Red - High Risk (16 & Over)
Amber - Medium Risk (11 - 15)
Green - Low Risk (10 & Under)

Service Team	Description of Strategic Risk	Controls	Mitigation Plans	Owner	Current Score	Previous Score Half-Year 1	Previous Score Half-Year 2
CM	**Change Management** Change Management Failure to change and adapt culturally as an organisation and/or failure to take account of the changing environment. Failure to adapt to the changing culture of the government Consequences: - reputation - intervention - legal and financial implications - political implications	Appropriately Skilled and Experienced Staff Awareness of Change Client Roles Communication Overview and Scrutiny Function Use links with Cabinet and local MP to influence and shape the future Use of Consultants Working groups		Michel Saminaden - Chief Executive John Dean - Leader of the Council and Chairman of the Local Strategic Partnership	9	9	9
Any Comments	There has been no update to this risk in Quarter 3 of 2016-17.						
COM	**Communication** Communication Failure to communicate the Council's priorities to its communities and failure to actively manage the Council's reputation. Failure to manage the Council's messages. Failure to mainstream communications and build ownership and consensus across the	Communication plans are agreed for all significant projects/high priority issues Communications Strategy is embedded and reviewed with	Communications Strategy Life Magazine - community newsletter	Tony Kingsbury - Executive Member for Policy & Culture Ka Ng - Executive Director	12	12	12

	organisation. Failure to consider communications implications and involve the Communications Team. Consequences; Loss of trust, loss of reputation, unable to manage key council messages and news	HoST Communications Team seeks to attend DMTs Media Trained Staff and Members Monitoring system for positive and negative news coverage Review and monitoring of Communications Strategy by Executive Board Skilled and Experienced Communications Team Undertaking perception and satisfaction based surveys Undertaking Perception Based Surveys						

Any Comments	There has been no update to this risk in Quarter 3 of 2016-17.							

| COR | **Corporate Resilience** Corporate Resilience 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 and statutory duty to respond with other | Business Continuity Incident Management Team Constitution Crisis Support Team DR plan Duplicate facilities Emergency Plan Hertfordshire | BCM Peer Review Contractor BCM Awareness Raising Document Crisis Support Team Exercising RAYNET Volunteer Team | Bernard Sarson - Executive Member for Business, Partnerships and Public Health Nick Long - Executive Director | 8 | 8 | 8 |

	agencies The effects of an incident on the day to day business of the Council and our ability to maintain "business as usual" Consequences: Financial costs of backlog management, compensation and litigation. Damage to Council reputation, including criticism at any subsequent inquiry, media interest and public criticism. Possible effects on human welfare.	Resilience Pandemic Flu Group Resilience Team Training and Exercising Programme	skills and competencies WHC Business Continuity Plan				
Any Comments	We are designing and implementing a revised business continuity process as part of the re-integration of the Housing Trust and this will be in place by April 2017. An exercise took place on 30 January involving all service teams, with some learning to follow on from this.						
ENG	**Engagement** Engagement Failure to involve stakeholder/residents in setting Council priorities. Consequences: Disengagement of communities Poor collaborative outcomes Inability to prioritise services and resources	Community Engagement Programme Feedback from service based consultation Management of LSP Engagement Process Service based customer surveys	Annual Community Engagement Report Borough Panel Consultation 'My Council' survey	Ka Ng - Executive Director Tony Kingsbury - Executive Member for Policy & Culture	12	12	12
Any Comments	There has been no update to this risk in Quarter 3 of 2016-17.						
EQA	**Equalities and Diversity** Failure to meet the obligations around Equalities and Diversity, including a breach of the Equalities Act 2010 and the council's own Equalities and Diversity Scheme and Equality Improvement Plan. This may be in relation to employment matters, employees, service delivery, the community and customers.	Carrying out EIAs for all policy and service changes Codes of Conduct and regular mandatory training for officers and members on equality, diversity and safeguarding		Nick Long - Executive Director Tony Kingsbury - Executive Member for Policy & Culture	8	8	8

		Consequences: Litigation (and associated financial impacts) and reputational damage.	Equality and Diversity Steering Group Equality Improvement Plan and Dedicated Resources Review of EIAs at Equality and Diversity Steering Group Robust monitoring				
	Any Comments	There has been no update to this risk in Quarter 3 of 2016-17.					
FIN		**Finance** Failure to have sufficient reserves to deal with unexpected budget pressures resulting from increasing demand on our services, worse than predicted Government Funding level, volatility and reliance on locally generated business rates and council tax and the ongoing pensions position (as informed by actuarial audit). Consequences: The Authority runs out of money, external criticism, Government intervention, loss of service to tax payers. Loss of income from fees and charges. Inability to cope with increasing demands on services.	Annual Governance Statement Asset Management Plan Budget Challenge Process Budget preparation process Budgetary control by managers Capital Programme Codes of Conduct and regular mandatory training for officers and members on equality, diversity and safeguarding Constitution Delivery of the economic development strategy External and internal audit Finance Procedure Rules		Ka Ng - Executive Director Duncan Bell - Deputy Leader of the Council and Executive Member, Resources	15	15

The last row contains three value columns showing: 15, 15, 15.

		Financial Information System (Agresso) HRA Business Plan Medium Term Financial Plan Monthly collection fund monitoring Pension fund considered as part of the annual budget process Performance monitoring of collection rates Recognition of economic downturn within future budget processes Systems reconciliation Three year actuarial valuation of pension fund Treasury Management Policy Use and Control of Reserves and Balances						
Any Comments	Budget monitoring reports for the first two quarters of 2016-17 have been completed and presented to Cabinet and ROSC. These have reported a sustainable position. A balanced budget for 2017-18 has been prepared with an estimated minor drawdown on general fund reserves. Planning is underway with a number of projects identified to deliver the necessary savings over the medium to longer term. Monitoring of the delivery of these projects will be critical.							

GOV	**Governance** Failure to maintain effective governance arrangements, including: - Standards and Ethics - Anti-fraud and corruption arrangements - Whistleblowing - Information governance (FoI, Data Protection) - Risk management - Compliance with the requirements of the Localism Act - Transparency Consequences: Litigation, loss of reputation, financial impacts, external auditor criticism	Governance Group Anti Fraud and Corruption Strategy Constitution Contract Procedure Rules Dedicated Data Protection Officer Dedicated FoI Officer Employee Code of Conduct Finance Procedure Rules Local Code Governance Member Code of Conduct Overview and Scrutiny Function Standards Committee Transparency Code Whistleblowing Policy		Roger Trigg - Executive Member for Governance, Community Safety, Police and Crime Commissioner and Corporate Property Nick Long - Executive Director	12	12	12
Any Comments	No major issues flagged in this period. Constitution review has commenced.						
H&S	**Health and Safety** Health and Safety 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 & service providers and compliance with safety laws and regulations. Consequences: serious injury, work-related ill health or fatalities	Collective Safety Responsibility of Executive Board Communication with Employees External Inspection and Auditing by Consultants Induction and Ongoing Training Periodic Inspection of	Condition Survey Findings Grey Fleet Potentially Violent Customer Policy Stress Policy Workplace Inspections	Bernard Sarson - Executive Member for Business, Partnerships and Public Health Nick Long - Executive Director	8	8	8

	leading to lost productivity, absence, litigation, external investigation by enforcing authorities, and possibly prosecution up to and including the Corporate Manslaughter and Corporate Homicide Act.	Premises, Plant and Equipment Risk and Resilience Officer Risk Assessments & Associated Control Measures Safety Director Role Safety Policy Document					
Any Comments	Work is being undertaken to consider the extent of the council's undertaking in this respect. No update in the risk score will happen until then.						
ICT	**ICT Failure** ICT Failure Critical failure of ICT services, for example due to virus attack, lack of network capacity, hacking, hardware failure, etc. There is also a risk of critical ICT failure due to the server room move from BRE to Campus East. This involves Consequences: Loss of ICT dependent services.	Alternative methods to update local and remote databases DR plan Duplicate facilities ICT - Temporary PSTN connection Infrastructure review to stabilise our virtual environment IT Strategy Put back BRE lease termination date	Virtual Hardware Virtualisation Process WHC Business Continuity Plan	Duncan Bell - Deputy Leader of the Council and Executive Member, Resources Ka Ng - Executive Director	8	8	8
Any Comments	This risk became very real in August 2016 when a ransomware virus infiltrated our systems. Fortunately our controls isolated the virus to individual PCs and shared drives and, so while it did cause delay and problems for some staff, it did not lead to a critical failure. Application Control software has been implemented and is still being monitored before "going live" in the near future. This will help stop ransomware from being able to infiltrate the system. Staff and Members have been reminded not to open attachments on emails unless they are confident of its source.						

LP	**Local Plan** Failure to have an approved strategy and plans in place to deliver sustainable growth for the Borough, balancing the demands for new development with protection of the environment, which where necessary, have been through a process of public involvement and have been independently endorsed by government. Consequences: The local economy achieves less than its full potential; delivery of New Homes Bonus, future Council Tax and Business Rate receipts is adversely affected; investment proposals do not come to fruition; failure to provide sufficient affordable housing; local infrastructure projects may not be delivered; contribution towards funding new and improved local facilities does not happen; unplanned 'hostile' developments occur. Opportunities to bring in external funding to assist the delivery of sustainable growth are lost; Reputational damage.	Extensive evidence will underpin the development of our Local Plan and inform our proposals Input from CHPP Project plan for the Local Plan is in place Public scrutiny, including a public examination led by an independent Planning Inspector S106/Community Infrastructure Levy is in place		Nick Long - Executive Director Mandy Perkins - Executive Member for Planning, Housing & Community	12	12	12
Any Comments	There is no update to this risk.						
MPA	**Management of Physical Assets** Management of Physical Assets Failure to adequately manage the physical assets of the Council, including its housing and non-housing properties, open spaces and other land and including increased property holding in Hatfield town centre . Consequences: Loss of usable property resources. (Lost income and additional cost) Risk to Health and Safety to	Asset Management Plan Capital Programme Decent Homes Strategy Finesse Leisure Partnership Agreement HRA Business Plan IPF Property	Rewrite/Update the HRA Business Plan Financials	Ka Ng - Executive Director Roger Trigg - Executive Member for Governance, Community Safety, Police and Crime Commissioner and Corporate Property	9	9	9

	occupiers and visitors. Accelerate the deterioration/dilapidation of building assets. Negative impact on reputation of the Council. Potential for investment and needs priority mismatches.	Condition Survey (Premises) 2002 Neighbourhood Shopping Centres Policy					
Any Comments	The property portfolio is monitored and items of necessary investment are bought to the attention of Members if above delegated budget levels. An urgent report came forward to Cabinet in January 2017 for repair works to Campus West tower and this work was planned to commence in the week of 23 January.						
PART	**Partnerships** Partnerships Failure to achieve and evidence the capacity available by working in partnership. Consequences: Inability to find capacity for sustainable improvement. Inability to align with good practice requirements. Inability to demonstrate our improvements to those who scrutinise us. Reputation damage.	Annual Assessment of the Effectiveness of Our Partnerships Effective management of our partnership with the Community Housing Trust Effective management of partnership with the Community Housing Trust Effective Management of the Finesse Leisure Partnership Effective management of Welwyn Hatfield Alliance (Local Strategic Partnership) Performance Reward Grant Management Process Use of other partnership	Alliance meetings and annual conference Partnership reporting (e.g. CHT and Finesse) to council meetings Sustainable Community Strategy	Bernard Sarson - Executive Member for Business, Partnerships and Public Health Ka Ng - Executive Director	8	8	8

		agreements as needed			🟩	🟩	🟩
Any Comments	There has been no update to this risk in Quarter 3 of 2016-17.						
PROC	**Procurement** Failure to procure effectively and efficiently, including failures of contract management arrangements and client side monitoring procedures Consequences: Over pay for goods/services. Poor quality goods/services. Failure to achieve desired outcomes.	Annual Governance Statement Constitution Contract Procedure Rules Embedding procurement with HoST External and internal audit Finance Procedure Rules Finesse Leisure Partnership Agreement Internal/External Audit Procurement function Procurement Handbook Procurement strategy Procurement Training Sustainable Procurement Strategy	New Procurement Implementation Plan	Bernard Sarson - Executive Member for Business, Partnerships and Public Health Nick Long - Executive Director	8	8	8
Any Comments	Current review of the procurement function and risks taking place.						
PROJ		Contract Procedure Rules Contractual remedies Delivery of the performance		John Dean - Leader of the Council and Chairman of the Local Strategic Partnership Michel	12	12	12

		management framework Delivery of the quarterly performance clinics Formation of project teams Overview and Scrutiny Function Procurement function Risk Assessments & Associated Control Measures		Saminaden - Chief Executive			
Any Comments	There has been no update to this risk in Quarter 3 of 2016-17.						
SAF	**Safeguarding** Failure to meet obligations in respect of children and vulnerable adults, including our Safeguarding Policy and working in partnership with other agencies, including the Hertfordshire Safeguarding Children Board and the Hertfordshire Safeguarding Adults Board. This risk also covers our arrangements under the government's PREVENT strategy. Consequences: Abuse may remain undetected or unreported, resulting in harm to a child or vulnerable adult. Possible litigation and reputational damage.	Designated Safeguarding Officers Group Mandatory Safeguarding training Representation and Learning through Herts Safeguarding Boards Safeguarding Policy Senior Management Leadership on this Issue		Tony Kingsbury - Executive Member for Policy & Culture Nick Long - Executive Director	8	8	8
Any Comments	There has been no update to this risk in Quarter 3 of 2016-17.						
STF	**Staff** This risk covers a failure to: .Manage staff morale and motivation in challenging times. Adequately manage employee	Guidant Managed Service Contract Health and Wellbeing Sessions	Staff - Introduce workflow and self service	Nick Long - Executive Director Roger Trigg - Executive Member	6	6	6

	performance through the setting of SMART objectives and targets. Implement People Strategy, succession and workforce development plan. . Recruit, retain and develop talented employees. . Take initiatives to manage employee wellbeing Consequences: Overall capacity may be reduced, and low morale may result in reduced goodwill and productivity. This could result in a failure to achieve targets and objectives and affect service delivery. There may also be a necessity to use agency staff, resulting in increased expenditure	HR - Training Needs Analysis HR Policies and Procedures 'Jobs Go Public' application tracking system Learning and Development Plan Monitoring appraisal scheme Occupational Health Contract Optima People Strategy		for Governance, Community Safety, Police and Crime Commissioner and Corporate Property			
Any Comments	There is no update to this risk.						