



Risk Report

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
<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>32</p>		<p>Comment: A new corporate Community and Stakeholder Engagement Strategy is being developed to ensure a thorough and consistent approach to engaging with partners, customers and wider community.</p> <p>Comment Last Updated: 15/01/2020 16:44:49</p>
			<p>Indicator</p>		
			<p>Probability</p> <p>2</p>	<p>Impact</p> <p>4</p>	
Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
<p>Strategic - Management of Council Owned Housing Property Assets Description: Failure to provide and maintain council housing property assets and services. Taking opportunities to invest in assets. Consequences: Increased homelessness, Community impact, Economic development, Unsafe assets, H&S - Injuries and ill health, Intervention by regulatory bodies, Customer dissatisfaction, Reputational damage, Additional costs, Financial Implications</p>	<p>Simone Chinman Russell</p>	<p>Asbestos Management</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>32</p>		<p>Comment: We continue with our robust approach to stock condition surveying, to ensure that the planned maintenance programme is optimised, for the benefit of our tenants and council's housing asset.</p> <p>Comment Last Updated: 15/01/2020 16:46:33</p>
			<p>Indicator</p>		
			<p>Probability</p> <p>2</p>	<p>Impact</p> <p>4</p>	

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
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 is in the process of the annual audit for the HCC Adults Safeguarding Board. There continues to be a number of referrals from operational staff and this demonstrates that people understand and can access the safeguarding process at the council.
			Indicator		
			Probability	Impact	
			2	4	Comment Last Updated: 15/01/2020 16:48:19

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
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: We now have the report arising from the Peer Challenge process and have developed work streams arising from the recommendations in this. Our modernisation and transformation process continues, and employee briefings have taken place. The Chief Executive is moving forward with developing the modernisation and transformation programme and relevant resources to deliver it.
			Indicator		
			Probability	Impact	
			2	4	Comment Last Updated: 30/09/2019 15:58:53

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
<p>Strategic - Staff/Workforce Description: Failure to recruit or retain staff with key skills. Lack of resources due to high levels of sickness, turnover or industrial action. Failure to develop and train existing staff. Breach of legislation or failure to follow our HR policies. Consequences: Legal - Litigation, HR - High Staff Turnover, Low morale, Additional costs</p>	Nick Long	Appraisal and one to one process	48		<p>Comment: Recruitment still remains a challenge in a number of key areas, with Heads of Service reporting challenges in attracting and retaining staff particularly in relation to specialist skilled and professional staff. We are obviously monitoring 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.</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			

Comment Last Updated:
02/07/2020 08:42:13

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
Strategic - Prevent Description: Not properly implementing the government's 'Prevent' agenda to address the risks of radicalisation. Consequences: Reputational damage, Undetected Abuse, Prevent Delayed referral to Channel, Prevent - lack of staff awareness, Poor partnership working	Nick Long	Prevent - Channel Prevent - Lease and Hire Agreements Prevent - Nominated Lead Officer for Prevent Prevent - Security and Terrorism implications in report template Prevent - Venue Guidance Prevent - WRAP workshops Prevent matters discussed at Safeguarding meetings. Representation at County Prevent Board	32		Comment: Prevent sessions have not been run face to face for a while due to covid 19 and resourcing. However, new e-learning has been developed by government and this will be being rolled out soon. It will be accompanied by further general counter terrorism sessions produced by ACT (Action Counters Terrorism), which will provide a more rounded learning experience, as well as improving accessibility.
			Indicator		
			Probability	Impact	
			2	4	
					Comment Last Updated: 02/07/2020 09:35:44

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
Strategic - Corporate Resilience Description: Failure to meet the requirements of the Civil Contingencies Act 2004, including the material failure or inadequacy of plans Failure to respond appropriately to a civil emergency or business continuity incident, including the duty of care to the community. Consequences: Community impact, Economic development, Unsafe assets, Customer dissatisfaction, Reputational damage, Poor partnership working, Intervention by regulatory bodies	Nick Long	Resilience - Business Continuity Management Process Resilience - Care of People Plan Resilience - Crisis Support Team Resilience - Extended Floodline Resilience - Local Resilience Forum Resilience - Resilient Telecommunications Resilience - Training and Exercising Resilience - WHBC Emergency Plan	25		Comment: 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.
			Indicator		
			Probability	Impact	
			1	5	
					Comment Last Updated: 02/07/2020 08:44:09

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
Strategic - Health and Safety Description: Failure to maintain an adequate and effective safety management system within the Council, including structures, processes, control measures and allocations of responsibilities and ensuring competence of employees, contractors and service providers. Consequences: H&S - Injuries and ill health, Lost productivity, Sickness absence, Legal - Litigation, Intervention by regulatory bodies, Reputational damage	Nick Long	H&S - Collective Responsibility of Executive Board H&S - Corporate Health and Safety Policy H&S - Inspection and auditing H&S - Map of the extent of the undertaking H&S - Periodic Inspection of plant and equipment. H&S - Risk and Resilience Team H&S - Risk Assessment Policy H&S - Safety Director Role H&S - Staff Induction and Training	25		Comment: The new safety officer is now in post and is working across the council to assist in identifying and managing risks including those relating to "covid-19 secure" activities. The corporate health and safety group has commenced a review of how it works to support the 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.
			Indicator		
			Probability	Impact	
			1	5	
Comment Last Updated: 02/07/2020 08:48:08					

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
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 to exam submitted village sites are scheduled for 28-29-30 July, 4-5 Aug and 18-19-20 Aug. Inspector will then draft interim report, which will probably advise that plan is unsound as submitted, and therefore put choice on cllrs whether to select any additional sites. Officers have commissioned updated OAN in light of new household projections, which will also attempt to take account of Brexit, coronavirus and economic impacts. Gov has announced fundamental reforms to planning system, including more permitted development rights that increases scope for more housing in town centres and employment areas and forthcoming white paper, but not yet known what that will contain.
			Indicator		
			Probability	Impact	
			4	5	
Comment Last Updated: 02/07/2020 12:20:35					

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date	
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 met demand	Ka Ng	Finance - Annual Governance Statement	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 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	Indicator			
		Finance - budget preparation process	Probability			Impact
		Finance - budgetary control by managers	3	5		
		Finance - capital programme				
		Finance - external audit				
		Finance - Finance Procedure Rules				
		Finance - Financial Information System (Agresso)				
		Finance - HRABusiness Plan				
		Finance - internal audit				
		Finance - Medium Term Financial Plan				
		Finance - Treasury Management Policy				
		Finance - use and control of reserves and balances				
Property - Asset Management Plan						

Comment Last Updated:
30/06/2020 10:19:49

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
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	
			Comment Last Updated:		15/07/2020 15:43:12

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
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	
			Comment Last Updated:		30/06/2020 10:25:35

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	Ka Ng	Governance - Data Protection Policies ICT - data encryption Internal Auditing Procurement considerations - Data Protection in Contracts

Current Score	
32	
Indicator	
Probability	Impact
2	4

Latest Comment and comment date

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.

Comment Last Updated:
30/06/2020 10:31:14

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
Strategic - Management of Council Owned Non-Housing Property Assets Description: Failure to provide and maintain council owned non-housing property assets. Taking opportunities to invest in assets. Consequences: Economic development, Unsafe assets	Ka Ng	Asset Management Plan Property Portfolio	50		<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. A refresh of the councils 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.</p>
			Indicator		
			Probability	Impact	
			2	5	
			Comment Last Updated: 30/06/2020 19:26:24		

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
Strategic - Effects of Brexit Description: Preparing the borough and council for exiting the EU by understanding the effect on 1) communities and residents, 2) businesses and economy, and 3) The council, along with any actions we need to take. Consequences: Additional costs, Economic - inward investment, Economic development, Community impact, Economic - loss of funding	Rob Bridge	Brexit - appropriate action plan to be produced Brexit - 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	18		<p>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. We have continued to engage proactively on anticipated impacts with both the LGA and EELGA but it remains to be seen what effect Covid-19 has on local preparations to leave with or without agreement on a trade deal at the end of this year, and what this will mean for residents and businesses in this borough.</p>
			Indicator		
			Probability	Impact	
			2	3	
			Comment Last Updated: 22/04/2020 15:57:01		

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
<p>Strategic - Homelessness Description: Failure to meet the demand of homelessness due to lack of provision of temporary housing and permanent housing Consequences: Intervention by regulatory bodies, Additional costs, Reputational damage, Increased homelessness, Community impact, Service delivery - can't met demand, Legal - Regulatory, Financial Implications, Risk to residents wellbeing</p>	<p>Simone Chinman Russell</p>	<p>Delivery Strategy</p> <p>Finance - budgetary control by managers</p> <p>Finance - HRABusiness Plan</p> <p>Housing, Homelessness and Rough Sleeping Strategy</p> <p>Night Shelter and rough sleeper navigators</p> <p>Private Sector Navigator post</p> <p>Provision of temporary accommodation stock</p> <p>Use of funding for homeless prevention</p>	<p>32</p>		<p>Comment: The demand on the service remains high, with an increase of around 15% of approaches to the housing options service from households over the last six months. We have a plan to make additional provision of temporary accommodation, both in the interim and in the longer term - by developing purpose built accommodation and increasing capacity. We are also focussing on prevention and have recently commissioned a new mediation service, as well as secured funding for two Rough Sleeper Navigators posts, who will work with long term rough sleepers to help them settle into accommodation and prevent future homelessness The Housing, Homelessness and Rough Sleeping Strategy is now complete, along with the Action Plan and this will be presented to members in June.</p>
			Indicator		
			Probability	Impact	
			2	4	
					<p>Comment Last Updated: 23/04/2019 17:51:29</p>

Description of Risk	Risk Manager	Controls	Current Score		Latest Comment and comment date
<p>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 met 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	<p>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</p>	<p>125</p>		<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 May 2020, and this sets 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 emerge from the first wave of the pandemic, our planning has now turned to recovery, and building a 'new normality'. We have reviewed the Action Plan to identify impacts on objectives</p>
			<p>Indicator</p>		
			<p>Probability</p>	<p>Impact</p>	
			<p>5</p>	<p>5</p>	
			<p>Comment Last Updated: 11/05/2020 12:28:49</p>		