



Risk Report

Description of Risk	Risk Manager	Controls	Current Score		Comment: The corporate Community and Stakeholder Engagement Group, with representation from all council services, meets monthly. It is responsible for coordinating and communicating all consultation and engagement activity. It is also responsible for the delivery of the corporate community engagement strategy.
<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>	Ka Ng	<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>	32		
			Indicator		
			Probability	Impact	
			2	4	
Description of Risk	Risk Manager	Controls	Current Score		Comment: The Asset Grading Model is largely complete, which will be used to influence future investment decisions. Good progress has been made on housing compliance and that regular meetings have been held with Regulator for Social Housing. Morgan Sindall will be starting the new housing maintenance contract from October 22 and that a mobilisation programme is already underway.
<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, Safety of Residents</p>	Glen Finch	<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>	48		
			Indicator		
			Probability	Impact	
			3	4	

Description of Risk

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

Risk Manager Controls

Sian Chambers
 Mandatory safeguarding training programme
 Reporting pathways communicated and updated
 Safeguarding Action Plan
 Safeguarding Policies

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

Probability

2

Impact

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.

Description of Risk

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

Risk Manager

Ka Ng

Controls

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

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

Probability

2

Impact

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.

Description of Risk	Risk Manager	Controls	Current Score		<p>Comment: The senior management structure is seeking to address some of the issues identified with this risk. There is understandable uncertainty during this period of change and management is working very closely with HR to mitigate any issues arising until the new structure is embedded.</p>
<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 for Food 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>	48		
			Indicator		
			Probability	Impact	
3	4				

Description of Risk	Risk Manager	Controls	Current Score		Comment: Prevent is now incorporated into a new Safeguarding and Equalities Steering Group. The Organisational prevent Delivery Plan has been merged into the Corporate Safeguarding Plan. This will enable greater corporate focus and priority to Prevent, as well as enhancing oversight and governance.
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: New business continuity plans and an operational framework have been drafted, as has a paper on command and control arrangements. An assurance review of resilience is to be undertaken to identify opportunities for service improvements.
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. The current plans are generic in nature and cover the following risks: - Severe weather (fog, storm, snow or heatwave) - Loss of, damage to, or denial of access to, a council site (both critical and non-critical) - Loss of utilities (Gas, electricity, water or sewerage) - Loss of critical ICT hardware, data or network, including a hostile attack - Pandemic - Staff (industrial action, loss of key staff) - Supply chain (failure of contractor including performance) - Fuel shortage - Civil emergencies 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		<p>Comment: The modernisation review has identified improvements to processes, As part of the outcome, a revised audit programme has been developed and the first audits under this are complete or imminent. Recommendations are monitored through the Operational Health and Safety Board to promote accountability and oversight.</p>	
<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. 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				2
		H&S - Staff Induction and Training				

Description of Risk	Risk Manager	Controls	Current Score		<p>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 21 July and Full Council on 26 July</p>	
<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. 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	64			
		Planning - Consultation	Indicator			
		Planning - Evidence	Probability	Impact		
		Planning - Project Plan				4
		Planning - Section 106 and CIL				

Description of Risk	Risk Manager	Controls	Current Score 75		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 MTFs update and budget for 2022/23 was approved at full council. The team are closing the 2021/22 accounts, and the outturn is not expected to be significantly different from previous monitoring reports. The team is continuing to closely monitor 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. Inflationary pressures are likely to increase the budget gap in future years, and cause pressures during 2022/23. The budget setting process will commence early to support identification of a savings plan for the medium term.
			Indicator		
			Probability 3	Impact 5	
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			

Description of Risk	Risk Manager	Controls	Current Score 32		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 initiatives also continue. Regular updates are also provided to all officers and members on all key matters related to COVID-19.
			Indicator		
			Probability 2	Impact 4	
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			

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

Current Score	
75	
Indicator	
<div style="background-color: red; height: 10px; width: 100%;"></div>	
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 4 the team: - received confirmation on PSN accreditation - planned for 2022/23 projects to ensure we continue to adopt new technologies to prevent attacks. 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. This risk has been maintained as high due to the ongoing cyber security threats on public bodies associated with the war on Ukraine.

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

Current Score	
32	
Indicator	
<div style="background-color: orange; height: 10px; width: 100%;"></div>	
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 3 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 currently being supported by a fixed term apprentice. There are additional demands which need responding to quickly in order to adequately respond in a timely way to the covid-19 pandemic. 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 data protection officer is being proactively consulted on these areas.

Description of Risk	Risk Manager	Controls	Current Score			
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	50	<p>Comment: The Council has a capital work programme in place to adequately maintain its non-housing assets, and all key planned are on target. The team continues to be responsive to day to day repairs and maintenance. Following 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. Compliance with statutory requirements are reported to the health and safety group. 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 is now well underway.</p>		
			Indicator			
			Probability			Impact
			2	5		

Description of Risk	Risk Manager	Controls	Current Score			
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 - 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	48	<p>Comment: The Housing, Homelessness and Rough Sleeping Strategy sets out our approach to tackling homelessness. We have strategic plans to increase the amount and quality of temporary accommodation. The housing options team is highly skilled and we supplement the service with support from other agencies such as SADA, Resolve, DrugLink, and YMCA Use of the government's Homeless Prevention funding for preventative projects and activities has helped to ensure that the number of households in temporary accommodation has not risen further Additional funding has been received to provide specialist services for single people, ex-offenders and victims of domestic abuse Demand is very high currently and the available properties coming via development and through voids is low, so there is an increasing number of households in temporary accommodation and on the housing needs register.</p>		
			Indicator			
			Probability			Impact
			3	4		

Description of Risk	Risk Manager	Controls	Current Score		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.
<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&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>	Ka Ng	<p>All staff Communications</p> <p>CMT+</p> <p>Comms - Communications Team</p> <p>Comms - Corporate Communications Strategy</p> <p>County Wide SCG, TCG and cells</p> <p>Dynamic responses to service challenges</p> <p>Flexible HR policies</p> <p>Heeding PHE Advice</p> <p>Hertfordshire Resilience</p> <p>ICT home working arrangements</p> <p>Implementation of local social distancing - office closures</p> <p>Infectious Disease Group</p> <p>Operations Shield and Sustain</p> <p>WHBC Pandemic Plan</p>	48		
			Indicator		
			Probability	Impact	
			3	4	