
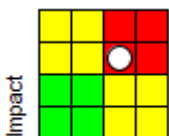
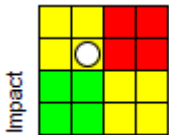
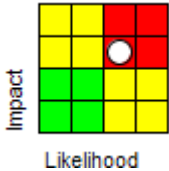
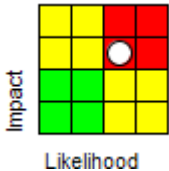
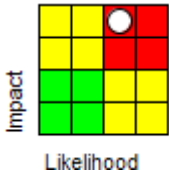
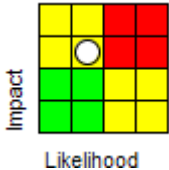
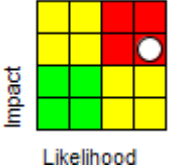
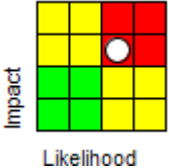
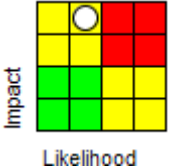


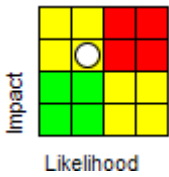
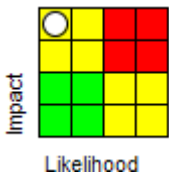
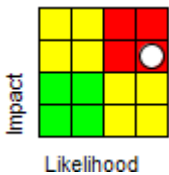
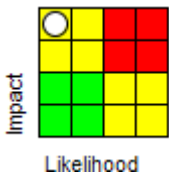
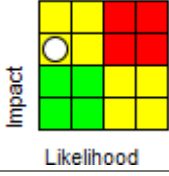
## Strategic Risk Register July to September 2015

## Essential Reference Paper 'B'

| 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. |  <p>Impact</p> <p>Likelihood</p>   | 3      | 4          | Adele Taylor     | July to September 2015: Medium Term financial plan has been refreshed with the most up to date information that we have. A new finance and business planning process has been put into place which will identify options for Members to consider should funding be reduced further than that planned for. Uncertainty will remain until announcements in December from Treasury. |
| 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  |  <p>Impact</p> <p>Likelihood</p>  | 3      | 3          | Adele Taylor     | July to September 2015: Organisational Development Strategy has been consulted upon widely. It has been considered and approved by CMT in September.   |
| 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.  |  <p>Impact</p> <p>Likelihood</p> | 3      | 2          | Simon Drinkwater | July to September 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.                                       |

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| 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     | July to September 2015: Current shared services performing well. New Shared Anti-Fraud Service formally launched in June and first board meeting held in September.  |
| 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 | July to September 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. |
| 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     | July to September 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     | July to September 2015: One Data Protection breach managed, non-reportable to the Information Commissioner's Office. Council continues to progress through the on-line Data Protection modular training. Next quarter will include service revision to Data protection risk assessments within the Service Planning process.   |

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| 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     | July to September 2015: Following announcements in the Chancellor's budget statement on 8th July, further details is still awaited to assess what impact there may be for East Herts residents. Initial meeting between key internal officers has been held to ensure that we can identify and interim measures to ensure that we are prepared to respond proactively and swiftly once more detailed information is known about who will be affected. |
| 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 | July to September 2015: Key parts of the evidence base are being reported to the District Plan Panel in preparation for the publication of the next stage of the draft plan.  |
| 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 | July to September 2015: Work is continuing with partners to ensure a high quality development with the appropriate infrastructure.  |

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| 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     | July to September 2015: Safety Committee meets regularly to consider compliance issues as well as any incidents to ensure any necessary improvements are identified. Audit programme commenced of highest risk services / contractors. Regular briefing reports to be provided to Leader and Portfolio Holder. Briefing for Executive Members recently conducted and guidance drafted for all Members. |
| 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     | July to September 2015: Significant work being undertaken to update Business Continuity Plan. Further work during next quarter and a plan being put together to run a test of our arrangements.  |
| 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     | July to September 2015: Consideration of channel shift through implementation of customer service strategy is being included as part of Finance and Business Planning process. The results of this will be considered during the next quarter.   |
| 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 | July to September 2015: The action plan is being 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 | July to September 2015: Received presentation from chair of Hertfordshire Safeguarding Board. Key individuals are being identified for further training.   |