

Corporate Risk Register 2022_23

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%

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 denote those which are less likely to be accepted.

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

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			

Impact Scores

Current Score Summary

Current Alert Level	Risk Names
0 risks	-
12 risks	22-CR-01 Financial Control 22-CR-02 Business Continuity 22-CR-03 Health and Safety 22-CR-04 People 22-CR-05 Data Protection 22-CR-06 Information Technology 22-CR-07 Governance 22-CR-08 Service Delivery 22-CR-09 Local Plan 22-CR-10 Fraud 22-CR-11 Climate Emergency 22-CR-13 Contracts & Partnership Management
1 risk	22-CR-12 Investments

22-CR-01 FINANCIAL CONTROL				Responsible Cabinet Member: Cllr Hargreaves		
<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	
	Adrian Webb	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 to the MHCLG 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none"> • Revised MTFS and action plan for identified financial shortfalls 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	4	4	Jody Etherington	31.03.2023		
<p><u>Last Update (January 2022)</u></p> <p>A balanced budget for 2022/23 is currently being prepared. At the same time a new MTFS is being prepared which complies with the latest guidance from CIPFA and Government Minimum Revenue Provision and Borrowing requirements.</p>						

22-CR-02 BUSINESS CONTINUITY				Responsible Cabinet Member: Cllr Freeman		
<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	
	Peter Holt	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	Simone Russell	31.03.2023		
<p>Last Update (January 2022)</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 CMT exercise run by our shared EPO with ECC. 						

22-CR-03 HEALTH AND SAFETY **Responsible Cabinet Member: Cllr Lees**

<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	
	Peter Holt	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 2027 initiative 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	4	4	Simone Russell	31.03.2023		

Last Update (January 2022)

- 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
- As part of Uttlesford 2027 project, all relevant HR policies and procedures will be updated to reflect any changes to working arrangements.

22-CR-04 PEOPLE **Responsible Cabinet Member: Cllr Lees**

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	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Peter Holt	2	3	6	<ul style="list-style-type: none"> • Uttlesford 2027 currently being developed. 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	3	6	<ul style="list-style-type: none"> • 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	Angela Knight	31.03.2023

Last Update (January 2022)

Uttlesford 2027 is designed to look at workforce engagement alongside customer requirements and taking account of the reducing finances over the next five years. 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.

22-CR-05 DATA PROTECTION				Responsible Cabinet Member: Cllr Freeman		
<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	
	Peter Holt	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	Norman Coombe	31.03.2023		
<p><u>Last Update (January 2022)</u></p> <p>Work continues in general to promote awareness and deal with any data protection issues arising.</p>						

22-CR-06 INFORMATION TECHNOLOGY **Responsible Cabinet Member: Cllr Freeman**

<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	
	Adrian Webb	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	Planned Completion date
2	4	8	Nicola Wittman	31.03.2023		

Last Update (January 2022)

ICT is a key workstream of the Uttlesford 2027 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. Command structure in place to enable prompt action should a serious risk, such as Log4j, arise.

22-CR-07 GOVERNANCE					Responsible Cabinet Member: Cllr Lees	
<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> <p><i>(Risk to be reviewed/removed)</i></p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Peter Holt	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	Norman Coombe	31.03.2023		
<p><u>Last Update (January 2022)</u></p> <p>The latest round of Covid restrictions to emerge are being managed through the same flexible framework as previously – as will be any new round of business grants available. Longer-term community and business resilience is being factored into existing and community plans, and a cross-community catch up on post-pandemic planning will be a major feature of the Local Strategic Partnership, to be relaunched in early 2022.</p>						

22-CR-08 SERVICE DELIVERY					Responsible Cabinet Member: Cllr Freeman	
<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> <p><i>(Risk to be reviewed/removed)</i></p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Peter Holt	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 and 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	Peter Holt	31.03.2023		
<p><u>Progress Update (January 2022)</u></p> <p>The Corporate Plan 2022 – 2027 will be presented to Council in February 2022 and a new corporate plan delivery plan for 22/23 will go to Cabinet in March 2022; this continues to include a programme of work on economic recovery. 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>						

22-CR-09 LOCAL PLAN				Responsible Cabinet Member: Cllr Evans		
<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	
	Peter Holt	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	Dean Hermitage	30.10.2023		
<p><u>Last Update (January 2022)</u></p> <p>A new interim Director of Planning in post and recruitment commencing in January 2022 for a permanent Director of Planning to lead this work. Some minor reprofiling of the Local Plan timetable has taken place, with additional elements added, such as a Supplementary Planning Document on sustainability. The authority has recently won an RTPI award for its work on the Community Forum consultation work on the Local Plan, reinforcing the quality of this initiative.</p>						

22-CR-10 FRAUD **Responsible Cabinet Member: Cllr Freeman**

<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> <p><i>(Risk to be reviewed)</i></p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Peter Holt	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	Norman Coombe	31.03.2023		

Last Update (January 2022)

Work continues within the Revenues Department in assessing and paying applications for business grants, and ensuring fraud checks are carried out wherever necessary. The ever increasing number of and frequency of recovery grants raises the risk of fraud. 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.

22-CR-11 CLIMATE EMERGENCY				Responsible Cabinet Member: Cllr Pepper		
<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	
	Peter Holt	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	Ben Brown	31.03.2023		
<p><u>Last Update (January 2022)</u></p> <p>A detailed Climate Crisis Action Plan has recently been agreed by Cabinet. The Climate Emergency also forms a key part of the Uttlesford 2027 project.</p>						

22-CR-12 Borrowing & Investments				Responsible Cabinet Member: Cllr Reeve		
<p>If CIPFA and the government implement changes to the legislation and guidance around borrowing and investments*, either individually or collectively, it would lead to a significant adverse impact on both the Council’s revenue budget and the investment portfolio.</p> <p>*namely changes to the Prudential Code that would stop future commercial activity and an update to the rules on Minimum Revenue Provision (MRP) and the allocation of a debt cap</p> <p><i>(Risk score to be reviewed)</i></p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Adrian Webb	4	4	16	<ul style="list-style-type: none"> • UDC responding to CIPFA consultation • Discussions held with DLUHC (formerly MHCLG) • Raising awareness of risk to Members & Staff 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		4	4	16	<ul style="list-style-type: none"> • Continued monitoring and reporting of consultation outcomes to Members & Staff • Continued review and monitoring of risk at a corporate level • Identification of budget efficiencies to mitigate financial impact 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
4	3	12	Jody Etherington	31.03.2023		
<p>Last Update (January 2022)</p> <p>CIPFA and the Government implemented the changes as expected which has a significant negative material impact on the Council’s finances. A new MTFS is being prepared and the Uttlesford 2027 project will seek to set out how the financial shortfalls will be addressed.</p>						

22-CR-13 Contracts and Partnership Management					Responsible Cabinet Member: Cllr Lees	
<p>If the council does not have a clear and robust framework to manage contracts and other partnership arrangements*, particularly in relation to health and safety requirements, then this could lead to ineffective management of critical services, resulting in material risk to life.</p> <p>*this risk has been added to reflect current concerns around the Uttlesford Norse Contract</p>	Owner	Original Likelihood	Original Impact	Original Score	Current Controls	
	Peter Holt	3	4	12	<ul style="list-style-type: none"> Current contracts and service level agreements 	
		Current Likelihood	Current Impact	Current Score	Further Action	
		2	4	8	<ul style="list-style-type: none"> Review current contracts and service level agreements for partnerships – prioritising health and safety issues, and making expectations on standards quality and levels, and on reporting crystal clear 	
		Target Likelihood	Target Impact	Target Score	Action owner	Planned Completion date
1	4	4	Angela Knight Nicola Wittman	31.03.2023		
<p><u>Last Update (January 2022)</u></p> <ul style="list-style-type: none"> Appointing new officer to join Board of Uttlesford Norse Services Limited Direct follow up with UNSL, including convening additional meetings to effectively follow up issues 						