



# Strategic Risk Register April to June 2015

## Essential Reference Paper 'I'

Code	Title	Description	Current Risk Matrix	Impact	Likelihood	Managed By	Latest Note
15-SR1	Risk of significant reduction in funding above that planned for, in particular localisation of Council Tax Support, localisation of business rates and New Homes Bonus.	There is uncertainty around future funding, both from Government and other areas such as income from commodities markets for recycled materials. There are cost pressures combined with an increased awareness and scrutiny of financial position.		3	4	Adele Taylor	April to June 2015: Medium Term Financial Plan being refreshed for consideration at Corporate Business Scrutiny Committee. Chancellor's budget statement due on 8th July will give an indication of the direction of travel for public sector funding.
15-SR2	Risk of not having capacity / capability and flexibility to continue to deliver service levels over time.	There are challenges around workforce planning to ensure the Council is fit for the future, in terms of workforce skills, capacity and flexibility. Also about being fleet of foot and responsiveness		3	3	Adele Taylor	April to June 2015: Organisational Development Strategy in draft and will be consulted upon over the coming months.
15-SR3	Risk that supplier / contractor or key third sector partner fails or fails to deliver.	A number of key services are delivered through major contracts, both directly and in consortia. This is both through private sector supply chains and in conjunction with the voluntary and third sector.		3	2	Simon Drinkwater	April to June 2015: The level of risk remains unchanged. Key services continue to be delivered by contractors and partners. Effective monitoring and contract management is in place. These mechanisms are essential to mitigate the risks combined with effective procurement and a clear understanding of the relevant market place.
15-SR4	Risk that investment and effort does not deliver benefits and returns in Shared Services.	Moving more towards shared services with other public sector partners. Potential for lack of consistent political buy-in by all partners resulting in considerable effort without benefit. There is also a challenging skill set for managers due to the complexity.		3	3	Adele Taylor	April to June 2015: Current shared services performing well. New Shared Anti-Fraud Service formally launched 10th June 2015.

15-SR5	There is uncertainty around government policy and a number of changes required without accompanying resource.	Risk of policy changes by decree which we do not comply with or implement		3	3	Simon Drinkwater	April to June 2015: There are likely to be continuing pressures on the Council with particular pressures relating to budget issues.
15-SR6	Availability and performance of IT systems and resources impacting on service delivery.	Reduced levels of service across the Authority. Targets may not be achieved. Staff morale and reputation of Council may suffer. Influence of ITSG should reduce risks		4	3	Adele Taylor	April to June 2015: Performance monitored through Information Technology Steering Group. Continuing investment into networking is providing greater reliability of systems.
15-SR7	Data Protection: Failure to comply with the data protection principles. The potential disclosure of personal data inappropriately.	Action may be taken by the ICO. Individuals may suffer if their personal data, particularly sensitive personal data is disclosed.		3	2	Adele Taylor	April to June 2015: No Data Protection Breaches. Staff data protection training continues to be rolled out (module 9 of 12 in progress). Handling Personal Data Policy fully approved by HR Committee. IT Policies in respect of Data Security and Protection remain work in progress with IT Security group established to review the formation of the policies. Annual report delivered to Corporate Business Scrutiny in the Governance role for Data Protection, report fully endorsed.
15-SR8	Impact of welfare reform changes.	New legislation will have an adverse financial impact on a significant number of residents. Residents will require more support from services across the Council affecting staffing levels, finances, and a risk of increased aggression. There may also be difficulties in implementing Government policy, with uncertainty on timetable.		3	4	Adele Taylor	April to June 2015: Awaiting announcements in the Chancellor's budget statement on 8th July to assess what impact there may be for East Herts residents.

15-SR9	Development of a District Plan that is acceptable to the community and the planning inspectorate.	Risk of not being able to agree plan in timeframe meaning: Increased costs, Lack of effective development control, Cannot bid for funding for infrastructure, lost opportunity, open to challenge in meantime, legal / reputational / political issues		3	3	Simon Drinkwater	April to June 2015: The Council intends to publish the next stage of the draft Plan for a final round of public consultation in the first part of 2016. This will be followed by an Examination in Public. Whilst good progress has been made on key parts of the evidence base, there remain a number of critical pieces of information which still need to be obtained before a final draft of the District Plan can be agreed. In particular Hertfordshire County Council has been assessing the capacity of the A414 to accommodate additional traffic. The Planning Policy Team is working hard to investigate any reasonable means by which the overall process can be expedited in order to bring forward the District Plan as soon as possible without jeopardising the prospects for planned development accompanied by the necessary supporting infrastructure.
15-SR10	Bishop's Stortford - significant development proposals - ensure good quality development securing all necessary infrastructure	Poor environment, loss of development opportunity, reputational risk		4	2	Simon Drinkwater	April to June 2015: The Council is working with partners to ensure a high quality development. Consultants are being appointed to provide advice and support as appropriate.
15-SR11	Health and safety compliance across the Authority.	Non-compliance with statutory responsibilities may lead to accidents, more staff absence and potentially insurance claims.		3	2	Adele Taylor	April to June 2015: Safety Committee meets regularly to consider compliance issues as well as any incidents to ensure any necessary improvements are identified.
15-SR12	Business Continuity Planning	Failure to update the Business Continuity Plan may prevent the Council from providing critical services in the event of an incident.		4	1	Adele Taylor	April to June 2015: Significant work being undertaken to update Business Continuity Plan. Further work during next quarter.

15-SR13	Failure of services to develop digital service offer and channel shift targets in line with Customer Service Strategy	Step change to digital basis for service delivery will not be made within the window of invest opportunity in the next 2-3 years		3	4	Adele Taylor	April to June 2015: Consideration of channel shift through implementation of customer service strategy is being included as part of Finance and Business Planning process.
15-SR14	Compliance with the Children Act 2004.	Whilst the Council's self-assessment obtained ratings of at least 'adequate' there is a commitment to improve and thereby ensure the safety of children and vulnerable adults.		4	1	Simon Drinkwater	April to June 2015: The self-assessment has identified some areas for improvement. The self-assessment identifies actions to be taken to improve. Progress will be reviewed in 6 months.