



# Risk Report

Description of Risk	Risk Manager	Controls	Current Score	Indicator	Latest Comment and comment date
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	32	Probability 2Impact 4	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. Consequences: Increased homelessness, Community impact, Economic development, Unsafe assets, H&S - Injuries and ill health, Intervention by regulatory bodies, Customer dissatisfaction, Reputational damage, Additional costs, Financial Implications	Simone Chinman Russell	Asbestos Management Electrical safety Fire Risk Assessment H and S - Organisation And responsibilities LGSR compliance Planned works delivery I Policy and Procedure Framework	32	Probability 2Impact 4	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

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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	32		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.
		Reporting pathways communicated and updated	Indicator		
		Safeguarding Action Plan			
		Safeguarding Policies	Probability	Impact	
			2	4	Comment Last Updated: 15/01/2020 16:48:19

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Strategic - Change Management Description: A new oneteam culture and set of behaviours have been rolled out across the council and are now being embedded to support our modernisation and improvement journey. This risk addresses the consequences of any failure to robustly manage change. Consequences: Inadequate service shaping, Additional costs, Reputational damage	Rob Bridge	Appraisal and one to one process	32		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.	
		Chief Executive Briefings	Indicator			
		Close Working Relationship with HR	Probability	Impact		
		Communication	2	4		
		HR - Employee Forum	Comment Last Updated: 30/09/2019 15:58:53			
		HR - Meetings with Trades Unions				
		HR - Reporting to ROSC				
		LGAMembership				
		Peer Challenge				
		Staff				
		Use of consultants				

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
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	Nick Long	Appraisal and one to one process	48		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
		Apprenticeship Scheme	Indicator		
		Corporate Governance - Management Assurance Statement	Probability	Impact	
		Departmental Training Plans	3	4	
		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			
			Comment Last Updated: 08/01/2020 15:09:40		

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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	32	
		Prevent - Lease and Hire Agreements	Indicator	
		Prevent - Nominated Lead Officer for Prevent		
		Prevent - Security and Terrorism implications in report template	Probability	Impact
		Prevent - Venue Guidance	2	4
		Prevent - WRAP workshops		
		Prevent matters discussed at Safeguarding meetings.		
		Representation at County Prevent Board		
			Comment Last Updated: 08/01/2020 15:11:00	

<i>Description of Risk</i>	<i>Risk Manager</i>	<i>Controls</i>	<b>Current Score</b>	<i>Latest Comment and comment date</i>
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	Nick Long	Resilience - Business Continuity Management Process	25	
		Resilience - Care of People Plan	Indicator	
		Resilience - Crisis Support Team		
		Resilience - Extended Floodline	Probability	Impact
		Resilience - Local Resilience Forum	1	5
		Resilience - Resilient Telecommunications		
		Resilience - Training and Exercising		
		Resilience - WHBC Emergency Plan		
			Comment Last Updated: 08/01/2020 15:14:12	

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
Strategic - Health and Safety Description: Failure to maintain an adequate and effective safety management system within the Council, 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	Nick Long	H&S - Collective Responsibility of Executive Board	25		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.
		H&S - Corporate Health and Safety Policy	Indicator		
		H&S - Inspection and auditing			
		H&S - Map of the extent of the undertaking	Probability	Impact	
		H&S - Periodic Inspection of plant and equipment.	1	5	
		H&S - Risk and Resilience Team			
		H&S - Risk Assessment Policy			
		H&S - Safety Director Role			
		H&S - Staff Induction and Training			Comment Last Updated: 08/01/2020 15:17:41

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
Strategic - Local Plan Description: Risk that Local Plan will be found unsound. Inspector 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, Reputational damage	Nick Long	Planning - Committees	100		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.
		Planning - Consultation	Indicator		
		Planning - Evidence			
		Planning - Project Plan	Probability	Impact	
		Planning - Section 106 and CIL	4	5	
					Comment Last Updated: 08/01/2020 14:32:50

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
Strategic - Finance Description: Plans for meeting the growing budget gap are not delivered on time to ensure continued sufficient resources to pay for services. Consequences: Finance - WHBC runs out of money, Reputational damage, Service delivery - loss/reduction, Financial - affects on receipts, Service delivery - can't met demand	Ka Ng	Finance - Annual Governance Statement	50		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 co-ordinate 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.
		Finance - budget challenge process	Indicator		
		Finance - budget preparation process			
		Finance - budgetary control by managers	Probability	Impact	
		Finance - capital programme	2	5	
		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 Last Updated: 10/01/2020 15:58:26		

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
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	32		Comment: Many projects remain ongoing across the council which require communications support including the Local Plan, Hatfield town centre and neighbourhood centre regeneration. A full time Communications Officer left in January 2020 and has been replaced on a three month fixed term to the end of April 2020.
		Comms - Communications Team	Indicator		
		Comms - Corporate Communications Strategy			
		Comms - media monitoring	Probability	Impact	
		Comms - media trained staff and Members	2	4	
		Comms - surveys			
		LGAPeer Challenge			
		Social Media Policy			
					Comment Last Updated: 03/02/2020 12:11:14

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
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	32		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 LGAassessment 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.
		ICT - Disaster Recovery Plan	Indicator		
		ICT - ICT Strategy			
		ICT - infrastructure review	Probability	Impact	
		ICT - malware detection	2	4	
		ICT - PSN Compliance Testing			
		ICT - Temporary PSTN connection			
			Comment Last Updated: 24/01/2020 12:46:38		

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
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	32		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.
		ICT - data encryption	Indicator		
		Internal Auditing			
		Procurement considerations - Data Protection in Contracts	Probability	Impact	
			2	4	
					Comment Last Updated: 10/01/2020 16:24:27

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
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	50		
			Indicator		
			Probability	Impact	
			2	5	
					Comment Last Updated: 10/01/2020 16:26:21

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
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 take. Consequences: Additional costs, Economic - inward investment, Economic development, Community impact, Economic - loss of funding	Rob Bridge	Brexit - appropriate action plan to be produced	45		Comment: The EU Withdrawal Bill has now been agreed by Parliament, with a leave date of 31st January. we will continue to engage and liaise with Government, the East of England Local Government Association and the Local government Association nationally.
		Brexit - Communication to businesses/communities	Indicator		
		Brexit - LRF Strategic Co-ordinating Group	Probability	Impact	Comment Last Updated: 18/02/2020 10:58:07
		Brexit - MHCLG Seminar	5	3	
		Corporate Governance - engagement with Councillors			
		ECMT Brexit Workshop			
		LGAMembership			
		LGAsupport and briefings			



Description of Risk	Risk Manager	Controls	Current Score	Latest Comment and comment date
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	48	
		Finance - budgetary control by managers	Indicator	
		Finance - HRABusiness Plan	Probability 3	Impact 4
		Housing, Homelessness and Rough Sleeping Strategy		
		Night Shelter and rough sleeper navigators		
		Private Sector Navigator post		
		Provision of temporary accommodation stock		<p>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.</p>
		Use of funding for homeless prevention		
				<p>Comment Last Updated: 23/04/2019 17:51:29</p>