



Risk Report

<p>Description of Risk</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>Risk Manager</p> <p>Simone Chinman Russell</p>	<p>Controls</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>Current Score</p> <p>32</p> <p>Indicator</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: We continue to work towards completing this work, which has suffered delays due to the Covid Pandemic.</p>
Probability	Impact							
2	4							
<p>Description of Risk</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&S - Injuries and ill health, Intervention by regulatory bodies, Customer dissatisfaction, Reputational damage, Additional costs, Financial Implications</p>	<p>Risk Manager</p> <p>Simone Chinman Russell</p>	<p>Controls</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>Current Score</p> <p>32</p> <p>Indicator</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: Property Services continues with its programme of stock condition assessments. In addition the team ensures that new additions to the housing stock are fully assessed upon handover and brought up to the required standard, before being let.</p>
Probability	Impact							
2	4							
<p>Description of Risk</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>Risk Manager</p> <p>Simone Chinman Russell</p>	<p>Controls</p> <p>Mandatory safeguarding training programme</p> <p>Reporting pathways communicated and updated</p> <p>Safeguarding Action Plan</p> <p>Safeguarding Policies</p>	<p>Current Score</p> <p>32</p> <p>Indicator</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 Staff Use of consultants

Current Score	
32	
Indicator	
Probability	Impact
2	4

Comment: The modernisation programme has been progressing well, despite the challenges that have been brought out by COVID. Staff have been involved throughout the modernisation reviews and that some key improvements to services and significant financial savings have been included in the 2021/22 budget. Modernisation Board has been meeting every fortnight and wider staff communications have been planned in the coming weeks to inform them the next set of reviews.

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	Nick Long	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

Current Score	
48	
Indicator	
Probability	Impact
3	4

Comment: Staff continue to work remotely. Although remote working offers the potential to recruit from a wider geographical pool recruitment for certain key disciplines (for example Planning, Finance, Environmental Health, Estates) still remains a challenge. This is because the pool of talent is nationally very small and there is a high demand for these staff. Whilst additional external funding for some posts (eg. EHO) is very welcome it has sadly not been possible to recruit to all of these posts. We are utilising furloughed staff where possible and are trying to reduce our reliance on costly agency staff in order to minimise impacts on the budget. Our training has been scaled back but we have looked to deliver critical training in appropriate social distanced ways. We continue to monitor the significant potential impacts from the pandemic. Following on from the peer review, the action plan and direction of travel have been agreed; we are continuing the work on developing the corporate workforce development strategy, which will take account of learning from the pandemic. In the current pandemic climate we have reviewed and adjusted all of our recruitment methods to accommodate social distancing requirements. We are also mindful of the need to understand existing work force skills and the potential for redeployment of staff in response to the pandemic. We have commenced the modernisation review for HR which will incorporate learning from the pandemic.

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	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

Current Score	
32	
Indicator	
Probability	Impact
2	4

Comment: To support the county wide 're-boot' of Prevent, the County's Prevent Programme Manager joined CMT to deliver an update presentation on 6th January 2021. This set out our Prevent duties and the actions taken or proposed to meet these, or to enhance our arrangements. The Organisational Prevent Delivery Plan has been submitted for review and once comments are received and addressed, this will be submitted to CMT. The county wide Prevent E-Learning session is also being piloted with a view to corporate roll out.

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	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

Current Score	
25	
Indicator	
Probability	Impact
1	5

Comment: The council remains a key member of the local resilience forum and the Corporate Director (Public Protection, Planning and Governance) represents the 10 district and borough councils on the strategic coordinating group that has been set up to respond to the current Covid-19 pandemic. Other officers are also involved in various LRF sub-groups and cells set up as part of this response, as well as representing WHBC on groups set up as part of the recent EU transition work. Routine plan reviews have slipped but they remain fit for purpose. There will be a huge amount of learning as we recover from the pandemic, and our plans will be fully and thoroughly reviewed as part of this, and will incorporate changes in working practices that have been implemented, for example use of Microsoft Teams and remote working. The recent fire in Hatfield required plans to be activated. The response by WHBC went very well and gives assurance that our current emergency plan and reception centre plan function as they should.

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	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

Current Score	
25	
Indicator	
Probability	Impact
1	5

Comment: A prime focus of our health and safety work remains Covid-19, including regular workplace audits. Covid secure ways of working have now become normalised and the volume of queries relating to risk assessments and working methods has stabilised, though work volumes remain high. There is now some capacity to address more business as usual work, such as policy reviews. There are still some large pieces of work, for example safety of the elections, which will require a significant resource implication and which may impact on other priorities. The work of the Risk and Resilience Team has extended into each service area and has supported the delivery of services in a covid secure manner.

Description of Risk	Risk Manager	Controls
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

Current Score	
75	
Indicator	
Probability	Impact
3	5

Comment: In late 2020, Cabinet agreed OAN of 13,800 and Full Council agreed submission of additional sites adding to total of 13,277, plus aspiration for safeguarded land for 700 homes at PB1. The Inspector is considering this information, but appears minded to host hearing sessions on the OAN and village sites in February and March 2021. Dates are currently being agreed to take account of purdah and local elections. This reduces the immediate risk that the Local Plan will be found unsound. The Government has scrapped the proposed new standard method that would have reduced the borough requirement to 667 homes per year, and defaulted to the current standard method which equates to 875 homes per year, which further increases the risk of not proceeding with hearing sessions in whatever guise the Inspector is minded.

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	Ka Ng	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 - HRA Business 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. 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. The provisional settlement was announced on 17 December, and has been incorporated into the budget proposals which were finalised in quarter 3. The budget will be presented to Cabinet on 5 January 2021 with a small draw down from balances and an updated medium term financial strategy. There continues to be significant uncertainties in relation to the ongoing impact of the covid-19 pandemic, and future government funding. Based on current assumptions the budget gap stands at £2.2m by 2023/24, after a draw down from reserves to support collection fund deficits associated with the pandemic. The medium term strategy sets out the main strategies that are in place to meet savings targets and deliver a balanced budget in future years.

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	Comms - communication plan
		Comms - Communications Team
		Comms - Corporate Communications Strategy
		Comms - media monitoring
		Comms - media trained staff and Members
		Comms - surveys
		LGA Peer Challenge
Social Media Policy		

Current Score	
32	
Indicator	
Probability	Impact
2	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	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

Current Score	
75	
Indicator	
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: -arranged additional cyber security training via webinar which was well attended - completed the regular penetration testing of the network and of new systems -registered with the national cyber security centre for early warning notifications -reviewed and followed LGA advice following a cyber incident at another local authority 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	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

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 currently being supported by a fixed term apprentice. During quarter three, the following items are specific areas of work to highlight: - The team continued review of the councils Information Asset Register; - The data retention guidelines were reviewed and approved; and - Additional work was undertaken on data arrangements for the end of the EU transition period. 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
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

Current Score	
50	
Indicator	
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. A refresh of the councils asset management plan is well underway with a base data review having been commissioned through our advisors. This data has been received and is being considered. A small pause is in place for the asset strategy to ensure it aligns to the corporate objectives which are under review. 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 worked with the Risk and Resilience Manager to ensure our managed buildings are COVID-secure, including for the recent opening of HatTech. An internal audit was undertaken in quarter three on compliance with statutory requirements and draft results are expected in early quarter four.

Description of Risk	Risk Manager	Controls
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	Ka Ng	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
		LGA Membership
		LGA support and briefings

Current Score	
9	
Indicator	
Probability	Impact
1	3

Comment: Following the end of the EU transition period and the start of the new trade arrangements taking place from January, officers have been reviewing the new guidance applied to relevant services and updated the detailed risk register that teams have compiled during the EU transition period. Over the next few months, further detailed changes to procurement and state-aid rules are expected to be made available and further adjustments to our policy and procedures may be necessary

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	Simone Chinman Russell	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: There has been additional pressures due to an increased number of presentations of homeless families to the service, as well as the government's Every one In initiative, which meant that every one who is rough sleeping or at risk of rough sleeping was offered accommodation. A block booking of a local hotel meant that there was capacity to ensure that every one could be made a suitable offer of accommodation. The team have worked hard to ensure that any void council homes can be progressed as quickly as possible, so that there is a continued supply of homes to ease pressures. Due to the restrictions on moving, current vacancies are being prioritised for homeless families. Despite the pressures, the team are managing the increased workloads and have successfully ensured that no one is on the street.

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	
125	
Indicator	
Probability	Impact
5	5

Comment: : The country has entered into the third national lockdown since March 2020 and that the current restrictions are expected to last until at least mid-February. The impact of the pandemic has a severe impact on the council's financial position, which has been reported regularly to Cabinet and Full Council throughout the year. Most of our staff are continuing to work remotely and a series of staff wellbeing and support programme have been put in place. The COVID recovery plans will be reviewed once the COVID restrictions are starting to ease.

