

East Herts Council Corporate Risk Register – 2021/22 quarter one

Appendix 2

| No | Score | Vulnerability | Trigger | Consequence | Risk owner | Mitigation / control |
|----|-------|---------------------|---|--|--------------------------------------|--|
| 1 | A 4 | Financial Resources | <p>Reduction in government grant combined with higher demand for demand-led services such as homelessness, or failure to generate income.</p> <p>Failure to realise capital receipts from disposals to support capital expenditure.</p> <p>External auditor challenges MRP Policy and capital financing decisions</p> <p>Council Tax Referendum levels set too low to generate sufficient tax revenue. Sudden economic Down turn results in negative Tax Base figures because of increased local Council Tax support claims</p> | <ul style="list-style-type: none"> • Reductions in services required • Performance against community expectations and targets reduced • Investment in improvement not possible or severely reduced • Failure to meet statutory duties with potential for legal action or Local Government Ombudsman finds significant cases of maladministration • Corporate Manslaughter charges if maintenance works not carried out, e.g. Legionella in air handling and cooling units • Large numbers of staff redundancies • Major media | Head of Strategic Finance & Property | <ul style="list-style-type: none"> • Minimum Balances held on risk assessment basis to cushion impact over short term (max 2 years) • Modelling of impact of grant settlement scenarios and function and funding changes • Three year MTFP savings programme • Transformation Programme in scoping stage to deliver savings and efficiencies through an emphasis on: digital self-service; process automation; agile working leading to a much reduced accommodation requirement <u>with target of £1 million cashable savings.</u> • <u>Transforming East Herts Commercial Strategy will specify commercial skill sets and set out the council's approach to risk appetite</u> |

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| | | | <p>Members do not agree significant savings at budget setting leading to an unbalanced budget leading to a s.114 report.</p> <p>Delay and/or significant cost over runs on major projects</p> | <p>engagement</p> <ul style="list-style-type: none"> • Potential for MHCLG intervention <ul style="list-style-type: none"> • Delay leads to cost increases beyond the ability of the council to finance the capital costs • Delays and cost overruns lead to non-delivery of savings requiring service offer reductions to compensate • Projected savings not achieved after project completion due to | | <p><u>and give guidance on how income generating ideas should be taken forward.</u> Financial Sustainability Committee considering investments in infrastructure or operational assets that yield income or cost reductions that are not caught PWLB lending rules</p> <ul style="list-style-type: none"> • New capital programme items must make a return for the investment in cost reductions or income on top of covering the interest and MRP costs • Charges will be required to be in conformity with proposed corporate policy on charging recovering total costs and concessions will need to be justified in policy terms and funded by higher charges for others. • Business case reviews to ensure that projects make a return |

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| | | | | <p>changes in market away from service offer</p> <ul style="list-style-type: none"> • Significant local media engagement • Reputational damage. | | <ul style="list-style-type: none"> • Cost and income estimates commissioned from industry expert consultants to feed into business case • Project delivery by Major Projects Team with quarterly reports on progress to Leadership Team and Executive. • Construction insurance presentation held in November and quotes to be sought for relevant covers. • Capital Programme is phased and financed across years and contingency built into budgets so can be re-phased if required. |

Update on current position

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| 1 | | <ul style="list-style-type: none"> • <u>The</u> lockdown has caused a loss of income of approximately £800,000 per month. The third national lockdown was reviewed in mid-February and with the new variants of the virus and the vaccination programme underway the base planning assumption that some form of restriction will remain in place until June at the earliest was confirmed. Once restrictions are eased we expect a cautious and gradual lifting with close examination of data so it is likely to take some time for people to return to their previous patterns of behaviour. |
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Update on current position

- Total Government support of just over £2.9 million has been received to date for Council services. A further £63.6 million has been received by the Council and paid out to support business and the community in East Herts.
- Council's £2.9 million funding compensates for loss of transactional income but not items such as rent on investment properties. It also contains one off funding for new burdens administering grants for business and residents but is significantly less than the actual cost of administering these schemes.
- Rent payments on investment properties have no significant defaults to date. Rent reductions have been agreed for 2 tenants in Charringtons but this has to set against compensation that would have been payable when we need to move tenants out for handover for the Old River Lane regeneration as we have included appropriate break clauses as part of the new rent agreement.
- Government has committed to the income compensation scheme for the first quarter of 2021/2 and it is possible that they would extend the scheme to cover periods of restrictions beyond quarter 1.
- Once the pandemic has ended and the economy has started to recover, the Government will have to determine how it will manage public finances going forward. It is likely that a new phase of austerity may well follow and central funding for district councils is likely to be limited or reduced. The government may well change the local taxation system by abolishing Business Rates and Council Tax and replacing it with some other form of property related or land value taxation. The Government may also decide to impose reorganisation on local government to reduce the number of Councils significantly.
- Leadership Team and Service Managers have looked at agile working proposals and validated the likely maximum number of desks required going forward. Indicative figures at this stage indicate that Wallfields is too large for our requirements and officers are now exploring options around sharing space with tenants or whether relocation elsewhere would produce greater savings.
- Transformation Programme vision, benefits realisation classifications, work streams and new digital by default customer journey ethos due for Executive ~~validation during May approval in July~~ with ~~all Member briefing session to be programmed in staff briefings in August~~. ~~Regular update reports to Executive on progress~~.
- Savings plans for 2021/22 is on target with garden waste sign up being on budget assumption with a high on-line sign up of 92.5% and direct debit payments at 82%

Update on current position

- Corporate policy on charging to be developed to ensure consistency across charges – there have been a number of below cost charges agreed with no clear policy or justification in the past that are having to be dealt with as part of aligning charges with North Herts for joint commercial waste services.
- Grange Paddocks and Northgate End construction work is underway.
- Hartham contract awarded and within budget in February with works ~~commencing on site~~ commenced late March.
- Old River Lane /Arts Centre change in scope progressing and approved by Council in March alongside the business plan. Development Agreement and Development Management Agreement draft approaching completion in April with s.151 officer and monitoring officer input.
- Hertford Theatre due to commence later in 2021.
- All major capital projects are at risk of potential prices increases as a result of the combined impact of COVID / BREXIT related inflationary pressures. The materials market has seen a 25% increase in both steel and timber prices in the last quarter as well as increases in concrete and other materials. In addition to the increasing cost of materials, there is a significant shortage of labour supply for the construction and M&E industries, which is in turn pushing up the price of labour. This is a national issue.
- The national shortage of HGV drivers is driving up pay and this will lead to pressures on the cost of the waste contract.

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| | | | <p>Local government reorganisation / Devolution</p> <p>Climate Change / Zero Carbon / Build Back Greener</p> <p>Changes to local taxation</p> | <ul style="list-style-type: none"> • Government impose unitary authorities and reduce exchequer grants by savings made • District required to be carbon neutral from 2030 and Government targets set with fines for non-achievement • Business Rates and or Council Tax replaced with Land Value Tax or Local Income Tax • Potential protests and non-payment campaigns • Measure may end land banking with developers commencing on multiple sites to build out permissions and avoid LVT • Uncertainty as to tax yields and redistribution | | <ul style="list-style-type: none"> • Both officers and Members are engaged in networking and lobbying to seek to influence change and to gain early indications of new policies. • Work underway to progress carbon reduction and also exploring potential investments that support this aim but would also produce income for the council in the medium term. • Both officers and Members are engaged in networking and lobbying to seek to influence change and to gain early indications of new policies. • LVT is in operation in Denmark, Estonia and Latvia and there are suggested routes to implementation already published. Local Income Tax would require key data from HMRC before implications could be |

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| | | | <p>Leadership / Management change</p> <p>Recession leading to increase in unemployment, business failure; low business growth and commercial property values decreasing significantly.</p> | <p>mechanisms cause difficulties budgeting</p> <ul style="list-style-type: none"> • Change in leadership politically sets radically different policy agenda and tone • Change in Leadership Team structure • Unemployment. • Empty properties / shops. • Lower rental income from council property portfolio. • Increased demand on council services. • Reduction in Council Tax Base due to LCTSS being a discount. • Reduction in Business Rates income to the safety net level | | <p>understood.</p> <ul style="list-style-type: none"> • Corporate Plan process • Member induction and training • Code of conduct • Monitoring Officer/ s.151 officer • HR policies • Estimates of workload v capacity • Corporate Plan process • European Regional Development Fund / MHCLG project to support businesses with advice and support on growing. Ware and Bishop's Stortford Launchpad to be grown. • COVID support grants and business rates reliefs for 2020/21 and 2021/22 to support businesses through the pandemic. • Broxbourne BC and CVS digital skills support |

Update on current position

2

- Rydon's report that there is a national shortage of bricklayers which may affect Northgate End redevelopment timescales although they are confident they can resolve the issue. This situation seems counter intuitive since ONS issued statistics showing 64% of bricklayers were furloughed and their wages fell by 8%. Officers shall continue to monitor the situation and seek to understand the situation but as bricklayers are considered a high vulnerability job, as it cannot be done remotely and therefore has a high risk of infection, there is perhaps a reluctance to come off furlough until they have been vaccinated.
- As at 12 December 7,200 individuals with an East Herts address had applied for Settled Status. This indicates a strong appetite for EU citizens to remain in the district.
- Officers are considering the lessons from how the Council has been able to operate during the pandemic. It is evident that working from home is possible on a greater scale and this will have implications for our future accommodation needs and reduce travel leading to lower carbon emissions
- Council is actively targeting food waste reduction. The Climate Change Committee say that for the UK's next carbon budget food waste must be reduced by 75% i.e. the vast majority of carbon emissions are from the production and transportation of food that is wasted. The UN report on food waste said that almost a billion tons of food was wasted and led to carbon emissions that if it were a country, would be third behind the USA and China
- 2 stage approach to mitigating recession following COVID-19: In the first lockdown the council supported over 2,200 businesses with £30m of government funded grants and £18m of reliefs. A further £6.8m has been paid out since November through different government grant schemes and a further 600 businesses have benefitted on top of the 2,200 above.
- £132,000 of ERDF funding has been allocated to support safe re-opening of High Streets and has covered work such as traffic management on high streets to encourage social distancing. Due to the second national lockdown retail businesses are again facing significant challenges and our most recent response has been to introduce a shop local campaign focused on on-line buying and takeaways / click and collect services. The funding was also used to purchase hand sanitisers in town centres and planters to replace temporary traffic barriers.
- Council also commissioned a new service with Broxbourne Borough Council and the CVS to support newly unemployed residents get back into work by supporting them with digital skills such as interviewing over Zoom and

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Update on current position

MS Teams. Service launched 5th October 2020. As at 31 March 2021, 41 individuals had made use of the scheme.

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| 3 | A3 | Performance, resilience and security of IT systems | <p>Data and/or information lost causing breach of Data Protection Act</p> <p>Cyber-attack results in total loss of data and systems</p> <p>Investment in ICT does not result in savings</p> | <ul style="list-style-type: none"> • Substantial fine from Information Commissioner • Major media engagement • Reputational damage • Disruption to services potentially long-running • Inability to carry out enforcement as no records to check against • Resources devoted to recovery moved off to assist police investigation delaying recovery • Major media engagement • Reputational damage • Council becomes financially unsustainable | Deputy Chief Executive | <ul style="list-style-type: none"> • Network Virtual Desktop configuration prevents download of data to local storage devices • Network firewall and security systems tested and monitored • Staff training • Confidential waste shredded • Massive reductions in printing since pandemic <ul style="list-style-type: none"> • Projects to include estimated benefits and monitored through benefits realisation reports. The investment requirements are tried and tested systems that have resulted in savings elsewhere. |

Update on current position

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- January's report showed that:
 - 3,298 spam emails were blocked out of 248,920 received.
 - 19 impersonation attempts were blocked.
 - 20 emails containing malware were blocked.
- A dedicated GDPR/Data Protection Officer has been recruited and has taken up the post.
- Recent weekend shutdowns have enabled the disabling of old technology that was no longer supported or updated. New firewalls and switches have been installed and although slightly behind due to resourcing issues, all major projects are progressing well.
- A small agile working group has been established and is currently working to develop a trial partial reopening of the Wallfields office in April. We are working towards the Government dates and will review in line with any guidance or changes that emerge. The office has been assessed to ensure it is meeting current COVID guidance.
- As the ICT upgrade projects progress there have been several incidents that have resulted in the loss of IT for staff and members. A day and a half of productivity was lost in June. The issue was identified and rectified but this has further exposed how our aging infrastructure is starting to impact on the organisation.
- SBC (IT Shared partner) are developing a scope to be agreed by both parties for a review to be undertaken at the request of the respective council leaders, to provide assurance going forward. In addition additional resourcing is being investigated to see if the replacement programme can be accelerated.
- This has not resulted in the councils experiencing any data security and cyber risks.
- A new interim ICT Partnership Manager came into post during August and is making changes in project delivery arrangements and major incident protocols.

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| 4 | B 2 | Staff capacity and skills to deliver services | <p>Loss of key staff</p> <p>Staff capacity unable to deliver projects</p> <p>Unable to recruit to key posts</p> | <ul style="list-style-type: none"> • Disruption to Council services • Poor customer service • Internal control or governance failure • Reputation damaged in the media • Staff cannot undertake level or volume of work to meet all priorities • Council does not deliver performance expectations • Opportunities lost to improve outcomes • Partners lose confidence in ability to deliver • Public lose confidence in ability to deliver • Disruption to Council services • Poor customer service • Internal control or governance failure • Reputation damaged in the media • Disruption to Council | Head of Human Resources and Org Development | <ul style="list-style-type: none"> • Staff development including the on-line learning pool • Succession planning for key staff within Services • Use of flexible retirement to ensure continuity of experienced staff whilst bringing on staff into roles • Prioritisation of work through the Corporate Plan and Executive Members • Major projects taken forward with corporate project management standards via the Major Projects Team • Market supplements where appropriate • Selective use of external resources and contingent labour through neutral vendor to drive down costs. • Internal communications emphasising welfare and mental health • Contingency planning |

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| | | | Industrial action | services <ul style="list-style-type: none"> • Poor customer service • Non-delivery of projects | | <ul style="list-style-type: none"> • Contingency planning |

Update on current position

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|---|--|--|--|--|--|--|
| 4 | | | | <ul style="list-style-type: none"> • Staff turnover had reduced for the 19/20 (1/4/19-31/3/2020) period to 10.1% from 19% (18/19) meaning that the regrading and pay proposals appear to have aided attraction and retention as planned. Turnover has continued to remain low which is common in the current pandemic and for 20/21 it has reduced further to 8.4% for global turnover with 6.3% for voluntary turnover (there were 28 leavers, but 7 leavers left due to redundancy/FTC expiring). • The number of leavers in Q4 did increase and it remains challenging to recruit senior planning officers especially as agency terms are more favourable than direct salaries, the service is being restructured in 21-22 to try to improve the structure and create more opportunities for growth and retention (Golden Hellos are already used where appropriate as is 100% funding for qualifications. The area remains a priority for grow your own through apprentice and career graded posts and these are used but currently there is not a valid apprentice framework to utilise. In line with savings required all recruitment must be approved by Leadership Team with enhanced justification and a requirement to explore either restructures or process changes to eliminate the need for the post. • The temporary labour supply arrangement went live in April 2020 which has reduced fees paid to agencies and ensures a wider pool of potential candidates. This is working fairly well with issues resolved with Matrix where they arise to improve the pooling. • The Indeed EHC branded website is working ok but has not been as successful as hoped. An improved online application form managed through an Applicant Tracking System (ATS) will be introduced in 21-22 to make the candidate journey easier and hopefully reduce the drop off caused by moving between systems. • Ongoing work has continued with the Communications team and HR to improve the online presence and promote the employer brand further. Case studies are being developed to support welcoming diversity. • Career graded posts are continuing to be used and proving successful for hard to recruit posts with all four Lawyer | | |
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| Update on current position | |
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| | <p>roles successfully filled. All four have started in post which is already really improving the legal capacity of EHC.</p> <ul style="list-style-type: none"> • A review of apprentices is continuing to both manage costs and support succession. This has been slowed by the pandemic, but we now recruiting into customer services as this allows progression into a range of services. We are awaiting a new planner framework and will use this to bring further planning apprentices. • <u>The Wellbeing survey was re-run alongside a full staff survey in December 2020 and the staff satisfaction rates received are high which is positive with 95% of respondents proud to work for EHC and 94.7% would recommend EHC to others as a good place to work.</u> • <u>Once completed, Northgate End, Hertford Theatre and Old River Lane sites will all require IT and Facilities Management support over extended operating hours.</u> |

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| 5 | C 4 | Poor performance or failure of key partner or contractor | Poor performance or failure of key partner or contractor | <ul style="list-style-type: none"> • Disruption to all Council services • Additional costs resulting from response • Demand to partner organisations to provide mutual aid to support our response • Cost and time involved in unplanned procurement exercises • Major media engagement • Reputational damage | Head of Operations | <ul style="list-style-type: none"> • Risk of contractor failure increased due to COVID. Regular discussions are continuing with contractors and key third sector partners to ensure no failures in delivery particularly during the pandemic • Credit risk scores are obtained for major contractors during the operation of the contract and particular attention is |

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| | | | Failure to mobilise major outsourced contracts properly and/or on time | <ul style="list-style-type: none"> • Disruption to council services • Damage to relations with outsourcing partner and potential damages claim • Major media engagement • Reputational damage | | <p>paid to trade news concerning contractors' financial health.</p> <ul style="list-style-type: none"> • Offer of open book accounting to examine any potential cost increases as a result of changing circumstances. • Waste-related business continuity plans are also regularly reviewed. Brexit restrictions and the closure of Asian export markets will impact on the sale of materials and income may cease and costs may increase. Talks are ongoing with other Hertfordshire authorities to determine alternative recycling operators. The council is investigating a circular economy option for the plastics waste stream in particular. |

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| Update on current position | | |
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| 5 | | <ul style="list-style-type: none"> • Risk of business failure has increased due to COVID. Business continuity plans refreshed and regular dialogue maintained with contractors who have been informed the council would look sympathetically at cost increases provided the council was told in advance and the contractor undertook to use reasonable endeavours to resolve cost pressures themselves utilising furlough and other central government support. • Successful bid to the National Leisure Recovery Fund in partnership with SLM to support costs whilst reopening with reduced activities and reduced class sizes to maintain social distancing. • Contingency plans to step in should contractors fail. Principal route will be to use a TEKAL company to provide the service pending retendering as the company vehicle preserves the private sector T&Cs of employment. • Council has and is prepared to offer loans to help contractors with cash flow, subject to an assessment that they are a going concern • Requirement for higher recycled packaging content has caused some plastic materials prices to increase. |

| No | Score | Vulnerability | Trigger | Consequence | Risk owner | Mitigation / control |
|----|-------|--|--|--|---------------------------------------|--|
| 6 | C 3 | Judicial Review and or major legal challenge | <ul style="list-style-type: none"> • Council loses case | <ul style="list-style-type: none"> • Council policy (ies) can no longer be used • Unregulated activity until soundly based policy put in place • Large costs award against Council • Reputational damage • Major media engagement • Monitoring Officer and | Head of Legal and Democratic Services | <ul style="list-style-type: none"> • All Executive, Committee and Council reports require sign off by legal and finance to ensure compliance with budget and policy framework and current legislation. • List of policies maintained with review dates. • Information Governance function strengthened to |

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| | | | | <p>or s.151 officer issues Report in the Public Interest</p> <ul style="list-style-type: none"> • MHCLG intervention • Potential requirement to repeat procurement exercise and compensate unsuccessful bidders in first exercise • Additional and or abortive costs | | <p>ensure compliance with data protection.</p> <ul style="list-style-type: none"> • Policies should be backed by evidence and Leadership Team consideration involves constructive challenge as well as formal Monitoring Officer and s.151 officer. |

Update on current position

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| 6 | | | | <ul style="list-style-type: none"> • Four new solicitors starting with the Council following a successful recruitment process. First solicitor started in January and the final one joined in April. The Contracts Lawyer, who started in March 2021, will allow for much greater control over the Council's major project work and has already begun attending meeting of this nature. • <u>Successfully recruited an Information Governance and Data Protection Manager who started at the beginning of 2021, providing the Council with greater resilience against data breaches. Making good progress in addressing any deficiencies or weakness in the Council's approach to data protection and information management.</u> • <u>There has been a reduction in the amount of work being outsourced meaning that, where legal advice is required, East Herts Legal Team are consulted throughout. This should reduce the risk of problems arising further down the line.</u> | | |
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|----|-------|---------------|---|---|------------------|--|
| 7 | A 1 | District Plan | Failure to refresh District Plan to timescales and /or refreshed District Plan found to be unsound at examination | <ul style="list-style-type: none"> • Planning becomes developer led rather than planning policy led through 5 year land supply test • Additional costs to redo work Additional costs of planning appeals and possible judicial reviews • Reputational damage • Loss of affordable housing and S.106 / community infrastructure levy benefits • Failure to meet 5 year Housing Land Supply requirements • Possible intervention by MHCLG | Head of Planning | <ul style="list-style-type: none"> • Evidence based planning policy decisions • Strong focus on Member, Parish, partner and community buy-in |

Update on current position

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| 7 | | <ul style="list-style-type: none"> • The District Plan was adopted in October 2018 following a successful examination in public. • Planning in East Herts is therefore 'plan-led' rather than 'developer-led'. |
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Update on current position

- The majority of strategic sites now have an agreed Masterplan.
- Following the Housing Delivery Test results in January, the Council has maintained the minimum 5% buffer and therefore can demonstrate a five year land supply in excess of 6 years.
- The Council has also continued its trend of annual improvements on the Housing Delivery Test, this year being able to demonstrate a 104% delivery rate meaning that the Council is meeting its housing need and addressing the undersupply of previous years as well.
- A total of 994 dwellings were completed in 2020/21. Of these, 326 were affordable homes which represents 32.8% of all completed dwellings in the district.
- To be effective plans need to be kept up-to-date. The National Planning Policy Framework states policies in local plans, should be reviewed to assess whether they need updating at least once every 5 years, and should then be [updated as necessary](#). Officers are currently considering whether a review of the District Plan is required.

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| 8 | A 4 | Climate change | <p>Severe Weather causing major incident (includes flood, wind, snow, cold and heat)</p> <p>Drought</p> <p>Weather extremes require substantial retrofit costs for asset adaptations</p> | <ul style="list-style-type: none"> • Disruption to Council services as staff diverted to response • Additional costs of response • Service changes required if long recovery phase • Service change required to adapt e.g. heatwave early day starts • Major media engagement • Disruption to some services through water restrictions • Additional costs of support to vulnerable service users • Public health issues • Non-availability of capital resources may cause working conditions on some days to be unbearable. • Instances of abandoning assets where hold the | Head of Housing & Health | <ul style="list-style-type: none"> • Business Continuity Plan Severe Weather section • Emergency Plan including specific response plans to flooding etc. • Health and Safety Policy details severe weather response • Council reducing carbon footprint for the district • Emergency Plan • Business continuity plan • Council reducing carbon footprint for the district • New modern workspace work stream of the Transformation Programme will address climate change issues in the design |

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| | | | | line defences against floods no longer viable <ul style="list-style-type: none"> Increasing attacks by non-native species causing biodiversity loss Increased costs arising from new operating requirements, e.g. sustained +30 degree heat requires refuse freighter insides to be degreased and jetted out regularly to prevent oils and fats combusting | | |

Update on current position

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| 8 | | <ul style="list-style-type: none"> Climate change motion agreed July 2019. Multi-agency environmental and climate change forum continues. Energy efficiency modifications to key existing buildings and new electricity contract is from renewable sources. Review of motor fleet with extended use of e-vehicles proposed. Carbon footprint reducing as a consequence of pandemic and homeworking. Future agile working will support. Food waste minimisation campaign to reduce carbon footprint by food being wasted as well as the disposal route. List of achievements posted on website at https://www.eastherts.gov.uk/about-east-herts-0/environmental-sustainability/sustainability-get-involved. Training commenced for officers. Attended by 101 employees to date. Clean Air Day campaign held. | | | |
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Update on current position

- Engagement with insurers over design / materials for new buildings. [Use of sustainable materials and modern methods of construction proving problematic. Insurers want more emphasis on property protection \(in addition to life saving standards\). Major developments are also situated in or adjacent to flood zones.](#)

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| 9 | A 1 | Child / Vulnerable Adult Protection | Child / Vulnerable Adult protection failure | <ul style="list-style-type: none"> • Possible legal action for damages • Possible prosecution • Major media engagement • Reputational damage | Head of Housing & Health | <ul style="list-style-type: none"> • Safeguarding policy • Annual training for staff and Members |

Update on current position

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| 9 | | <ul style="list-style-type: none"> • Member safeguarding training took place on 17 February 2021 • Officer training on safeguarding annually. Targeted training took place for 10 officers in quarter one with 40 booked to future sessions. Further training being provided to Community Safety Partnership Board and Joint Advisory Group Partners. • Quarterly safeguarding report submitted to Leadership Team. • Herts Safeguarding Adults Board invited to undertake a review with the Council of its safeguarding policies and practice. |
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| 10 | A 2 | Equalities | Council found to discriminated against individuals or communities with protected characteristics OR council has made a decision without considering equalities and diversity implications. | <ul style="list-style-type: none"> • Possible legal action for damages • Possible enquiry and report by Equalities & Human Rights Commission • Major media engagement • Reputational damage | Head of Comms, Policy & Strategy | <ul style="list-style-type: none"> • East Herts into a shared service for equalities and diversity support with HCC in November 2020. • New strategy being developed to address challenges and embed equalities and diversity in decision making. |

Update on current position

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| 10 | | <ul style="list-style-type: none"> • Strategy due to go to Overview and Scrutiny Committee on 8 June 2021, then Executive 6 July and Council 28 July. • New strategy has been drafted and shared with Committee and Executive along with stakeholders including the CAS, CVS, GATE, LGBT representatives, the CDA and others. We are confident the strategy articulates the right challenges and issues and sets out actions on how to mitigate them. Once adopted at council we will begin delivery of the key actions. |
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| No | Score | Vulnerability | Trigger | Consequence | Risk owner | Mitigation / control |
|----|-------|------------------|--|---|--|---|
| 11 | B 2 | Internal control | Failure of internal control or unethical behaviour | <ul style="list-style-type: none"> • Qualified accounts • Possible Police involvement if fraud involved • Major media engagement | Head of Strategic Finance and Property | <ul style="list-style-type: none"> • Key reconciliations carried out regularly. • Internal audit work planned and undertaken on key areas. • Assurance Mapping |

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| No | Score | Vulnerability | Trigger | Consequence | Risk owner | Mitigation / control |
|----|-------|---------------|---------|---|------------|--|
| | | | | <ul style="list-style-type: none"> • Reputational damage • Increased costs as a result of loss or fine or compensation payments | | <ul style="list-style-type: none"> • Electronic workflow where controls much harder to circumvent • Separation of duties appropriate to the staffing numbers |

Update on current position

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| 11 | | <ul style="list-style-type: none"> • Audits remain mostly on track and there is sufficient audit scope for an assurance opinion to be given • Assurance Mapping approach to be introduced which will show visually where assurance is gained and also identifies duplications and unnecessary steps which will inform officers undertaking lean process reviews and help Audit & Governance Committee to see where there are risks and then internal audit resources can be directed there. |
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East Herts Council Corporate Risk Register – 2021/22 quarter one

| No | Score | Vulnerability | Trigger | Consequence | Risk owner | Mitigation / control |
|----|-------|-------------------------------|--|---|----------------------------|--|
| 12 | A 4 | Outbreak of disease in humans | Pandemic and/or Public Health Emergency Declared | <ul style="list-style-type: none"> • Loss of staff and/or key skills due to illness and related absenteeism • Requirement to enable entire workforce to work from home • Requirement for Council and Committees to meet via video conference • Loss of income/additional costs • Loss of essential services /utilities/ suppliers • Demand from partner organisations to provide staff and other resources to support their response • Major media engagement • Disruption to all Council services • Increased risk of fraud from support programmes | Head of Housing and Health | <ul style="list-style-type: none"> • Business Continuity Plan • Emergency Plan • Dynamic risk assessments and keeping office open and COVID secure in line with government guidance. • Agile working introduced and scaled up to ensure social distancing • Fraud alerts on pandemic circulated by SAFS |

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Update on current position

12

- Updates on financial compensation are included under Risk 1
- Updates on recovery work on supporting the local economy are detailed under Risk 2
- Alternative working methods instigated as a result of Covid 19 including home working and IT communications solutions (Zoom, Teams, WhatsApp and the like)
- Agile Working pilot commenced 19th April 2021 to trial more permanent move to more flexible working methods
- Detailed, up-to-date risk assessments in place including frequent Covid self-testing
- Live Well, Work Well programme amended to incorporate greater emphasis on staff mental health
- Joined up working with key partners, notably HCC and the police, to ensure coherent and planned use of financial and staff resources, for example Covid marshals and joint visits/advice/enforcement actions re: businesses. [\(Covid marshal scheme extended during quarter one.\) Shop safe, shop local campaign held.](#)
- [Restart grants for businesses and community covid recovery grant schemes opened.](#)
- [Public facing recovery plan published in April.](#)
- [In-person Member meetings resumed.](#)

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| No | Score | Vulnerability | Trigger | Consequence | Risk owner | Mitigation / control |
|----|-------|---|---|--|--------------------------|---|
| 13 | A 1 | Business Continuity Plan / Emergency Plan | Major Incident Occurs Plan fails | <ul style="list-style-type: none"> • Loss of essential services / utilities/ suppliers • Demand from partner organisations to provide staff and other resources to support their response • Major media engagement • Disruption to all Council services • Unable to support partner organisations to provide staff and other resources to support their response • Possible legal action or public inquiry | Head of Housing & Health | <ul style="list-style-type: none"> • Emergency Plan Major Incident protocols • Business Continuity Plan • Keep plans under review every 6 month and keep evidence. • Review of response after every incident • Training for staff in EP roles • Regular exercises once a quarter • Emergency and Resilience work provided through Hertfordshire County Council |

Update on current position

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| 13 | | <ul style="list-style-type: none"> • Normal business continuity and emergency planning activities have continued during the pandemic • Mutual aid was provided to the NHS to support staff shortages as well as supporting testing and vaccination • <u>Desk top exercise accessing plans and refresh of contact lists undertaken</u> • <u>Responded to IT outage referenced in item 3 and services were maintained. Royal death protocol implemented following the passing of the Duke of Edinburgh.</u> • <u>Communications test undertaken from County to Districts to check notification cascade.</u> |
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East Herts Council Corporate Risk Register – 2021/22 quarter one

Update on current position

- [Review of business continuity plan to commence in quarter two.](#)

| | Description | Likelihood of occurrence | Probability of occurrence | |
|------------|---------------|--|--|--|
| Likelihood | 4 High | Monthly | The event is expected to occur or occurs regularly | |
| | 3 Medium | Annually | The event will probably occur | |
| | 2 Low | 1 in 5 years | The event may occur | |
| | 1 Very Low | Less frequently than 1 in 5 years | The event may occur in exceptional circumstances | |
| Impact | Description | Financial | Reputation | Service / operation |
| | A Critical | > £1m p.a. | Serious negative media | Catastrophic fall in service quality or long term disruption to services |
| | B Significant | £400,000 to £1m p.a. | Adverse national media | Major fall in service quality or serious disruption to services |
| | C Marginal | £100,000 to £400,000 p.a. | Adverse local media | Significant fall in service quality |
| D Minor | < £100,000 | Public concerns restricted to local complaints | Little impact to service quality | |