



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: The Community Engagement Strategy has now been approved by Cabinet. Its implementation is being overseen by an officer group containing representatives from all council services.</p> |
|---|--|---|---|-------------|--------|---|---|--|
| Probability | Impact | | | | | | | |
| 2 | 4 | | | | | | | |
| <p>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, Safety of Residents</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>Lift Safety Management</p> <p>Planned works delivery I</p> <p>Policy and Procedure Framework</p> <p>Water Hygiene Management</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 commissioned a review to ensure that we complied with all legislation and guidance relating to building safety across our housing stock. This work highlighted several issues, and a comprehensive action plan has been prepared and work is underway, using a risk-based approach to resolve the outstanding remedial actions. Additionally, we are embarking on a new stock condition management approach. We are procuring and implementing a new asset management database and carrying out a new stock condition survey. All housing asset data will go into this new system, including compliance data for individual properties. The new asset management system will provide readily available stock data in real time.</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 |
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| Strategic - Change Management Description: A new oneteam culture and set of behaviours have been rolled out across the council and are now being embedded to support our modernisation and improvement journey. This risk addresses the consequences of any failure to robustly manage change. Consequences: Inadequate service shaping, Additional costs, Reputational damage | Ka Ng | Appraisal and one to one process Chief Executive Briefings Close Working Relationship with HR Communication HR - Employee Forum HR - Meetings with Trades Unions HR - Reporting to ROSC LGA Membership Peer Challenge Use of consultants |

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| Current Score | |
| 32 | |
| Indicator | |
| 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 savings have been included in the 2021/22 budget. Modernisation Board has been meeting every fortnight and a number of projects are now well into the delivery phase. A deliver steering group which reports into the modernisation board is actively managing projects and monitoring risks associated with project delivery. There are a number of reviews due for completion in quarter two, and any financial efficiencies arising from these will be incorporated into the 2022/23 budget setting process. An internal audit has been completed during quarter 1 for the governance arrangements of the programme, with results of the audit due back in quarter 2.

| 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 |

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| Current Score | |
| 48 | |
| Indicator | |
| Probability | Impact |
| 3 | 4 |

Comment: Staff continue to work remotely. Although preparations are being made for returning to the office in a hybrid way. Whilst remote working offers the potential to recruit from a wider geographical pool recruitment for certain key disciplines (for example Planning, Finance, Environmental Health, Estates) this still remains a challenge. This is because the pool of talent is nationally very small and there is a high demand for these staff. Our new learning and development coordinator is busy reviewing our training and development programme. The new agency staff framework has gone live.

| 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: Our Organisational Prevent Delivery Plan has been adopted and is in progress. Multi-agency training has been offered by the Community Safety Team and was well attended and received. A proposed training framework has now been approved and we hope to roll out e-learning soon, along with more in-depth training for some officers. A venue management policy will be developed soon to control the risks around inappropriate use of council venues.

| 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, Routine plan reviews have slipped but they remain fit for purpose. The aim is to start reviewing our business continuity framework in late summer 2021. 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, as well as the concept of 'CMT+' where Corporate Management Team and certain other officers fulfill the strategic and tactical incident command for an incident.

| 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 - Map of the extent of the undertaking H&S - Risk and Resilience Team H&S - Staff Induction and Training |

| Current Score | |
|---------------|--------|
| 50 | |
| Indicator | |
| Probability | Impact |
| 2 | 5 |

Comment: Work in connection with Covid-19 continues as we exit from lockdown. Issues have arisen in relation to Housing property compliance following a review and an action plan has been developed and is being implemented. We are embarking on a full review of our safety management system in order to ensure that any learning is captured, and to keep it fit for purpose. Ten revised policies have been signed off by CMT in this period, with several more in the process of being reviewed. From July we have introduced a new Operational Health and Safety Board to streamline the processes for considering, challenging and reporting on health and safety corporately. This provides more focus as membership includes all relevant key officers.

| Description of Risk | Risk Manager | Controls |
|---|--------------|--------------------------------|
| Strategic - Local Plan Description: Risk that Local Plan will be found unsound. Inspector wants to examine all previously rejected sites to identify most sustainable choices. Consequences: Economic development, Financial - affects on receipts, Economic - inward investment, Economic - local infrastructure, Economic - new facilities, Environment - hostile developments, Economic - loss of funding, Reputational damage | Nick Long | Planning - Committees |
| | | Planning - Consultation |
| | | Planning - Evidence |
| | | Planning - Project Plan |
| | | Planning - Section 106 and CIL |

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| Current Score | |
| 75 | |
| Indicator | |
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| Probability | Impact |
| 3 | 5 |

Comment: Work continues on the local plan and we have now received several reports from the Inspector and these are now going through the committee process to for consideration and to determine a response.

| 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 |

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| Current Score | |
| 75 | |
| Indicator | |
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| 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 2021/22, so future funding position for the council remains uncertain. The 2021/22 budget and council tax was approved in February and the medium term financial strategy sets out the measures and initiatives that will be put in place to meet savings targets going forward. The sales fees and charges scheme has continued for quarter 1 of 2021/22, and we anticipate claiming round £300k. The government has made no commitments to continuing this scheme any further, so the council may have to fund further losses through its own resources, and an earmarked reserve was created in 2020 for this purposed. Following the closure of the 2020/21 accounts, the council set aside more in the business rates retention reserve than originally anticipated. This is due to announcements just prior to year end by the government, which restricted rates appeals linked to the impact of the pandemic, which in turn reduced the appeals provision compared to previous estimates. The government also provided additional support for bad debt provisions. This increased reserve covers the three year impact of the 2020/21 deficit, however the council will still need to closely monitor the 2021/22 collections as these are not supported by the government. The MTFs update has been approved at cabinet and the budget gap has been determined. Plans are being put into place for ensuring a balanced budget can be delivered for 2021/22. A recent update was provided to the overview and scrutiny committee on the task and finish arrangements for the 2022/23 budget setting process.

| 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 |

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| Current Score | |
| 32 | |
| Indicator | |
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| 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 |

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| Current Score | |
| 75 | |
| Indicator | |
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| 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 1 the team: -undertook interim PSN testing in advance of full test later in the year, addressing any issues identified 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. We will be commencing the disaster recovery planning exercise during quarter 2.

| 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 |

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| Current Score | |
| 32 | |
| Indicator | |
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| 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 has now been appointed, who as part of their role, will be responsible for supporting the ongoing administration around information governance, including data protection.

| 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 |

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| Current Score | |
| 50 | |
| Indicator | |
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| Probability | Impact |
| 2 | 5 |

Comment: The Council has a capital work programme in place to adequately maintain its non-housing assets, and all key planned are on target. The team continues to be responsive to day to day repairs and maintenance. Following approval in February 2020 to include conditions survey budgets for 2020/21, surveys have started (with a number already completed) and these will enhance longer term planning for the councils assets. These will inform future year budgets and support with the development of the asset strategy. Internal audits have now been completed undertaken on longer term management and compliance, with reports presented back to audit committee. 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. 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. Discussion are underway for the ongoing operations for the campus east and white lion house receptions.

| Description of Risk | Risk Manager | Controls |
|---|---------------|---|
| Strategic - Homelessness Description: Failure to meet the demand of homelessness due to lack of provision of temporary housing and permanent housing Consequences: Intervention by regulatory bodies, Additional costs, Reputational damage, Increased homelessness, Community impact, Service delivery -can't meet demand, Legal - Regulatory, Financial Implications, Risk to residents wellbeing | Sian Chambers | Delivery Strategy Finance - budgetary control by managers Finance - HRA Business Plan Housing, Homelessness and Rough Sleeping Strategy Night Shelter and rough sleeper navigators Private Sector Navigator post Provision of temporary accommodation stock Use of funding for homeless prevention |

| Current Score | |
|---------------|--------|
| 32 | |
| Indicator | |
| Probability | Impact |
| 2 | 4 |

Comment: The team have been successful in moving the majority of people who were housed as a result of the government Everyone In instruction on to more settled accommodation. Whilst the number of people approaching the service for help is higher than in previous years, the number of households in temporary accommodation is lower than in previous years, as a result of preventative work and also the development of services as a result of the government funding to help support a reduction in rough sleeping. The team have recently been successful in a further funding bid to provide support to people leaving prison to help them find suitable accommodation. The recruitment to this specialist role is underway.

| Description of Risk | Risk Manager | Controls |
|--|--------------|--|
| Strategic - Impact of Covid-19 Pandemic Description: The Covid-19 pandemic is seriously impacting on council services and local communities. Employee absence will place strain on the council, as will significant changes to work practices, adaptations to service delivery and resultant backlog management. There are likely to be significant budgetary implications. Managing the response to the outbreak locally will impact council resources, capacity and priorities. Consequences: Reputational damage, Additional costs, Inadequate service shaping, Community impact, Economic development, HR - High Staff Turnover, Low morale, H&S - Injuries and ill health, Lost productivity, Sickness absence, Financial - affects on receipts, Economic - inward investment, Service delivery - loss/reduction, Service delivery -can't meet demand, Harm to Vulnerable People, Economic - loss of funding, Risk to residents wellbeing, Backlog needing to be managed, Slippage to corporate projects, Reduced income, Opportunity to modernise/transform, Greater understanding of resilience, Enhanced team working/collaboration, Enhancements to partnership working | Ka Ng | All staff Communications CMT+ Comms - Communications Team Comms - Corporate Communications Strategy County Wide SCG, TCG and cells Dynamic responses to service challenges Flexible HR policies Heeding PHE Advice Hertfordshire Resilience ICT home working arrangements Implementation of local social distancing - office closures Infectious Disease Group Operations Shield and Sustain WHBC Pandemic Plan |

| Current Score | |
|---------------|--------|
| 48 | |
| Indicator | |
| Probability | Impact |
| 3 | 4 |

Comment: The council's finances have been adversely impacted by the pandemic as shown in the financial monitoring report. It is likely that some of the key income areas will take years to recover. Following the end of the government's lockdown measures, services such as Campus West, museum services, Hive have since reopened. The other services are continuing to operate as normal per the government guidance.