

Public Document Pack



Leader and Members
of the Executive

Your contact: Martin Ibrahim
Ext: 2173
Date: 6 September
2016

cc. All other recipients of the
Executive agenda

Dear Councillor

13. Quarterly Performance Report - Quarter 1 (June 2016) (Pages 3 - 8)

Essential Reference Paper 'G' enclosed.

Yours faithfully

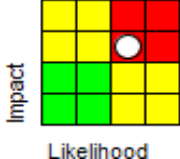
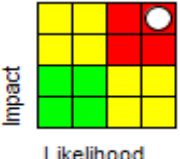
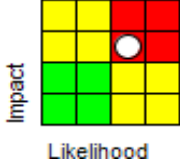
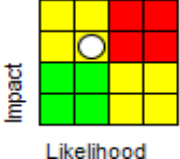
Martin Ibrahim
Democratic Services Team Leader
Democratic Services
martin.ibrahim@eastherts.gov.uk

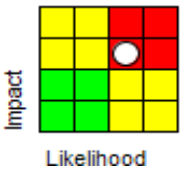
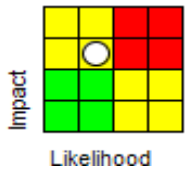
MEETING : EXECUTIVE
VENUE : COUNCIL CHAMBER, WALLFIELDS, HERTFORD
DATE : TUESDAY 6 SEPTEMBER 2016
TIME : 7.00 PM

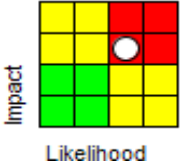
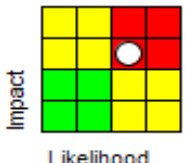
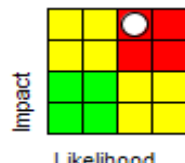
This page is intentionally left blank



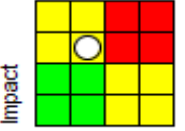
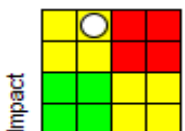
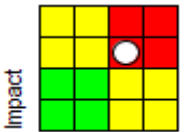
Strategic Risk Register - Quarter 1 - April to June 2016

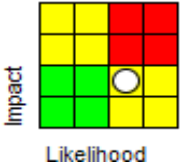
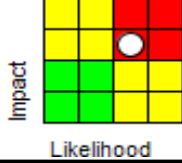
Essential Reference Paper G

Code	Title	Description	Risk Matrix	Impact	Likelihood	Target Impact	Target Likelihood	Managed By	Controls introduced in 2016/17 quarter one, and future controls.
1a	Risk of significant deviation from plan in terms of funding. This is predominately a risk of a significant reduction but a significant increase could also cause risks to materialise.	There is uncertainty around future funding, both from Government and other areas such as income from commodities markets for recycled materials, parking charges. There is some clarity on 2016/17 but little beyond then, particularly with the potential impact of leaving the EU and on trade relations. There are cost pressures combined with an increased awareness and scrutiny of financial position.		3	3	3	3	Philip Gregory	April to June 2016: The referendum vote to exit the EU has resulted in continued uncertainty. DCLG have indicated that they expect 100% Business Rates Retention to launch from April 2019. The funding situation is being carefully monitored.
1b	Business rate income significantly reduced from planned anticipated level (and current levels).	Appetite and ability as a Council to influence economic development. Neighbouring authorities reducing rates. Revaluation and appeals. (Maximum liability circa £10m if all appeals were granted). Inability to influence economic regeneration. Economic vitality.		4	4	4	3	Philip Gregory	April to June 2016: No developments in past quarter. Planned controls: Discussions ongoing around mitigating actions to be included in next MTFP update in August / September 2016.
2	Risk of not having capacity / capability and flexibility to continue to deliver service levels over time.	There are challenges 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	3	2	Emma Freeman	April to June 2016: Workforce plans were completed for services as part of the 2015/16 strategic finance and service planning process. Actions are being driven through the Organisational Development Strategy work programme. Planned controls: Workforce plans are being updated as part of the 2016/17 service planning process if needed.
3	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	3	1	All Heads of Service	April to June 2016: No concerns reported with any major contracts or shared service.

4	<p>Risk that investment and effort in alternative service delivery models does not deliver benefits and returns.</p>	<p>Moving more towards other delivery models in future with public sector partners. This is part of the wider context of the changing role of Local Government moving forward. 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.</p>		3	3	2	2	Emma Freeman	<p>April to June 2016: New Building Control company to commence operation in August 2016.</p> <p>Work on proposals for a Housing Company have commenced with a proposed timetable for establishment of the first company by March 2017. The risks identified are being mitigated by drawing on expertise from other authorities, devising a detailed Project Initiation Document, timetabling in members / committee briefings and establishing a budget for external support on financial modelling, legal aspects and tax advice.</p> <p>IIP silver status achieved in April 2016. Management development programme to be delivered through the Organisational Development Strategy in 2016/17.</p>
5	<p>Information management: Misuse or loss of key information leading to breach. The potential disclosure of personal data inappropriately.</p>	<p>The Council handles a large amount of information and data which if not managed properly could be compromised. This could be perhaps through carelessness or hacking and security of the information could be compromised. Failure to comply with information governance principles. Action may be taken by the ICO. Individuals may suffer if their personal data, particularly sensitive personal data is disclosed.</p>		3	2	3	1	Kevin Williams	<p>April to June 2016: No reportable data breaches. 'Bob's Business' on line training for staff continues.</p> <p>Planned controls: Annual data protection review report to be submitted to July 2016 Corporate Business Scrutiny Committee. Joint IT security group to be established.</p>

6	Impact of Housing and Planning Act.	<p>The key potential impacts are:</p> <ul style="list-style-type: none"> • Introduction of Starter Homes as a form of affordable housing, with nationally prescribed percentages to be delivered through the planning process, is likely to reduce the supply of new affordable rented homes thus reducing housing options for those on no / low incomes. This could place increased pressure on existing housing stock and potentially increase homeless approaches to the Council, leading to higher workloads • The opening up of the planning application assessment process to third parties could see workloads/income drop for the Council and its influence in decision making reduced. Potential for significant impact on staff resources, income and the ability to support direct and back office services. • Provisions for the Government to determine district plans where local authorities have not done so within certain time limits could erode the Council's reputation and ability to shape local development. • Further provisions for flexibilities with regard to fee levels and self setting of fees if the Council continues to operate established performance levels. 		3	3	3	2	Jonathan Geall and Kevin Steptoe	<p>April to June 2016: Work to develop the district plan is well under way. The Housing Service is closely monitoring levels of demand. Work has commenced to investigate the viability of a Council-owned housing company which could contribute to local supply of housing in all tenures.</p> <p>Officers continue to monitor secondary regulations which may come forward under the act and respond to them. A policy approach is set out in the District Plan to maintain affordable housing provision as far as can be achieved.</p> <p>Regular monitoring of performance and implementing actions as may be required to mitigate any decrease in performance levels.</p>
7	Development of a District Plan that is acceptable to the community and the planning inspectorate.	<p>Risk of not being able to agree plan in timeframe meaning: Increased costs, Lack of effective development management, Cannot bid for funding for infrastructure, lost opportunity, open to challenge in meantime, legal / reputational / political issues. Impact on New Homes Bonus.</p>		3	3	3	2	Kevin Steptoe	<p>April to June 2016: Officers have continued to work to a timetable that enables delivery of plan to Government timetable.</p> <p>Planned controls: A range of factors have the ability to affect timescales. Officers continue to assess any that arise, with partners and Members, to assess impact these may have.</p>
8	Significant development proposals at strategic sites (Welwyn Garden City, Bishop's Stortford) - need to ensure good quality developments securing all necessary infrastructure.	<p>Ambitions not achieved. Ability of building industry to deliver, including contribution for infrastructure. Poor environment. Loss of development opportunity. Reputational risk.</p>		4	3	4	1	Kevin Steptoe	<p>April to June 2016: Appropriate advice and support engaged at all relevant stages in the development process to ensure that quality development is achieved.</p>

9	Failure to deliver Digital East Herts.	<p>Risk that services are not provided across multiple channels to improve the customer experience AND realise efficiency gains.</p> <p>Step change to digital basis for service delivery will not be made within the window of invest opportunity in the next two to three years.</p>	 <p>Impact Likelihood</p>	3	4	2	3	Adele Taylor	<p>April to June 2016: Establishment of project and investment in consultancy to support. Additional staff resource secured for six months.</p>
10	Compliance with the Childrens Act 2004.	<p>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.</p>	 <p>Impact Likelihood</p>	4	2	4	1	Jonathan Geall	<p>April to June 2016: Full participation in the East Herts and Broxbourne Safeguarding arrangements. Planned controls: Attendance by Head of Housing and Health at Safeguarding Forum in July and dissemination of activities / learning locally including safeguarding training.</p>
11	Safeguarding adults.	<p>Maintain and develop interagency relationships, Council policy and training.</p>	 <p>Impact Likelihood</p>	3	2	3	1	Jonathan Geall	<p>April to June 2016: Full participation in the East Herts and Broxbourne Safeguarding arrangements. Planned controls: Attendance by Head of Housing and Health at Safeguarding Forum in July and dissemination of activities / learning locally including safeguarding training.</p>
12	Encouragement of economic vitality cross the District.	<p>Risk that opportunities to develop and improve Bishop's Stortford and Hertford town centres are not maximised through the Old River Lane Planning Framework and Hertford Urban Design Study.</p> <p>Also ensure regular dialogue with business and organisations representative of business. Interventions to be proposed where appropriate e.g. business improvement district opportunities.</p>	 <p>Impact Likelihood</p>	4	2	4	2	Ben Wood	<p>April to June 2016: New Economic Development vision agreed by Executive. Hertford Urban Design Study (HUDS). Member steering group established to implement HUDS proposals. Planned controls: Bishop's Stortford Town Centre Planning Framework addressing range of town centre issues.</p>
13	Extreme weather - Either unable to resource or prioritise emergency planning response and other mitigation measures.	<p>Frequency of events likely to increase. Emergency planning response could be compromised. Impact on east/west travel in District and on infrastructure, especially transportation. Lack of resource for mitigation activity e.g. land drainage function. Impact on Council properties, particularly sites on flood plains.</p>	 <p>Impact Likelihood</p>	3	3	2	3	Jonathan Geall	<p>April to June 2016: (a) Land Drainage Asset Survey underway. (b) Emergency Planning rota introduced. (c) Officers on Emergency Planning rota have received, or are timetabled to receive, training on the East Herts Emergency Plan and Incident Management. A desk-top emergency planning training exercise is to be planned for quarter 3, and a Business Continuity test is scheduled for 22 September 2016.</p>

14	Devolution - fail to engage and influence partners to engage leading to missed opportunities.	Hertfordshire not seen as a 'player' nationally and regionally. Unable to be proactive and engage early on in this agenda. Missed opportunities to maximise benefit.		2	3	2	3	Liz Watts	April to June 2016: Hertfordshire leaders meetings took place at which there was a decision taken to work on more collaboration. Await the impact on devolution of new conservative leadership at national level.
15	Referendum vote to leave EU.	Further budget reductions likely. Potential impact on the economy, particularly employment and the housing market. Loss of EU funding for local schemes. Legislative changes.		3	3	3	3	Liz Watts	April to June 2016: The referendum vote to exit the EU has resulted in continued uncertainty. Developments will be closely monitored. Rural Development Project funding has been frozen.

This page is intentionally left blank