

## Essential Reference Paper B

### Strategic Risk Register: January to March 2016

| 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 | January to March 2016: 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 | January to March 2016: Senior management restructure has been undertaken and new Leadership Team arrangements being put in place. New Heads of Service will consider resourcing within their own teams to ensure that they are fit for purpose.   |
| 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          | Liz Watts    | January to March 2016: 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 | January to March 2016: The current shared services are performing well and delivering expected benefits. A number of new shared arrangements are being considered currently including Building Control and Waste Management.  |
| 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 | Liz Watts    | January to March 2016: 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 | January to March 2016: Networks are now fully resilient and load balanced. Robust Business Continuity arrangements in place for systems deployed from datacentres.  |
| 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 | January to March 2016: 'Substantial' audit opinion received with no recommendations arising.  |
| 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,  |  | 3 | 4 | Adele Taylor | January to March 2016: Implementation of welfare changes will happen as per timetable released by central Government.   |

|         |  |  |  |   |   |              |   |
|---------|--|--|--|---|---|--------------|---|
|         |  | and a risk of increased aggression. There may also be difficulties in implementing Government policy, with uncertainty on timetable.   |  |   |   |              |   |
| 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 | Liz Watts    | January to March 2016: Working with Partners and advisors as appropriate including Government through the Planning Inspectorate to ensure risks are minimised and to continue regular Portfolioholder updates.  |
| 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 | Liz Watts    | January to March 2016: Member Steering Group in place to ensure all actions in relation to significant development sites are achieved.  |
| 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 | January to March 2016: Safety Committee meets regularly to consider compliance issues as well as any incidents to ensure any necessary improvements are identified. Audit programme continues. Planned mitigating actions: Land management training scheduled for 7th April 2016. |
| 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 | January to March 2016: Plan developed further and meeting scheduled with Hertfordshire County Council in April to review and plan a test. (Desktop exercise).   |
| 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 | January to March 2016: Plans being put together to develop the Council's road map to implementation.  |

|         |   |  |                                 |   |   |              |   |
|---------|---|--|---------------------------------|---|---|--------------|---|
| 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.         | <p>Impact</p> <p>Likelihood</p> | 4 | 1 | Liz Watts    | January to March 2016: The action plan continues to be implemented. Further training for staff is being provided.   |
| 15-SR15 | Safeguarding adults                     | Maintain and develop interagency relationships, Council policy and training.   | <p>Impact</p> <p>Likelihood</p> | 3 | 1 | Liz Watts    | January to March 2016: Training provided, and attended by a significant number of employees. Safeguarding responsibilities 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. | <p>Impact</p> <p>Likelihood</p> | 3 | 3 | Adele Taylor | January to March 2016: Consultants engaged to undertake master planning work leading to identification of options. 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. (An operational risk register is considered at the meeting). 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. |