

Risk Identifier	Risk Title	Original Risk			Residual Risk			Direction of Travel Quarter to Quarter
		Likelihood	Impact	Score	Likelihood	Impact	Score	
CR-01	Medium Term Financial Plan	4	4	16	3	4	12	Decreasing
CR-02	Treasury Management	4	4	16	3	3	9	Decreasing
CR-03	Housing Revenue Account Medium Term Financial Plan	4	4	16	4	4	16	Stable
CR-04	Annual Accounts	4	4	16	3	4	12	Decreasing
CR-05	Fraud	3	3	9	2	3	6	Decreasing
CR-06	Contract Management	3	4	12	3	3	9	Decreasing
CR-07	Health and Safety	2	4	8	1	4	4	Stable
CR-08	Information Governance	2	4	8	2	3	6	Stable
CR-09	Cyber Security	3	4	12	2	4	8	Stable
CR-10	Local Plan	3	4	12	1	4	4	Decreasing
CR-11	Climate Emergency	3	3	9	4	3	12	Increasing
CR-12	Regulatory Framework for Social Housing	3	4	12	2	4	8	Decreasing
CR-13	Safeguarding	3	4	12	2	4	8	Decreasing
CR-14	Stansted Airport - Emergency Response	4	4	16	3	3	9	Decreasing
CR-15	Operational Resilience	3	3	9	2	2	4	Stable
CR-16	Commercial Income	4	4	16	2	4	8	Decreasing
CR-17	Housing Rental Income	3	3	9	3	3	9	Stable
CR-18	Organisational Stress due to Pace of Change	3	4	12	3	3	9	Stable
CR-19	New Ways of Working	-2	-2	-4	-3	-3	-9	Increasing
CR-20	Economic Resilience	-2	-2	-4	-2	-3	-6	Increasing
CR-21	Financial Management System	4	4	16	3	4	12	Stable

Risk Response	Description
Threats	
Avoid	The risk is avoided by stopping the project or fundamentally redesigning it to bypass the risk.
Transfer	Some or all of the risk is transferred to a third party for example insurance.
Reduce	Action is taken to reduce either the likelihood of the risk occurring or the impact that it will have.
Accept	The risk may be accepted perhaps because there is a low impact or likelihood. A contingency plan will be identified should it occur.
Contingency Plan	Here a plan is put in place to respond if the risk is realised.

Risk Response	Description
Opportunities	
Share	An opportunity is shared with a partner or supplier to maximize the benefits through use of shared resource/technology etc.
Exploit	A project could be adjusted to take advantage of a change in technology or a new market.
Enhance	Action is taken to increase the likelihood of the opportunity occurring or the positive impact it could have.
Reject	Here no action is taken and the chance to gain from the opportunity is rejected. Contingency plans may be put in place should the opportunity occur.

Likelihood Scoring		
Threat Score	Opportunity Score	Likelihood
1	-1	Little or no Likelihood
2	-2	Some Likelihood
3	-3	Significant Likelihood
4	-4	Near Certainty

Impact Scoring		
Threat Score	Opportunity Score	Likelihood
1	-1	Little or no Impact
2	-2	Some Impact
3	-3	Significant Impact
4	-4	Substantial Impact

Risk Identifier	CR-01
Risk Title	Medium Term Financial Plan

Risk Description

The council faces enormous and uncertain fiscal and economy pressures. The council needs to set and adhere to a robust budget and medium term financial strategy, while putting resources aside against the risks of the unknown. If it is unsuccessful, the viability of the authority and the ability to deliver services to residents would be at risk.

Risk Owner

Adrian Webb


Directorate Responsible

Finance & Corporate Services

Original Risk		
Likelihood	Impact	Score
4	4	16

Residual Risk		
Likelihood	Impact	Score
3	4	12

Risk direction

Decreasing 

Cabinet Member

Councillor Hargreaves

Key Dates	
Date Registered	7th June 2024
Last update	4th October 2024

Background

The Council created Blueprint Uttlesford to ensure it had a plan and governance process to meet the 5-Year savings target and has had a long history of being innovative and frugal such as the Zero based budgeting processes in 2018 through 2021 that has kept the council in a strong fiscal position.

The council has a deep and wide income base deriving from business rates but the council is only entitled to a small share of this.. At some point, there will be a reset alongside a fair funding review. The impact of this would radically shift the council's fiscal long term viability. It therefore, needs to ensure the council's local position is understood by central government through lobbying, while identifying the impact of any changes.

Service Area Affected

All

Triggers

Council does not regularly monitor budgets or savings targets and it misses a major pressure.
 Council does not identify long term pressures accurately and it understates the savings it needs to make.
 Council does not set a balanced budget or rigorously ensure savngs are credible or lets services avoid service targets.

Risk Type

Threat

Risk Response Category

Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
Full Council has set a sustainable budget and five year MTFS most recently in February 2024, and the first full year of Blueprint Uttlesford has delivered substantial savings, putting it on target to close the current projected 5 year MTFS funding gap.	Adrian Webb	Green	Budget was passed in February 2024	Oct-24
Council reviews Blueprint Savings Targets at each 2 weeks at internal meeting of CMT Members.	Peter Holt	Green		Oct-24
Members were updated on Blueprint Uttlesford progress	CMT	Green		
Revenues and Benefits Strategy paper will go to Cabinet in September.	Gareth Robinson	Amber	Ideas and process review workshops and external NEC reviews have taken place. Next stage is Early findings paper, further workshops with staff, and then a revised paper to CMT.	Dec-24

The Council will update its long term medium term financial model to identify the impact of fair funding and a business rate reset.	Gareth Robinson	Red	Council will review its MTFP model for December	Dec-24
Council is strengthening its budget monitoring processes	Gareth Robinson	Amber	Quarter 1 process was simpler and more information was provided to CMT. Quarter 2 will be a further improvement and Quarter 3 should be	Dec-24

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-02
Risk Title	Treasury Management

Risk Description	Risk Owner	Directorate Responsible
The council has significant borrowing requirements and needs to manage its cash efficiently. Managed inefficiently, the organisation is at risk of not being able to continue as a going concern.	Adrian Webb	Finance & Corporate Services, Section 151 Officer

Original Risk	Residual Risk	Risk direction	Cabinet Member	Key Dates								
Likelihood	Impact	Score	Likelihood	Impact	Score	Decreasing	↓	Councillor Hargreaves	Date Registered	7th June 2024	Last update	4th October 2024
4	4	16	3	3	9							

Background	Service Area Affected
The council has a large commercial portfolio that supports the general fund budget. Borrowing for this needs to match this, any other General Fund Capital requirements and any needs identified through the capital programme. The council's cash flow model is short term and needs a major update. It needs to identify the timing of borrowing and likely sales to keep costs as low as possible. It is also important to reduce its short term borrowing position, which is at present over £100m.	All

Triggers	Risk Type	Risk Response Category
Sudden changes in interest rates could have a massive impact on the council's financial position. Changes in regulation can affect how the council borrows and to whom it lends.	Threat	Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
The council paid back a loan early at a large £10m discount, reducing its borrowing requirements.	Adrian Webb/Gareth Robinson	Green	This was a successful transaction	N/A
The council is marketing its Aspire CRP option. If it achieves an acceptable valuation price, it will sell the asset, allowing it to reduce its short term borrowing position.	Adrian Webb/Nicola Wittman	Amber		Oct-24
The council needs a long term cash flow model.	Gareth Robinson	Red	It has identified the requirement but needs to identify resources to complete this work.	Dec-24

Risk Identifier	CR-03
Risk Title	Housing Revenue Account Medium Term Financial Plan


Risk Description
 Because there is no 30 Year HRA Business Plan and pressures on social housing are significant, there is a risk that the HRA will not be viable in the long term and/or resident expectations, resulting in limited and/or poor quality social housing.

Risk Owner
 Adrian Webb

Directorate Responsible
 Finance & Corporate Services, Section 151 Officer

Original Risk		
Likelihood	Impact	Score
4	4	16

Residual Risk		
Likelihood	Impact	Score
4	4	16

Risk direction
 Stable 

Cabinet Member
 Councillor Hargreaves

Key Dates	
Date Registered	7th June 2024
Last update	4th October 2024

Background
 While the council needs to set balanced budgets, it also needs to undertake a deep dive internally and update the long term HRA Business Plan to determine how resources should be utilised most efficiently.
 The last HRA Business Plan was produced in 2016. It needs a complete overhaul and to be updated annually for changes in assumptions.

Service Area Affected
 Housing Management

Triggers
 The quality of housing worsens due to a lack of investment.
 The council does not deliver on its carbon reduction aspirations and potentially government required investment.
 The council loses RtB receipts because it does not use them in a timely manner, leaving to resource leakage.

Risk Type
 Threat

Risk Response Category
 Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
The council will be producing an updated 30 Year HRA Business Plan with a target draft date of December.	Simone Russell, Gareth Robinson	Red	Simone and Gareth are meeting to discuss resourcing requirements to deliver on these aspirations. Simone and Gareth meeting with Savills on 22 October - initial draft of financials will be available end of October	Dec-24
Finance will be reviewing HRA financial reporting requirements.	Gareth Robinson	Amber	Monitor will be updated in line with future reporting requirements (already simplified and easier to understand but more work to be done)	Dec-24

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped

A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-04
Risk Title	Annual Accounts

Risk Description

Because the council has 5 years of accounts that are not full audited, there is a risk that when the accounts are audited an increased amount of audit findings will be identified, resulting in increased workload and loss of reputation with residents, suppliers and customers. Also, because the audit staffing is so stretched in the industry, there is a risk that if the council's accounts are not in a desirable state by the deadline, the auditors will not audit us.

Risk Owner

Adrian Webb


Directorate Responsible

Finance & Corporate Services, Section 151 Officer

Original Risk		
Likelihood	Impact	Score
4	4	16

Residual Risk		
Likelihood	Impact	Score
3	4	12

Risk direction

Decreasing 

Cabinet Member

Councillor Hargreaves

Key Dates	
Date Registered	7th June 2024
Last update	4th October 2024

Background

The council needs to give confidence to residents, Government, suppliers and customers that it is a safe option with which to trade, partner and deliver services.
 The audit market is struggling for staff.
 The council has 3 sets of accounts to produce for September 2024.

Service Area Affected

All

Triggers

The council does not meet the auditor's deadline for draft Accounts of October 15th 2024 and they do not get audited because the council is de-prioritised.
 The council does not do adequate checks in the accounts and the auditors qualify them.

Risk Type

Threat

Risk Response Category

Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
The council brought in an interim technical expert at the Deputy S. 151 level and another agency officer to help with getting the historic and current set of accounts completed.	Adrian Webb, Gareth Robinson	Green	The agency officer who was hired to support the statement of accounts is now likely to leave or reduce hours due to unforeseen circumstances and a hiring process to replace this role in a different fashion has started.	Nov-24
Asset Register is prioritised	Gareth Robinson	Amber	The asset register is receiving an overhaul and the 2021/22 has been corrected and rolled forward as has 2022/23 now. 2023/24 is now the new priority.	Nov-24
Internal members of staff to be trained on asset accounting and it to be completed quarterly from December 31st onwards.	Gareth Robinson	Red		Nov-24

Council is working with both BDO and KPMG to ensure the council meets the statutory deadlines of December 13th and Feb 28th 2025 respectively	Gareth Robinson	Amber	Additional resource brought in. Interim Audit almost complete and council has agreed a strategy to test the non-TB elements of the 2023/24 accounts before the accounts are produced to ensure that the council accounts are brought up-to-date.	Nov-24

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-05
Risk Title	Fraud

Risk Description

The council is exposed to a number of areas of fraud due to the types of activities it administers, the risks are both external and internal.

Externally there is a risk that the council will suffer financial losses due to e.g. fraudulent claims for grants, exemptions and benefits.

Internally the fraud risk is that officers will influence decisions, e.g. procurement or grant award or due to their access to systems misappropriate funds.

Risk Owner

Angela Knight


Directorate Responsible

Business, People & Performance

Original Risk		
Likelihood	Impact	Score
3	3	9

Residual Risk		
Likelihood	Impact	Score
2	3	6

Risk direction

Decreasing 

Cabinet Member

Councillor Lees

Key Dates	
Date Registered	6th June 2024
Last update	6th June 2024

Background

There is always a risk of fraud when awarding funds whether it is grants, exemptions or benefit. The Revenues and Benefits team carry out bi-annual reviews on all council tax exemptions and discounts.

Service Area Affected

All

Triggers

Reconciliation of grants and submitted evidence highlights discrepancies
 NFI, DWP and data warehouse sharing highlights multiple claims and/or claimants circumstances are incorrect
 National Anti Fraud Network (NAFN) - provide alerts of new types of fraud
 Whistleblowing - this could relate to both external and internal fraudulent activity

Risk Type

Threat

Risk Response Category

Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
Counter Fraud Working Group	Philip Honeybone	Amber	Meetings are quarterly and is made up of officers from across the council where there is risk of fraudulent activity	
Internal Audit Plan - to carry out reviews on governance, management controls.	Philip Honeybone	Green	The plan and audits carried out are presented to CMT/ICB and Audit & Standards three times during the financial year. A new process is planned for a formal report to be presented to the Cabinet this will include more details on the limited and no assurance audits	24-Sep

Counter Fraud Strategy and Action Plan	Philip Honeybone	Green	Updated annually and monitored during the year by the Counter Fraud Working group	
Officer and Member declaration of interests and code of conduct	Angela Knight/ Nurainatta Katevu?	Green	All officers and members are required to declare if they have an connection or interest in any activity they are carrying out	May 25 unless there is a change of circumstance

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-06
Risk Title	Contract Management


Risk Description
 The council has a number of contracts with external suppliers in place to supply goods and services. If the contracts/contractors are not managed effectively and the contract outputs/deliverables are not monitored it could lead to poor service provision, poor value for money and directly impact our residents health, safety and wellbeing.

Risk Owner
 Angela Knight

Directorate Responsible
 Business, Performance & People

Original Risk		
Likelihood	Impact	Score
3	4	12

Residual Risk		
Likelihood	Impact	Score
3	3	9

Risk direction
 Decreasing 

Cabinet Member
 Councillor Lees

Key Dates	
Date Registered	6th June 2024
Last update	6th June 2024

Background
 The council is currently negotiating the termination of one of its largest contracts and it shows that historically the contract was not managed effectively which has led to poor delivery and performance. This has highlighted the need for a proactive approach to contract mangement across all services

Service Area Affected
 All

Triggers
 Contract performance failure - service delivery poor
 Supplementing contract services with alternative supplier - poor value for money

Risk Type
 Threat

Risk Response Category
 Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
Perf. Risk and Contract Mgt. team working with Chelmsford to establish a formal contract management policy	Angela Knight	Amber	Actively working on process and procedures with the rollout due in the Autumn 2024	

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-07
Risk Title	Health and Safety


Risk Description
 Failure to manage the health and safety and welfare of staff and visitors to Council operated sites visitors due to UDC not meeting its statutory duties and organisational responsibilities. Should the Council fail to develop , implement, or achieve compliance with corporate health and safety policies it may lead to harm to staff / service users and subsequently if found to be in breach of legislation, prosecution and significant fines. Reputational damage would also result.

Risk Owner
 Simone Russell

Directorate Responsible
 Housing, Health, Environment & Communities

Original Risk		
Likelihood	Impact	Score
2	4	8

Residual Risk		
Likelihood	Impact	Score
1	4	4

Risk direction
 Stable 

Cabinet Member
 Councillor Lees

Key Dates	
Date Registered	22nd May 2024
Last update	3rd Oct 2024

Background

Service Area Affected
 All

Triggers
 Indicators are numbers of Accidents /near miss , staff sickness, issues of concern being raised by staff / member of the public. Formal service complaints.

Risk Type
 Threat

Risk Response Category
 Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
Have in place a fit for purpose policy, based on HSE guidance and best practice.	Ben Brown	Green	Policy in place, last reviewed in Dec 2023. Available on the intranet	Dec-24
Have in place fit for purpose health and safety policies covering landlord responsibilities, based on statutory obligations , HSE guidance and best practice.	Simone Russell	Amber	Policies have been developed by Housing team and undergone legal review. Awaiting final amendments and upload to intranet health and safety pages	Oct-24

Have in place up to date risk assessments/safe systems of works, all regularly updated and easily accessible by staff.	Ben Brown	Green	Review is nearing completion 157 Risk assessments have been identified of which 3 are still awaiting review/ completion. These being vehicular / pedestrian interaction at Little Canfield and two within community services. 72 Safe systems of works were identified and are complete . Staff accessibility is provided for via the Intranet or hard copy at the depot. EFDC are engaged to carry out a mutual peer review of assessments.	Reviews will be scheduled 2025 to 2026 and monitored vis index document
Have in place appropriate governance including which provides regular reporting, escalation of risks and issues and provides the opportunity for service managers to contribute to the development of improved practices.	Ben Brown	Green	All significant matters are reported into CHAST UDC Health and Safety Committee will capture operational level issues Communication between the two forums facilitated by the Corporate Health and Safety Team. Review continues as to how best maximise other communication incl staff briefing notes , staff conference and h&S support into service level team meetings.	2025
Have in place regular training, appropriate to staff roles.	Ben Brown	Amber	This remains under review and alternative delivery platforms are being considered. The most effective Interim measures to ensure that any training risk gap is addressed remain under consideration and will necessitate the corporate health and safety team ensuring engagement of service managers. High risk service areas such as Environmental services have training in place as part of induction processes as well as refresher sessions where required.	2025
Have in place robust systems for emergency planning/dealing with critical incidents.	Ben Brown	Amber	New EP officer is in place and is supported by the SLA with Epping Forest District Council. All existing Emergency response and business continuity policies, including the main UDC response plan , rest centre agreements and a new Mass evacuation plan , remain under review .	2025

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-08
Risk Title	Information Governance


Risk Description
 The council must have robust information governance policies and practices in place. If they do not there may be unlawful sharing or handling of data and other legislative or security breaches leading to loss of public and partner confidence, reputational damage and financial loss due to fines

Risk Owner
 Nicola Wittman

Directorate Responsible
 Commercial & Digital Change Management

Original Risk		
Likelihood	Impact	Score
2	4	8

Residual Risk		
Likelihood	Impact	Score
2	3	6

Risk direction
 Stable 

Cabinet Member
 Councillor Lees

Key Dates	
Date Registered	5th June 2024
Last update	5th June 2024

Background
 The Council has seen a significant increase in data breaches, FOI, SAR and DSAR requests. The IG team is under strain given that it has lost two part-time resources due to them being fully engaged on General Election work and a third person who is shared with Legal having to take on more legal work. A new structure is required, but that is dependent upon a new structure being agreed for Legal Services.

Service Area Affected
 All

Triggers
 Work pressures mean staff 'cut corners' to meet deadlines

Risk Type
 Threat

Risk Response Category
 Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
Annual training for all staff	Tom Falconer	Amber	Training solution being sought	
To continue to promote the DPIA process	Tom Falconer	Amber	Training solution being sought	
The post shared between legal and IG to move to IG full time	Nicola Wittman	Red	Awaiting progress from Legal	
A new Request tracker system be purchased and implemented	Tom Falconer	Amber	Demos taking place	
Regualr reporting to CMT	Tom Falconer	Green	Already happening	

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-09
Risk Title	Cyber Security

Risk Description

The council must have resilient and robust cyber security is in place. If it does not then the organisation is at risk of being more exposed to network vulnerabilities such as cyber-attacks and system failures leading to reputational damage, liability issues and loss of service provision.

Risk Owner

Nicola Wittman


Directorate Responsible

Commercial & Digital Change Management

Original Risk		
Likelihood	Impact	Score
3	4	12

Residual Risk		
Likelihood	Impact	Score
2	4	8

Risk direction

Stable 

Cabinet Member

Councillor Lees

Key Dates	
Date Registered	5th June 2024
Last update	5th June 2024

Background

There is a risk that cyber criminals will successfully conduct a ransomware attack, denying our users access to our corporate IT systems and the information they store and process, impacting our ability to deliver our core services.

Service Area Affected

All

Triggers

National events, such as a general Election, increase risk of cyber attacks.

Risk Type

Threat

Risk Response Category

Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
Systems and information backups	Alan Mose	Green	In place	
system hardening and lockdown ie Vulnerabiltu patching	Alan Mose	Amber	Further staffing resources are required	
NCSC Services and Warps membership and active participation	Alan Mose	Green	In place	
Continued investment in new technologies and dedicated officer resource	Nicola Wittman	Amber	Access to more funding required and dedicated officer resource	
Phishing Campaigns and training	Alan Mose	Red	Phishing funding has been removed by ECC	
Incident Mangement	Nicola Wittman Alan Mose	Green	In place	

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped

A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-10
Risk Title	Local Plan


Risk Description
 As a result of having a small number of experienced staff, coupled with the complex and contentious nature of local plan preparation, there is a risk that progress is delayed or that that the council fails to adopt a new local plan altogether. This would prevent the council being able to exercise control over new development, make it difficult to apply for related grant funding and risk government removing its planning powers.

Risk Owner
 Dean Hermitage

Directorate Responsible
 Planning

Original Risk		
Likelihood	Impact	Score
3	4	12

Residual Risk		
Likelihood	Impact	Score
1	4	4

Risk direction
 Decreasing 

Cabinet Member
 Councillor Evans

Key Dates	
Date Registered	20th May 2024
Last update	20th May 2024

Background
 The current 2005 Local Plan (LP) is considered out of date in legislative terms. The council has been working on a new LP since 2020. The programme has slipped on two occasions and was briefly paused for a period. The district is subject to speculative development whilst it is without an up to date local plan. Central government has instructed the council to progress a plan or risk intervention.

Service Area Affected
 Planning policy, development management, conservation & design, planning enforcement

Triggers
 Insufficient evidence base and weak spatial strategy results in elected Members rejecting the plan
 Loss of experienced staff
 Government intervenes at an early stage

Risk Type
 Threat

Risk Response Category
 Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
Project plan in place for the production and interpretation of evidence. Regular internal reporting. Material reviewed by external specialists and legal counsel.	Andrew Maxted	Green	All evidence base documents in track and strategy being worked up with regular Member / LPP briefings	
Staff recruitment and retention improvements made. Relationship with Public Practice, ECC, and leading consultancies to provide experienced staff when needed.	Dean Hermitage	Green	Loss of project officer and recruitment underway.	
Regular meetings with MHCLG officials. Agreed PAS review of project and fed back to MHCLG.	Dean Hermitage	Amber	Positive meeting with DLUHC on 18 April 2024.	

Key for RAG status of risk response

R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-11
Risk Title	Climate Emergency


Risk Description
 Without a valid calculation of the baseline and projected carbon emissions from council operations, there is a risk that planned de-carbonisation projects and activities will not result in the required carbon savings needed over the next 6 years, leading to a failure to achieve the objective of net zero carbon emissions in all council operations by 2030 as set out in the Climate Crisis strategy.

Risk Owner
 Ben Brown

Directorate Responsible
 Climate and Environment

Original Risk		
Likelihood	Impact	Score
3	3	9

Residual Risk		
Likelihood	Impact	Score
4	3	12

Risk direction
 Increasing 

Cabinet Member
 Councillor Reeves

Key Dates	
Date Registered	5th June 2024
Last update	5th June 2024

Background
 The UDC Climate Crisis Strategy identifies that the organisation needs to take control and reduce council carbon emissions, with a commitment to achieve net zero carbon emissions by 2030. Concern was raised by Scrutiny Committee as to whether the actions and activities being delivered in the Climate Crisis action plan were having the desired impact on the Councils commitment to net zero by 2030. A priority in the updated 2024/25 Climate and Biodiversity action plan is to develop and agree a Carbon Reduction Management plan, building on best practice in carbon and energy management. This plan is crucial to UDC corporate team understanding of the types of projects and investment that will be needed to achieve net zero carbon emissions in council operations. The aims of the carbon management plan include a robust framework to track carbon emission reduction, and more formal procedures and awareness of energy management responsibilities of all staff that have control or influence over energy, fuel, and water consumption. The UDC senior officer Climate and Biodiversity Board has oversight and responsibility for delivery of the Climate and Biodiversity action plan.

Service Area Affected
 All

Triggers
 The Council has made a commitment to reach Net Zero by 2030 and in order meet that challenging target, must establish a route map to achieve that target. Climate change and biodiversity must be considered alongside other corporate priorities and incorporated into strategic decision making if we are to be successful. If the Council does not embed these issues into longer term and everyday decision making, that opportunities for external funding will be missed for the community and the Council.

Risk Type
 Threat

Risk Response Category
 Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update

Climate Change and Biodiversity board has been established to coordinate implementation of the Corporate Priorities and Climate Change Action plan at officer level.	Ben Brown	Amber	Third meeting scheduled on 14 October. Agenda will focus on emerging issues and risks around key CCBD plan actions as follows: 1. Estate Decarbonisation Plan, resource and investment needed. Match Funding Risk and Public Sector Decarbonisation Scheme 2. District Wide Strategic Planning for Climate and Environment: Renewable Energy; Sustainable Transport; EV Strategy and Local Area Energy Plan. Emerging programme and projects and resource gaps. 3. Ecology and Biodiversity Planning and Projects. Delivering Biodiversity Duty	Dec
APSE energy engaged to rebenchmark energy useage (and other resource useage)	Vicky Reed	Green	APSE commissioned to revisit and validate UDC carbon baseline data and map Council trajectory to net zero including measures and investment required.	Dec
Engage with consultancy on fleet decarbonisation strategy	Ben Brown	Amber	Work planned for Q3 2024.	Dec
Potential bid to public sector decarbonisation fund autumn 2024	Nic Whitman	Amber	Building survey and HDP complete for London road, Canfield. Project development will meet submission requirements for Public Sector Decarbonisation Fund. Awaiting confirmation of project costs and match funding required.	Dec
Ecologist role currently vacant	Dean Hermitage	Red	Attempts to recruit to this role have been unsuccessful however interim arrangements have been established with ECC Place Services.	Dec

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-12
Risk Title	Regulatory Framework for Social Housing


Risk Description
 Failure to comply with the requirements of the housing regulation act 2003/new consumer standards framework and housing ombudsman code will result in potentially costly regulatory intervention, reputational damage, loss of confidence among residents and other council stakeholders, and additional financial burden to deliver an improvement plan.

Risk Owner
 Simone Russell

Directorate Responsible
 Housing, Health & Communities

Original Risk		
Likelihood	Impact	Score
3	4	12

Residual Risk		
Likelihood	Impact	Score
2	4	8

Risk direction
 Decreasing 

Cabinet Member
 Councillor Coote

Key Dates	
Date Registered	22nd May 2024
Last update	22nd May 2024

Background

Service Area Affected
 Housing

Triggers
 Service failure leading to self referral.
 Regulatory inspection.
 Referral by other parties including the housing ombudsman, residents, or their advocates.

Risk Type
 Threat

Risk Response Category
 Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
Carry out a self assessment to identify gaps in provision verses the consumer standards, followed by the design and implementation of an improvement plan to address shortfalls.	Simone Russell	Amber	Self assessment has commenced and will be completed by end October 2024	Dec-24
Implement improvement actions identified by the recent self assessment of the councils approach to complaints handling to the ombudsman code.	Simone Russell	Amber	Improvement plan is being developed and will be finalised by end November 2024	Dec-24

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-13
Risk Title	Safeguarding

Risk Description

Failure to have in place and implement a fit for purpose safeguarding policy, supported by clear procedures for referring concerns, with properly trained staff, contractors and any other person acting on behalf of the council will place vulnerable adults and children at risk of harm leading to intervention from ECC safeguarding adults board/children and Families Hub causing the council reputational loss. Failure of council officers to properly deal with concerns raised by residents and/or their advocates regarding domestic and other types of abuse will leave residents vulnerable to further abuse and may lead to reputational damage for the Council and unfavourable findings in Domestic Homicide Reviews.

Risk Owner

Simone Russell


Directorate Responsible

Housing, Health & Communities

Original Risk		
Likelihood	Impact	Score
3	4	12

Residual Risk		
Likelihood	Impact	Score
2	4	8

Risk direction

Decreasing 

Cabinet Member

Councillor Sutton

Key Dates	
Date Registered	22nd May 2024
Last update	22nd May 2024

Background

Safeguarding children and adults are an inter-agency responsibility involving the city/borough/district councils, Essex County Council, the Essex Safeguarding Children Board and the Essex Safeguarding Adults Board. UDC is accountable to the required to have in place clear leadership and lines of accountability, appropriate policies and procedures, safeguarding training and working in partnership with relevant agencies to protect children and vulnerable adults. The council is also more widely responsible for ensuring the health, safety and wellbeing of residents, including where issues are raised by residents concerned for their own safety. This can include where concerns are raised of domestic abuse and other forms of violence.

Service Area Affected

All

Triggers

Safeguarding or other wellbeing concerns identified by UDC staff, elected member, contractor or any other person acting on behalf of the council.

Risk Type

Threat

Risk Response Category

Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
Approval of updated safeguarding policy by CMT and cabinet.	Simone Russell	Green		Complete

Review and implement a refreshed training program for all council staff, level of training determined by job roles.	Simone Russell	Amber	Training is in progress of being procured.	Dec-24
Ensure council safeguarding requirements are included in the specification of the new repairs maintenance contracts which will be mobilised April 2025.	Simone Russell	Green	Specification is in the process of being finalised.	Complete
Arrange briefings for all members.	Simone Russell	Amber	In development.	Dec-24
Publish a new guidebook for all staff and members.	Simone Russell	Green	Ensure this is uploaded onto intranet and all staff and Members advised	Nov-24
Provide clear procedures and training for all front line council staff in relation to properly recording and acting upon concerns of domestic and other forms of abuse.	Simone Russell	Amber	This matter is being addressed by the Community Partnerships Manager, under the guidance of the Strategic Director, Housing, Environment and Communities	Dec-24

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-14
Risk Title	Stansted Airport - Emergency Response

Risk Description

Failure to properly deliver on the council's role as defined in the joint mass evacuation plan will impact negatively on evacuees, impede the delivery of the joint plan, resulting in financial, statutory and reputational risk.

Risk Owner

Simone Russell


Directorate Responsible

Housing, Health & Communities

Original Risk		
Likelihood	Impact	Score
4	4	16

Residual Risk		
Likelihood	Impact	Score
3	3	9

Risk direction

Decreasing 

Cabinet Member

Councillor Lees

Key Dates	
Date Registered	10th June 2024
Last update	10th June 2024

Background

UDC has a statutory obligation as a Cat 1 responder under the Civil Contingency Act 2004. UDC operates as part of an Essex wide/National coordinated response. As an international port which receives evacuees/refugees regularly, Stansted falls within the Uttlesford Borough and therefore the Council is frequently involved in these emergency responses.

Service Area Affected

Emergency Planning

Triggers

Government assigns Stansted as a receiving airport.
Strategic Coordinating Group (SCG) convened assigns responsibility to UDC for certain functions.

Risk Type

Threat

Risk Response Category

Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
Be prepared - develop plans to support preparedness	CMT/EP Officer	Red	New plans are being developed	Sep-24
Carry out regular training exercises	CMT/EP Officer	Red	Will follow the development of new plans	Sep-24
Have in place appropriate governance (gold, silver, bronze command)	CMT	Amber	In place, but subject to review	Sep-24
Allocate appropriate resources (people, sites and equipment)	CMT	Red	Will follow the development of new plans	Sep-24
Deliver required actions	All	Green	This is reactive when an incident occurs	N/A

Effective de-brief and learning exercises	CMT/EP Officer	Green	This is reactive when an incident occurs	N/A
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Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-15
Risk Title	Operational Resilience

Risk Description

Due to the fact Uttlesford is a small district council, there is a risk that service delivery/activity suffer poor performance or failures due to service specialisms and/or single points of failure.

Risk Owner

Angela Knight


Directorate Responsible

Business, People & Performance

Original Risk		
Likelihood	Impact	Score
3	3	9

Residual Risk		
Likelihood	Impact	Score
2	2	4

Risk direction

Stable 

Cabinet Member

Councillor Lees

Key Dates	
Date Registered	5th June 2024
Last update	5th June 2024

Background

An incident earlier in the year highlighted the council's exposure to single points of failure for a critical service activity. The Chief Executive has instructed CMT to produce a list of critical business activities to identify the risk areas and the potential contingency plans needed.

Service Area Affected

All

Triggers

Individuals go off sick or are on extended leave and back ups are unavailable.
Individuals are not replaced when they leave the organisation.
Council has not identified gaps until after the event.

Risk Type

Threat

Risk Response Category

Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
List all critical business activities and determine if they represent single or limited points of failure.		Green		
Identify back up processes and officers		Amber		
Keep business continuity plans updated.		Green		

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped

A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-16
Risk Title	Commercial Income

Risk Description

The Council has a large commercial property portfolio. Failure to maximise its income and collect all its service charges would cause its income to become lower than borrowing, leading to deficits.

Risk Owner

Nicola Wittman


Directorate Responsible

Digital Innovation and Commercialisation

Original Risk		
Likelihood	Impact	Score
4	4	16

Residual Risk		
Likelihood	Impact	Score
2	4	8

Risk direction

Decreasing 

Cabinet Member

Councillor Hargreaves

Key Dates	
Date Registered	1st July 2024
Last update	4th October 2024

Background

The council has almost 100% tenancy with exceptional covenants and has made use of specialist lawyers to arrange deals and experienced property advisors (Cushman and Wakefield) (and chosen a well-recognised firm (CBRE) to manage its property portfolio. The council provides MRP on its investments since 2022 and interest rates are expected to reduce over the coming year allowing the council to de-risk further.

Service Area Affected

Commercial Property Investment

Triggers

A major tenant gets into financial difficulties.
An economic downturn causes many minor tenants to leave or not be replaced or council needs to manage arrears.

Risk Type

Threat

Risk Response Category

Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
Council has large risk commercial property risk reserve of over £5m.	Adrian Webb	Green		Sep-24
Council receives regular updates from CBRE.	Adrian Webb	Green		Sep-24
Council has opened up for bids for its 50% share of the Chesterfield Retail Park as the time seems opportune. This would reduce the size of the portfolio.	Adrian Webb	Amber	Information will become available as sale process continues. Much of it is highly confidential	Sep-24
The Council has a commercial strategy that assesses and regularly reviews them on a buy/invest/sell basis.	Adrian Webb	Green		Sep-24

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-17
Risk Title	Housing Rental Income


Risk Description
 Failure to maximise housing rental income will result in financial losses to the Housing Revenue Account, impacting on service delivery/investment across the housing stock. Failure to put in place early interventions on arrears cases will also increase the risk of tenants being evicted, creating a wider financial risk and reputational risk to the Council.

Risk Owner
 Simone Russell

Directorate Responsible
 Housing, Health & Communities

Original Risk		
Likelihood	Impact	Score
3	3	9

Residual Risk		
Likelihood	Impact	Score
3	3	9

Risk direction
 Stable 

Cabinet Member
 Councillor Coote

Key Dates	
Date Registered	17th June 2024
Last update	17th June 2024

Background
 The Council is responsible for collecting c.£18m in housing rents annually. The setting of rents must comply with the Government's Rent Standard. A successful rent income collection service relies on early identification of arrears cases and early interventions to support tenants who are having difficulty paying and take firm enforcement action against tenants are unwilling to pay/fail to engage. The Rent Income Team has recently moved into the Housing, Health and Communities Directorate from Finance. This provides an ideal opportunity to clarify roles and resources at different stages of the process, examine greater joined up working. Current rent collection performance is below that expected by the Council.

Service Area Affected
 Housing

Triggers
 Tenants become former tenants, potentially due to evictions.
 Rent payments are missed or lower than required.

Risk Type
 Threat

Risk Response Category
 Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
Develop a process for identifying debtors getting into trouble so council can be proactive.	Gareth Robinson	Red	This will be reviewed as part of wider transformation work starting in July 2024.	Dec-24
Review roles, responsibilities in rent collection within the council	Simone Russell	Red	This will be reviewed as part of wider transformation work across Housing.	Dec-24
Develop debt policy to help debtors get out of trouble, working with CAB, Benefits and others.	Gareth Robinson	Red	New policy being developed as part of Revenues and Benefits Transformation.	Nov-24
More use of direct debits	Simone Russell	Red	To be addressed with new Manager, following retirement of current	Mar-25
Choose an enforcement agent for former tenant arrears	Gareth	Red		Nov-24
Review rent and service charge figures for budget	Gareth	Amber	Under review at present for next monitor	Dec-24

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-18
Risk Title	Organisational Stress due to Pace of Change


Risk Description
 Due to scale of pressures in local government and indeed in Uttlesford, there is a significant risk that with the need to identify major savings and deliver services in new ways, the pace of change will negatively affect staff morale, cause increased periods of sickness and impact on staff organisational loyalty.

Risk Owner
 Angela Knight

Directorate Responsible
 Business, Performance & People

Original Risk		
Likelihood	Impact	Score
3	4	12

Residual Risk		
Likelihood	Impact	Score
3	3	9

Risk direction
 Stable 

Cabinet Member
 Councillor Lees

Key Dates	
Date Registered	5th June 2024
Last update	5th June 2024

Background
 The Council has been proactive in the launch of the Blueprint Uttlesford project to manage organisational change and identify savings. The council employees approximately 330 staff, the pace of change and the need to identify circa. £6m savings means staff will be negatively affected. In addition each year there have been new responsibilities placed on government organisations such as new qualification requirements for officers e.g. Building Control.

Service Area Affected
 All

Triggers
 Service model reorganisations and restructures.
 New savings targets from central government.
 New responsibilities or regulatory changes affecting local government.

Risk Type
 Threat

Risk Response Category
 Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
The Blueprint reviews or saving activities ensures early engagement and transparency with affected staff, this is set out in the project initiation document. This sets out the process and incorporates full consultation with staff and stake holders and where applicable co-delivery of the improvements.	CMT	Green	Staff who are in services which are currently under review, have been involved in the process and a new model will be discussed with them by end of September 2024 for input.	Sep-24
The Workforce Plan has been created as a key document to support the organisational change programme. Attached to the plan is a detailed action plan. The action plan priorities will be taken forward in consultation with staff and many will be managed and implemented by staff working groups.	Angela Knight/Nicola Roberts	Green	New Uperform process implemented to include updated objective setting including values and behaviours. This was a fully engaged process with a staff working group made up of staff from across the organisation.	Sep-24

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-19
Risk Title	New Ways of Working

Risk Description

Due to the fiscal pressures, Uttlesford is reviewing existing processes. During this process, there is the potential opportunity to identify new ways of working including new technology options including bots and AI.

Risk Owner


CMT

Directorate Responsible

Original Risk		
Likelihood	Impact	Score
-2	-2	-4

Residual Risk		
Likelihood	Impact	Score
-3	-3	-9

Risk direction

Increasing 

Cabinet Member

Councillor Lees

Key Dates	
Date Registered	5th June 2024
Last update	5th June 2024

Background

Council is reviewing use of bots and AI and working on proof of concept. It is also examining Revenues and Benefits, Museum services from the ground up to identify the most appropriate service model. In the case of Revenues and Benefits, retirements have provided the opportunity to rethink processes and structures. Better use of existing technologies could reduce costs and improve resident experience.

Service Area Affected

All

Triggers

The need for savings and individuals moving onto new roles and retiring offers the chance to rethink provision without necessarily involving staffing reductions.

The county and central government both want better use of technology and make it a requirement in agreements with the district.

Risk Type

Opportunity

Risk Response Category

Enhance

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
As part of the Blueprint project it includes a number of workstreams, each reviewer should ensure engagement with the workstream lead officer. There is a specific workstream for 'New Ways of Working' to ensure we capture all options and opportunities.	Gareth Robinson	Green	Revs and Bens is undergoing a process of fundamental change and how the service operates.	Sep-24
Museum service review	Richard Auty	Green	Museum is due for an update report on the operating model.	Sep-24
BOTS in CSC for bins	Nicola Wittman	Green	Proof of concept for use of BOTS in CSC, to direct/identify resident bin queries	

AI Strategy	Nicola Wittman	Amber		

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-20
Risk Title	Economic Resilience


Risk Description
 Uttlesford's economy provides resources for the council to deliver services that residents value and also enables employment and business opportunities for local residents. Finding a way to grow the economy further and tackle the challenges of rurality would make Uttlesford a greater success.

Risk Owner
 Peter Holt

Directorate Responsible

Original Risk		
Likelihood	Impact	Score
-2	-2	-4

Residual Risk		
Likelihood	Impact	Score
-2	-3	-6

Risk direction
 Increasing 

Cabinet Member
 Councillor Lees

Key Dates	
Date Registered	7th June 2024
Last update	7th June 2024

Background

The council is investigating new ways to attract investment into the district, due to limited available land for commercial development the Council is unlikely to be able to attract large scale commercial development.

The Economic Development Team works closely with other organisations and external bodies across the district to identify any opportunities within the wider Essex Economic Strategies. Locally the Economic Development Team, which is small and has limited resources focuses on supporting new small and micro start up businesses in the district.

Service Area
 All

Triggers
 Identifying new investment opportunities
 Exploiting funding for rural challenges.

Risk Type
 Opportunity

Risk Response Category
 Enhance

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
Networking and engagment with London Stansted Cambridge Corridor (LSCC) and other organisations/working groups across Essex to maximise opportunities	Angela Knight	Amber		

Key for RAG status of risk response	
R	Control is not in place or working or progress has slipped
A	Control is not working efficiently and some challenges remain
G	Control is working or predominantly in hand or completed

Risk Identifier	CR-21
Risk Title	Financial Management System

Risk Description

The council has a financial management system that expires on August 31st. Without a system it cannot produce the Accounts, monitoring or manage its financial position

Risk Owner

Gareth Robinson


Directorate Responsible

Finance, Revenues and Benefits

Original Risk		
Likelihood	Impact	Score
4	4	16

Residual Risk		
Likelihood	Impact	Score
3	4	12

Risk direction

Stable 

Cabinet Member

Councillor Lees

Key Dates	
Date Registered	October 4th 2024
Last update	October 4th 2024

Background

The council's financial management system needs replacing. It is clunky and whether it stays with the current system provider or migrates to a new system, there are a number of improvements that are either necessary or beneficial. The time to deliver this is typical

Service Area

Finance

Triggers

Council does not deliver system on time and council loses ability to manage its finances in a safe way.
 Council does not have adequate time to get system implementation done properly and system goes live with flaws
 Council does not obtain adequate specialist resource

Risk Type

Threat

Risk Response Category

Reduce

Risk Response	Risk Response Actionee	RAG Status	Progress Update	Next Scheduled Update
Appoint system specialist company to support on system choice, implementation and budget plan	Gareth Robinson	Green	Appointed and work underway	Dec-24
Agree budget plan, full project pack including implementation plan	Gareth Robinson	Red	Producing procurement paper	Nov-24
Appoint adequate resource to deliver system	Gareth Robinson	Red	Producing procurement paper	Nov-24
Review and correct Chart of Accounts prior to migration	Gareth Robinson	Red	Due March 31st	Dec-24