

Reference	Risk Title	Likelihood	Impact	Likelihood reduction	LR Target Date	Impact Mitigation	IM Target Date	Residual Likelihood	Residual Impact	Progress Update	Risk Owner
1 - Financial Resources	Expenditure is likely to exceed the resources available to the council triggering a report in the public interest by the s.151 officer under section 114 (3) of the Local Government Finance Act 1988.	A	4	Medium Term Financial Plan which plans for further reductions in net expenditure to reflect that both Labour and Conservative parties have committed to real terms reduction in council funding Annual savings plan Transforming East Herts Programme to deliver efficiencies and enable customers to access services 24/7 on the web site Reductions in non-essential capital expenditure and agreement to sell assets to realise £6 million capital receipt which will be applied to pay down debt. LGA Finance Peer Challenge has been accessed - awaiting desktop report being completed. Workshop with Executive and agreed Finance dashboard to be reported in Performance Management system		s.114 Report leading to appointment of Commissioners but also access to Government support Requesting CIPFA support prior to reaching s.114 threshold Requesting Government support although flexibility on capital receipts and further borrowing would be counter-productive		B	4	Developing finance dashboard for monthly reporting to Executive. Will be available to all Members once the software is implemented and up and running completely.	Steven Linnett
2 - Climate Change	Lack of mitigation of and adaptation to climate changes adversely impacts of service delivery	B	4	Declaration of Climate Emergency by Council Reducing carbon emissions from council operations - Climate Change Action Plan Seeking to influence residents to reduce carbon footprint for the district		Adaption Plan Business Continuity Plan Severe Weather section Emergency Plan including specific response plans to flooding etc. Health and Safety Policy details severe weather response		B	3	Adaption risk assessment substantially complete. Producing offsetting strategy and business case for carbon credits. All vehicles in council fleet now BEVs and in waste contract all vehicles below 3.5 tonnes will be electric	Jonathan Geall
3 - District Plan	District Plan not in place leading to a developer led system relying only on the National Planning Policy Framework. Potential loss of affordable housing, section 106 contributions, and potentially lower quality development	A	3	Timetable for Plan Review agreed at Executive Budget for evidence studies in place. Evidence based support for policies in line with National Planning Policy Framework, Duty to Co-operate and other national policies e.g. SSSI policies		Evidence based decision making in line with National Planning Policy Framework Ensure Duty to Co-operate complied with Ensuring that all potential policies and legally compliant with the NPPF and other policies		C	2	Preparing for Strategic Visioning Workshop on 26 June to begin process of producing the plan.	Sara Saunders
4 - Key Contractor	A key major contractor of the council fails meaning that services stop altogether e.g the refuse contractor fails and streets are not swept and bins are not emptied	C	4	Monitoring of major contractors for risks of business failure Parent Company Guarantee/Performance Bond Contract compliance procedure should note issues locally such as recruitment freeze or other issues that may indicate financial health issues with company		Local Authority Trading Company ready to activate to take over service provision Business Continuity Plans Performance Bonds or parent company guarantee		C	3	Continued monitoring of positions. Geesink Norba who were contracted to Urbaser to provide vehicle maintenance went into administration last month. Urbaser activated contingency plan and new contractor has taken over. Minimal impact on refuse and recycling collections and some impact on street cleansing but nothing major.	Colin Bartlett
5 - Governance	There is a governance failure caused by a lack of policies, procedures and internal controls leading to loss of legal cases on process and/or loss of assets	B	4	All Executive, Committee and Council reports require sign off by legal and finance to ensure Compliance with budget and policy framework and current legislation. List of policies maintained with review dates. Information Governance function strengthened to ensure compliance with data protection and Freedom of Information. Ensuring Equalities Impact Assessments are completed for all policies		In house legal staff in place with few vacancies therefore capacity available to address issues that arise unexpectedly. Internal audit provided by Shared Internal Audit Service using assurance mapping methodology which allows for all assurance levels to be seen and assessed. Monitoring Officer and s.151 officer work closely together and horizon scan for potential issues		D	2	Minor amendments to Constitution to reflect legislation changes made. HR policies being amended for legislative change	James Ellis
6 Ransomware attack deletes data	A ransomware attack succeeds and the council's IT systems are unusable for a prolonged period. The council will be unable to: collect revenues; calculate and pay benefits; pay staff; pay suppliers and take regulatory or enforcement action.	A	4	Cyber Security Treatment Plan in place. Operating systems and databases moved onto newest operating system releases. Network has had new firewalls and anti-virus software updates. All laptops protected with AV and firewall systems. All system access requires 2 factor authentication. Staff undertake compulsory data protection and cyber security training. New software implemented that requires staff to say if link is safe before network tests the link and either says yes or flags a security risk.	WiFi - July 2024 Income and Card Payments System - September 2024 General Ledger system - March 2025	Back ups periodically are stored on physical media and placed into secure fire proof safe storage and are retained for 2 years to allow systems to be restored - ransomware can lie dormant on networks for several months before activation and will be present on backups hence longer retention periods	On-going	B	4	On going updates to systems. Business system migration to secure cloud starting with finance systems and file storage being moved to Microsoft Cloud to ensure greater protection and to reduce reliance on physical data centre. WiFi in the offices is to be upgraded to enhance signal coverage and security	Helen Standen
7 - Major Data Breach	A major data breach of sensitive personal data occurs causing reputational damage and the Information Commissioner to fine the Council	A	3	Mandatory staff training Laptop/mobile device security Confidential waste shredded		Mandatory staff training Data Protection and Privacy Statements Culture of reporting all breaches and learning from each breach		C	2		James Ellis
8 - Staff and skills	The lack of the right staff to deliver services leads to service backlogs and failures. Staff are not skilled up to perform work in a digital environment and to work in an agile ways means that investment in systems and digital access channels is wasted	B	4	LGA have been commissioned to undertake a Decision Making Accountability Review to help inform the structure of the council. Commercial skills training requirements identified. Cultural change training requirements being worked on to cement Transforming East Herts investment as recognised in the July 2022 Business Case	LGA DMA report expected 24/05/2024 Culture Change training 31/03/2025	Introduction of new systems and moving transactions onto the web goes through a first stage of process review using Lean Six Sigma principles so wasteful processes are eliminated as well as maximising the technological capabilities. As far as possible human interventions in a process will be reduced or eliminated altogether. Training in skills is being worked up to deliver culture change to ensure investment is maximised. Managers have been trained as part of the Blueprint Programme and aspiring managers trained as part of the First Step Programme	Culture Change training 31/03/2025	C	3	Decision Making Accountability review fieldwork completed which involved interviews with around 30 staff to explore are decisions taken at the right level and as close to the customer as possible. First Steps Programme Year 1 cohort have completed training and are working on projects to ensure corporate plan targets are in line with OKR methodology.	Helen Standen