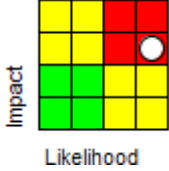
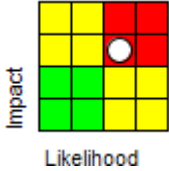
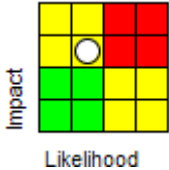
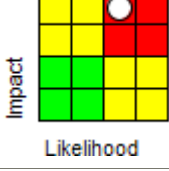
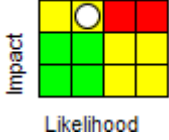
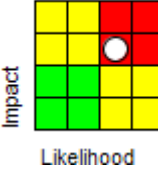
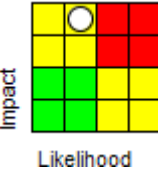


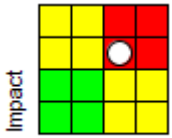
## Strategic Risk Register January to March 2015

## Essential Reference Paper 'B'

| Code   | Title   | Description  | Current Risk Matrix | Impact | Likelihood | Managed By         | Latest Note   |
|--------|---|--|---------------------|--------|------------|--------------------|---|
| 14-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      | 3          | Adele Taylor       | January to March 2015: Finance settlement for 2015/16 and the impact on the budget and Medium Term Financial Plan have now been modelled. A balanced budget was set by Council in February 2015. Significant risk remains for 2016/17 onwards given uncertainty around funding. |
| 14-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          | George A Robertson | January to March 2015: Recruitment arrangements are in hand for a replacement Chief Executive and interim arrangements have been agreed.  |
| 14-SR3 | Risk that supplier / contractor or key third sector partner fails or fails to deliver.  | A number of key external and internal 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          | George A Robertson | January to March 2015: The council has robust contract management processes and procedures in place to ensure any concerns are flagged up early.  |
| 14-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       | January to March 2015: Current shared services are delivering expected benefits. Governance arrangements in place to measure performance.   |

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|---------|---|---|--|---|---|--------------------|---|
| 14-SR5a | There is short term 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   |  <p>Impact 3</p> <p>Likelihood 4</p>   | 3 | 4 | Simon Drinkwater   | January to March 2015: The Council's ability to respond promptly and efficiently to changes in legislation poses risks for delivery of service. Software changes are not always reliable or easy to implement.  |
| 14-SR5b | There is long term uncertainty on overall future government policy and direction, and its impact on local government.                                 | Risk of being unable to long term strategically plan.   |  <p>Impact 3</p> <p>Likelihood 3</p>   | 3 | 3 | Simon Drinkwater   | January to March 2015: The Council has responded well to changes in welfare legislation. The risk remains that future changes to housing benefit and housing rules may be more difficult to manage particularly if they are accompanied by funding reductions. The outcome of the General Election could affect this issue. |
| 14-SR6  | HR and Workforce management policies are being brought up to date. These will need to be applied across the Council in a coherent and consistent way. | There could be a lack of consistency and cohesion at senior management levels of applying policies.   |  <p>Impact 3</p> <p>Likelihood 2</p>   | 3 | 2 | Adele Taylor       | January to March 2015: The review and update of policies is continuing with policies being regularly presented for decision at HRC. Appropriate training is being provided for new and existing policies.   |
| 14-SR7  | 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 |  <p>Impact 4</p> <p>Likelihood 3</p>  | 4 | 3 | Adele Taylor       | January to March 2015: The core infrastructure is now more resilient. Roll out of the system is ongoing. Performance is regularly monitored at both Partnership Board and ITSG level. Further infrastructure investment is being made and will further strengthen resilience.   |
| 14-SR8  | 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.                                     |  <p>Impact 3</p> <p>Likelihood 2</p> | 3 | 2 | George A Robertson | January to March 2015: Additional training to further assist staff in application of Data Protection principles to working environment has taken place and is ongoing. Data protection risk assessments were revisited within the service planning process.   |

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| 14-SR9  | Impact of welfare reform changes, specifically Universal Credit.                              | 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 | 3 | Adele Taylor | January to March 2015: Uncertainty on timetable remains but relevant officers are ensuring that they attend briefings and learning events to prepare for changes as they come in.   |
| 14-SR10 | Development of an Investment Strategy with sufficient levels of governance and due diligence. | A need to find the optimum position of balancing risk and return and having financial strength to contribute to the local economy. Risk of failing to undertake and implement effective due diligence and governance meaning potential consequences of: Incurring significant costs, Challenge, Qualification of accounts, Scrutiny Publicity, Loss of reputation |  | 4 | 2 | Adele Taylor | January to March 2015: Two property funds have been selected to invest money in and the Council is currently on the waiting list. Investment adheres to updated Treasury Management Strategy. The remainder of the Investment Strategy is currently under review. |

|         |   |  |   |   |   |                  |  |
|---------|---|--|---|---|---|------------------|--|
| 14-SR11 | 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 | <p>January to March 2015: Progress continues although delays have been identified in relation to two important areas of technical work. Strategic Housing Market Assessment (SHMA) – which will identify and update the housing need for the District – remains to be completed. Consultants undertaking this work are acting on behalf of four authorities. This, and the need to take into account a range of update information provided by the government and other statistical sources, have delayed this work. Strategic transport work is being undertaken by consultants on behalf of Essex and Herts CCs. This impacts on the eastern part of the district and the outputs are required to inform the development strategy. It is not possible to formulate the next stage of the District Plan (pre-submission) prior to the outcome of these and other pieces of work. In the interim there remains a risk that unsustainable development proposals will come forward and there is an inadequately robust framework in place for development management purposes.</p> |
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