Risk: **Recognising and responding to current and future technology needs**	Risk Manager: **Assistant Director (ICT and Digital)**	Last updated: **08 January 2024**
Description of risk: Failure to recognise and respond to the Council's technology needs will impair service delivery and preserve or introduce ineffient processes. This will lead to a poorer service for customers, ineffective investment of time, money and effort with additional costs for the Council in the short and long term. It is also likely to cause reputational damage.	Controls: End User Services contract Use of specialist contractors Transformation Programme Technology Design Principles ICT Strategy Staff engagement	Risk Manager Commentary: The ICT Service works closely with Services within the Council to understand priorities and to respond rapidly to changing needs. Much of the Service has been brought in-house, allowing for closer working, cooperation and informed support for other teams. ICT & Digital forms a core part of the Transformation Programme, designed to deliver technology meeting the Council's current and future business needs. Meetings have been held with system support officers to understand the maturity of line of business applications and how they are supported in-house. ICT Management regularly meet with suppliers to understand opportunities for advances and efficiencies presented by new technologies.
Inherent Probability: 4	Inherent Impact: 4	Inherent Score: 16
Residual Probability: 2	Residual Impact: 2	Residual Score: 4
Previous Inherent Probability: 4	Previous Inherent Impact: 4	Previous Inherent Score: 16
Previous Residual Probability: 2	Previous Residual Impact: 2	Previous Residual Score: 4

Risk: **Cultural change (Transformation)**	Risk Manager: **Executive Director (Finance and Transformation)**	Last updated: **02 January 2024**
Description of risk: It is crucial that staff, the public and members buy into change programmes, to ensure delivery of the Transformation strategy and vision. Failure in this area could lead to financial implications and reputatational damage.	Controls: Communications Plan Engagement activity Transfromation Strategy and Action Plan Transfromation Board and wider Governance Project Management Framework	Risk Manager Commentary: The transformation board meets on a regular basis to oversee key change projects, and considers staff and member communication as part of this. Staff engagement in change is considered on a project by project basis. Work continues on embedding the CORE values into the day to day performance management framework for staff. New corporate priorities have been agreed, and the annual business plan targets will be presented alongside the budget. A report on progress against the strategy will be presented to Cabinet in January.
Inherent Probability: 5	Inherent Impact: 4	Inherent Score: 20
Residual Probability: 2	Residual Impact: 3	Residual Score: 6
Previous Inherent Probability: 5	Previous Inherent Impact: 4	Previous Inherent Score: 20
Previous Residual Probability: 2	Previous Residual Impact: 3	Previous Residual Score: 6

Risk: **Recruitment, Retention and Organisational Development**	Risk Manager: **Human Resources and Organisational Development Manager**	Last updated: **10 January 2024**
Description of risk: Issues with recruitment, sickness, staff development and retention within the team may impact on the ability to deliver council services. The consequences of this may mean the council is unable to delivery statutory services, or fail to deliver its corporate plan and annual action plans. The impacts of these would be far reaching and would likely include legal, financial and reputational impacts.	Controls: HR Policies and Procedures Use of agency staff Use of specialist contractors Agency Worker Framework Training and Development Recruitment and Retention Policies and Procedures Learning from exit interviews and staff surveys Regular management monitoring of workforce data Learning Management System and Training Plans	Risk Manager Commentary: The recruitment market is constantly changing and we have to adapt to attract and recruit the best talent. We also review vacant posts to see if they would be suitable for an apprenticeship or trainee role. We are taking part in the National Graduate Development Programme to offer high quality graduates an opportunity to undertake projects to meet strategic goals and build a pipeline of future talent. We are also using social media to promote roles. We will be reviewing recruitment activity and producing an action plan in quarter 2. We have purchased a new recruitment portal to enable us to promote vacancies and to make it easier for applicants to apply for roles. We are currently setting up the new ATS to go live in October 2023. We have implemented the new ATS which will enable enhanced reporting in due course. We have now posted our first jobs on the new system and have received applications. There are still a few IT issues to be resolved to enable shortlisted candidates to select interview slots New ATS has gone live. The recruitment process is constantly being reviewed & we are trialling different initiatives to raise the profile of the organisation to applicants
Inherent Probability: 4	Inherent Impact: 4	Inherent Score: 16
Residual Probability: 2	Residual Impact: 3	Residual Score: 6
Previous Inherent Probability: 4	Previous Inherent Impact: 4	Previous Inherent Score: 16
Previous Residual Probability: 2	Previous Residual Impact: 3	Previous Residual Score: 6

Risk: **Equalities and Safeguarding**	Risk Manager: **Human Resources and Organisational Development Manager**	Last updated: **10 January 2024**
Description of risk: Failure to comply with equalities and safeguarding legislation & best practice could lead to challenges to council decisions as a service provider, employer and in the procurement of products and services. This in turn could have severe financial, legal and reputational implications.	Controls: HR polices and procedures Equality and Diversity Strategy Equality and Diversity Action Plan Equality, Diversity and Safegaurding Working Group Training and development Safegaurding policies and procedures	Risk Manager Commentary: The new EDI Strategy has been approved and is on our website We are working on an action plan in support of the strategies objectives
Inherent Probability: 5	Inherent Impact: 5	Inherent Score: 25
Residual Probability: 2	Residual Impact: 5	Residual Score: 10
Previous Inherent Probability: 5	Previous Inherent Impact: 5	Previous Inherent Score: 25
Previous Residual Probability: 2	Previous Residual Impact: 5	Previous Residual Score: 10

Risk: Data Governance	Risk Manager: Executive Director (Finance and Transformation)	Last updated: 02 January 2024
Description of risk: Failures in data governance across the council could lead to data not being held or correctly managed in line with legislation, including data transparecy, data protection, freedom of informaiton and environmental informaiton requirements. Failures could lead to severe financial penalities and reputational damage.	Controls: Data Retention Policy Data Protection Policy and Procedures Information Asset Register Privacy Impact Assessment Procedures Freedom of Information Processes Data Transparency Processes Reuse of data policy and procedures Appeals processes ICT / Cyber controls Corporate Governance Group	Risk Manager Commentary: The council has a number of policies and procedures in relation to the protection and control of data. The re-use of data policy has been reviewed, and the bi-annual refresh of the freedom of information policy is currently going through the approval process. Training was rolled out in the quarter and around 80% of staff have already completed the training, with follow up reminders going to those who have
Inherent Probability: 5	Inherent Impact: 5	Inherent Score: 25
Residual Probability: 2	Residual Impact: 5	Residual Score: 10
Previous Inherent Probability: 5	Previous Inherent Impact: 5	Previous Inherent Score: 25
Previous Residual Probability: 2	Previous Residual Impact: 5	Previous Residual Score: 10

Risk: Elections	Risk Manager: **Executive Director (Finance and Transformation)**	Last updated: **02 January 2024**
Description of risk: New legislation has come into force which will see new requirements, including voter ID. Failure to promote and manage this could lead to reputational damage and legal challenge, in turn possibly leading to financial implications. We have yet to complete larger scale elections (government and county) since this new legislation has been introduced, and further legislative changes are anticipated	Controls: Weekly meetings with returning officer Project plans Staff training and development Understanding and management of risks at opertional level Government guidance	Risk Manager Commentary: Weekly meeting were held in the run up to the elections to ensure measures were in place for the smooth running of the elections and compliance with the new legislation. The elections went well and the risk was lowered at the end of quarter one, until we are closer to the running of larger elections, or until further information is obtained on future legislative changes.
Inherent Probability: 4	Inherent Impact: 4	Inherent Score: 16
Residual Probability: 1	Residual Impact: 4	Residual Score: 4
Previous Inherent Probability: 4	Previous Inherent Impact: 4	Previous Inherent Score: 16
Previous Residual Probability: 1	Previous Residual Impact: 4	Previous Residual Score: 4

Risk: **Financial Sustainability**	Risk Manager: **Executive Director (Finance and Transformation)**	Last updated: **02 January 2024**
Description of risk: The council is in a time of high inflation, with ongoing cuts to government funding forecast for the coming years. It also has restrictions on how much funding can be raised through council tax. The cost of living crisis is likely to have an impact on the ability of residents and businesses in paying debts due to the council, and may impact on the use of discretionary services such as our cultural services, and associated income streams. The reducing capital balances for the general fund puts means the council will become more reliant on borrowing, and interest rate rises will increase the revenue cost to deliver capital schemes. Identification of long term efficiency plans, and sound financial controls, will be crucial to ensure the medium and long term sustainability of the council.	Controls: Income monitoring and trend analysis Medium Term Financial Strategy Debt policy and procedures/Debt monitoring Budget Setting Process Financial Regulations Minimum Reserve Policy Minimum Revenue Provision Policy Budget Monitoring and Reporting Transformation Programme Treasury Management Strategy Internal Audit/External Audit Fraud Prevention	Risk Manager Commentary: The council had identified a potential £1.8m overspend at the end of quarter two, and the quarter three forecast is currently being worked on. Additional favourable variances occurred during 2022/23, which put the council in a stronger starting position with its reserves for 2023/24. The net impact of the closing 2022/23 position and the quarter 1 forecast, is a net increase in balances of £300k. The budget will be presented to Cabinet in January, which makes minimal use of general reserves. The medium term forecasts have been updated as part of this, and a reserves strategy included to reduce overall balances to smooth the financial challenges in the years ahead. Treasury controls have been maintained and prudential indicators have not been breached. Due to a balanced budget being proposed, the residual probability has been decreased slightly, but remains high overall due to the challenges in future years.
Inherent Probability: 5	Inherent Impact: 5	Inherent Score: 25
Residual Probability: 3	Residual Impact: 5	Residual Score: 15
Previous Inherent Probability: 5	Previous Inherent Impact: 5	Previous Inherent Score: 25
Previous Residual Probability: 4	Previous Residual Impact: 5	Previous Residual Score: 20

Risk: Service Standards	Risk Manager: Assistant Director (Customer and	Last updated: 05 January 2024
Description of risk: Failure to adequately identify key performance statistics, complaints and data could lead to a failure in oversight of service provision, leading to a failure to quickly identify and remidy failures in service provision. This could have wide ranging legal, financial and reputational conseuqnces. Not responding to complaints in line with Policy, Proecedure and Complaint Handling Code leading to a complaint handling failure. This could have legal and reputational risks to the council.	Controls: Annual Business Plan Regular review of operational key performance indicators Performance Management Framework Digital collection and reporting of performance Management and Member reporting Complaint handling policy, procedures and use of templates Dispute resolution training Annual complaint assessment Management reporting Member reporting Persisent and Vexatious Policy and Procedure Monitoring and reporting of ombudsman complaints	Risk Manager Commentary: Overall performance is being monitored and reported on a monthly basis to SMT, with complaints monitored and reported to relevant officers on a weekly basis. This enables any patterns to be identified as soon as they occur. Plans are in place to share Ombudsman cases and outcomes to relevant staff and is discussed at Corporate Governance Group. Housing Ombudsman training is arranged for March 2024. Quarterly performance is reported to Cabinet. The probability has been increased as tenants are now able to contact the Housing Ombudsman directly, prior to going through the councils processes. This means it is more likely that there will be an increase in cases and maladministration findings.
Inherent Probability: 4	Inherent Impact: 4	Inherent Score: 16
Residual Probability: 3	Residual Impact: 3	Residual Score: 9
Previous Inherent Probability: 4	Previous Inherent Impact: 4	Previous Inherent Score: 16
Previous Residual Probability: 2	Previous Residual Impact: 3	Previous Residual Score: 6

Risk: **Fraud and Corruption**	Risk Manager: **Executive Director (Finance and Transformation)**	Last updated: **02 January 2024**
Description of risk: The council, as a public body, is at risk of fraud and corruption, particularly in relation to housing benefit, council tax support and housing tenancies. Whilst these are not the only areas of potential fraud, these are key services which fraud is commonly attempted. Fraud against the council will lead to financial implications, reputational damage if left uncovered, and may lead to residents not obtaining services required.	Controls: Fraud and corruption policies and procedures Shared anti Fraud Service Fraud reporting hotline and online forms National fraud initiative Hertfordshire Fraud-Hub Hertfordshire fraud hub	Risk Manager Commentary: The council joined the shared anti-fraud service from 1 April 2023. A refresh of policies is complete and these are now going through the approval process. More regular and pro-active measures have been introduced (Herts Fraud Hub), which will not only increase the detection of fraud, but also enable the earlier detection of fraud which in turn will limit/decrease the value of fraudulent activity. This is going well although the team are having to chase staff for responses. SAFs have identified additional control measures on refunds which are currently being implemented. Teams are now reviewing their operational procedures and SAFS are working with them to ensure that fraud referrals and checks are built into processes at the right stages.
Inherent Probability: 5	Inherent Impact: 5	Inherent Score: 25
Residual Probability: 2	Residual Impact: 4	Residual Score: 8
Previous Inherent Probability: 5	Previous Inherent Impact: 5	Previous Inherent Score: 25
Previous Residual Probability: 2	Previous Residual Impact: 4	Previous Residual Score: 8

Risk: **Cyber Security**	Risk Manager: **Assistant Director (ICT and Digital)**	Last updated: **08 January 2024**
Description of risk: Issues with cyber security, could lead to loss of sensitive and operational data and render systems unuseable, in turn impacting on the Council's ability to deliver key and statutory services. A major incident could lead to extended downtime, which could impact financially, legally and have a significant impact on the Council's reputation.	Controls: Network Architecture Malware detection Data encryption User awareness Disaster recovery plan (e.g. off-site back-up) DR Tests External Alerts (Eg WARP, NCSC and suppliers) Internal Monitoring (e.g. SIEM) Email gateway PSN accreditation Health checks and Penetration tests ICT policies and procedures Staff training (e.g. Phishing Simulation)	Risk Manager Commentary: The Council's ICT environment is subject to 3rd-party testing and accreditation as part of Public Sector Network membership, with any vulnerabilities identified and remedied. The Council's submission is currently being assessed by the Cabinet Office ahead of re-accreditation. To greatly reduce the risk of successful cyber attack, the ICT Team employ a strong range of technical preventative and mitigating measures (including firewalls, timely security patching, anti-malware software, etc.). We include Cyber Security as a core consideration in all major infrastructure and application renewal. The Council has recently adopted a cloud-based Security Information & Event Management (SIEM) system, which we have seen successfully flag and mitigate cyber attacks in real time. The Council has recently introduced phishing simulations to maintain high awareness of this risk, which are run quarterly. We have seen a fall in the rate of compromise in these simulations across the first two rounds and will continue to monitor and report on rates to Senior Management in future.
Inherent Probability: 5	Inherent Impact: 5	Inherent Score: 25
Residual Probability: 3	Residual Impact: 4	Residual Score: 12
Previous Inherent Probability: 5	Previous Inherent Impact: 5	Previous Inherent Score: 25
Previous Residual Probability: 3	Previous Residual Impact: 4	Previous Residual Score: 12

Risk: **ICT Continuity**	Risk Manager: **Assistant Director (ICT and Digital)**	Last updated: **08 January 2024**
Description of risk: Issues with the Council's core ICT infrastructure (network, data centre, etc.) could lead to major ICT failures, in turn impacting on the Council's ability to deliver key and statutory services. A major incident could lead to extended downtime, which could impact financially, legally and have a significant impact on the Council's reputation.	Controls: Disaster recovery plan (e.g. off-site back-up) Disaster recovery Tests Internal Alerts (e.g. Network & Server Monitoring) Server room controls (cooling, gas supression systems, UPS, back up generator) Use of cloud-based services ICT policies and procedures Business continuity planning Staff training	Risk Manager Commentary: The Council's data centre includes significant use of resilient technologies, providing failover in the event of hardware failure. ICT manage contractual relationships with core suppliers carefully to minimise the risk of 3rd-party service disruption. Comprehensive back-ups are in place to ensure that systems can be recovered with minimum loss of data. The Council has a contract in place for the provision of Disaster Recovery services, replicating the service provided by the in-house data centre and we continue to assess and move towards Software as a Service Cloud technology where appropriate. Options for long-term back-up and DR arrangements are currently being reviewed including seeking costs for potential adoption of a cloud solution which would provide protected back-ups and see a much reduced Recovery Time Objective.
Inherent Probability: 4	Inherent Impact: 5	Inherent Score: 20
Residual Probability: 2	Residual Impact: 4	Residual Score: 8
Previous Inherent Probability: 4	Previous Inherent Impact: 5	Previous Inherent Score: 20
Previous Residual Probability: 2	Previous Residual Impact: 4	Previous Residual Score: 8

Risk: **Strategic - RSH Regulatory Standards**	Risk Manager: **Service Director (Resident and Neighbourhood)**	Last updated: **09 January 2024**
Description of risk: Failure to comply with the Regulator of Social Housing's Regulatory standards, including the Social Housing Regulation Bill and Housing Ombudsman's expectations leads to Regulatory intervention and Reputational consequences	Controls: Social Housing White Paper Action plan in place Tenant Survey Measures commenced Training of Members Staff tarining and development	Risk Manager Commentary: A Strategic Housing Managers group has been established to meet quarterly, to ensure actions are co-ordinated across teams; this complements the operational Housing Mangers meetings that take place. Our self-assessment of compliance with the consumer standards and Social Housing Regulation Act has been completed, workshops held with managers and an action plan developed in Q3. During Q4 we will be implementing the action plan.
Inherent Probability: 5	Inherent Impact: 5	Inherent Score: 25
Residual Probability: 4	Residual Impact: 5	Residual Score: 20
Previous Inherent Probability: 5	Previous Inherent Impact: 5	Previous Inherent Score: 25
Previous Residual Probability: 4	Previous Residual Impact: 5	Previous Residual Score: 20

Risk: Planning - SPD masterplans	Risk Manager: Assistant Director (Planning)	Last updated: 04 January 2024
Description of risk: Failure to deliver aspirations of Local Plan as a consequence of failure to adopt SPD masterplans for strategic sites	Controls: Identification of sufficient resources and skills across the Planning Service to the preparation of masterplans. Early and meaningful engagement with stakeholders and members. Potential external support and expertise to supplement internal resources.	Risk Manager Commentary: Work on Masterplans, where they can be secured, is continuing positively. Work has progressed well with the masterplan for Birchall Garden Suburb (joint with East Herts Council). Community information sharing events were held in July and the masterplan was endorsed by CPPP and Cabinet in August and September. Work is now commencing on the North West Hatfield masterplan and the Marshmoor masterplan. Both will be lead by Gascoyne Estates, working with WHBC, HCC and stakeholders. Work has also started on the masterplan for land to the west of the railway line at Brookmans Park. The Planning Service has identified a need for specialist advice in some areas and has recently procured specialist Urban Design advice. These costs will be met by the applicant through the agreement of a Planning Performance Agreement. We have also submitted a bid to the new Planning Skills fund to try and secure additional resourcing for this.
Inherent Probability: 3	Inherent Impact: 3	Inherent Score: 9
Residual Probability: 2	Residual Impact: 2	Residual Score: 4
Previous Inherent Probability: 3	Previous Inherent Impact: 3	Previous Inherent Score: 9
Previous Residual Probability: 2	Previous Residual Impact: 2	Previous Residual Score: 4

Risk: Planning - Submission of GIS data	Risk Manager: Assistant Director (Planning)	Last updated: 04 January 2024
Description of risk: Failure to properly submit GIS mapping data to Local Land & Property Gazetteer (LLPG) which results in the loss of gold standard and free access to Public Services Mapping Agreement (PSMA)	Controls: All corporate mapping tasks rest with a single officer and so this is a point of risk. However, there are officers across the council who have been trained on GIS and this provides a degree of support for more regular and service specific tasks. The LLPG updates are outsourced to NHDC and so this does provide resilience	Risk Manager Commentary: This risk continues to be monitored and actively managed by the GIS Manager. Refresher training is provided to staff where possible, but this must be balanced with the other calls on the GIS officer time, as a single corporate resource.
Inherent Probability: 3	Inherent Impact: 3	Inherent Score: 9
Residual Probability: 2	Residual Impact: 3	Residual Score: 6
Previous Inherent Probability: 3	Previous Inherent Impact: 3	Previous Inherent Score: 9
Previous Residual Probability: 2	Previous Residual Impact: 3	Previous Residual Score: 6

Risk: **Cost of Living Crisis - Impacts on residents, businesses and local economy**	Risk Manager: **Assistant Director (Leisure, Community and Cultural Services)**	Last updated: **02 January 2024**
Description of risk: Failure to support residents and businesses to deal with the impacts of the cost of living crisis could have a detrimental impact on standard of living and economic prosperity within the Borough	Controls: Identified officers to provide support. Dedicated page on WHBC website to signpost to support. Working closely with agencies such as Citizens Advice. Have supported the establishment of warm space throughout the Borough and supported local food banks to take referrals	Risk Manager Commentary: We are currently advertising for community spaces in readiness for the winter months and have reconvened the cost of living working group ensuring the funding is joined up to support residents more effectively. Support for the food banks is continuing and they have engaged signed up as good causes for our community lottery.
Inherent Probability: 4	Inherent Impact: 3	Inherent Score: 12
Residual Probability: 2	Residual Impact: 3	Residual Score: 6
Previous Inherent Probability: 4	Previous Inherent Impact: 3	Previous Inherent Score: 12
Previous Residual Probability: 2	Previous Residual Impact: 3	Previous Residual Score: 6

Risk: Leisure and Culture - Sustainability	Risk Manager: Assistant Director (Leisure, Community and Cultural Services)	Last updated: 02 January 2024
Description of risk: Failure to operate leisure and culture facilities in a way which maximises usage through responding to changing demands, increase energy efficiency to limit costs, and plan for replacement of ageing facilities could threaten the provision of facilities throughout the Borough	Controls: Business plans being developed for all leisure and culture assets. Buildings being used in more efficient ways, and commercial opportunities are being explored. Plans are being developed to review the future provision of leisure and culture assets and how ageing buildings will be tackled. Energy efficiency measures have been implemented. Management of GLL contract.	Risk Manager Commentary: Review of programmes in facilities is ongoing to ensure they meet the needs of residents. A campaign for the new year has been produced to target new business. The leisure contract is being closely monitored and as a result has seen improvement in usage and reporting. Commercial activities such as the Escape room have been introduced and are continuing to be explored to increase footfall and income. Funding was applied for through the swimming pool support fund for phase 2 currently awaiting a decision
Inherent Probability: 4	Inherent Impact: 3	Inherent Score: 12
Residual Probability: 2	Residual Impact: 3	Residual Score: 6
Previous Inherent Probability: 4	Previous Inherent Impact: 3	Previous Inherent Score: 12
Previous Residual Probability: 2	Previous Residual Impact: 3	Previous Residual Score: 6

Risk: Council Run Events	Risk Manager: Assistant Director (Leisure, Community and Cultural Services)	Last updated: 02 January 2024
Description of risk: Failure to run events safely and in an organised manner will risk public safety and fail to realise the benefits that successful events can bring for residents and businesses	Controls: Dedicated corporate group has been established to oversee events and ensure consistency and proper processes are in place. Close liaision with Welwyn Garden City BID to maximise benefits. Secured funding through UKSPF. Established new event review procedures to ensure suitable H&S measures in place on an event-by-event basis.	Risk Manager Commentary: All events are managed within a safe environment and Officers collect the relevant risk documents
Inherent Probability: 5	Inherent Impact: 5	Inherent Score: 25
Residual Probability: 4	Residual Impact: 3	Residual Score: 12
Previous Inherent Probability: 5	Previous Inherent Impact: 5	Previous Inherent Score: 25
Previous Residual Probability: 4	Previous Residual Impact: 3	Previous Residual Score: 12

Risk: **Planning for, and delivering, high quality affordable homes for everyone**	Risk Manager: **Executive Director (Place)**	Last updated: **10 January 2024**
Description of risk: Failure to co-ordinate the delivery of new homes of all tenures and types could lead to a lack of availability of homes, increased prices and increased homelessness.	Controls: Planning, Housing Development and Housing Needs co-located in Place directorate to ensure co-ordinated strategic approach to the provision of new homes. Emerging Local Plan has been progressed, and key allocations have been considered by DMC. New social homes being built by the Council. Well resourced Housing Options and Allocations teams with investment in temporary accommodation.	Risk Manager Commentary: A number of existing AHP projects are due for completion during 2023 calendar year. A report is being prepared to Cabinet setting out sites and budget requirements for the next 5 years, although flexibility is being maintained within the programme. The planning team are also engaging positively with developers to negotiate the optimum housing mix for sites as they come forward, having due regard to individual site viability. The Housing Strategy Manager post is currently vacant and the duties are being covered in a different way.
Inherent Probability: 5	Inherent Impact: 5	Inherent Score: 25
Residual Probability: 3	Residual Impact: 5	Residual Score: 15
Previous Inherent Probability: 5	Previous Inherent Impact: 5	Previous Inherent Score: 25
Previous Residual Probability: 3	Previous Residual Impact: 5	Previous Residual Score: 15

Risk: **Strategic - Management of Council Owned Housing Property Assets**	Risk Manager: **Chief Executive**	Last updated: **10 January 2024**
Description of risk: Failure to maintain and invest in Council Housing Assets adequately leads to Regulatory, Reputational and Financial consequences	Controls: Capital Investment Programme in place Stock Condition Survey underway Asset Grading Model Regular financial modelling and costings Recruitment of professional staff Training and development, Contractors and Consultants appointed, Wave 2 funding	Risk Manager Commentary: Novus and Equans have been appointed as additional contractors to work on our planned maintenance programme. A new kitchen supplier was also appointed in the past few months. It is noted that planned maintenance suppliers in the housing industry have been in high demand, especially in light of the new Social Housing Act. Stock condition survey is due to start in January on all the housing stock. This will improve our data record and will enable us to plan our maintenance programme better going forward.
Inherent Probability: 5	Inherent Impact: 5	Inherent Score: 25
Residual Probability: 3	Residual Impact: 5	Residual Score: 15
Previous Inherent Probability: 5	Previous Inherent Impact: 5	Previous Inherent Score: 25
Previous Residual Probability: 3	Previous Residual Impact: 5	Previous Residual Score: 15

Risk: **Strategic - Management of Council Owned Non-Housing Property Assets**	Risk Manager: **Service Manager (Building Repairs and Climate Change)**	Last updated: **18 January 2024**
Description of risk: Failure to maintain and invest in Non-Housing property assets adequately leads to Regulatory, Reputational and Financial consequences	Controls: Capital Investment Programme in place Decarbonisation Funding Asset Management Plan Regular financial modelling and costings Recruitment of professional staff Training and development, Contractors and Consultants appointed	Risk Manager Commentary: All general fund properties are maintained through the use of multi specialist contracts and frameworks which are overseen by the Building Services team. These contract cover all statutory requirements as well as planned and responsive maintenance. Contractors and consultants used on contracts are subject to stringent procurement rules where "Quality" is deemed to be an important factor in award. Regular contractor meetings are held to ensure this quality standard is constantly achieved. Works are completed as part of the ongoing planned works programmes following on from the most recent condition surveys, these important works are budgeted for during regular financial monitoring meetings with the Service lead.
Inherent Probability: 5	Inherent Impact: 5	Inherent Score: 25
Residual Probability: 2	Residual Impact: 5	Residual Score: 10
Previous Inherent Probability: 5	Previous Inherent Impact: 5	Previous Inherent Score: 25
Previous Residual Probability: 2	Previous Residual Impact: 5	Previous Residual Score: 10

Risk: **Strategic - Climate Change**	Risk Manager: **Service Manager (Building Repairs and Climate Change)**	Last updated: **18 January 2024**
Description of risk: Failure to develop and implement a Climate Change Strategy and Action Plan leads to Legal and Reputational consequences	Controls: Climate Change Strategy Action Plan in place Climate Change Member Board	Risk Manager Commentary: The Climate Change Officer is now in post and has met with all internal teams to ensure the CAP and other schemes are all working towards our NetZero target. The Climate Officer Group (COG) was established in August and will act as the driving force for delivering the council's overall strategy. The COG meet every two months and are working on delivering the CAP. regular meetings are held with the executive member for climate change and as well as climate member groups which occur every two months. The team are currently working on climate related policies and strategies such as the staff travel plan. The Member Group has recently been changed to a Cabinet Panel following Full Council approval.
Inherent Probability: 4	Inherent Impact: 4	Inherent Score: 16
Residual Probability: 3	Residual Impact: 4	Residual Score: 12
Previous Inherent Probability: 4	Previous Inherent Impact: 4	Previous Inherent Score: 16
Previous Residual Probability: 3	Previous Residual Impact: 4	Previous Residual Score: 12

Risk: **Corporate Health and Safety**	Risk Manager: **Service Director (Resident and Neighbourhood)**	Last updated: **05 January 2024**
Description of risk: Failure to maintain an adequate and effective health and safety management system, including building safety leads to harm to the public and/or colleagues resulting in Regulatory, Legal and Reputational consequences. This risk covers a broad range of H&S matters including (not limited to) lone working, grey fleet management, building compliance andupdates to legislation.	Controls: Corporate Health and Safety Manager Health and Safety Policy and Procedures Building Safety Policy and Procedures Operational Health and Safety Board Metrics including Building Safety (reported to CHP and Cabinet) Staff training and Development H&S digital systems (eg Grey Fleet) Lone working devices, policies, procedures and training	Risk Manager Commentary: Policies and procedures are undergoing a schedule of review; the prioritised policies have been completed. The Operational Health and Safety Board is meeting Monthly reviewing health and safety performance.
Inherent Probability: 5	Inherent Impact: 5	Inherent Score: 25
Residual Probability: 2	Residual Impact: 5	Residual Score: 10
Previous Inherent Probability: 5	Previous Inherent Impact: 5	Previous Inherent Score: 25
Previous Residual Probability: 2	Previous Residual Impact: 5	Previous Residual Score: 10

Risk: **Resilience and Business Continuity**	Risk Manager: **Service Director (Resident and Neighbourhood)**	Last updated: **05 January 2024**
Description of risk: Not having emergency plans and arrangements in place to comply with the Civil Contingency Act. Failing to meet those requirements and respond adequately in an emergency. Failure to have business continuity plans in place to recover from service disruption. Financial and reputatonal risk.	Controls: Health and Safety and Resilience Manager to provide advice and plans Emergency plans and contact details Arrangements to respond (eg Gold and Bronze officers) who are trained Part of Herts CC Resilience Forum Contract monitoring to identify potential contractor failure and business continuity plans	Risk Manager Commentary: Emergency Plan has been revised and needs amendment before re-presenting to SLT. Emergency Planning training has been undertaken and further training to be delivered. An exercise for a reception centre was undertaken in Nov 2023. The Reception Centre plan is being revised; the staff call out register will be revised; all sites will be visited and Rest Centre boxes updated. Silver level training booked for Feb 24.
Inherent Probability: 4	Inherent Impact: 4	Inherent Score: 16
Residual Probability: 3	Residual Impact: 3	Residual Score: 9
Previous Inherent Probability: 4	Previous Inherent Impact: 4	Previous Inherent Score: 16
Previous Residual Probability: 3	Previous Residual Impact: 3	Previous Residual Score: 9

Risk: **New Government's new Resources and Waste Strategy**	Risk Manager: **Service Director (Resident and Neighbourhood)**	Last updated: **05 January 2024**
Description of risk: There are draft proposals regarding waste producer responsibility and collection of waste/recyclables, garden waste but the details are not yet known. There are potential Implications for Councils in terms of the collection operation of waste and recycling and additional costs.	Controls: Monitoring the proposals. Monitored closely and information shared in the Hertfordshire waste strategic and operational partnerships	Risk Manager Commentary: Proposal for food waste recycling from all properties to be introduced from 2025. Details and any available funding not yet known. The Consistency and Producer Responsibility duties requirements have been pushed back by the Govn until earliest 2025. Awaiting further details.
Inherent Probability: 4	Inherent Impact: 3	Inherent Score: 12
Residual Probability: 2	Residual Impact: 3	Residual Score: 6
Previous Inherent Probability: 4	Previous Inherent Impact: 3	Previous Inherent Score: 12
Previous Residual Probability: 4	Previous Residual Impact: 3	Previous Residual Score: 12

Risk: Employment legislation	Risk Manager: Human Resources and Organisational Development Manager	Last updated: 12 January 2024
Description of risk: Failure to follow policies and best pratice could lead to employment tribunal claims, which if found against the council, would have reputational, financial and legal impacts.	Controls: HR polices and procedures Management training and briefing sessions Legislation HR Training and development Management oversight Insurance Learning from previous cases Professional legal advice and support HR Networks and national guidance	Risk Manager Commentary: Managers are trained to undertake people management processes including sickness management & disciplinary investigations / hearings. Briefing sessions are held when there are changes to policies & procedures to keep managers up to date with best practice and legislative changes. HR Advisors support and guide managers through complex employee relations matters. We have implemented a new health passport to support employees with long term health conditions or disabilities. We are updating our bullying & harassment policy (respect at work policy). We have updated the flexible working policy and guidance. We have run training sessions on carrying out internal investigations and disciplinary / grievance hearings. Refresher training has been added to the training programme to keep managers up to date. The HR team is available to support managers on any employee relations matter.
Inherent Probability: 5	Inherent Impact: 4	Inherent Score: 20
Residual Probability: 2	Residual Impact: 3	Residual Score: 6
Previous Inherent Probability: 5	Previous Inherent Impact: 4	Previous Inherent Score: 20
Previous Residual Probability: 2	Previous Residual Impact: 3	Previous Residual Score: 6