



# Risk Report

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment				
<p>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</p>	<p>Simone Chinman Russell</p>	<p>Alliance Strategy</p> <p>Borough Panel</p> <p>Community Partnership Team engagement events</p> <p>Corporate Strategy - Tenant Involvement Strategy (Housing)</p> <p>New Corporate Community and Stakeholder Engagement Strategy</p> <p>Policy and Procedure Framework</p> <p>Tenants' Panel</p>	<p style="text-align: center;"><b>32</b></p> <p style="text-align: center;"><b>Indicator</b></p> <table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 50%;">Probability</td> <td style="width: 50%;">Impact</td> </tr> <tr> <td>2</td> <td>4</td> </tr> </table>		Probability	Impact	2	4	<p>Comment: We continue to work towards completing this work, which has suffered delays due to the Covid Pandemic.</p>
Probability	Impact								
2	4								
<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&amp;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</p> <p>Electrical safety</p> <p>Fire Risk Assessment</p> <p>H and S - Organisation And responsibilities</p> <p>LGSR compliance</p> <p>Planned works delivery I</p> <p>Policy and Procedure Framework</p>	<p style="text-align: center;"><b>32</b></p> <p style="text-align: center;"><b>Indicator</b></p> <table border="1" style="width: 100%; text-align: center;"> <tr> <td style="width: 50%;">Probability</td> <td style="width: 50%;">Impact</td> </tr> <tr> <td>2</td> <td>4</td> </tr> </table>		Probability	Impact	2	4	<p>Comment: Property Services continues with its programme of stock condition assessments. In addition the team ensures that new additions to the housing stock are fully assessed upon handover and brought up to the required standard, before being let.</p>
Probability	Impact								
2	4								

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment
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: The council's Safeguarding group continues to oversee the effective implementation of our safeguarding procedures. In particular the group has ensured that the impacts of Covid have been addressed, through joined up working with the LRF in terms of protecting vulnerable households.
			Indicator		
			Probability 2	Impact 4	

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment
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: The modernisation programme has been moving forward over the summer, although in a slightly different way. Staff have been involved in workstreams for their areas communications have been developed and are sent out regularly to ensure staff are aware of what is happening and what reviews are planned next.
			Indicator		
			Probability 2	Impact 4	

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment
<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.</p> <p>Consequences: Legal - Litigation, HR - High Staff Turnover, Low morale, Additional costs</p>	Nick Long	Appraisal and one to one process	48		<p>Comment: Although the pandemic offers remote working and offers the potential to recruit from a wider geographical pool recruitment for certain key disciplines (for example Planning, Finance, Environmental Health, Estates) still remains a challenge. This is because the pool of talent is nationally very small and there is a high demand for these staff. Whilst additional external funding for some posts (eg. EHO) is very welcome the risk remains we still may not be able to recruit to these posts. Over recent months reported sickness levels have actually reduced. Our training has been scaled back but we have looked to deliver critical training in appropriate social distanced ways. We continue to monitor the significant potential impacts from the pandemic. Following on from the peer review, the action plan and direction of travel have been agreed; we will at the appropriate time continue the work on developing the corporate workforce development strategy. In the current pandemic climate we have reviewed and adjusted all of our recruitment methods to accommodate social distancing requirements. We are also mindful of the need to understand existing work force skills and the potential for redeployment of staff in response to the pandemic. We have commenced the modernisation review for HR which will incorporate learning from the pandemic.</p>
		Apprenticeship Scheme			
Corporate Governance - Management Assurance Statement	3	4	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					

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment
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	32		Comment: Herts County Council have recruited a new Prevent Programme Manager, who has begun to forge constructive working relationships with other agencies. At present the county approach is to essentially 're-boot' Prevent and there is much greater clarity around roles and responsibilities now, with suitable template documents being shared. The Internal Prevent Group will continue to meet, to bring together relevant WHBC professionals. The Risk and Resilience Manager has drafted a WHBC Prevent Organisation Delivery Plan and this will be considered by the group. A Venue Management Policy will also be drafted.
		Prevent - Lease and Hire Agreements			
		Prevent - Nominated Lead Officer for Prevent	Indicator		
		Prevent - Security and Terrorism implications in report template	Probability	Impact	
		Prevent - Venue Guidance	2	4	
		Prevent - WRAP workshops			
		Prevent matters discussed at Safeguarding meetings.			
Representation at County Prevent Board					

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment
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	25		Comment: The council remains a key member of the local resilience forum and the CEX/Corporate Director are representing the 10 district and borough councils on the strategic coordinating group that has been set up to respond to the current Covid-19 pandemic. Good links have enabled us to work together to plan for such an emergency and deal with such emergency situations. Officers from across the council have been brought in to support the emergency response and recovery from the pandemic this is needing to be balanced against business as usual work and we also remain involved in multi-agency planning for other risks, including cyber-resilience and EU Transition.
		Resilience - Care of People Plan	Indicator		
		Resilience - Crisis Support Team	Probability	Impact	
		Resilience - Extended Floodline	1	5	
		Resilience - Local Resilience Forum			
		Resilience - Resilient Telecommunications			
		Resilience - Training and Exercising			
		Resilience - WHBC Emergency Plan			

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment
<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&amp;S - Injuries and ill health, Lost productivity, Sickness absence, Legal - Litigation, Intervention by regulatory bodies, Reputational damage</p>	Nick Long	H&S - Collective Responsibility of Executive Board	25		<p>Comment: Work continues across the council to assist in identifying and managing risks including those relating to "Covid-19 secure" activities keeping in mind the legislation and guidance is continually evolving which makes the task of the council's safety officer quite a challenge - especially as the council only has one safety officer post. The corporate health and safety group has commenced a review of how it works to support the interim CEX in making sure our responsibilities as an employer are met. In the current climate we have needed to revise our programme of policy review and audits along with our training programme. We continue to respond to any particular issues which may arise. Where necessary reviews have been undertaken to identify corporate learning. We continue to work with partners as necessary and have commenced planning for delivery of a Covid safe Remembrance Day and 2021 Elections.</p>
		H&S - Corporate Health and Safety Policy			
		H&S - Inspection and auditing	Indicator		
		H&S - Map of the extent of the undertaking	Probability	Impact	
		H&S - Periodic Inspection of plant and equipment.	1	5	
		H&S - Risk and Resilience Team			
		H&S - Risk Assessment Policy			
		H&S - Safety Director Role			
H&S - Staff Induction and Training					

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment
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	Nick Long	Planning - Committees Planning - Consultation Planning - Evidence Planning - Project Plan Planning - Section 106 and CIL	100		Comment: Virtual hearing sessions took place July and Aug 2020 on remaining green belt sites. Council has updated OAN which identifies need for 14,300 homes in plan period. Inspector is now writing interim report, to help advise Council on issues with submitted plan and likely need for additional sites. Committee dates are scheduled for Nov for councillors to consider interim report, results of consultation at start of year and any new site information. Anticipated that councillors may also wish to propose removal of sites they no longer consider to be sustainable based on new evidence. Anticipated that further hearing sessions will take place in Feb 2021 for any new sites and removed sites. Important to note that it is entirely a matter for inspector to decide whether submitted sites are sound or should be removed from plan. This will hopefully lead to Main Modifications consultation in spring 2021 and Final Inspector's Report and Adoption in Summer 2021. This process could be disrupted by councillor resistance to too much development in green belt, Planning White Paper, new OAN evidence, proposed new standard method for calculating housing need, forthcoming Devolution White Paper and local elections in May 2021.
			Indicator		
			Probability	Impact	
			4	5	

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment
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 - Depletion of reserves, Reputational damage, Service delivery - loss/reduction, Financial - affects on receipts, Service delivery -can't meet demand	Ka Ng	Finance - Annual Governance Statement	<b>75</b>		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 2019/20. The Government announced a one year settlement for 2020/21, which provided 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 and the Council looks to meet its challenging savings targets. During quarter one, an update was provided to Cabinet on the impact of Coronavirus. There is an increased risk in relation to the Councils financial sustainability in light of this current pandemic. Financial implications are being monitored on a daily basis and additional cashflow monitoring and forecasting has been put in place. The position is changing on a frequent basis, and the sector as a whole is lobbying Government for additional financial support to ensure councils budgets remain affordable and sustainable. The score for this risk was increased last quarter and will continue to be closely monitored. Until further announcements are made by the Government around additional support that may be provided, the score for this risk has been maintained at the same level as previously reported. As we move into the summer period, we will be looking to update our MTFs and review the savings targets for future years.
		Finance - budget challenge process	<b>Indicator</b>		
		Finance - budget preparation process	<b>Probability</b>	<b>Impact</b>	
		Finance - budgetary control by managers	<b>3</b>	<b>5</b>	
		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
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	Ka Ng	Comms - communication plan Comms - Communications Team Comms - Corporate Communications Strategy Comms - media monitoring Comms - media trained staff and Members Comms - surveys LGAPeer Challenge Social Media Policy	32		Comment: All of our communications have been managed remotely since March 2020 due to Covid-19, which has meant new ways of working for the corporate team and for many of our services. Increased use of ONE Welwyn Hatfield and social media has helped us to ensure core messages and information gets out into our local communities. Press and media enquiries continue to come in, a weekly edition of Team Talk continues to be produced, and support for major projects and initiatives continues. Twice weekly updates to all Officers and Members are also produced and issued at this time.
			Indicator		
			Probability	Impact	
			2	4	

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment
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	48		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 during quarter 1: The ICT and Infrastructure Working Group ToR has been agreed and have met to agree a work programme; Additional security advice has continue to be commissioned throughout the pandemic; Further enhancements were made to MS Teams Security; The recommendations from the Cabinet Office on the use of Zoom were reviewed and implemented. The COVID19 pandemic has increased the need for new ways of working, and increased remote working, and with this comes increased risks. These risks are being proactively reviewed and managed, with management regularly discussing these updates with the team. National advice is being issued on certain applications, and this advice is being followed. Additional communications have been issued to raise awareness of the increased risks in the challenging environment.
			Indicator		
			Probability	Impact	
			3	4	

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment
Strategic - Data Protection Description: The General 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. However, as GDPR has been in place now for over 2 years, project type work (such as production of policies and procedures) has reduced, and the focus is on improving and enhancing awareness and procedures. Subject Access Requests have been increasing, and this work is being supported by a fixed term apprentice. During quarter one, the following items are specific areas of work to highlight: - Staff were reminded on importance of data control in current times; - Privacy Impact Assessments were completed for use of new software such as MS Teams; - The internal audit scope of works were agreed and the audit commenced; - Provided further guidance to staff on dealing with subject access requests. There are additional demands which need responding to quickly in order to adequately respond in a timely way to COVID19. This includes reviewing data sharing agreements, and understanding the legal basis for data already held by the Council to support the wider public good and delivery of new support measures. The DPO is being proactively consulted on these areas.
			Indicator		
			Probability	Impact	
			2	4	

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment
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: 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. A refresh of the council's asset management plan is well underway with a base data review having been commissioned through our advisors. A quick response has needed to be put in place to manage property risks remotely, which has included working with our insurers to balance the risk of spreading COVID19 against the need for regular inspections. We have maintained all compliance checks, increased these where use of buildings has reduced, and will continue to do so through the period of the pandemic. Cleaning of buildings has also been increased. We have worked with the Risk and Resilience Manager to ensure our managed buildings are COVID-secure.
			Indicator		
			Probability	Impact	
			2	5	

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment	
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	27		Comment: Following the passing of the EU Withdrawal Bill the UK left the EU on 31 January 2020 and has entered into a transition period currently running to 31 December 2020. Over recent weeks we have engaged more on anticipated impacts and whether we will leave with or without agreement on a trade deal at the end of this year. Over the next month or so we will have more clarity on a potential trade deal to allow us to assess the impact.	
			Indicator			
			Probability	Impact		
			3	3		

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment	
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 meet demand, Legal - Regulatory, Financial Implications, Risk to residents wellbeing	Simone Chinman Russell	Delivery Strategy  Finance - budgetary control by managers  Finance - HRABusiness Plan  Housing, Homelessness and Rough Sleeping Strategy  Night Shelter and rough sleeper navigators  Private Sector Navigator post  Provision of temporary accommodation stock  Use of funding for homeless prevention	32		Comment: There has been additional pressures due to an increased number of presentations of homeless families to the service, as well as the government's Everyone In initiative, which meant that everyone who is rough sleeping or at risk of rough sleeping was offered accommodation. A block booking of a local hotel meant that there was capacity to ensure that everyone could be made a suitable offer of accommodation. The team have worked hard to ensure that any void council homes can be progressed as quickly as possible, so that there is a continued supply of homes to ease pressures. Due to the restrictions on moving, current vacancies are being prioritised for homeless families. Despite the pressures, the team are managing the increased workloads and have successfully ensured that no one is on the street.	
			Indicator			
			Probability	Impact		
			2	4		

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment
<p>Strategic - Impact of Covid-19 Pandemic</p> <p>Description: The Covid-19 pandemic is seriously impacting on council services and local communities. Employee absence will place strain on the council, as will significant changes to work practices, adaptations to service delivery and resultant backlog management. There are likely to be significant budgetary implications. Managing the response to the outbreak locally will impact council resources, capacity and priorities.</p> <p>Consequences: Reputational damage, Additional costs, Inadequate service shaping, Community impact, Economic development, HR - High Staff Turnover, Low morale, H&amp;S - Injuries and ill health, Lost productivity, Sickness absence, Financial - affects on receipts, Economic - inward investment, Service delivery - loss/reduction, Service delivery -can't meet demand, Harm to Vulnerable People, Economic - loss of funding, Risk to residents wellbeing, Backlog needing to be managed, Slippage to corporate projects, Reduced income, Opportunity to modernise/transform, Greater understanding of resilience, Enhanced team working/collaboration, Enhancements to partnership working</p>	Rob Bridge	All staff Communications	125		<p>Comment: We continue to respond to the pandemic's effects using all our resources. A report on this work was submitted to full Council in September 2020, and this set out how we continue to provide our critical services, as well as new functions arising from the pandemic, and multi-agency work streams. We have also submitted reports on both recovery and the financial impacts to Cabinet. As we head into the second wave of the pandemic, our planning will work on response and recovery. We have reviewed the Action Plan to identify impacts on objectives</p>
		CMT+	Indicator		
		Comms - Communications Team			
		Comms - Corporate Communications Strategy	Probability	Impact	
County Wide SCG, TCG and cells	5	5			
Dynamic responses to service challenges					
Flexible HR policies					
Heeding PHE Advice					
Hertfordshire Resilience					
ICT home working arrangements					
Implementation of local social distancing - office closures					
Infectious Disease Group					
Operations Shield and Sustain					
WHBC Pandemic Plan					