedicated officer now in post, work continues through liaising with other local authorities and broader LGA wide groups; contributing to our understanding of how the organisation can address the Climate Emergency. A Climate Change Strategy and detailed action plan is currently being developed.</p>						