

<b>Risk:</b> <b>Recognising and responding to current and future technology needs</b>	<b>Risk Manager:</b> <b>Assistant Director (ICT and Digital)</b>	<b>Last updated:</b> <b>07 October 2024</b>	
<b>Description of risk:</b>  Failure to recognise and respond to the Council's technology needs will impair service delivery and preserve or introduce inefficient 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.	<b>Controls:</b>  End User Services contract Use of specialist contractors Transformation Programme Technology Design Principles ICT Strategy Staff engagement	<b>Risk Manager Commentary:</b>  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. Organisational structures are reviewed to ensure effective delivery and the Web Development and Intranet team have transferred to the ICT & Digital Service. 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	<input type="radio"/>
Previous Residual Probability: 2	Previous Residual Impact: 2	Previous Residual Score: 4	<input type="radio"/>

<b>Risk:</b> <b>Cultural change (Transformation)</b>		<b>Risk Manager:</b> <b>Executive Director (Finance and Transformation)</b>		<b>Last updated:</b> <b>08 October 2024</b>	
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 reputational damage.		Controls:  Communications Plan Engagement activity Transformation Strategy and Action Plan Transformation 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, and was launched on the 17th September at the SMT/Managers meeting. 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 was presented to Cabinet in January and key areas of work for the 24/25 programme have been reviewed and agreed by the board.  A new learning and development framework is in development, to ensure staff have access to the training and development to excel in their roles.	
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 Management - Quarter 2 - 2024/25 - Strategic Risks**







<b>Risk:</b> <b>Recruitment, Retention and Organisational Development</b>	<b>#N/A</b>	<b>Last updated:</b> <b>18 October 2024</b>	
<b>Description of risk:</b>  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.	<b>Controls:</b>  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	<b>Risk Manager Commentary:</b>  Recruitment activity continues to be high. We are able to appointment to most roles. Sickness absence has started to drop. We are currently promoting the new respect at work policy.  We continue to develop our careers website to attract candidates to our roles; we have added a video to promote an apprenticeship vacancy.  Working on questions for staff survey.  The national recruitment campaign goes live in November 2024	
Inherent Probability: 4	Inherent Impact: 4	Inherent Score: 16	
Residual Probability: 2	Residual Impact: 3	Residual Score: 6	
Previous Inherent Probability: 4	<input type="radio"/> Previous Inherent Impact: 4	<input type="radio"/> Previous Inherent Score: 16	<input type="radio"/>
Previous Residual Probability: 2	<input type="radio"/> Previous Residual Impact: 3	<input type="radio"/> Previous Residual Score: 6	<input type="radio"/>

<b>Risk:</b> <b>Employment legislation</b>	<b>#N/A</b>	<b>Last updated:</b> <b>18 October 2024</b>	
Description of risk:  Failure to follow policies and best practice 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:  Briefing sessions are held when there are changes to policies & procedures to keep managers up to date with best practice and legislative changes.  The Government are proposing a new employment bill including day one rights for unfair dismissal, flexible working, SSP and parental leave. Also changes to zero hours contracts.  The new sexual harassment law comes into being on 26 October . There will be a review of council policies and procedures to ensure in line with the new regulations, and the risk has been increased whilst this review takes place and we have a better understanding of potential impacts.	
Inherent Probability: 5	Inherent Impact: 4	Inherent Score: 20	
Residual Probability: 3	Residual Impact: 3	Residual Score: 9	
Previous Inherent Probability: 5	● Previous Inherent Impact: 4	● Previous Inherent Score: 20	●
Previous Residual Probability: 2	● Previous Residual Impact: 3	● Previous Residual Score: 6	●







<b>Risk:</b> <b>Equalities and Safeguarding</b>	<b>#N/A</b>	<b>Last updated:</b> <b>18 October 2024</b>	
<b>Description of risk:</b>  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.	<b>Controls:</b>  HR policies and procedures Equality and Diversity Strategy Equality and Diversity Action Plan Equality, Diversity and Safeguarding Working Group Training and development Safeguarding policies and procedures	<b>Risk Manager Commentary:</b>  The EDI action plan has been approved by SLT and delivery will be monitored by the equalities, diversity, inclusion and safeguarding steering group.  Equalities Impact Assessments training / refresher training was held in July  Preparing for changes to Equality Bill to include race and disability pay reporting.	
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	●

<b>Risk:</b> <b>Data Governance</b>		<b>Risk Manager:</b> <b>Executive Director (Finance and Transformation)</b>		<b>Last updated:</b> <b>18 October 2024</b>	
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 transparency, data protection, freedom of information and environmental information requirements. Failures could lead to severe financial penalties 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.  Training was rolled out in the quarter 3 2023/24 and around 95% of all staff have completed the training. Processes are being reviewed for those staff that do not access IT as part of their role. Refresher training is planned for later this financial year using e-learning modules.  There have been no reportable breaches in September 2024. An update to the retention guidelines and records retention policy has been drafted to be sent to SLT. Updates have been made to role profiles following a transfer of this function to the Governance team.	
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 ●	

<b>Risk:</b> <b>Elections</b>	<b>Risk Manager:</b> <b>Executive Director (Finance and Transformation)</b>	<b>Last updated:</b> <b>08 October 2024</b>
<p>Description of risk:</p> <p>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</p>	<p>Controls:</p> <p>Weekly meetings with returning officer                      Project plans                      Staff training and development                      Understanding and management of risks at operational level                      Government guidance</p>	<p>Risk Manager Commentary:</p> <p>Weekly meeting were held in the run up to the May elections to ensure measures are in place for the smooth running of the elections and continued compliance with the legislation that came into force last year.</p> <p>Polling stations were put in place and resource requirements for postal votes, polling and the count etc are in place.</p> <p>The elections took place and ran successfully. Since this, a General Election was announced. Due to the short notice this risk was increased and management worked closely with the Elections team to ensure key deadlines were met.</p> <p>The risk score has been reduced following the elections being held and running smoothly. These received positive feedback from those present at the count.</p> <p>The team are starting the required contact with EU nationals to advise of the processes around the changes following the departure from the EU and their rights, dependant on whether there are member state agreements in place</p>
Inherent Probability: 4	Inherent Impact: 4	Inherent Score: 16
Residual Probability: 1	Residual Impact: 1	Residual Score: 1
Previous Inherent Probability: 4	<input type="radio"/> Previous Inherent Impact: 4	<input type="radio"/> Previous Inherent Score: 16
Previous Residual Probability: 1	<input type="radio"/> Previous Residual Impact: 1	<input type="radio"/> Previous Residual Score: 1

<b>Risk:</b> <b>Financial Sustainability</b>	<b>Risk Manager:</b> <b>Executive Director (Finance and Transformation)</b>	<b>Last updated:</b> <b>08 October 2024</b>	
<p>Description of risk:</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>Identification of long term efficiency plans, and sound financial controls, will be crucial to ensure the medium and long term sustainability of the council.</p>	<p>Controls:</p> <p>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</p>	<p>Risk Manager Commentary:</p> <p>The financial outturn was favourable, with overspends being mainly offset with increased investment income receipts.</p> <p>The favourable variances that occurred during 2023/24, put the council in a stronger starting position with its reserves for 2024/25. The quarter 1 outturn forecasts showed an overspend on services of around £700k, which will need consideration as part of the upcoming review of the MTFS..</p> <p>The budget was approved at Council in February, which proposed minimal use of general reserves. The medium term forecasts were updated as part of this, and a reserves strategy included to reduce overall balances to smooth the financial challenges in the years ahead.</p> <p>Treasury controls have been maintained and prudential indicators have not been breached.</p> <p>Due to a balanced budget being approved, the residual probability was decreased slightly at Q3 2023/24, but remains high overall due to the challenges in future years. A draft MTFS has been produced, and will be presented to Cabinet on 8 October. Due to the significant savings requirements ahead, the risk score has been increased. Additional pressures have been identified on homelessness and benefits subsidy.</p>	
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	



<b>Risk:</b> <b>Service Standards</b>	<b>Risk Manager:</b> <b>Assistant Director (Customer and</b>	<b>Last updated:</b> <b>07 October 2024</b>	
<p>Description of risk:</p> <p>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 remedy failures in service provision. This could have wide ranging legal, financial and reputational consequences. Not responding to complaints in line with Policy, Procedure and Complaint Handling Code leading to a complaint handling failure. This could have legal and reputational risks to the council.</p>	<p>Controls:</p> <p>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                      Persistent and Vexatious Policy and Procedure                      Monitoring and reporting of ombudsman complaints</p>	<p>Risk Manager Commentary:</p> <p>Overall performance is being monitored and reported on a monthly basis to SLT/SMT, with trends and exceptions highlighted.</p> <p>Complaints monitored and reported to relevant officers on a weekly basis. A new Complaints Insight Officer is now in post to support teams with improved complaints compliance and a complaints resolution officer is now working in the repairs team.</p> <p>Officers have undertaken a self-assessment against the Housing Ombudsman's Complaint Handling Code. Updates to the Council's Complaints Policy were agreed by Cabinet in August 2024. Updates were made in Jadu with training to staff taking place in September and October.</p>	
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	

<b>Risk:</b> <b>Fraud and Corruption</b>		<b>Risk Manager:</b> <b>Executive Director (Finance and Transformation)</b>		<b>Last updated:</b> <b>08 October 2024</b>	
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 were approved by Audit Committee during quarter 1.  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.  An internal audit has been underway on the approach to anti-fraud during quarter 4, and the results were issued in April - This received substantial assurance with only one low priority recommendation.  The annual SAFS report was presented to Audit Committee in quarter 1, along with the Annual Governance Statement. The update against the plan was presented to Audit Committee in September.	
Inherent Probability: 5		Inherent Impact: 5		<b>Inherent Score: 25</b>	
Residual Probability: 2		Residual Impact: 4		<b>Residual Score: 8</b>	
Previous Inherent Probability: 5		● Previous Inherent Impact: 5		● Previous Inherent Score: 25	
Previous Residual Probability: 2		● Previous Residual Impact: 4		● Previous Residual Score: 8	

<b>Risk:</b> <b>Cyber Security</b>	<b>Risk Manager:</b> <b>Assistant Director (ICT and Digital)</b>	<b>Last updated:</b> <b>07 October 2024</b>	
<b>Description of risk:</b>  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.	<b>Controls:</b>  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)	<b>Risk Manager Commentary:</b>  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 has once more been reaccruited for 2024/2025.  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 adopted Security Information & Event Management (SIEM) system, successfully flagging and mitigating cyber attacks in real time, and more recently a 24/7 managed Endpoint Detection & Response service and Incident Response contract to enhance its network security. We have recently introduced multi-factor authentication to protect account security, upgraded firewalls in February 2024 and have blocked access from overseas by default. Defensive technologies are regularly reviews to ensure effectiveness.  The council undertakes phishing simulations to maintain high awareness of this risk, which are run quarterly. Staff are required to undertake cyber security awareness training annually with similar training recently provided to members. Significant security updates are provided to Senior Management and members when relevant.	
Inherent Probability: 5	Inherent Impact: 5	Inherent Score: 25	
Residual Probability: 4	Residual Impact: 4	Residual Score: 16	
Previous Inherent Probability: 5	● Previous Inherent Impact: 5	● Previous Inherent Score: 25	●
Previous Residual Probability: 4	● Previous Residual Impact: 4	● Previous Residual Score: 16	●

<b>Risk:</b> <b>ICT Continuity</b>		<b>Risk Manager:</b> <b>Assistant Director (ICT and Digital)</b>		<b>Last updated:</b> <b>07 October 2024</b>	
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 suppression 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. Long-term back-up and DR arrangements using cloud-based technologies (likely to be for implementation in late 2024 or early 2025) are being pursued, which would provide protected back-ups and see a much reduced Recovery Time Objective, with retention schedules being reviewed accordingly.	
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	●

<b>Risk:</b> <b>Industrial Action</b>	#N/A	<b>Last updated:</b> <b>18 October 2024</b>	
Description of risk:  Industrial action stemming from employment matters, such as the pay award or changes to terms and conditions, can removed resources from our operations. This could have financial, reputational and health and safety implications.	Controls:  Business Continuity Plans Emergency Plans Formal engagement with trade unions	Risk Manager Commentary:  The employers side have made a final pay award offer for 2024/25. One trade union has balloted and rejected the offer. Since quarter end, another trade union has announced results of their ballot which is to accept the offer. The results of the third union have been announced since the end of the quarter, and they have also rejected the offer.  Due to the uncertainty in the area, the risk has been increased.  Chief Officers ay award has been agreed at 2.5%. Nothing further to report on national pay award for staff until October. The Trade Unions are currently balloting their members on industrial action	
Inherent Probability: 3	Inherent Impact: 4	Inherent Score: 12	
Residual Probability: 3	Residual Impact: 3	Residual Score: 9	
Previous Inherent Probability: 3	<input type="radio"/> Previous Inherent Impact: 4	<input type="radio"/> Previous Inherent Score: 12	<input type="radio"/>
Previous Residual Probability: 3	<input type="radio"/> Previous Residual Impact: 3	<input type="radio"/> Previous Residual Score: 9	<input type="radio"/>

<b>Risk:</b> <b>Strategic - RSH Regulatory Standards</b>		<b>Risk Manager:</b> <b>Executive Director (Resident Services and Climate Change)</b>		<b>Last updated:</b> <b>11 October 2024</b>	
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 training and development		Risk Manager Commentary:  Our self-assessment of compliance with the consumer standards and Social Housing Regulation Act has been completed.  Action plan in progress and of the 60 consumer standard requirements, 39 have been completed, 17 are in progress to complete by 31/12/24 and 4 to be commenced (mostly once the stock condition survey data has been uploaded).  The first cohort of Housing Managers have commenced CIH Level 4 &5 training also.	
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	

<b>Risk:</b> <b>Planning - SPD masterplans</b>		<b>Risk Manager:</b> <b>Assistant Director (Planning)</b>		<b>Last updated:</b> <b>04 October 2024</b>	
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.  The masterplan for Birchall Garden Suburb (joint with East Herts Council) was endorsed by CPPP and Cabinet in August and September 2023.  Work is now well advanced on the North West Hatfield masterplan and the Marshmoor masterplan. Both are being led by Gascoyne Estates, working with WHBC, HCC and stakeholders. The North West Hatfield document will be presented to CPPP on 17 October. Work has also progressed well 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 procured specialist Urban Design advice. These costs will be met by applicants through the agreement of a Planning Performance Agreement.	
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	●	

<b>Risk:</b> <b>Cost of Living Crisis - Impacts on residents, businesses and local economy</b>		<b>Risk Manager:</b> <b>Assistant Director (Leisure, Community and Cultural Services)</b>		<b>Last updated:</b> <b>18 October 2024</b>	
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 will be signing up organisations to deliver community spaces for residents during the winter months. Support for the food banks is continuing as they have engaged signed up as good causes for our community lottery.  We are expecting to receive further additional funding from Hertfordshire County Council on Household Support Fund, once the amount has been confirmed, we will consider how best to continue to support our communities. A letter has been sent to the Chancellor of the Exchequer calling for a review of the Winter Fuel payment and asking the government to ensure that vulnerable pensioners, particularly those who do not claim Pension Credit, are protected from fuel poverty.	
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	



<b>Risk:</b> Leisure and Culture - Sustainability		<b>Risk Manager:</b> Assistant Director (Leisure, Community and Cultural Services)		<b>Last updated:</b> 01 October 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 are in place 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:  Leisure centre and facility operational reviews take place monthly with the operator and Managers, any issues are discussed and escalated as required. There is close working between teams to ensure that referrals and members are promoted to the site in multiple ways, e.g. involvement with the healthy hub. Income streams at our cultural assets have been diversified, including the successful trial and expansion of live events.	
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	

<b>Risk:</b> <b>Council Run Events</b>		<b>Risk Manager:</b> <b>Assistant Director (Leisure, Community and Cultural Services)</b>		<b>Last updated:</b> <b>01 October 2024</b>	
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 liaison 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 and ensure event plans are produced and activated.  Events are planned with safety as a top priority and lessons from past events are applied to ensure continuous improvement. Plans are in place for the winter programme across the teams including Black History Month, Christmas lights and Community Awards.	
Inherent Probability: 4		Inherent Impact: 5		Inherent Score: 20	
Residual Probability: 3		Residual Impact: 3		Residual Score: 9	
Previous Inherent Probability: 4		● Previous Inherent Impact: 5	●	● Previous Inherent Score: 20	●
Previous Residual Probability: 3		● Previous Residual Impact: 3	●	● Previous Residual Score: 9	●

<b>Risk:</b> <b>Planning for, and delivering, high quality affordable homes for everyone</b>		<b>Risk Manager:</b> <b>Assistant Director (Regeneration and Economic Development)</b>		<b>Last updated:</b> <b>09 October 2024</b>	
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 large scale AHP projects have completed in 23/24. Further work is being carried out to prepare for the next phase of projects, with new governance arrangements being put in place. 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. It has been noted across the sector that high build costs are impacting the sector.	
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	●

<b>Risk:</b> <b>Strategic - Management of Council Owned Housing Property Assets</b>		<b>Risk Manager:</b> <b>Assistant Director (Homes and Neighbourhoods)</b>		<b>Last updated:</b> <b>11 October 2024</b>	
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:  Significant investment programmes for council housing stock agreed including planned works, major works, cyclical decorations New AD (Homes and Neighbourhoods) started 20 May 2024. 100% Stock condition surveys completed August 2024 and data being validated before uploading which will help inform maintenance needed. New Asset Data Manager started 22 July 2024.	
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	

<b>Risk:</b> <b>Strategic - Management of Council Owned Non-Housing Property Assets</b>		<b>Risk Manager:</b> <b>Assistant Director (Public Realm)</b>		<b>Last updated:</b> <b>07 October 2024</b>	
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. Capital investment bids made as needed. Budgets in place for works and investment needed.  A vacancy in the team has lead to some delays on service delivery. Additional resource is being sought to cover vacant Building Services and Garages Manager post.	
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: 2		● Previous Residual Impact: 5		● Previous Residual Score: 10	

<b>Risk:</b> <b>Failure to be prepared for the impacts of climate change</b>	<b>Risk Manager:</b> <b>Assistant Director (Public Realm)</b>	<b>Last updated:</b> <b>18 October 2024</b>	
<b>Description of risk:</b>  In the event of predicted impacts of climate change (UKCP 18) projections for 2030 and 2050, there is an increased risk that WHBC will not be sufficiently prepared for the consequences of; wetter and warmer winters with greater potential for extreme rainfall events; drier and hotter summers with greater potential for heatwaves; and increased frequency of extreme climatic induced events, such as intense storms, wildfires and droughts. This may lead to deterioration of key infrastructure and assets, limited access to key services by vulnerable residents, an increased demand/pressure on many services, associated community-wide consequences, increasing and significant financial challenges, service disruption and/or a lack of service delivery/effectiveness, deterioration of public health, possible injury/loss of life, ecological and environmental impacts and associated reputational damage to WHBC	<b>Controls:</b>  Climate Change Strategy Climate Change Action Plan Climate Change Member Board Carry out individual project risk assessments (developing project risk register) Ensure all directorates update Business Continuity Plans to reflect climate change risks identified Ensure communications team communicate extreme weather event guidance to staff and residents with an extreme weather event alert system Continue to implement our CAP to try to limit impacts of climate change and more broadly influence national and international action to reduce the drivers of the climate crisis	<b>Risk Manager Commentary:</b>  Since the arrival of the Climate Change Officer in Summer 2023, there has been a refreshed focus in the Council's work on Climate Change. Work delivered to date includes a complete refresh of the Climate change strategy and action plan, launched the climate change hub for the community, carried out a resident survey in the climate change area as well as delivered a range of community events.  A series of events has been delivered for the Great Big Green week 8-15 June. The Climate Biodiversity Cabinet Panel is up and running to inform Cabinet on issues relating to Climate Change. Climate action plan updated and new transition to net zero strategy to be approved. The TTNZ Strategy will shortly be going out to consultation.  The consultation closed on Friday 11th October. The Climate Biodiversity Pannel met on the 10th September to monitor progress on the Climate Change Action Plan, they also were presented with the Commons Landscape Management Plan and presented with the New Emission's report.	
Inherent Probability: 4	Inherent Impact: 4	Inherent Score: 16	
Residual Probability: 3	Residual Impact: 4	Residual Score: 12	
Previous Inherent Probability: 4	<input type="radio"/> Previous Inherent Impact: 4	<input type="radio"/> Previous Inherent Score: 16	<input type="radio"/>
Previous Residual Probability: 3	<input type="radio"/> Previous Residual Impact: 4	<input type="radio"/> Previous Residual Score: 12	<input type="radio"/>

<b>Risk:</b> <b>Corporate Health and Safety</b>		<b>Risk Manager:</b> <b>Executive Director (Resident Services and Climate Change)</b>		<b>Last updated:</b> <b>11 October 2024</b>	
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 and updates 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 key prioritised policies have been completed.  The Operational Health and Safety Board is meeting Monthly reviewing health and safety performance and reporting into the Corporate Governance Group.  Vacant Health and Safety officer now recruited to and joined on 15 July 2024.	
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	

<b>Risk:</b> <b>Resilience and Business Continuity</b>		<b>Risk Manager:</b> <b>Executive Director (Resident Services and Climate Change)</b>		<b>Last updated:</b> <b>11 October 2024</b>	
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 reputational 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 and Reception Centre Plan were revised and approved by SLT in Feb 2024.  All Assistant Directors have completed Silver level training. Some further training undertaken for new Bronze officers.  Exercising of plan to be undertaken in Q4.	
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	



<b>Risk:</b> <b>New Government's new Resources and Waste Strategy</b>		<b>Risk Manager:</b> <b>Assistant Director (Public Realm)</b>		<b>Last updated:</b> <b>07 October 2024</b>	
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 Project plan for implementation of food waste recycling at flats.		Risk Manager Commentary:  Proposal for food waste and dry recycling from all properties to be introduced from March 2026. Govn funding provided for food waste to flats implementation which will be progressed during 2024/25 . The Producer Responsibility duties requirements are still being considered by the Government and likely not to be decided until 2025. Environments, Landscapes and Climate Change Service Managers Post has been recruited too.	
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	