### **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 Corporate Strategy - Customer Services Strategy Corporate Strategy - Tenant Involvement Strategy (Housing) Customer Service Strategy - Customer Insight Framework Policy and Procedure Framework
		Regular consultation exercises carried out by services
		Tenants' Panel

Current Score
32
Indicator

Probability Impact
2 4

### Latest Comment and comment date

Comment: As part of the Customer Service Strategy delivery plan, the working group 'Customer Engagement' has developed an engagement framework.

Comment Last Updated: 15/01/2019 08:08:33

Description of Risk	Risk Manager	Controls
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	e Chinman Russell	Asbestos Management  Electrical safety  Finance - HRABusiness Plan  Fire Risk Assessment
Intervention by regulatory bodies, Customer dissatisfaction, Reputational damage, Additional costs, Financial Implications		H&S - organisation & responsibilities  Housing, Homelessness and Rough Sleeping Strategy
		HRAAsset Strategy/Business Plan LGSR compliance Planned works delivery I
		Policy and Procedure Framework  Property Services (Housing) - Disrepair  Water Hygiene

Current Score
32
Indicator

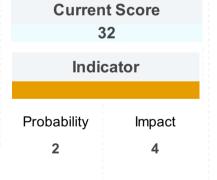
Probability Impact
2 4

### Latest Comment and comment date

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 redevelopment of Minster House, Sheltered Housing Scheme. The HRABusiness Plan is in development, to be launched in the Spring of 2019.

Comment Last Updated: 15/01/2019 08:10:03

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



### Latest Comment and comment date

Comment: Progress continues in implementing Safeguarding Action Plan. Positive feedback from recent audit visit by Chair of Herts Safeguarding Adults Board.

Comment Last Updated: 15/01/2019 08:28:53

D	escription of Risk	Risk Manager	Controls
S	trategic - Change Management Description:	Rob Bridge	Appraisal and one to one process
h	ave been rolled out across the council and re now being embedded to support our		Chief Executive Briefings
ri:	modernisation and improvement journey. This risk addresses the consequences of any failure to robustly manage change. Consequences: Inadequate service shaping, Additional costs, Reputational damage		Close Working Relationship with HR
C			Communication
A			HR - Employee Forum
			HR - Meetings with Trades Unions
			HR - Reporting to ROSC
			LGAMembership
			Peer Challenge
			Staff
			Use of consultants
C A	onsequences: Inadequate service shaping, dditional costs, Reputational damage		HR - Employee Forum HR - Meetings with Trades Unions HR - Reporting to ROSC LGAMembership Peer Challenge Staff

Current Score 32

### Indicator

Probability	Impact
2	4

### Latest Comment and comment date

COMMENT: NONE

COMMENT LAST UPDATED: NONE

Description	n of Risk	Risk Manager	Controls
Strategic - S	Staff/Workforce Description: Failure retain staff with key skills. Lack of		Appraisal and one to one process
resources of	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
and train ex failure to fol Consequer			Corporate Governance - Management Assurance Statement
Staff Turnov	er, 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)
			Training and Awareness of HR Staff

### Current Score 48

### Indicator

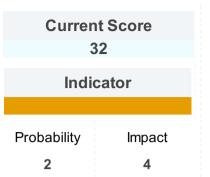
Probability	Impact
3	4

### Latest Comment and comment date

Comment: Recruitment remains a challenge in certain areas, with Heads of Service reporting challenges particularly in relation to specialist skilled and professional staff. This is something which is common across the local government sector. We are looking at reviewing our approaches to advertising, recruitment methods and job design/evaluation, however the risk remains.

Comment Last Updated: 07/01/2019 15:05:14

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: WRAP Sessions continue. In December 2018 we held sessions around the underpining ideologies behind Islamist and far right extremism delivered by two experts in the field. These were attended by around fifty staff and Members.

Latest Comment and comment date

Comment Last Updated: 03/01/2019 14:36:14

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	Nick Long	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

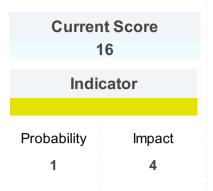


### Latest Comment and comment date

Comment: An exercise for CMT is planned for February and we are also running a Member training session. WHBC is also contributing to an HCC scrutiny process around engagement with the Local Resilience Forum.

Comment Last Updated: 03/01/2019 14:38:01

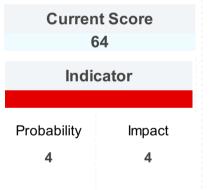
Description of Risk	Risk Manager	Controls
Strategic - Health and Safety Description: Failure to maintain an adequate and effective safety management system within the Council, including structures, processes, control	Nick Long	H&S - Collective Responsibility of Executive Board
measures and allocations of responsibilities and ensuring competence of employees, contractors and service providers.		H&S - Corporate Health and Safety Policy H&S - Inspection and auditing
Consequences: H&S - Injuries and III health, Lost productivity, Sickness absence, Legal -		H&S - Map of the extent of the undertaking
Litigation, Intervention by regulatory bodies, Reputational damage		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: Policy reviews continue, as does the programme of audits and inspections.

Comment Last Updated: 03/01/2019 14:40:09

Description of Risk	Risk Manager	Controls
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  Planning - Consultation  Planning - Evidence  Planning - Project Plan  Planning - Section 106 and CIL



### Latest Comment and comment date

Comment: CPPP have agreed new timetable which comprises call-for-sites in Jan, consultation in Feb/March, analysis over spring, recommendations to cllrs after May elections, further examination hearing sessions in autumn, modifications consultation in winter, receipt of Inspector's Report in early 2019 and adoption by spring 2019.

Comment Last Updated: 02/01/2019 13:45:34

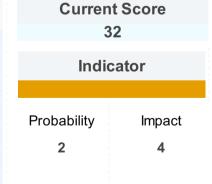
Description of Risk	Risk Manager	Controls
Strategic - Finance Description: Plans for meeting the growing budget gap are not	Ka Ng	Finance - Annual Governance Statement
meeting the growing budget gap are not delivered on time to ensure continued sufficient resources to pay for services. Consequences: Finance - WHBC runs out of money, Reputational damage, Service delivery - loss/reduction, Financial - affects on receipts,		Finance - budget challenge process
		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

Current Score 50		
Indicator		
Probability 2	Impact 5	

Comment: There is a 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. Work has been ongoing in quarter three on setting the 2019/20 budget, following a review of the medium term financial strategy. The draft budget proposals are presented to Cabinet and onto Full Council in quarter four. Based on the budget and forecasts, the current gap for 2020/21 stands at around £1.5m. There are large uncertainties around the financing for 2020/21, as many of the government funding streams are under review, as is the business rates apportionment/sharing system. A number of Government consultaions have been published in the recent months, and the Council has responded to these consultations within the requested timeframes, specifically requesting more certainty over future years.

Comment Last Updated: 18/01/2019 14:12:20

Manager	
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  Co	comms - communication plan comms - Communications Team comms - Corporate Communications Strategy comms - media monitoring comms - media trained staff and Members comms - surveys GAPeer Challenge ocial Media Policy



### Latest Comment and comment date

Comment: Afully 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.

Comment Last Updated: 13/02/2018 12:20:16

Description of Risk	Risk Manager	Controls
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 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 in quarter three: New mandatory online training was devloped for staff in relation to cyber security Aphishing simulation was undertaken to help the Council shape future training and communication Internal audits were undertaken on software, licensing and incident control, with the results expected during quarter 4.

Comment Last Updated: 18/01/2019 14:17:08

Description of Risk	Risk Manager	Controls
Strategic - Data Protection Description: The new General Data Protection Regulations (GDPR) replaced the previous Data Protection Act from May 18. It contains some onerous obligations that have 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

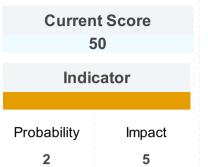
Current Score		
32		
Indicator		
Probability 2	Impact 4	

### Latest Comment and comment date

Comment: GDPR legislation came into effect in May 2018. In preparation for this a number of policies and procedures were implemented, and the 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 other risks where possible. Software companies are starting to progress with system improvements and upgrades to ensure GDPR compliance. Training has been rolled out to all staff & Councillors. Since quarter two, the following items are specific areas of work to highlight: Ongoing changes to legal agreements with contractors - these continue to be worked on, with many now agreed -New mandatory online training has been developed for staff

Comment Last Updated: 18/01/2019 14:19:15

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: Work continues on the property investment project, with a number of opportunities now complete or being finalised. 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. During quarter three the new Fire Safety Group met for the first time, to consider fire risk at a more strategic level, and align processes.

Comment Last Updated: 18/01/2019 14:26:52

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 take. Consequences: Additional costs, Economic - inward	Rob Bridge	Brexit - appropriate action plan to be produced
		Brexit - LRF Strategic Co-ordinating Group
		Brexit - MHCLG Seminar
investment, Economic development, Community impact, Economic - loss of funding		Corporate Governance - engagement with Councillors
		ECMT Brexit Workshop
		LGAMembership
		LGAsupport and briefings

# Current Score 48 Indicator Probability Impact 3 4

### Latest Comment and comment date

Comment: The Chief Executive and Head of Policy and Culture have attended an MHCLG event around the potential impacts of Brexit. Additionally there has been a Member and Senior Officer workshop to increase understanding and to formulate the council's potential responses to the issues that may arise.

Comment Last Updated: 03/01/2019 15:24:48

Risk Manager	Controls
Simone Chinman Russell	AHP Governace / steering group
	Allocations Policy
	Development Strategy and Delivery Strategy
	Finance - budgetary control by managers
	Finance - HRABusiness Plan
	Housing, Homelessness and Rough Sleeping Strategy
	HRAAsset Strategy/Business Plan
	Hsg Needs - Homeless Reduction Act
	Partnership with Registered Providers and nominations
	Property Portfolio
	Provision of temporary accommodation stock
	Use of funding for homeless prevention
	Manager Simone Chinman

## Current Score 48 Indicator Probability Impact 3 4

### Latest Comment and comment date

Comment: - The capacity of the team has been increased in order to deliver the requirements of the Homeless Reduction Act. Use of the government's flexible homeless support grant is focussed on delivery of prevention initiatives and housing options. - The Affordable Housing Programme and use of \$106 sites maximises opportunities to deliver affordable housing. - A review of the housing allocation policy will take place over the next six months. - We have recently acquired a property to be used as temporary accommodation and are making use of a fully decanted property on a temporary basis, to avoid use of B&B

Comment Last Updated: 15/01/2019 09:10:26