



# Risk Report

<p><b>Description of Risk</b></p> <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><b>Risk Manager</b></p> <p>Ka Ng</p>	<p><b>Controls</b></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><b>Current Score</b></p> <p><b>32</b></p> <p><b>Indicator</b></p> <table border="1"> <thead> <tr> <th>Probability</th> <th>Impact</th> </tr> </thead> <tbody> <tr> <td>2</td> <td>4</td> </tr> </tbody> </table>	Probability	Impact	2	4	<p>Comment: The Community Engagement Strategy has now been approved by Cabinet. Its implementation is being overseen by an officer group containing representatives from all council services.</p>
Probability	Impact							
2	4							
<p><b>Description of Risk</b></p> <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, Safety of Residents</p>	<p><b>Risk Manager</b></p> <p>Glen Finch</p>	<p><b>Controls</b></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>Lift Safety Management</p> <p>Planned works delivery</p> <p>Policy and Procedure Framework</p> <p>Water Hygiene Management</p>	<p><b>Current Score</b></p> <p><b>50</b></p> <p><b>Indicator</b></p> <table border="1"> <thead> <tr> <th>Probability</th> <th>Impact</th> </tr> </thead> <tbody> <tr> <td>2</td> <td>5</td> </tr> </tbody> </table>	Probability	Impact	2	5	<p>Comment: We commissioned an asset grading review which will inform our housing maintenance programme going forward. Once the result is available, it will be shared with Cabinet Housing Panel and that the Overview and Scrutiny Committee is also minded to look into this as well. In respect of the Housing Compliance issue that was reported to the Regulator of Social Housing, good progress has been made in this area and the council is on track to achieve full compliance (subject to gaining access to properties) in line with the timetable discussed with the Regulator. Member training on Housing compliance has also been provided during Q3 and that Cabinet Housing Panel continues to receive a housing compliance update going forward.</p>
Probability	Impact							
2	5							
<p><b>Description of Risk</b></p> <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><b>Risk Manager</b></p> <p>Stuart Pearson</p>	<p><b>Controls</b></p> <p>Mandatory safeguarding training programme</p> <p>Reporting pathways communicated and updated</p> <p>Safeguarding Action Plan</p> <p>Safeguarding Policies</p>	<p><b>Current Score</b></p> <p><b>32</b></p> <p><b>Indicator</b></p> <table border="1"> <thead> <tr> <th>Probability</th> <th>Impact</th> </tr> </thead> <tbody> <tr> <td>2</td> <td>4</td> </tr> </tbody> </table>	Probability	Impact	2	4	<p>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.</p>
Probability	Impact							
2	4							

Description of Risk	Risk Manager	Controls
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	Ka Ng	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 LGA Membership Peer Challenge Use of consultants

<b>Current Score</b>	
32	
<b>Indicator</b>	
<b>Probability</b>	<b>Impact</b>
2	4

Comment: The modernisation programme has been progressing well, despite the challenges during the global pandemic. Staff have been involved throughout the modernisation reviews and some key improvements to services and significant financial efficiencies were included in the 2021/22 budget, with monitoring of savings being reported as part of the quarterly financial monitoring reports presented to Cabinet. Further efficiencies have been identified during the year and have been incorporated into the proposed budget for 2022/23. Modernisation Board has been meeting every fortnight and a number of projects are now well into the delivery phase. A deliver steering group which reports into the modernisation board is actively managing projects and monitoring risks associated with project delivery. A review an relaunch of the modernisation programme is planned during 2023, linked to recommendations of the Peer Review.

Description of Risk	Risk Manager	Controls
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	Margaret Martinus	Appraisal and one to one process Apprenticeship Scheme Corporate Governance - Management Assurance Statement 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

<b>Current Score</b>	
48	
<b>Indicator</b>	
<b>Probability</b>	<b>Impact</b>
3	4

Comment: HR continues to work closely with services to address these issues. Trials of a new hybrid working model were started in some service teams, with a view to encourage flexible working and thereby widen the recruitment pool. This was temporarily put on hold with the government announcements but is being reviewed again. This is based on positive learning from remote working during the pandemic and learning from the hybrid working trials will be shared across all service teams, with the intention of the whole organisation working in a hybrid way moving forward. Recruitment for certain key disciplines (for example Planning, Legal, Finance, Environmental Health, Estates, Licencing) still remains a challenge. This is because the pool of talent is nationally very small and there is a high demand for these staff. HR are working with 'hard to fill' services on refreshed recruitment campaigns and advertisements to encourage maximum candidates. We are still trying to reduce our reliance on costly agency staff in order to minimise impacts on the budget. Our training programme has been restarted following a modernisation review and we now have an active training and development programme, to encourage staff learning and development. This also includes a focus on Workplace Well-being.

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	Jo Harding	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

Current Score	
32	
Indicator	
Probability	Impact
2	4

Comment: Delivery of the Prevent Delivery Plan is ongoing. ELearning has now been rolled out to staff. We are members of a new Herts wide Prevent forum for district councils, which met in November 21 and will meet every six months going forward. A new guide to extremist symbols has recently been developed by HCC and approved for issue to front line employees as a recognition tool.

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	Jo Harding	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

Current Score	
25	
Indicator	
Probability	Impact
1	5

Comment: A revised business continuity strategy has been produced and is currently out for consultation. This is the prelude to a full review of the business continuity system in 2022.

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 measures and allocation 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	Jo Harding	H&S - Collective Responsibility of Executive Board H&S - Corporate Health and Safety Policy H&S - Map of the extent of the undertaking H&S - Risk and Resilience Team H&S - Staff Induction and Training

Current Score	
50	
Indicator	
Probability	Impact
2	5

Comment: Revised covid-19 risk assessments have been produced to cover the restrictions in place as part of the government's 'Plan B' measures. A number of safety related audits and projects are underway, including Mill Green Museum and Mill, and further policy work is ongoing. The Health and Safety Officer has left the council and a replacement has been recruited to commence in January 2022, so this will help to mitigate any impacts on workload.

Description of Risk	Risk Manager	Controls
Strategic - Local Plan Description: Risk that Local Plan will be found unsound. Inspector wants to examine all previously rejected sites to identify most sustainable choices. 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	Chris Dale	<ul style="list-style-type: none"> <li>Planning - Committees</li> <li>Planning - Consultation</li> <li>Planning - Evidence</li> <li>Planning - Project Plan</li> <li>Planning - Section 106 and CIL</li> </ul>

<b>Current Score</b>	
100	
<b>Indicator</b>	
Probability	
4	Impact
	5

Comment: A report has been taken to CPPP recommending additional sites and subsequent to the rejection of this recommendation by CPPP an alternative recommendation is being made to Cabinet. There is strong likelihood that the plan will be found unsound by the Planning Inspector.

Description of Risk	Risk Manager	Controls
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	Richard Baker	<ul style="list-style-type: none"> <li>Finance - Annual Governance Statement</li> <li>Finance - budget challenge process</li> <li>Finance - budget preparation process</li> <li>Finance - budgetary control by managers</li> <li>Finance - capital programme</li> <li>Finance - external audit</li> <li>Finance - Finance Procedure Rules</li> <li>Finance - Financial Information System (Agresso)</li> <li>Finance - HRA Business Plan</li> <li>Finance - internal audit</li> <li>Finance - Medium Term Financial Plan</li> <li>Finance - Treasury Management Policy</li> <li>Finance - use and control of reserves and balances</li> <li>Property - Asset Management Plan</li> </ul>

<b>Current Score</b>	
75	
<b>Indicator</b>	
Probability	
3	Impact
	5

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. Recent notifications suggest that the Government may now be considering a multi year settlement, but future funding position for the council remains uncertain. Plans have been actioned for ensuring a balanced budget can be delivered for 2022/23, and budget proposals will be reviewed by Cabinet and Overview and Scrutiny Committee in January before being presented to Council for consideration. The government announced the provisional settlement on 14 December 2021 which has been incorporated into the budget proposals. A response to the government consultation has been prepared by the Head of Resources for submission in January. The government has made no commitments for further support during 2021/22, so the council is likely to have to fund further losses through its own resources, and an earmarked reserve was created in 2020 for this purpose. Some ongoing losses have been budgeted for 2022/23, along with a further top up to the covid earmarked reserve. This business rates retention reserve covers the three year impact of the 2020/21 deficit, and based on current 2021/22 estimates, the top up planned for 2021/22 from additional grant receipts, is expected to cover the 2021/22 deficit. This has been included in the budget proposals. The team is closely monitoring the impact of the pandemic. There is likely to be a draw down from general reserves to fund the net losses after the general government support, earmarked reserves set aside and additional fees and charges support. An updated MIFS has been prepared as part of the proposed budget pack, which included further savings requirements of around £1.5m for 2023/24, and around a further £380k per annum for the following two years. A long term savings plan will be developed during 2022.

Description of Risk	Risk Manager	Controls
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	<ul style="list-style-type: none"> <li>Comms - communication plan</li> <li>Comms - Communications Team</li> <li>Comms - Corporate Communications Strategy</li> <li>Comms - media monitoring</li> <li>Comms - media trained staff and Members</li> <li>Comms - surveys</li> <li>LGA Peer Challenge</li> <li>Social Media Policy</li> </ul>

<b>Current Score</b>	
32	
<b>Indicator</b>	
Probability	
2	Impact
	4

Comment: Corporate communications continue to be managed remotely due to COVID-19. There has been an increased use of ONE Welwyn Hatfield and social media has been vital in ensuring core messages and information gets out to our local communities and we are increasingly linking with county level partners on this. Press and media enquiries have continued to be responded to in a timely manner. TeamTalk and support for major projects and initiative also continue. Regular updates are also provided to all officers and members on all key matters related to COVID-19.

Description of Risk	Risk Manager	Controls
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	Richard Baker	ICT - database updates
		ICT - Disaster Recovery Plan
		ICT - ICT Strategy
		ICT - infrastructure review
		ICT - malware detection
		ICT - PSN Compliance Testing
		ICT - Temporary PSTN connection

<b>Current Score</b>	
75	
<b>Indicator</b>	
Probability	Impact
3	5

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. During quarter 3 the team: -responded to a nationally identified vulnerability which affected a number of the councils systems and infrastructure. The ICT team focussed resources on this matter, and actions were taken quickly to implement fixes and upgrades as required. The COVID19 pandemic increased the need for new ways of working, including 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

Description of Risk	Risk Manager	Controls
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	Richard Baker	Governance - Data Protection Policies
		ICT - data encryption
		Internal Auditing
		Procurement considerations - Data Protection in Contracts

<b>Current Score</b>	
32	
<b>Indicator</b>	
Probability	Impact
2	4

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. Linked to the modernisation of the council, and the end of the apprenticeship, the governance team was reviewed. An permanent officer was appointed, who as part of their role, will be responsible for supporting the ongoing administration around information governance, including data protection. The team continues to see an increasing number of subject access requests. Also as part of the modernisation of services, as new software is selected, the DPO is involved with Privacy Impact Assessments to ensure that data is held securely and only for relevant periods. No material data breaches occurred during the quarter, and risk assessments were completed for all data breaches, with lessons learned being implemented with immediate effect.

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	Richard Baker	Asset Management Plan
		Property Portfolio

<b>Current Score</b>	
50	
<b>Indicator</b>	
Probability	Impact
2	5

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 approval in February 2020 to include conditions survey budgets for 2020/21, surveys have completed and these will enhance longer term planning for the councils assets. A budget has been included in the 2022/23 budget for the year one works, while the following nine years of identified works are reviewed and a funding strategy developed. Internal audits have now been completed undertaken on longer term management and compliance, and reports were presented back to audit committee in September. The recommendations raised in the management of assets linked directly to the conditions survey works and planned programme so are well underway for being delivered. Following the pause on progressing the asset strategy to ensure it aligns to the new corporate objectives, the refresh of the councils asset management plan will now continue, and is expected to be presented to Cabinet in March 2022. A quick response was 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. The 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 continues at the increased levels. The team have continue to work with the Risk and Resilience Team to ensure our managed buildings are COVID-secure as guidance changes, including for the recent opening of HatTech ad other buildings.

Description of Risk	Risk Manager	Controls
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	Sian Chambers	Delivery Strategy  Finance - budgetary control by managers  Finance - HRA Business 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

Current Score	
32	
Indicator	
Probability	Impact
2	4

Comment: The team continue to have a high level of success in preventing homelessness; we have been successful in securing government funding to support vulnerable groups, such as people who are rough sleeping and ex offenders. We have also received additional money from government to help private renters who have built up arrears in the wake of covid. The current number of households in temporary accommodation is just over ninety. We now have Inspira House, which is ready to let, which will help us to move families out of hotel accommodation. In the most recent rough sleeper count, there were three cases recorded, but all had been offered accommodation, but were refusing to engage. They have since been helped into suitable accommodation.

Description of Risk	Risk Manager	Controls
Strategic - Impact of Covid-19 Pandemic 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. Consequences: Reputational damage, Additional costs, Inadequate service shaping, Community impact, Economic development, HR - High Staff Turnover, Low morale, H&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	Ka Ng	All staff Communications  CMT+  Comms - Communications Team  Comms - Corporate Communications Strategy  County Wide SCG, TCG and cells  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

Current Score	
48	
Indicator	
Probability	Impact
3	4

Comment: During Q3, the Prime Minister introduced Plan B to slow the spread of the omicron variant. All services continued to operate as normal despite the work from home guidance. Also our contractors, especially Urbaser have been coping relatively well. The council's finances have been adversely impacted by the pandemic as shown in the budget monitoring reports and our proposed 22/23 budget. It is likely that some of the key income areas will take years to recover.