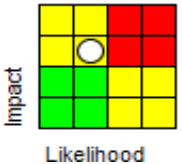
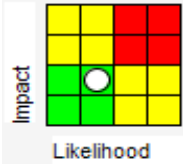
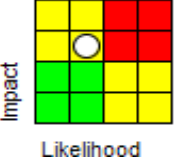
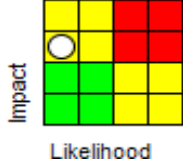
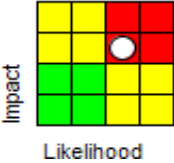
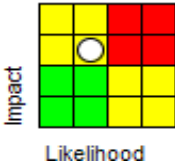
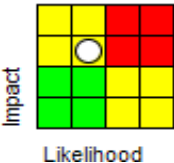
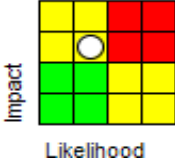


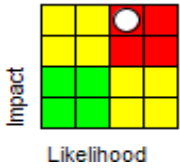
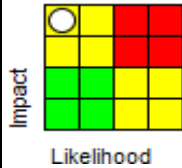
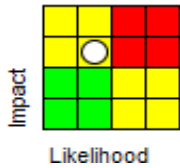
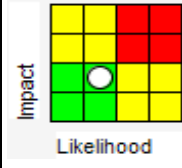
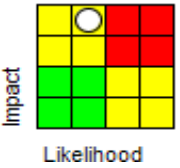
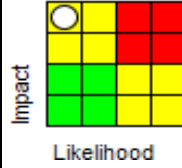
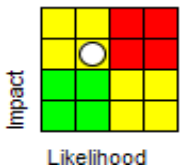
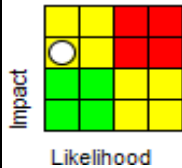
Strategic Risk Register - 2016/17 Quarter 4 - January to March 2017.

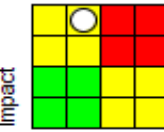
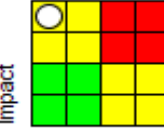
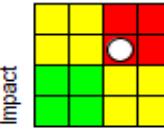
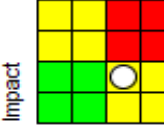
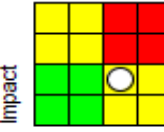
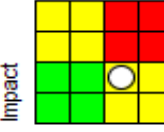
Essential Reference Paper 'B'

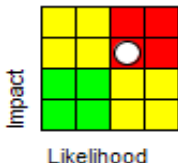
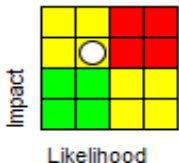
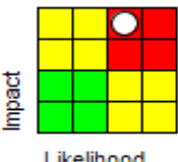
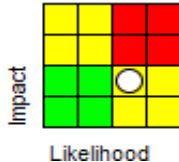
Code 16SR	Title	Description	Inherent Risk Matrix	Inherent Impact	Inherent Likelihood	Controls introduced in quarter four, and future controls planned	Residual Risk Matrix	Residual Impact	Residual Likelihood	Managed By
1a	Risk of significant deviation from plan in terms of funding. This is predominately 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. 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	January to March 2017: The Healthcheck reporting process remains in place. Funding situation is being carefully monitored. Uncertainty going forward following announcement (in April) of the General Election.		3	3	Isabel Brittain
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	January to March 2017: There has been a freeze of position since the announcement of the General Election.		4	3	Isabel Brittain
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.		3	3	January to March 2017: Services have restructured to ensure their services meet customer demand and are efficient and effective. Digital East Herts will support this transformation.		3	2	Emma Freeman
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	January to March 2017: No concerns reported with any major contracts or shared service. Waste tender progressing.		3	1	All Heads of Service

4	Risk that investment and effort in alternative service delivery models does not deliver benefits and returns.	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.		3	2	January to March 2017: Report about potential Property Investment Company submitted to Executive for consideration April 2017.		2	2	All relevant Heads of Service
5	Information management: Misuse or loss of key information leading to breach. The potential disclosure of personal data inappropriately.	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.		3	2	January to March 2017: No reportable data breaches. Staff training programme continues.		3	1	Alison Stuart

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	January to March 2017: Both service areas will continue to monitor the implementation of the Housing and Planning Act where secondary legislation is introduced. During this period, in relation to planning issues, most changes have been of a procedural or technical nature, and do not have significant implications for the operation of the Council's service. With regard to the District Plan, please refer to risk 7 below.		3	2	Jonathan Geall and Kevin Steptoe
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	2	January to March 2017: District Plan submitted to the government for examination.		3	2	Kevin Steptoe

8	Significant development proposals at strategic sites (Welwyn Garden City, Bishop's Stortford) - need to ensure good quality developments securing all necessary infrastructure.	Ambitions not achieved. Ability of building industry to deliver, including contribution for infrastructure. Poor environment. Loss of development opportunity. Reputational risk.		4	3	January to March 2017: The Council endorsed a master planning approach to significant development sites. This will be applied, through continued dialogue with potential developers and through the evolution of development proposals in the run up to the Examination of the District Plan.		4	1	Kevin Steptoe
9	Failure to deliver Digital East Herts.	Risk that services are not provided across multiple channels to improve the customer experience and realise efficiency gains. Step change to digital basis for service delivery will not be made within the window of invest opportunity in the next two years.		3	2	January to March 2017: Individual projects being monitored via Digital East Herts project tracker through steering group and exception reporting in place on a monthly basis to Leadership Team to identify any resourcing issues or issues arising that could impact on overall programme delivery.		2	2	Adele Taylor
10	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.		4	2	January to March 2017: The council has worked closely with the Police to prepare for the CSE Awareness Day in June.		4	1	Jonathan Geall
11	Safeguarding adults.	Maintain and develop interagency relationships, Council policy and training.		3	2	January to March 2017: SIAS carried out a review of the council's approach to safeguarding during qtr4. The draft report was issued on 30 March. SIAS can provide 'substantial assurance that there are effective controls in operation'. The Head of Housing and Health is providing the management response prior to the issuing of the final report.		3	1	Jonathan Geall

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>		4	2	<p>January to March 2017: Feasibility on Bishop's Stortford business improvement district approved by Executive and proceeding to development phase. LEP contribution of £200,000 for HUDS agreed. Business Engagement Manager recruited.</p>		4	1	Ben Wood
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>		3	3	<p>January to March 2017: The Emergency Planning Duty Officer rota migrated to Rotacloud in quarter four which provides up-to-date details of on-call officers' shifts and improves overall resilience.</p>		2	3	Jonathan Geall
14	Devolution - fail to engage, and influence partners to engage, leading to missed opportunities.	<p>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.</p>		2	3	<p>January to March 2017: A five point action plan for Hertfordshire ('A Better Deal for Hertfordshire Residents') was signed off at a public sector leaders' meeting in March 2017. This takes up the areas which leaders thought required more collaboration across Hertfordshire without necessarily requiring devolution. Areas include: World class skills, Strategic Planning and Transport, Fully collaborative Health & Social Care, Safe and Cohesive Communities, and Maximising public sector assets. Work is overseen by a small steering group of leaders, and managed through the Chief Executive's Coordinating Group for Hertfordshire.</p>		2	3	Liz Watts

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	January to March 2017: Rural Development Programme funding has been guaranteed by the Government up to the point at which the UK leaves the EU.		3	2	Ben Wood
16	Development of Old River Lane, Bishop's Stortford.	The acquisition of the Old River Lane site presents opportunities to revitalise and shape the town centre, but there are risks around undertaking large-scale development, including land use choices, viability, impact on other areas and functions of the town centre, etc.		4	3	January to March 2017: A&M commissioned to undertake final piece of work on options for the site; Property consultants appointed; Project Manager recruited (working full time on Bishop's Stortford projects).		2	3	Liz Watts