



<i>Description of Risk</i>	<i>Risk Manager</i>	<i>Controls</i>	Current Score	<i>Latest Comment and comment date</i>
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	32	Comment: New recent consultation exercises: Customer Services Strategy - agreeing the council's principles of customer services Equality Scheme - agreeing the council's equality objectives
		Borough Panel	Indicator	
		Corporate Strategy - Customer Services Strategy		
		Corporate Strategy - Tenant Involvement Strategy (Housing)		
		Policy and Procedure Framework		
		Regular consultation exercises carried out by services		
		Tenants' Panel		

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Strategic - Management of Council Owned Housing Property Assets Description: Failure to provide and maintain council housing property assets Taking opportunities to invest in assets. Consequences: Increased homelessness, Community impact, Economic development, Unsafe assets	Simone Chinman Russell	Housing and Homelessness Strategy	32	Comment: Work is continuing to develop the Housing and Homelessness Strategy The Older Persons' Housing Strategy is in the implementation stage and this includes the re-development of Minster House The HRA Business Plan is in development, to be launched in the autumn/winter of 2018
		HRA Asset Strategy/Business Plan	Indicator	
				Comment Last Updated: 09/07/2018 17:00:26

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Strategic - Equality and Diversity Description: The council failing to comply with its legal and moral obligations to customers, staff, partners, Members and the wider community. Consequences: Legal - Litigation, Additional costs, Reputational damage	Simone Chinman Russell	Equalities Impact Assessments	32	Comment: Member training taking place on 16 July 2018 Equality Scheme will be going to full council 17 September 2018
		Equalities Training	Indicator	
		Equality Group		
		HR Policies (overall framework)		
				Comment Last Updated: 09/07/2018 17:03:54

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Strategic - Safeguarding Description: Failure to meet obligations in respect of children, vulnerable adults and persons vulnerable to radicalisation. Consequences: Undetected Abuse, Legal - Litigation, Reputational damage	Simone Chinman Russell	Safeguarding Action Plan Safeguarding Policies	32	Comment: The Safeguarding Childrens and Safeguarding Adults at Risk policies have been developed and approved by council. New Reporting Pathways have been developed and published Training is underway for all members of staff - training is mandatory Members training will be refreshed and delivered in 2018
			Indicator	
Comment Last Updated: 09/07/2018 17:08:21				

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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	Chief Executive Briefings Communication LGA Membership Peer Challenge Staff Use of consultants	32	COMMENT: NONE COMMENT LAST UPDATED: NONE
			Indicator	

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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. Impact of Council Consequences: Legal - Litigation, HR - High Staff Turnover, Low morale, Additional costs	Nick Long	Apprenticeship Scheme Corporate Governance - Management Assurance Statement Departmental Training Plans HR - Agency Staff Policy HR - Recruitment and Selection Process HR - Sickness Absence Policy HR - Workforce Development Strategy Training and Awareness of HR Staff	48	Comment: Recruitment remains a challenge in certain areas Comment Last Updated: 05/07/2018 10:23:04
			Indicator	

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Strategic - Elections Description: Failure to organise and deliver a successful election Consequences: Reputational damage, Legal - challenge, Additional costs	Nick Long	Corporate Governance - Risk Management Process	32	Comment: We are monitoring the current situation carefully
			Indicator	
		Elections - Managed Handover		
		Elections - Project Plan in Place		
		Staff		
		Training - Electoral Services		Comment Last Updated: 05/07/2018 10:25:53

Description of Risk	Risk Manager	Controls	Current Score	Latest Comment and comment date
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	48	Comment: WRAP sessions are being held monthly, and we are also training the local Police Community Support Officers. The Risk and Resilience Manager is now a member of the county Prevent Board, which meets quarterly.
		Prevent - Lease and Hire Agreements	Indicator	
		Prevent - Nominated Lead Officer for Prevent		
		Prevent - Security and Terrorism implications in report template		
		Prevent - Venue Guidance		
		Prevent - WRAP workshops		Comment Last Updated: 03/07/2018 09:58:00
		Prevent matters discussed at Safeguarding meetings.		

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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	50	Comment: A table top exercise was held on April 12th and a live exercise is being held on September 13th. Our training programme continues, and we have delivered sessions in partnership with St Albans District Council. The Emergency Plan will be reviewed during August.
		Resilience - Care of People Plan	Indicator	
		Resilience - Crisis Support Team		
		Resilience - Extended Floodline		
		Resilience - Local Resilience Forum		
		Resilience - Resilient Telecommunications		Comment Last Updated: 03/07/2018 09:55:25
		Resilience - Training and Exercising		
		Resilience - WHBC Emergency Plan		

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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	16	<p>Comment: Policy reviews continue and are on target. A new apprentice has commenced in the Risk and Resilience Team and is contributing effectively to the work of the team.</p> <p>Comment Last Updated: 03/07/2018 09:56:45</p>
		H&S - Corporate Health and Safety Policy	Indicator	
		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		

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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, by carrying out new Green Belt Study. New NPPF likely to introduce penalties if councils do not meet housing needs. 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	48	<p>Comment: The public examination is ongoing. The inspector has asked the Council to carry out a further green belt study to help identify sites for additional housing, to reach the objective assessment of need for 16,000 homes. There is a risk that the plan will be found unsound if the Council does not seek to meet this level of need.</p> <p>Comment Last Updated: 19/07/2018 18:46:30</p>
		Planning - Consultation	Indicator	
		Planning - Evidence		
		Planning - Project Plan		
		Planning - Section 106 and CIL		

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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	<p>Comment: There is a challenge to meet the targets, but we have a large number of robust controls and processes in place in order for us to meet the savings requirements. Work is underway on the 2019/20 budget, with a review currently being undertaken of the medium term financial strategy, and a review of recent governmant consultations on grant funding.</p> <p>Comment Last Updated: 30/07/2018 10:13:21</p>
		Finance - budget challenge process	Indicator	
		Finance - budget preparation process		
		Finance - budgetary control by managers		
		Finance - capital programme		
		Finance - external audit		
		Finance - Finance Procedure Rules		

	Finance - Financial Information System (Agresso)	
	Finance - HRA Business 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	

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Strategic - Communication Description: Failure to communicate the Council's priorities, to actively manage the Council's reputation, to manage the Council's messages, to mainstream communications and build ownership and consensus,to consider communications, or involve the Comms Team. Consequences: Reputational damage, Loss of trust, Comms - inability to manage message	Ka Ng	Comms - communication plan	32	<p>Comment: A fully staffed Communications team which meets the needs of all council services (including the recently reintegrated housing ones) has led to a re-evaluation of this risk. Relations with local media outlets also remain good at this time. This is in spite of some challenging communications issues over 2017-18.</p> <p>Comment Last Updated: 13/02/2018 12:20:16</p>
		Comms - Communications Team	Indicator	
		Comms - Corporate Communications Strategy		
		Comms - media monitoring		
		Comms - media trained staff and Members		
		Comms - surveys		

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Strategic - ICT Failure Description: ICT Failure Critical failure of ICT services, for example due to virus attack, and ransomware virus attacks, which target computers running Microsoft Windows encrypting the personal documents , lack of network capacity, hacking, hardware failure, etc. Consequences: ICT - loss of service	Ka Ng	ICT - database updates	32	<p>Comment: There is a continual battle against attacks, but we have a large number of robust controls and processes in place in order for us to say we are as protected as we can be, and the likelihood is significantly reduced because of this.</p> <p>Comment Last Updated: 13/02/2018 11:42:18</p>
		ICT - Disaster Recovery Plan	Indicator	
		ICT - ICT Strategy		
		ICT - infrastructure review		
		ICT - malware detection		
		ICT - Temporary PSTN connection		

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Strategic - Data Protection Description: 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. Consequences: Legal - Litigation, Intervention by regulatory bodies, Reputational damage, Legal - challenge, Additional costs	Ka Ng	Governance - Data Protection Policies	48	Comment: GDPR legislation came into effect in May 2018. In preparation for this a number of policies and procedures were implemented, and teh Data Protection Officer worked with services to identify the areas of greater risk. Since the start of this process, the higher risks have been adressed, and work continues with services to minimise risks where possible. Training has been rolled out to all staff & Councillors.
		ICT - data encryption	Indicator	
Comment Last Updated: 30/07/2018 10:16:31				

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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	Comment: Work continues on th property investment project, with a number of potential sites which will meet multiple corporate objectives. The Council has a capital work programme in place to adequately maintain its non-housing assets, and continues to be responsive to day to day repairs and maintenance.
			Indicator	
				Comment Last Updated: 30/07/2018 10:10:17

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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 Corporate Governance - engagement with Councillors ECMT Brexit Workshop LGA Membership LGA support and briefings	48	COMMENT: NONE COMMENT LAST UPDATED: NONE
			Indicator	