

**DRAFT Strategic Risk Register – October 2017**

<b>Risk Description</b>	<b>Owner</b>	<b>Controls</b>	<b>I</b>	<b>L</b>	<b>S</b>
<p><b>Community Consultation and Engagement</b>                      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.</p> <p>Consequences: Intervention by regulatory bodies, legal challenge, reputational damage and additional costs. Services will not be shaped around the needs of people in the community.</p>	Simone Chinman-Russell – Executive Director Ka Ng – Executive Director	Tenant Involvement Strategy (Housing) Appropriate policies and procedures in place for all services Borough Panel Tenants’ Panel Alliance Strategy Regular consultation exercises carried out by services	High	Low	8
This remains a relatively low risk to the Council at this time. Major consultation work on the Local Plan and the green garden waste subscription scheme have ended this year.					
<p><b>Equality and Diversity</b>                      The council failing to comply with its legal and moral obligations to customers, staff, partners, Members and the wider community.</p> <p>Consequences: Litigation (and associated financial impacts) and reputational damage.</p>	Simone Chinman-Russell – Executive Director Tony Kingsbury - Executive Member for Policy & Culture	Corporate equality group with clear aims and relevant membership Training for staff, Members and Tenants’ Panel Appropriate HR policies in place and implemented Equalities Impact Assessment process in place	High	Low	8
The corporate Equality & Diversity Steering Group is now meeting six-weekly to develop and implement an Action Plan which covers the work of all council services. A new EqIA process is being rolled out to all staff, as is new equalities wording for use on all Cabinet and Committee reports.					
<p><b>Management of Council owned property assets (Housing)</b>                      Failure to provide and maintain council property assets, including housing and non-housing property. Taking opportunities to invest in assets.</p> <p>Consequences: Increased homelessness in the borough and detrimental impact on the community. Possibility of assets becoming unsafe or unfit.</p>	Simone Chinman-Russell – Executive Director  Mandy Perkins – Deputy Leader	Housing and Homelessness Strategy Asset Management Plan HRA Asset Strategy/Business Plan	Very High	Low	10
No comments were made.					
<p><b>Management of Council owned property assets (Non-Housing)</b>                      Failure to provide and maintain council housing property assets                      Taking opportunities to invest in assets.</p> <p>Consequences: Economic development may be stifled. Possibility of</p>	Ka Ng – Executive Director  Roger Trigg - Executive Member for Governance,	Proactive approach to taking opportunities for increasing our property portfolio (social and commercial properties)	Very High	Low	10

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assets becoming unsafe or unfit.	Community Safety, Police and Crime Commissioner and Corporate Property	Asset Management Plan			
Training currently underway to improve the interrogation of the K2 data base. KPI production being refreshed as a new staff has joined the Corporate Property team.					
<b>Safeguarding</b> Failure to meet obligations in respect of children, vulnerable adults and persons vulnerable to radicalisation.  Consequences: Abuse may remain unreported or undetected, resulting in harm to a vulnerable child or adult. Possible litigation and reputational damage.	Simone Chinman-Russell – Executive Director	Safeguarding Vulnerable Adults Policy/Safeguarding Children Policy being developed to replace existing council policy– following re-integration of the housing service. Safeguarding audit and action plan – updated regularly by Safeguarding Steering Group	High	Low	8
The Safeguarding Steering Group is meeting quarterly with representation at a senior level. An Action Plan picking up HSCB audit recommendations is being developed and implemented.					
<b>Change Management</b> Since the previous update the Housing service transfer back to the council continues to embed and the new executive directors and chief executive are successfully settling into their new roles. Further service and operational changes are likely to continue during the year and the next twelve months will see these major changes bedding in and have the potential to be very challenging, both politically and managerially. It is critical that we continue deploying all our skills in managing these changes, both at managerial and political levels if we are to obtain optimum value for money and efficiency. We will need to keep a continuous and close watch on all external developments and adapt to the changing requirements. In doing this, we will work closely with partners and use all of our contacts to keep ourselves fully informed, including the offices of the local MP.	Rob Bridge– Chief Executive  John Dean – Leader of the council	Appropriately skilled and experienced staff Awareness of change Client roles Communication Management Development Use links with local MP to influence and shape the future Use of consultants Working groups	High	Low	8
No Change to this risk at present.					

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<p><b>Staff/Workforce</b>            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. Impact of Council's decision to review the Housing Trust.</p>	<p>Nick Long – Executive Director</p> <p>Bernard Sarson - Executive Member for Business, Partnerships and Public Health</p>	<p>Workforce Development Strategy in progress.            Apprentice scheme in progress.            Training and awareness of HR staff.            Head of Service Management Assurance statement.            Departmental training plans/CPD.            Robust recruitment and selection process.            Use of agency staff.            New sickness absence monitoring process.</p>	High	Medium	12
Staff turnover continues to be high, leading to continuous recruitment campaigns					
<p><b>Housing Trust reintegration</b>            Merging two organisations enables the exploitation of opportunities for integration, efficiency and value for money. There are however areas where there is potential for failure:</p> <ul style="list-style-type: none"> <li>• Failure to successfully merge cultures, leading to a 'them and us' mentality among staff and therefore losing the benefits of joint working;</li> <li>• Failure to integrate the safety management system;</li> <li>• Failure to have a consistent approach to customer services, including complaints management</li> <li>• Failure to maintain quality of the service to residents/meet statutory obligations as a result of de-motivation/dis-engagement of staff and inconsistent corporate processes;</li> <li>• Failure to implement appropriate governance arrangements, including those for tenant and Member engagement.</li> </ul> <p>Consequences: Workforce morale may suffer, there may be reputational damage, increased financial impacts through inefficiencies, tenant discontent and potential for litigation or regulatory intervention.</p>	All	<p>Joint staff newsletter and employee events to encourage sharing information on services and to embed a shared corporate culture            New corporate Customer Services Strategy in development to ensure a consistent approach across all services in the council, including the housing service – this includes managing customer feedback, complaints and Members Enquiries            All services benefit from the support of the council's H&amp;S Officer and all staff are required to adhere to a revised joint Health and Safety Policy – the policy is currently under development following collaboration between council and former Trust staff.            A new Cabinet Housing Panel will operate from June 2017 – a Members' Housing Training event is taking place in June 2017 to share information the service</p>	High	Low	8
Work continues on this and a review of a number of HR policies has commenced with the aim of harmonising the policies in the longer term.					
<p><b>Elections</b>            Failure to ensure sufficient continuity and handover of electoral expertise between outgoing and incoming Returning Officers.</p>	<p>Nick Long – Executive Director</p> <p>Bernard Sarson - Executive Member for Business,</p>	<p>Experienced staff remain.            Project plan.            Separate risk register.            Training.            New Chief Executive has some election experience.</p>	High	Low	8

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	Partnerships and Public Health	Handover process is in place.			
Handover was completed and a successful election process was implemented for the snap" general election earlier this year.					
<p><b>Prevent</b> Not properly implementing the government's 'Prevent' agenda to address the risks of radicalisation. Consequences: Staff may lack the awareness to detect signs of radicalisation and the steps to take if they do. This could lead to lack of cross working with partners, delayed referral to 'Channel' and ultimately the propagation of extremist ideologies and the commission of related acts.</p>	<p>Nick Long – Executive Director</p> <p>Bernard Sarson - Executive Member for Business, Partnerships and Public Health</p>	<p>WRAP sessions mandatory for all frontline staff and encouraged for others. In depth training on ideological extremism undertaken by Designated Safeguarding Officers. Nominated lead officer for Prevent. Prevent matters discussed at Safeguarding meetings. Council officers attend Channel meetings where appropriate. Venue manager guidance issued to all council and Finesse venue managers. Council hire and lease agreements contain catch all clauses for 'inappropriate' activities or uses, enabling extremist users to have agreements terminated.</p>	Very High	Medium	15
<p>We are keeping a watching brief as the government agenda may change with regard to Prevent. Three staff have undertaken "Project Griffin" counter terrorism awareness training, to enable them to deliver the Project Griffin products in support of our business continuity promotion duty to the local community.</p>					
<p><b>Corporate Resilience</b> 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 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.</p>	<p>Nick Long – Executive Director</p> <p>Bernard Sarson - Executive Member for Business, Partnerships and Public Health</p>	<p>Embedded partnership working with other agencies WHBC Emergency Plan Crisis Support Team Exercising and training Resilient telecoms, including RAYNET, MTPAS and Resilience Direct WHBC Business Continuity Plan EA Extended Floodline service</p>	Very High	Low	10
<p>The Emergency Plan has been reviewed. The council has arrangements in place which include being able to obtain mutual aid from other local authorities and the voluntary sector, and these arrangements are</p>					

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being explored more fully in a workshop later this month.					
<p><b>Health and Safety</b> 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 &amp; service providers and compliance with safety laws and regulations. Consequences: serious injury, work-related ill health or fatalities leading to lost productivity, absence, litigation, external investigation by enforcing authorities, and possibly prosecution.</p>	<p>Nick Long – Executive Director  Bernard Sarson - Executive Member for Business, Partnerships and Public Health</p>	<p>Collective Safety Responsibility of Executive Board Map of the extent of the undertaking Communication with Employees Inspection and Auditing Induction and Ongoing Training Periodic Inspection of Premises, Plant and Equipment Risk and Resilience Team with professional competence Risk Assessments &amp; Associated Control Measures Safety Director Role and regular meetings Safety Policy Document</p>	Very High	Medium	15
<p>Work has been undertaken to “map the council’s undertaking” to ensure Heads of Service are clear about the areas for which they have control and the risks they are expected to manage.</p> <p>The next step will be to check and audit a series of risk assessments.</p>					
<p><b>Local Plan</b> Failure to have and deliver a sound Local Plan. 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.</p>	<p>Nick Long – Executive Director  Mandy Perkins – Deputy Leader</p>	<p>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</p>	Very High	Medium	15
<p>Inspector considered legal matters at opening hearing session on 21 September. Next sessions on growth strategy took place 24-27 October. It appears the Inspector will use these to decide whether the council has met legal duties especially in respect of the duty to co-operate with adjoining authorities. There is still a chance that the Plan could fail, so the current score should remain.</p>					

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<p><b>Finance</b> Plans for meeting the growing budget gap are not delivered on time to ensure continued sufficient resources to pay for services. 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.</p>	<p>Ka Ng – Executive Director</p> <p>Duncan Bell - Executive Member, Resources</p>	<p>Annual Governance Statement Asset Management Plan Budget Challenge Process Budget preparation process Budgetary control by managers Capital Programme External and internal audit Finance Procedure Rules Financial Information System (Agresso) HRA Business Plan Medium Term Financial Plan Treasury Management Policy Use and Control of Reserves and Balances</p>	Very High	Medium	15
<p>Significant progress has been made to close the budget gap in 2018-19. In particular, Executive Board and Cabinet met on 19 July and 24 August to discuss a number of budget proposals in the medium term. The Conservative Group Away Day also considered some of these proposals on 24 September.</p>					
<p><b>Communication</b> 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 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</p>	<p>Ka Ng – Executive Director</p> <p>Tony Kingsbury - Executive Member for Policy &amp; Culture</p>	<p>Communication plans are agreed for all significant projects/high priority issues Communications Strategy is embedded and reviewed with 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</p>	High	Low	8
<p>This remains a relatively low risk to the Council at this time. Housing Service communications have been successfully assimilated into the corporate Communications team over 2017. Relations with local media outlets remains generally good with a lot of positive coverage reported at this time.</p>					
<p><b>ICT Failure</b> ICT Failure Critical failure of ICT services, for example due to virus attack,</p>	<p>Ka Ng – Executive Director</p> <p>Duncan Bell -</p>	<p>Blocking potential virus emails where common themes are detected. Alternative methods to update local and remote</p>	Very High	Medium	15

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and ransomware virus attacks, which target computers running Microsoft Windows encrypting the personal documents , lack of network capacity, hacking, hardware failure, etc. These attacks are more prevalent and there is a risk of critical IT failure resulting from these. This involves Consequences: Loss of ICT dependent services.	Executive Member, Resources	databases DR plan ICT - Temporary PSTN connection Infrastructure review to stabilise our virtual environment IT Strategy			
The council uses McAfee as our software security supplier. Our security products are automatically updated with patches regularly downloaded to protect us from particular variants of ransomware. In addition to this we have recently deployed administration rights management software which limits the impact of what a Virus / Malware can do if it does get on to a PC.					
<b>ICT (Data Protection)</b> The new General Data Protection Regulations (GDPR) will replace the current Data Protection Act from May 18. It contains some onerous obligations that will have an immediate impact. As we handle people’s data we are responsible for keeping it safe and are bound by law to comply with data protection regulations.	Ka Ng – Executive Director  Duncan Bell - Executive Member, Resources	Establishing policies and procedures. Arranging staff training, implementing protective measures corresponding to the level of risk of their data processing activities.  Encrypt as much of our personal and business confidential data as is practicable and on a risk-based approach, paying particular attention to sensitive personal data, mobile devices and data transfers outside the business	Very High	Medium	15
Data protection training has been rolled out to staff and Members. A revised data protection policy is going to the Cabinet.					
The IT security measures we have in place meet GDPR requirements, and we are putting together data protection notification statements (e.g. the rights of an individual) that need publishing and introducing some policies to meet our obligations.					