

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	Current Score		Latest Comment and comment date
<p>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</p>	<p>Simone Chinman Russell</p>	<p>Asbestos Management Electrical safety Finance - HRABusiness Plan Fire Risk Assessment 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</p>	<p>32</p>		<p>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, Sheltered Housing Scheme. The HRABusiness Plan is in development, to be launched in the Spring of 2019.</p>
			Indicator		
			Probability	Impact	
			2	4	<p>Comment Last Updated: 15/01/2019 08:10:03</p>

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
<p>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</p>	<p>Simone Chinman Russell</p>	<p>Mandatory safeguarding training programme Reporting pathways communicated and updated Safeguarding Action Plan Safeguarding Policies</p>	<p>32</p>		<p>Comment: Progress continues in implementing Safeguarding Action Plan. Positive feedback from recent audit visit by Chair of Herts Safeguarding Adults Board.</p>
			Indicator		
			Probability	Impact	
			2	4	<p>Comment Last Updated: 15/01/2019 08:28:53</p>

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
<p>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</p>	Rob Bridge	<p>Appraisal and one to one process</p> <p>Chief Executive Briefings</p> <p>Close Working Relationship with HR</p> <p>Communication</p> <p>HR - Employee Forum</p> <p>HR - Meetings with Trades Unions</p> <p>HR - Reporting to ROSC</p> <p>LGAMembership</p> <p>Peer Challenge</p> <p>Staff</p> <p>Use of consultants</p>	<p>32</p>		<p>COMMENT: NONE</p>
			Indicator		<p>COMMENT LAST UPDATED: NONE</p>
			<p>Probability</p> <p>2</p>	<p>Impact</p> <p>4</p>	

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 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.</p>
			Indicator		
			Probability 3	Impact 4	
					<p>Comment Last Updated: 07/01/2019 15:05:14</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: WRAP Sessions continue. In December 2018 we held sessions around the underpinning ideologies behind Islamist and far right extremism delivered by two experts in the field. These were attended by around fifty staff and Members.	
			Indicator		
			Probability	Impact	
			2	4	
			Comment Last Updated: 03/01/2019 14:36:14		

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: 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.	
			Indicator		
			Probability	Impact	
			1	5	
			Comment Last Updated: 03/01/2019 14:38:01		

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>	16	<p>Comment: Policy reviews continue, as does the programme of audits and inspections.</p>	
			<p>Indicator</p>		
			Probability	Impact	<p>Comment Last Updated: 03/01/2019 14:40:09</p>
			1	4	

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, 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</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>	64	<p>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.</p>	
			<p>Indicator</p>		
			Probability	Impact	<p>Comment Last Updated: 02/01/2019 13:45:34</p>
			4	4	

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 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.</p>		
		Finance - budget challenge process	Indicator			<p>Comment Last Updated: 18/01/2019 14:12:20</p>	
		Finance - budget preparation process	Probability				Impact
		Finance - budgetary control by managers	2	5			
		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							

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date		
<p>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</p>	Ka Ng	Comms - communication plan	32		<p>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.</p>		
		Comms - Communications Team	Indicator			<p>Comment Last Updated: 13/02/2018 12:20:16</p>	
		Comms - Corporate Communications Strategy	Probability				Impact
		Comms - media monitoring	2	4			
		Comms - media trained staff and Members					
		Comms - surveys					
		LGAPeer Challenge					
		Social Media Policy					

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
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	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 three: New mandatory online training was developed 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.
			Indicator		
			Probability 2	Impact 4	Comment Last Updated: 18/01/2019 14:17:08

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
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	32		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 addressed, 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
			Indicator		
			Probability 2	Impact 4	Comment Last Updated: 18/01/2019 14:19:15

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		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.
			Indicator		
			Probability 2	Impact 5	Comment Last Updated: 18/01/2019 14:26:52

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 - LRF Strategic Co-ordinating Group Brexit - MHCLG Seminar Corporate Governance - engagement with Councillors ECMT Brexit Workshop LGAMembership LGAsupport and briefings	48		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.
			Indicator		
			Probability 3	Impact 4	Comment Last Updated: 03/01/2019 15:24:48

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>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</p>	<p>48</p>		<p>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 S106 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</p>
			<p>Indicator</p>		
			<p>Probability</p>	<p>Impact</p>	
			<p>3</p>	<p>4</p>	<p>Comment Last Updated: 15/01/2019 09:10:26</p>