

Red - High Risk (16 & Over)

Amber - Medium Risk (11 - 15)

Green - Low Risk (10 & Under)

Service Team	Description of Operational Risk	Risk Owner	Controls	Mitigation Plan	Current Score	Previous Score Half-Year 1	Previous Score Half-Year 2
BC 1	Provision of Building Control Service by Herts Building Control Ltd Failure of company to provide building control service to the Council, including statutory functions and 24/7 service to deal with dangerous structures	Colin Haigh - Head of Planning			15		
Any Comments	Herts Building Control Ltd is operational and providing general and specialist functions to Welwyn Hatfield Council, including 24/7 emergency call out service. However certain facets of this shared service are still yet to go live including the proposed arrangements for transfer and delegation of powers. It remains that certificates are signed off by Welwyn Hatfield Council.						
BC 2	Inability to make building control decisions in emergency situations Constitution and Scheme of Delegation authorises the Chief Executive, Director and Head of Planning to sign-off building control decisions in emergency situations. The transfer of staff to Herts Building Control Ltd means that forms cannot currently be signed-off by building control officers as they are no longer council employees for the purposes of the Constitution and Scheme of Delegation. This is a particular risk in out-of-office hours. The mitigation arrangements are that building control officers	Colin Haigh - Head of Planning			15		

	will offer on-the-ground advice to emergency services and arrange for contractors to make buildings safe or be fenced off where necessary.							
Any Comments	Officers currently considering merits of creating LA1 to carry out statutory duties on behalf of all seven authorities involved in new arrangement.							
PL 6	Inadequate professional resource Inability to provide acceptable level of service due to insufficient staff or staff with insufficient knowledge and experience. Consequence(s): Poor provision of service to the customer. Inability to adequately provide service. This may lead to greater instances of complaint. Potential for inability to meet government targets with regard to service delivery. Reputational and potential financial risk.	Colin Haigh - Head of Planning Sue Tiley - Planning Policy & Implementation Manager Lisa Hughes - Development Management Service Manager	Planning - Recruitment Policy			16	16	16
Any Comments	Recent job advertisements have attracted candidates for support, officer and senior jobs in Development Management team. Recent job advertisements have failed to attract candidates for senior policy and projects jobs in Policy team. The recommendations from the Planning Advisory Service action plan are being discussed and explored with members as part of the ongoing budget discussions.							
SH 3	Strategic Housing - Non Delivery on section 106 sites. Risk - Private developers no longer building on s106 sites. Consequences - Failure to deliver the affordable Housing programme and meet the corporate promises.	Sian Chambers - Head of Housing & Community Services Jeremy Morton - Principal Housing Development Manager	Strategic Housing - Planning Toolkit viability appraisals			16	16	16
Any Comments	No comments were made.							

Service Team	Description of Operational Risk	Owner	Controls	Mitigation Plans	Current Score	Previous Score Half-Year 1	Previous Score Half-Year 2
	<p>Independent Living - Ending of SP contracts for provision sheltered housing and Lifeline service from 1 April 2015 (Flexi-care from 1 April 2017)</p> <p>The service will need to be funded entirely by the HRA/the service can no longer be provided. Consequences: Residents unable to request assistance or receive support. Sheltered housing services would cease to be viable.</p>	Jan Woods – Head of Independent Living	<p>Service Charge being implemented 01.04.2015. Discussions with external providers have secured financial gain through the provision of services. Exploring potential for further flexi-care units.</p> <p>Strategic review of the sheltered housing service, in progress, in partnership with the council. Exploring charges for contract with other landlords who receive lifeline services and for use of communal facilities.</p>	<p>Implement service charge, subject to consultation and council approval. Agree terms of an SLA with Riversmead, Thrive Homes and B3 Livingouncil for provision of services. Negotiate new contracts with other landlords for provision of lifeline service. Implement new charging policies for communal areas. Continue strategic review of sheltered housing service</p>	15		
Any Comments	<p>Communal Facilities charge in place as a service charge and being recovered as part of standard rent collection work. Charges are housing benefit eligible and so in most cases will be covered due to the client group.</p> <p>Continually review and consider any opportunities to deliver increases in revenue streams through new contracts and services.</p> <p>Entered into arrangement with Police to provide monitoring service for £3.60 per unit per week. Monitoring of 10 vulnerable tenant</p>						

	door sensors, distraction burglary, dementia, etc. out of borough, small numbers initially, but increase in revenue as case numbers increase.					
	<p>Housing Management - Failure to carry out annual gas safety checks through non access to our tenanted properties. Not meeting statutory requirements and failure to ensure appliances are maintained in a safe condition. Consequences: At extreme level faulty gas appliances could result in death and or legal proceedings against senior managers of the [Housing Service/Council]. Reputational damage to the organisation.</p>	Kathy Robertson – Specialist Housing Manager	<p>Servicing carried out every 10 months.</p> <p>Robust procedures - regular monitoring. Weekly operational management and monitoring. Monthly reporting to OMT/SMT. Reports reviewed by Services Committee and Board of Management</p>	<p>Formal review of procedure and practice annually. Promotion through website/housing matters etc. Training / awareness sessions .</p>	15	
Any Comments	Currently achieving 100% compliance with annual gas safety checks.					
	<p>Housing Management - Fire damage to one of the [Council's] properties Vulnerable households in social housing are at particular risk of harm from fire. Within Hertfordshire, Welwyn area is a high risk area due to fire related incidents according to the Fire Service. Within the Welwyn area, social tenants are even more exposed to risk. Consequences: A serious fire incident could result in injury or death of the tenant and/or members</p>	David Baker – Head of Housing Management	<p>Partnership working with Fire Service to jointly review and develop strategies to effectively promote fire safety in the home.</p> <p>Protocol with Fire Service. Training / good practice updates by Herts Fire Service for staff.</p> <p>Annual gas servicing</p>	<p>Working with the Fire Service to refer cases for Fire Safety audit/home visit.</p> <p>Consider joint visit with Fire Service at the time of the new tenancy visit. Comprehensive survey (Tenant Audits) to be undertaken. Fire risk assessments</p>	15	

	of their household. Minor fire damage could mean household members require emergency rehousing and void repairs for fire damage may not be fully covered on insurance due to excess provisions.		checks. Hoarding prevention and joined up work with other partners.	carried out as part of estate management H&S visits. Hoarding procedures being reviewed in liaison with fire service.			
Any Comments	<p>100% compliance with annual gas safety checks.</p> <p>Hoarding project on-going with officers working with vulnerable tenants to manage the issues, co-ordinating the involvement of 3rd party organisations to provide specialist assistance.</p> <p>Low number of accidental fires within council housing stock with only 1 recorded since 2010.</p>						
	<p>Property Services – Health and Safety</p> <p>That failures in management controls, working practices, procedures or other foreseeable risk results in a serious incident that causes harm to Human life. Consequences: Occurrence of preventable incidents that result in harm to human life. Risk of prosecution corporately and personally. Reputational risk to the Council.</p>	Peter Gray Head of Property Services (Housing)	<p>Staff H&S Inductions. Contract management practice and procedures. Compliance with the annual health & safety action plan. Lone working system for staff.</p> <p>PPE: Ensure that staff have been issued, possess and use PPE appropriate to their role and activities. Contractor H&S Accreditation (Contract Managers Assuring contractor membership</p>	Introduction of revised safety management system.	15		

			of CHAS or similar). Ongoing analysis of department training & development needs.			
Any Comments	No comments were made.					
	<p>Property Services – servicing, planned and preventative maintenance. That the regimes in place for the management of key risks (Including Control of Asbestos, Gas Safety, Fire Safety, Fire Risk, Lift Safety, Electrical Safety, Water Safety) fail to deliver effective controls.</p> <p>Consequences: Heightened risk of a serious incident, occurrence that is harmful to human health, injury or fatality(s). Significant Legal Risk to the Council and its Officers. Reputational Risk to the Council. Financial Risk to the organisation resulting from responsive restorative action or legal expenses</p>	Peter Gray Head of Property Services (Housing)	<p>Gas Servicing & Maintenance: Ensure that adequate contractual arrangements are in place.</p> <p>Fire Detection & Fighting Equipment: Ensuring that adequate contractual arrangements are in place for servicing & Maintenance.</p> <p>Passenger and Stair lifts (Including hoists and other related equipment): Ensuring that adequate contractual arrangements are in place for Servicing & Maintenance & third-party monitoring (Allianz).</p> <p>Water Safety: Ensuring</p>	<p>Implement Asbestos Management Action Plan.</p> <p>Carry out 3rd party audit on Gas Contract works.</p> <p>Review and update related policies and procedures as part of SMS.</p> <p>Development of contract specific risk registers for key risk based contract areas as part of SMS.</p> <p>Carry out Fire Risk Assessments on communal areas of blocks.</p>	15	

		<p>that adequate contractual arrangements are in place for risk assessment, testing and monitoring of stored and circulating water systems in accordance with relevant ACOPs. Audited annually.</p> <p>Electrical Safety: Ensure that electrical testing & upgrade is undertaken as part of the void process or other planned works packages. Programme of periodic testing and upgrades.</p> <p>Asbestos Management: Ensuring that adequate contractual arrangements are in place for asbestos surveying, removal, management and record keeping.</p> <p>Thorough Testing: Ensuring that a programme of Thorough Testing for Lifts, Calorifiers,</p>				
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		<p>Commercial Plant and other relevant systems is in place.</p> <p>Ensure that Asbestos surveys are undertaken & acted upon for any & all intrusive or destructive works and that all works are being undertaken by a suitably qualified and competent contractor.</p> <p>Ensure that all relevant premises hold a current, actively reviewed and managed Fire Risk Assessment.</p> <p>Ensure that all relevant contracts are being actively reviewed and managed to assure the Council that a good level of service is being delivered. (Performance monitoring, Progress meetings, risk management).</p> <p>Ensure that regular reviews of commitment and expenditure against budget are conducted to assure</p>				
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			prudent & accurate financial management.			
Any Comments	No comments were made.					
	<p>Property Services – ICT and Telecommunications. That the Orchard Housing Management System, Telecommunications systems or other technologies fail to adequately support the delivery of the Property Services function. Consequences: Inefficiencies caused by over utilisation of manual processes that could be system led or driven. Difficulty for customers in accessing the repairs or other property services functions due to telephony or related issues. Difficulty for customers and colleagues in obtaining & recording accurate information. Increased management costs resulting from inefficient manual processes.</p>	Peter Gray Head of Property Services (Housing)	<p>Regular discussion of IT related matters at [Management Team] SMT level.</p> <p>Creation of a Property Services IT group with reporting & improvement meetings.</p> <p>Feed into the Council IT strategy to highlight current and potential future requirements. Feed into and support the preparation and testing of Business Continuity Planning in respect of the failure of IT Infrastructure, Telephony or key software (including Orchard, Lifespan and Agresso).</p>	<p>Updating and reporting of IT Projects and Support requirements document.</p> <p>Regular meeting of Property Services IT group with reporting & improvement meetings.</p> <p>Review Business Continuity Planning in respect of the failure of IT Infrastructure, Telephony or key software (including Orchard).</p>	15	

Any Comments	No comments were made.						
	<p>Asset Management – Budget Management. That failures to the budget setting or management process result in underbidding or overspending of available funds. Consequences: Principally a financial and reputational risk. Dependent upon severity, this could put current and future spending plans at risk as well as undermining the basis of the Council Business Plan. Additionally, poor budget management could generate various regulatory compliance issues which may threaten the viability of the organisation.</p>	<p>Peter Gray Head of Property Services (Housing)</p>	<p>Full participation in the annual budget setting process utilising investment planning and modelling of requirements as the basis for bids. Regular engagement at senior and contract management level with the Finance team to assure sound budget management and monitoring is in place. Preparation and review of the Five Year Forward investment plan to predict future requirements. Monitoring of the Gas Contract against contract requirements. Monitoring of the Partnering Contract (Mears) against</p>	<p>Regular Budget Meeting Reviews. (L) Re-procurement of Contractors - with clear financial management models.</p>	<p>15</p>		

			contract requirements.				
No comments were made.							

Service Team	Description of Operational Risk	Owner	Controls	Mitigation Plans	Current Score	Previous Score Half-Year 1	Previous Score Half-Year 2
HC 12	Hackney Carriages - Occupational stress Occupational stress arising from hackney carriage work. Consequences: Sickness absence, reduction in service delivery, potential for claim against the council.	James Vaughan - Hackney Carriage Officer Joanna Harding – Head of Public Health and Protection	Hackney Carriages - Complaints and Investigation Policy Hackney Carriages - family support Hackney Carriages - Line management support Hackney Carriages - support network	Hackney Carriages - consideration of office space Hackney Carriages - Revised customer service and complaints strategy Hackney Carriages Recording of telephone calls	20	20	20
Any Comments	No change with this risk. One member of the team has been on long term sickness. New member of staff now in post.						
HC 7	Hackney Carriages - Verbal abuse and aggression towards hackney carriage staff	James Vaughan - Hackney Carriage Officer Joanna Harding –	Hackney Carriages - CCTV Hackney Carriages - Personal Protective Equipment	Hackney Carriages - Incident logs Hackney Carriages - Regular checks to ensure CCTV is	15	15	15

		Head of Public Health and Protection	Hackney Carriages - Potentially Violent Customer Database Hackney Carriages - video badges	working Hackney Carriages Recording of telephone calls			
Any Comments	The use of video badges and recording of telephone calls has assisted in reducing this risk.						
HC 9	Hackney Carriages - Deliberate damage to hackney carriage staff personal property For example cars, homes, animals	James Vaughan - Hackney Carriage Officer Joanna Harding – Head of Public Health and Protection	Hackney Carriages - cars registered to the office Hackney Carriages - CCTV at home address Hackney Carriages - Training		16	16	16
Any Comments	This risk remains the same.						
PH 11	Public Health - Failure to recruit and maintain competent staff Failure to recruit and maintain competent staff leading to inadequate numbers of competent staff being available at given time. Consequence(s): Failure to provide acceptable levels EH service, increased pressure on remaining staff, potential government intervention using default powers, inability to deal with key cases leading to long term latent environmental	Joanna Harding – Head of Public Health and Protection	Environmental Health - Robust Interview and Selection Techniques		15	15	15

	damage.						
Any Comments	Recent recruitment for a new EHO was successful and they are now in post. We have identified that recruitment through "Jobs Go Public" does not attract suitable candidates and therefore we have resulted to advertise in our professional journal.						
PH 14	<p>Public Health - Inability to Conduct Investigations, Serve and Enforce Legal Notices or Remedy Dangerous Situations/WID</p> <p>Inability to conduct necessary statutory investigations and inspections including limited use of equipment, access to reference works and the timely release of information. Inability to serve and enforce statutory notices leading to ongoing risk situation and public health, safety or environmental hazard. Potential default of a statutory duty. Ongoing dangerous situation persisting risk to public. Consequence(s): Default of statutory duty or code of practice, failure to inform, warn or protect the public, ongoing risk situation where a public health, safety or environmental hazard is not controlled,</p>	Joanna Harding – Head of Public Health and Protection	<p>Appropriate Work Allocation Among Staff in Post</p> <p>Budget</p> <p>Car Loan Scheme</p> <p>Computerised Notice Generation</p> <p>Contractual Arrangements for Staff to Provide a Car for Work</p> <p>Digital evidence copying facility</p> <p>Multiple Authorisations for Some Notices</p> <p>Sound Deputisation</p> <p>Arrangements for Head of Service Training</p>		15	15	15
Any Comments	No change with this risk.						
PH 24	<p>Public Health - Out of hours noise monitoring for breach of notice</p> <p>This risk relates to a situation where the council has fulfilled its statutory duty to serve a noise abatement notice however the monitoring to see if the notice is complied with needs to take place on nights where there is no out of hours service in</p>	Joanna Harding – Head of Public Health and Protection			20	20	20

	place. The main consequences of this are protracting a legal case, damage to reputation, negative press coverage, poor customer service and continuing exposure to nuisance for members of the public. There is a smaller risk of ombudsman challenge							
Any Comments	No change to this risk.							
PH 29	Public Health - failure to deliver an 'Operation Reprise' shift Inability to carry out an Operation Reprise shift due to lack of resources, either from the Environmental Health Team of Herts Police. Consequences: reputational damage due to failure to act in response to complaints.	Joanna Harding – Head of Public Health and Protection	Operation Reprise - MoU with Herts Police Operation Reprise - Back up arrangements in place Operation Reprise: Rota drawn up well in advance and confirmed	Use of street warden team	15	15	15	
Any Comments	The rota is now drawn up until the end of the year.							

Service Team	Description of Operational Risk	Owner	Controls	Mitigation Plans	Current Score	Previous Score Half-Year 1	Previous Score Half-Year 2
ICT 9	ICT - Virus or Hacking Attack Attack by introduction of a virus or by hacking Consequences - Corruption of systems by the introduction of a virus or access to confidential information by hacking.	- IT Client Manager	Corp ICT - Firewall Corp ICT - Virus Detection		15	8	12
Any Comments	We continue to be vigilant and apply fixes to prevent different forms of ransomware attacks. This includes regular liaison with our software security supplier. In addition to this we continue to be party to deployment of Windows security update patches which are key to preventing the spread of viruses across our network.						