Risk Report



Description of Risk	Risk Manager	Controls
Strategic - Community Consultation and Engagement Description: Failure to properly consult customers in line with legislative and regulatory requirements (as appropriate to relevant service areas). Failure to involve communities when planning services. Consequences: Intervention by regulatory bodies, Legal - challenge, Reputational damage, Additional costs, Inadequate service shaping	Simone Chinman Russell	Alliance Strategy Borough Panel
		Community Partnership Team engagement events
		Corporate Strategy - Tenant Involvement Strategy (Housing)
		New Corporate Community and Stakeholder Engagement Strategy
		Policy and Procedure Framework

Tenants' Panel

Current Score
32
Indicator

Probability Impact
2 4

Latest Comment and comment date

Comment: Anew corporate Community and Stakeholder Engagement Strategy is being developed to ensure a thorough and consistent approach to engaging with partners, customers and wider community.

Comment Last Updated: 15/01/2020 16:44:49

Strategic - Management of Council Owned Housing Property Assets Description: Failure to provide and maintain council housing property assets and services. Taking opportunities to invest in assets.	Description of Risk	Risk Manager	Controls
Consequences: Increased homelessness, Community impact. Economic development.	Housing Property Assets Description: Failure to provide and maintain council housing property assets and services. Taking opportunities to invest in assets. Consequences: Increased homelessness, Community impact, Economic development, Unsafe assets, H&S - Injuries and ill health, Intervention by regulatory bodies, Customer dissatisfaction. Reputational damage.	Chinman	Electrical safety Fire Risk Assessment H and S - Organisation And responsibilities LGSR compliance Planned works delivery I

Current Score
32
Indicator

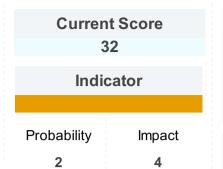
Probability Impact
2 4

Latest Comment and comment date

Comment: We continue with our robust approach to stock condition surveying, to ensure that the planned maintenance programme is optimised, for the benefit of our tenants and council's housing asset.

Comment Last Updated: 15/01/2020 16:46:33

Description of Risk	Risk Manager	Controls
Strategic - Safeguarding Description: Failure to meet obligations in respect of children and adults at risk from abuse. Consequences: Undetected Abuse, Legal - Litigation, Reputational damage, Risk to residents wellbeing	Simone Chinman Russell	Mandatory safeguarding training programme Reporting pathways communicated and updated Safeguarding Action Plan Safeguarding Policies



Comment: The council is in the process of the annual audit for the HCC Adults Safeguarding Board. There continues to be a number of referrals from operational staff and this demonstrates that people understand and can access the safeguarding process at the council.

Comment Last Updated: 15/01/2020 16:48:19

Description of Risk	Risk Manager	Controls
trategic - Change Management Description: new oneteam culture and set of behaviours ave been rolled out across the council and re now being embedded to support our nodernisation and improvement journey. This sk addresses the consequences of any lilure to robustly manage change. onsequences: Inadequate service shaping, dditional costs, Reputational damage	Rob Bridge	Appraisal and one to one process Chief Executive Briefings Close Working Relationship with HR Communication HR - Employee Forum
		HR - Meetings with Trades Unions HR - Reporting to ROSC LGAMembership Peer Challenge Staff Use of consultants

Indicator Probability Impact 2 4

Current Score

Latest Comment and comment date

Comment: We now have the report arising from the Peer Challenge process and have developed work streams arising from the recommendations in this. Our modernisation and transformation process continues, and employee briefings have taken place. The Chief Executive is moving forward with developing the modernisation and transformation programme and relevant resources to deliver it.

Comment Last Updated: 30/09/2019 15:58:53

Strategic - Staff/Workforce Description: Failure to recruit or retain staff with key skills. Lack of resources due to high levels of sickness, turnover or industrial action. Failure to develop and train existing staff. Breach of legislation or failure to follow our HR policies. Consequences: Legal - Litigation, HR - High Staff Turnover, Low morale, Additional costs Apprenticeship Scheme Corporate Governance - Management Assurance Statement Departmental Training Plans Flexible Working Green Travel Plan Health and Wellbeing Programme HR - Agency Staff Policy HR - Disciplinary and Grievance Policy HR - Employee Forum HR - Meetings with Trades Unions HR - Recruitment and Selection Process HR - Reporting to ROSC HR - Sickness Absence Policy HR - Workforce Development Strategy HR Policies (overall framework) Training and Awareness of HR Staff	Description of Risk	Risk Manager	Controls
resources due to high levels of sickness, turnover or industrial action. Failure to develop and train existing staff. Breach of legislation or failure to follow our HR policies. Consequences: Legal - Litigation, HR - High Staff Turnover, Low morale, Additional costs Departmental Training Plans Flexible Working Green Travel Plan Health and Wellbeing Programme HR - Agency Staff Policy HR - Disciplinary and Grievance Policy HR - Employee Forum HR - Meetings with Trades Unions HR - Recruitment and Selection Process HR - Reporting to ROSC HR - Sickness Absence Policy HR - Workforce Development Strategy HR Policies (overall framework)	Strategic - Staff/Workforce Description: Failure to recruit or retain staff with key skills. Lack of	Nick Long	Appraisal and one to one process
and train existing staff. Breach of legislation or failure to follow our HR policies. Consequences: Legal - Litigation, HR - High Staff Turnover, Low morale, Additional costs Copporate Governance - Management Assurance Statement Departmental Training Plans Flexible Working Green Travel Plan Health and Wellbeing Programme HR - Agency Staff Policy HR - Disciplinary and Grievance Policy HR - Employee Forum HR - Meetings with Trades Unions HR - Recruitment and Selection Process HR - Reporting to ROSC HR - Sickness Absence Policy HR - Workforce Development Strategy HR Policies (overall framework)	resources due to high levels of sickness, turnover or industrial action. Failure to develop and train existing staff. Breach of legislation or failure to follow our HR policies. Consequences: Legal - Litigation. HR - High		Apprenticeship Scheme
Departmental Training Plans Flexible Working Green Travel Plan Health and Wellbeing Programme HR - Agency Staff Policy HR - Disciplinary and Grievance Policy HR - Employee Forum HR - Meetings with Trades Unions HR - Recruitment and Selection Process HR - Reporting to ROSC HR - Sickness Absence Policy HR - Workforce Development Strategy HR Policies (overall framework)			Corporate Governance - Management Assurance Statement
Green Travel Plan Health and Wellbeing Programme HR - Agency Staff Policy HR - Disciplinary and Grievance Policy HR - Employee Forum HR - Meetings with Trades Unions HR - Recruitment and Selection Process HR - Reporting to ROSC HR - Sickness Absence Policy HR - Workforce Development Strategy HR Policies (overall framework)	Staff Turnover, Low morale, Additional costs		Departmental Training Plans
Health and Wellbeing Programme HR - Agency Staff Policy HR - Disciplinary and Grievance Policy HR - Employee Forum HR - Meetings with Trades Unions HR - Recruitment and Selection Process HR - Reporting to ROSC HR - Sickness Absence Policy HR - Workforce Development Strategy HR Policies (overall framework)			Flexible Working
HR - Agency Staff Policy HR - Disciplinary and Grievance Policy HR - Employee Forum HR - Meetings with Trades Unions HR - Recruitment and Selection Process HR - Reporting to ROSC HR - Sickness Absence Policy HR - Workforce Development Strategy HR Policies (overall framework)			Green Travel Plan
HR - Disciplinary and Grievance Policy HR - Employee Forum HR - Meetings with Trades Unions HR - Recruitment and Selection Process HR - Reporting to ROSC HR - Sickness Absence Policy HR - Workforce Development Strategy HR Policies (overall framework)			Health and Wellbeing Programme
HR - Employee Forum HR - Meetings with Trades Unions HR - Recruitment and Selection Process HR - Reporting to ROSC HR - Sickness Absence Policy HR - Workforce Development Strategy HR Policies (overall framework)			HR - Agency Staff Policy
HR - Meetings with Trades Unions HR - Recruitment and Selection Process HR - Reporting to ROSC HR - Sickness Absence Policy HR - Workforce Development Strategy HR Policies (overall framework)			HR - Disciplinary and Grievance Policy
HR - Recruitment and Selection Process HR - Reporting to ROSC HR - Sickness Absence Policy HR - Workforce Development Strategy HR Policies (overall framework)			HR - Employee Forum
HR - Reporting to ROSC HR - Sickness Absence Policy HR - Workforce Development Strategy HR Policies (overall framework)			HR - Meetings with Trades Unions
HR - Sickness Absence Policy HR - Workforce Development Strategy HR Policies (overall framework)			HR - Recruitment and Selection Process
HR - Workforce Development Strategy HR Policies (overall framework)			HR - Reporting to ROSC
HR Policies (overall framework)			HR - Sickness Absence Policy
			HR - Workforce Development Strategy
Training and Awareness of HR Staff			HR Policies (overall framework)
			Training and Awareness of HR Staff

Current Score 48

Indicator

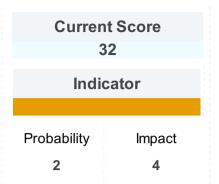
Probability	Impact
3	4

Latest Comment and comment date

Comment: Recruitment still remains a challenge in a number of key areas, with Heads of Service reporting challenges in attracting an retaining staff particularly in relation to specialist skilled and professional staff. Whilst this is something which is common across the local government sector, it nevertheless has impacts of the delivery of certain key services and drives up the need to rely upon agency staff with associated costs, and risks. Unfortunately, sometimes agencies are unable to supply specialist staff. Benchmarking has been carried out, and whilst some salaries remain comparable in the local government sector, we cannot compete against London Boroughs and the private sector who are able to pay market rates and offer very attractive remuneration packages. Our revised approaches to advertising, recruitment methods and job design/evaluation and have yielded some success; however the risk remains. Following on from the peer review, the action plan and direction of travel are now agreed we will at the appropriate time continue the work on developing the corporate workforce development strategy

Comment Last Updated: 08/01/2020 15:09:40

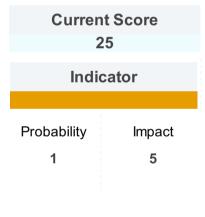
Description of Risk	Risk Manager	Controls
Strategic - Prevent Description: Not properly implementing the government's 'Prevent' agenda to address the risks of radicalisation. Consequences: Reputational damage, Undetected Abuse, Prevent Delayed referral to Channel, Prevent - lack of staff awareness, Poor partnership working	Nick Long	Prevent - Channel Prevent - Lease and Hire Agreements Prevent - Nominated Lead Officer for Prevent Prevent - Security and Terrorism implications in report template Prevent - Venue Guidance Prevent - WRAP workshops Prevent matters discussed at Safeguarding meetings. Representation at County Prevent Board



Comment: The Risk and Resilience Manager remains involved with the county Prevent Board and other key staff members are involved with PREVENT work. An internal Prevent Group helps co-ordinate this work across the council as it is relevant to multiple service areas.

Comment Last Updated: 08/01/2020 15:11:00

Description of Risk	Risk Manager	Controls
Strategic - Corporate Resilience Description: Failure to meet the requirements of the Civil Contingencies Act 2004, including the material failure or inadequacy of plans Failure to respond appropriately to a civil emergency or business continuity incident, including the duty of care to the community. Consequences: Community impact, Economic development, Unsafe assets, Customer dissatisfaction, Reputational damage, Poor partnership working, Intervention by regulatory bodies		Resilience - Business Continuity Management Process Resilience - Care of People Plan Resilience - Crisis Support Team Resilience - Extended Floodline Resilience - Local Resilience Forum Resilience - Resilient Telecommunications Resilience - Training and Exercising Resilience - WHBC Emergency Plan

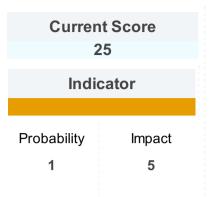


Latest Comment and comment date

Comment: The council is a key member of the local resilience forum and these links enable us to work together to plan for and deal with emergency situations. Further training has taken place for the council's representatives to any strategic co-ordinating group. We remain involved in multi-agency planning for BREXIT (see separate risk) and continue to review cyber-resilience following learning from colleagues in other parts of the country - we will be attending a training exercise early in the new year.

Comment Last Updated: 08/01/2020 15:14:12

Description of Risk	Risk Manager	Controls
Strategic - Health and Safety Description: Failure to maintain an adequate and effective safety management system within the Council,	Nick Long	H&S - Collective Responsibility of Executive Board
including structures, processes, control measures and allocations of responsibilities and ensuring competence of employees, contractors and service providers. Consequences: H&S - Injuries and ill health, Lost productivity, Sickness absence, Legal - Litigation, Intervention by regulatory bodies, Reputational damage		H&S - Corporate Health and Safety Policy
		H&S - Inspection and auditing
		H&S - Map of the extent of the undertaking
		H&S - Periodic Inspection of plant and equipment.
		H&S - Risk and Resilience Team
		H&S - Risk Assessment Policy
		H&S - Safety Director Role
		H&S - Staff Induction and Training



Comment: The corporate health and safety group meets regularly and our programme of policy review and audits continues, along with our training programme and response to any particular issues which may arise. Where necessary reviews have been undertaken to identify corporate learning. We continue to work with partners as necessary. Following the promotion of the Safety Officer into a new job, external to the council we have reviewed the role and agreed to commence recruitment for a new safety officer - it is hoped that this will be successful.

Comment Last Updated: 08/01/2020 15:17:41

Description of Risk	Risk Manager	Controls
Strategic - Local Plan Description: Risk that Local Plan will be found unsound. Inspector	Nick Long	Planning - Committees
has asked Council to find at least 4,000 more homes in plan period. Consequences: Economic development, Financial - affects on receipts, Economic - inward investment, Economic - local infrastructure, Economic - new facilities, Environment - hostile developments, Economic - loss of funding,		Planning - Consultation
		Planning - Evidence
		Planning - Project Plan
Reputational damage		Planning - Section 106 and CIL

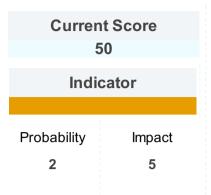


Latest Comment and comment date

Comment: Officers have analysed all promoted sites and recommended Preferred Option to deliver 15,950 homes in period 2016-2036, just slightly short of OAN for 16,000 homes. This and alternative scenarios will be debated by CPPP on 23 and 29 Jan and authorised for public consultation by Cabinet on 30 Jan. High risk that inspector will suggest suspension or withdrawal of plan if selected figure is not above or close to 16,000 homes.

Comment Last Updated: 08/01/2020 14:32:50

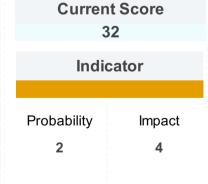
Description of Risk	Risk Manager	Controls
Strategic - Finance Description: Plans for	Ka Ng	Finance - Annual Governance Statement
meeting the growing budget gap are not delivered on time to ensure continued sufficient resources to pay for services.		Finance - budget challenge process
Consequences: Finance - WHBC runs out of money, Reputational damage, Service delivery		Finance - budget preparation process
- loss/reduction, Financial - affects on receipts, Service delivery - can't met demand		Finance - budgetary control by managers
		Finance - capital programme
		Finance - external audit
		Finance - Finance Procedure Rules
		Finance - Financial Information System (Agresso)
		Finance - HRABusiness Plan
		Finance - internal audit
		Finance - Medium Term Financial Plan
		Finance - Treasury Management Policy
		Finance - use and control of reserves and balances
		Property - Asset Management Plan



Comment: There is a continuing challenge to meet the medium targets, but we have a large number of robust controls and processes in place in order for us to meet the savings requirements. The council had a favourable financial outturn for 2018/19, and the auditors confirmed their value for money conclusion. During quarter two, the team undertook an exercise to re-base the budget, which generated around £800k of efficiency savings which will go towards meeting the savings target for 2020/21. The Government announced a one year settlement for 2020/21, which provides more certainty in the short term, but there continue to be a number of uncertainties beyond this, as many of the government funding streams are under review. In quarter 3, a budget seminar was held for Councillors and the team continued to coordinate the budget proposals. The budget will be presented on 6 January 2020 to Cabinet, before going onto Resources Overview and Scrutiny Committee and Full Council. The budget presented will be an affordable and sustainable budget, although there continues to be uncertainty on funding for years 2021/22 onwards, and challenging savings targets.

Comment Last Updated: 10/01/2020 15:58:26

Description of Risk	Risk Manager	Controls
Strategic - Communications Description: Failure to engage effectively with our communities, communicate the council's priorities, actively manage the council's reputation and/or communicate effectively across multiple platforms. Consequences: Reputational damage, Loss of trust, Comms - inability to manage message	Ka Ng	Comms - communication plan Comms - Communications Team Comms - Corporate Communications Strategy Comms - media monitoring Comms - media trained staff and Members Comms - surveys LGAPeer Challenge Social Media Policy



Latest Comment and comment date

Comment: Many projects remain ongoing across the council which require communications support including the Local Plan, Hatfield town centre and neighbourhood centre regeneration. Afull time Communications Officer left in January 2020 and has been replaced on a three month fixed term to the end of April 2020.

Comment Last Updated: 03/02/2020 12:11:14

Description of Risk	Risk Manager	Controls
Strategic - ICT Failure Description: Critical failure of ICT services, for example due to virus attack or ransomware virus attacks. These target computers running Microsoft Windows. Consequences: ICT - loss of service	Ka Ng	ICT - database updates ICT - Disaster Recovery Plan
		ICT - ICT Strategy
		ICT - infrastructure review
		ICT - malware detection
		ICT - PSN Compliance Testing
		ICT - Temporary PSTN connection

Current Score 32		
Indicator		
Probability 2	Impact 4	

Comment: There is a continual battle against attacks, but we have a large number of robust controls, systems and processes in place in order for us to be as protected as reasonably possible, and risk is significantly reduced because of this. Specific areas to note, in relation to work undertaken since quarter two: The Digital Strategy has been adopted; Acyber security audit was undertaken by SIAS in which controls were found to be satisfactory; and, The council also had an LGA assessment of its cyber security in which it scored extremely well, and improved on last years results. Since our last assessment a year ago, we have rolled out two phishing stimulation exercises, provided on line training, included cyber security in our procurement terms and conditions, worked towards formalising a Warning, Advice & Reporting Point (WARP) with the other Hertfordshire Authorities, undertaken penetration testing to check the security levels of our network & respective software applications, undertaken a disaster recovery exercise and sent cyber security bulletins to all staff, to raise awareness.

Comment Last Updated: 24/01/2020 12:46:38

Description of Risk	Risk Manager	Controls
Strategic - Data Protection Description: TheGeneral Data Protection Regulations (GDPR) replaced the previous Data Protection Act from May 18. It contains onerous obligations that had an immediate impact. As we handle people's data we are responsible for keeping it safe. Consequences: Legal - Litigation, Intervention by regulatory bodies, Reputational damage, Legal - challenge, Additional costs	Ka Ng	Governance - Data Protection Policies ICT - data encryption Internal Auditing Procurement considerations - Data Protection in Contracts

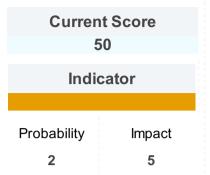
Current Score		
32		
Indicator		
Probability	Impact	
2	4	

Latest Comment and comment date

Comment: GDPR remains a high priority for the Council, and work continues to ensure the Council remains GDPR compliant. However, as GDPR has been in place now for over 18 months, project type work (such as production of policies and procedures) has reduced, and the focus is on improving and enhancing awareness and procedures. During quarter three, the following items are specific areas of work to highlight: - Changes to legal agreements with contractors continue to be worked on - Following internal audit was completed in Q2, a draft data retention schedule has been prepared for CMT approval in early 2020 - Work has been undertaken on supporting Now Housing (the Councils Housing Company) in setting up GDPR, such as privacy statements and email sign off. -Provided further guidance to staff on dealing with subject access requests - Made updates to our email disclaimer.

Comment Last Updated: 10/01/2020 16:24:27

Description of Risk	Risk Manager	Controls
Strategic - Management of Council Owned Non-Housing Property Assets Description: Failure to provide and maintain council owned non-housing property assets. Taking opportunities to invest in assets. Consequences: Economic development, Unsafe assets	Ka Ng	Asset Management Plan Property Portfolio



Comment: The Council has a capital work programme in place to adequately maintain its non-housing assets, and all key planned are on target. The team continues to be responsive to day to day repairs and maintenance. Key areas of focus in early 2020 will be further enhancing health and safety reporting for the service and undertaking a refresh of the councils asset management plan. Since quarter 2, data gathering has been undertaken to support the production of the new asset management strategy in early 2020.

Comment Last Updated: 10/01/2020 16:26:21

Description of Risk	Risk Manager	Controls
Strategic - Effects of Brexit Description: Preparing the borough and council for exiting the EU by understanding the effect on 1) communities and residents, 2) businesses and economy, and 3) The council, along with any actions we need to ake. Consequences: Additional costs, Economic - inward investment, Economic development, Community impact, Economic - loss of funding	Rob Bridge	Brexit - appropriate action plan to be produced Brexit - Communication to businesses/communities Brexit - LRF Strategic Co-ordinating Group Brexit - MHCLG Seminar Corporate Governance - engagement with Councillors ECMT Brexit Workshop LGAMembership LGAsupport and briefings

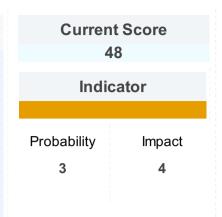
Current Score 45 Indicator Probability Impact 5 3

Latest Comment and comment date

Comment: The EU Withdrawal Bill has now been agreed by Parliament, with a leave date of 31st January. we will contniue to engage and liaise with Government, the East of England Local Government Association and the Local government Association nationally.

Comment Last Updated: 18/02/2020 10:58:07

Description of Risk	Risk Manager	Controls
Strategic - Homelessness Description: Failure to meet the demand of homelessness due to lack of provision of temporary housing and permanent housing Consequences: Intervention by regulatory bodies, Additional costs, Reputational damage, Increased homelessness, Community impact, Service delivery - can't met demand, Legal - Regulatory, Financial Implications, Risk to residents wellbeing	Simone Chinman Russell	Development Strategy and Delivery Strategy
		Finance - budgetary control by managers
		Finance - HRABusiness Plan
		Housing, Homelessness and Rough Sleeping Strategy
		Night Shelter and rough sleeper navigators
		Private Sector Navigator post
		Provision of temporary accommodation stock
		Use of funding for homeless prevention



Comment: The demand on the service remains high, with an increase of around 15% of approaches to the housing options service from households over the last six months. We have a plan to make additional provision of temporary accommodation, both in the interim and in the longer term - by developing purpose built accommodation and increasing capacity. We are also focussing on prevention and have recently commissioned a new mediation service, as well as secured funding for two Rough Sleeper Navigators posts, who will work with long term rough sleepers to help them settle into accommodation and prevent future homelessness The Housing, Homelessness and Rough Sleeping Strategy is now complete, along with the Action Plan and this will be presented to members in June.

Comment Last Updated: 23/04/2019 17:51:29