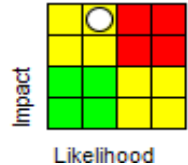
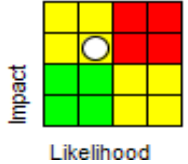
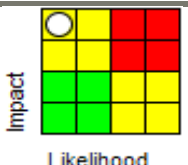
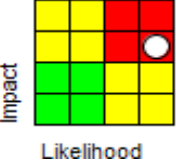
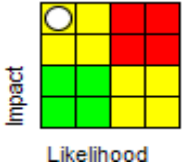
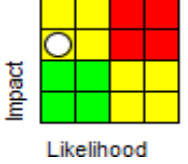
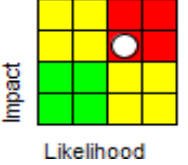


Strategic Risk Register - October to December 2015

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	October to December 2015: Finance settlement for local Government announced at end of December 2015. Medium Term Financial Plan refreshed to take in to account changes. 2016/17 budget should be balanced, but future years significant gaps have been identified.
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	October to December 2015: The action plan around the organisation development strategy is being put in to practice.
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	October to December 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. The joint waste project with North Herts will mean that a contractor will be appointed to provide services for both East Herts and North Herts which should generate savings. There are additional risks arising from joint working including less effective service delivery and failure of the joint arrangements. The project has its own risk register.
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	October to December 2015: Shared services performing well including first prosecution across the SAFS partnership.

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	October to December 2015. Pressures continue relating particularly to the budget in the form of the financial settlement from the government and the impact of the next round of welfare reform. Housing Benefits and Housing Options are likely to be most affected, but there will also be issues for Members and other services. Affordability for tenants will be a significant challenge. The Planning and Housing Bill will affect the provision of affordable housing. The reduction in government grants will affect the Council's budget in future years.
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	2	Adele Taylor	October to December 2015: All services now using hosted desk top. Resilience therefore improved and likelihood score reduced according.
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	Neil Sloper; Adele Taylor	October - December 2015 One non-reportable incident in October. On-line Data protection training almost concluded. Clear desk review has been suggested by team member at Charrington's House due to compressed working space, will be undertaken in Q4.
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	October to December 2015: A number of changes to welfare benefits were announced as part of the financial settlement. Full detail in terms of implementation timetable and application of changes to individuals is still awaited but key services are preparing staff to manage any changes.
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	October to December 2015: The next version of the District Plan will be published in 2016 with the intention that the plan is adopted in 2017 to meet the government's target. The evidence base is nearing completion. the risk is that the plan will be rejected by the inspector which will mean that the timetable cannot be met.

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	October to December 2015: Project brief has been prepared to produce a master plan. A timetable for the project is being prepared. The master plan will involve all interested parties.
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	October to December 2015: Safety Committee meets regularly to consider compliance issues as well as any incidents to ensure any necessary improvements are identified. Audit programme continues. Leisure centres reviewed and safeguarding request investigated. First briefing paper to Leader and Executive Member prepared.
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	October to December 2015: Work continues to update plan and graduate trainee now supporting project to bring to conclusion. All services now using hosted desk top. Planned mitigating actions: Complete by 31st March 2016 and arrange test.
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	October to December 2015: Focus is on developing a target operating model for the Council for services to then consider how they interact with their customers.
15-SR14	Compliance with the Childrens 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	October to December 2015. The action plan continues to be implemented. Further training for staff is being provided. Additional work is required to deal with safeguarding adults.
15-SR15	Safeguarding adults	Maintain and develop interagency relationships, Council policy and training.		3	1	Simon Drinkwater	October to December 2015: Training has been arranged for relevant staff. Safeguarding responsibilities are specifically identified in the new management structure.
15-SR16	Old River Lane, Bishop's Stortford	Risk that the Council does not exploit the opportunity to shape the site. Investment levels must be maintained to ensure that the property remains let and that tenants are supported.		3	3	Adele Taylor	October to December 2015: Steering group is meeting on a regular basis to consider the longer term future of Old River Lane and other key sites within Bishop's Stortford. Day to day management of the site is contracted to Lambert Smith Hampton for the first year, and officers are regularly in consultation with them in regards to ensuring best value on the site.