



Risk Report

Description of Risk	Risk Manager	Controls	Current Score	Indicator		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.
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	Ka Ng	Alliance Strategy Borough Panel Community Partnership Team engagement events Corporate Strategy - Tenant Involvement Strategy (Housing) New Corporate Community and Stakeholder Engagement Strategy Policy and Procedure Framework Tenants' Panel	32	Probability	Impact	
				2	4	

Description of Risk	Risk Manager	Controls	Current Score	Indicator		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.
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, Safety of Residents	Glen Finch	Asbestos Management Electrical safety Fire Risk Assessment H and S - Organisation And responsibilities LGSR compliance Lift Safety Management Planned works delivery Policy and Procedure Framework Water Hygiene Management	50	Probability	Impact	
				2	5	

Description of Risk	Risk Manager	Controls	Current Score	Indicator	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	Sian Chambers	Mandatory safeguarding training programme Reporting pathways communicated and updated Safeguarding Action Plan Safeguarding Policies	32	<table border="1"> <thead> <tr> <th data-bbox="1232 215 1444 279">Probability</th> <th data-bbox="1444 215 1646 279">Impact</th> </tr> </thead> <tbody> <tr> <td data-bbox="1232 279 1444 483">2</td> <td data-bbox="1444 279 1646 483">4</td> </tr> </tbody> </table>	Probability	Impact	2	4	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.
Probability	Impact								
2	4								

Description of Risk	Risk Manager	Controls	Current Score	Indicator	Comment				
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 LGAMembership Peer Challenge Use of consultants	32	<table border="1"> <thead> <tr> <th data-bbox="1232 726 1444 790">Probability</th> <th data-bbox="1444 726 1646 790">Impact</th> </tr> </thead> <tbody> <tr> <td data-bbox="1232 790 1444 1165">2</td> <td data-bbox="1444 790 1646 1165">4</td> </tr> </tbody> </table>	Probability	Impact	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 2022/23 budget. It should also be noted that savings have not been the driver of each of the modernisation programme. There has been investment in staff and systems to improve a number of customer journeys. A review of the modernisation programme is planned during 2022, following the implementation of the senior management restructure.
Probability	Impact								
2	4								

Description of Risk	Risk Manager	Controls
<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>	<p>Margaret Martinus</p>	<p>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</p>

Current Score	
48	
Indicator	
Probability	Impact
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	Current Score		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.
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	32		
			Indicator		
			Probability	Impact	
			2	4	

Description of Risk	Risk Manager	Controls	Current Score		Comment: Arevised 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.
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	25		
			Indicator		
			Probability	Impact	
			1	5	

Description of Risk	Risk Manager	Controls	Current Score		Comment: Revised covid-19 risk assessments have been produced to cover the relaxing of restrictions. A number of safety related audits and projects are underway, and further policy work is ongoing. An audit programme and draft training programme are in place for 2022/23.
<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 allocation of responsibilities and ensuring competence of employees, contractors and service providers.</p> <p>Consequences: H&S - Injuries and ill health, Lost productivity, Sickness absence, Legal - Litigation, Intervention by regulatory bodies, Reputational damage</p>	Jo Harding	H&S - Collective Responsibility of Executive Board	50		
		H&S - Corporate Health and Safety Policy	Indicator		
		H&S - Map of the extent of the undertaking	Probability	Impact	
		H&S - Risk and Resilience Team H&S - Staff Induction and Training	2	5	

Description of Risk	Risk Manager	Controls	Current Score		Comment: Following a meeting of Special Full Council on 27th January, a letter was sent to the Planning Inspector rejecting his proposed housing requirement figure but agreeing to a reduced figure of 13,279 dwellings and commenting that members had raised the prospect of bringing forward a plan with specific sites allocated over a 10 year period. The Inspector responded on 15 February indicating that such an approach may be possible but commitment was required to a firm timetable for the publicity of MMS, consultation and assessment of any representations against them on 21 March 2022. The Council has responded to the Inspector's letter stating that any decision about the required number of new homes should be based on a survey of the housing "starts and completions" for 2021-22. There are scheduled meetings of the council's Cabinet Planning and Parking Panel on 23 June and Full Council on 6 July.
<p>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.</p> <p>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>	Chris Dale	Planning - Committees	100		
		Planning - Consultation	Indicator		
		Planning - Evidence	Probability	Impact	
		Planning - Project Plan Planning - Section 106 and CIL	4	5	

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	Finance - Annual Governance Statement
		Finance - budget challenge process
		Finance - budget preparation process
		Finance - budgetary control by managers
		Finance - capital programme
		Finance - external audit
		Finance - Finance Procedure Rules
		Finance - Financial Information System (Agresso)
		Finance - HRABusiness Plan
		Finance - internal audit
		Finance - Medium Term Financial Plan
		Finance - Treasury Management Policy
		Finance - use and control of reserves and balances
Property - Asset Management Plan		

Current Score
75

Indicator

Probability	Impact
3	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. Since the end of the quarter the budget proposals were reviewed by Cabinet and Overview and Scrutiny Committee before being approved at Council. The government announced the provisional settlement on 14 December 2021 which has been incorporated into the budget proposals. A response to the government consultation was prepared by the Head of Resources, and was submitted in January, after the end of the quarter. 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. Since the end of quarter three, the updated MTFs was 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	Current Score		Comment: 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. Team Talk 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.
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	32		
		Comms - Communications Team	Indicator		
		Comms - Corporate Communications Strategy	Probability	Impact	
		Comms - media monitoring Comms - media trained staff and Members Comms - surveys LGAPeer Challenge Social Media Policy	2	4	

Description of Risk	Risk Manager	Controls	Current Score		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 COVID 19 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
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	75		
		ICT - Disaster Recovery Plan	Indicator		
		ICT - ICT Strategy	Probability	Impact	
		ICT - infrastructure review ICT - malware detection ICT - PSN Compliance Testing ICT - Temporary PSTN connection	3	5	

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

Current Score
32

Indicator

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. A 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	Current Score		<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 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 will be presented to Cabinet in the coming months. 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.</p>
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	50		
		Property Portfolio	Indicator		
		Probability	Impact		
		2	5		

Description of Risk

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

Risk Manager Controls

Sian Chambers
 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

Current Score**32****Indicator**

Probability

2

Impact

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

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

Risk Manager

Ka Ng

Controls

All staff-Communications
 CMT+
 Comms - Communications Team
 Comms - Corporate Communications Strategy
 CountyWide 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

3

Impact

4

Comment: All services continued to operate as normal and service teams are preparing for the implementation of hybrid working. The council's finances have been adversely impacted by the pandemic as shown in the budget monitoring reports and our 22/23 budget. It is likely that some of the key income areas will take years to recover.