

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 Community Partnership Team engagement events Corporate Strategy - Tenant Involvement Strategy (Housing) Policy and Procedure Framework Tenants' Panel

Current Score	
32	
Indicator	
Probability	Impact
2	4

Latest Comment and comment date

Comment: The Community Partnership Team run a series of events and projects which involve broad engagement with different groups within the community, including some hard to reach groups, such as vulnerable adults and young carers. Their work includes running major events in the town centres, campaigns supporting health and well being, projects in partnerships with schools across the borough and discrete Community Information Days which involves a multi agency campaign within a specific geographical area. They have an event and project plan for 2019/20

Comment Last Updated: 09/04/2019 19:10:09

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 dissatisfaction, Reputational damage, Additional costs, Financial Implications	Simone Chinman Russell	Asbestos Management Electrical safety Fire Risk Assessment H&S - organisation & responsibilities LGSR compliance Planned works delivery I Policy and Procedure Framework

Current Score	
32	
Indicator	
Probability	Impact
2	4

Latest Comment and comment date

Comment: We have consulted widely on the draft Housing, Homelessness and Rough Sleeping Strategy and this will be presented to members for approval in September; we are redeveloping three major sites - and have recently carried out a review of council owned sites to add to the future redevelopment programme. The HRABusiness Plan will be published by the end of this calendar year. A series of improvements are being carried out within the council's stock, in line with the Asset Management Plan

Comment Last Updated: 02/10/2019 10:47:40

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
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	32		Comment: Safeguarding policies updated and approved. Safeguarding incident report form and processes are in place and published. Mandatory staff training taking place. Referral spreadsheet and safeguarding inbox in place and monitored. Safeguarding adults action plan complete. Designated Safeguarding Champions in place.
			Indicator		
			Probability	Impact	
			2	4	Comment Last Updated: 25/04/2019 13:59:53

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
Strategic - Change Management Description: Anew 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 Chief Executive Briefings Close Working Relationship with HR Communication HR - Employee Forum HR - Meetings with Trades Unions HR - Reporting to ROSC LGAMembership Peer Challenge Staff Use of consultants	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.
			Indicator		
			Probability	Impact	
			2	4	Comment Last Updated: 30/09/2019 15:58:53

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
<p>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</p>	Nick Long	<p>Appraisal and one to one process</p> <p>Apprenticeship Scheme</p> <p>Corporate Governance - Management Assurance Statement</p> <p>Departmental Training Plans</p> <p>Flexible Working</p> <p>Green Travel Plan</p> <p>Health and Wellbeing Programme</p> <p>HR - Agency Staff Policy</p> <p>HR - Disciplinary and Grievance Policy</p> <p>HR - Employee Forum</p> <p>HR - Meetings with Trades Unions</p> <p>HR - Recruitment and Selection Process</p> <p>HR - Reporting to ROSC</p> <p>HR - Sickness Absence Policy</p> <p>HR - Workforce Development Strategy</p> <p>HR Policies (overall framework)</p> <p>Training and Awareness of HR Staff</p>	48		<p>Comment: Recruitment continues to remain a challenge in a number of key areas, with Heads of Service reporting challenges in attracting and 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. 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. We have been looking at our approaches to advertising, recruitment methods and job design/evaluation and have made some changes, with 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</p>
			Indicator		
			3	4	<p>Comment Last Updated: 08/10/2019 16:05:00</p>

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 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	32	Comment: The Risk and Resilience Manager remains involved with the county Prevent Board and other key staff members are involved with PREVENT work. An internal Prevent Group has now been formed to help co-ordinate this work across the council as it is relevant to multiple service areas.	
			Indicator		
			Probability	Impact	Comment Last Updated: 08/10/2019 16:23:22
			2	4	

Description of Risk	Risk Manager	Controls	Current Score	Latest Comment and comment date	
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	25	Comment: The council is a key member of the local resilience forum and these links enable us to work together to plan for and deal with emergency situations. Further training has taken place for the council's representatives to any strategic co-ordinating group. We remain involved in multi-agency planning and exercising for various BREXIT scenarios (see separate risk) and are continue to reviewing cyber-resilience following learning from colleagues in other parts of the country. Given the uncertainties regarding BREXIT a separate BREXIT risk has been created, and we are also considering the challenges of concurrency issues.	
			Indicator		
			Probability	Impact	Comment Last Updated: 08/10/2019 16:26:35
			1	5	

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
<p>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</p>	Nick Long	<p>H&S - Collective Responsibility of Executive Board</p> <p>H&S - Corporate Health and Safety Policy</p> <p>H&S - Inspection and auditing</p> <p>H&S - Map of the extent of the undertaking</p> <p>H&S - Periodic Inspection of plant and equipment.</p> <p>H&S - Risk and Resilience Team</p> <p>H&S - Risk Assessment Policy</p> <p>H&S - Safety Director Role</p> <p>H&S - Staff Induction and Training</p>	<p style="text-align: center;">25</p>		<p>Comment: The terms of reference for the corporate health and safety group have been refreshed. Our programme of policy review and audits continues, along with our training programme and response to any particular issues which may arise.</p>
			<p style="text-align: center;">Indicator</p>		
			<p>Probability</p>	<p>Impact</p>	<p>Comment Last Updated: 08/10/2019 16:28:31</p>
			<p style="text-align: center;">1</p>	<p style="text-align: center;">5</p>	

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
<p>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</p>	Nick Long	<p>Planning - Committees</p> <p>Planning - Consultation</p> <p>Planning - Evidence</p> <p>Planning - Project Plan</p> <p>Planning - Section 106 and CIL</p>	<p style="text-align: center;">100</p>		<p>Comment: Taking account of the additional work generated by the call for sites and subsequent analysis, a revised timetable has been agreed with the Inspector in order to progress the local plan enquiry</p>
			<p style="text-align: center;">Indicator</p>		
			<p>Probability</p>	<p>Impact</p>	<p>Comment Last Updated: 08/10/2019 16:30:53</p>
			<p style="text-align: center;">4</p>	<p style="text-align: center;">5</p>	

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
<p>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</p>	Ka Ng	Finance - Annual Governance Statement	50		<p>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 £700k of efficiency savings which will go towards meeting the savings target for 2020/21. The Government has now 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. A budget seminar for members, will be held during quarter three.</p>
		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: 10/10/2019 19:53:57		

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
<p>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</p>	Ka Ng	Comms - communication plan	32		<p>Comment: There will always be unforeseen reputational/communications issues, and there are a number of high profile projects ongoing into 19/20. A fully staffed communications team, working closely across all council services, enables the corporate communications function to take a proactive approach which mitigates this risk as far as possible.</p>
		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: 29/08/2019 09:34:49		

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 ICT - Disaster Recovery Plan ICT - ICT Strategy ICT - infrastructure review ICT - malware detection ICT - PSN Compliance Testing ICT - Temporary PSTN connection	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 in quarter two: Work has progressed on the new Digital Strategy. The Council has revived formal certification of its PSN compliance. The team completed a disaster recovery exercise in early August. This was completed successfully with no issues raised.
			Indicator		
			Probability	Impact	
			2	4	

Comment Last Updated:
10/10/2019 19:52:24

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 ICT - data encryption Internal Auditing Procurement considerations - Data Protection in Contracts	32		Comment: GDPR remains a high priority for the Council, and work continues to ensure the Council remains GDPR compliant, During quarter two, the following items are specific areas of work to highlight: - Changes to legal agreements with contractors continue to be worked on - An internal audit was completed. The final report was issued in late September, with a 'Good' assurance level received. - A comprehensive review of data sharing arrangements was undertaken with suppliers and those hosting Council data in preparation for Brexit, with clear plans being in place in the event of a no deal Brexit.
			Indicator		
			Probability	Impact	
			2	4	

Comment Last Updated:
10/10/2019 19:52:55

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	<p>Comment: The Council has a capital work programme in place to adequately maintain its non-housing assets, and all key planned are on target. The team continues to be responsive to day to day repairs and maintenance. Following a recent restructure, Service Managers have been appointed to the property teams and vacancies continue to be filled. Key areas of focus in the coming year will be further enhancing health and safety reporting for the service and undertaking a refresh of the councils asset management plan.</p>		
			Indicator			
			Probability	Impact		
			2	5		
			<p>Comment Last Updated: 10/10/2019 19:53:21</p>			

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 Brexit - Communication to businesses/communities Brexit - LRF Strategic Co-ordinating Group Brexit - MHCLG Seminar Corporate Governance - engagement with Councillors ECMT Brexit Workshop LGAMembership LGAsupport and briefings	80	<p>Comment: Work is ongoing to prepare for Brexit, with or without a deal, on 31st October</p>		
			Indicator			
			Probability	Impact		
			5	4		
			<p>Comment Last Updated: 30/09/2019 16:21:41</p>			

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