

**Risk Management - Quarter 1 2024/25 - Operational Risks (Serious and Severe)**

<b>Risk:</b> <b>Failure in procurement compliance</b>		<b>Risk Manager:</b> <b>Procurement Manager</b>		<b>Last updated:</b> <b>08 July 2024</b>	
Description of risk:  Compliance with Internal and External Rules and Regulations		Controls:  Contract Procedure Rules Procurement Strategy Public Contracts Regulations 2015 Training and briefings Compliance checks including regular review on expenditure Procurement checklists		Risk Manager Commentary:  A recent audit of spend against the contracts register has shown very little non compliant spend. The procurement manager is working with the services managers on exceptions. No change as of July 2024	
Inherent Probability: 4		Inherent Impact: 5		Inherent Score: 20	
Residual Probability: 2		Residual Impact: 5		Residual Score: 10	
Previous Inherent Probability: 4		● Previous Inherent Impact: 5	●	Previous Inherent Score: 20	●
Previous Residual Probability: 2		● Previous Residual Impact: 5	●	Previous Residual Score: 10	●

**Risk Management - Quarter 1 2024/25 - Operational Risks (Serious and Severe)**

<b>Risk: Supplier failure (Financial)</b>		<b>Risk Manager: Procurement Manager</b>		<b>Last updated: 08 July 2024</b>	
Description of risk:  If a supplier faces financial challenges it may lead the supplier into administration or liquidation, which in turn could lead to severe disruption to the delivery of services, along with financial and reputational consequences		Controls:  Financial checks as part of supplier selection process Ongoing monitoring of suppliers on Credit Safe system Business continuity plans		Risk Manager Commentary:  All our major contracts are monitored through a credit agency and a risk rating is applied. Currently 49 companies are being monitored. 47 are low risk and 2 are moderate risk, These 2 are being monitored closely.	
Inherent Probability: 4		Inherent Impact: 5		Inherent Score: 20	
Residual Probability: 3		Residual Impact: 4		Residual Score: 12	
Previous Inherent Probability: 4		● Previous Inherent Impact: 5		● Previous Inherent Score: 20	
Previous Residual Probability: 3		● Previous Residual Impact: 4		● Previous Residual Score: 12	

**Risk Management - Quarter 1 2024/25 - Operational Risks (Serious and Severe)**

<b>Risk:</b> <b>Collection Risks (Council Tax and Business</b>		<b>Risk Manager:</b> <b>Service Manager (Revenues, Benefits and Fraud)</b>		<b>Last updated:</b> <b>01 July 2024</b>	
Description of risk:  Failure to maintain collection rates for council tax and business rates would have an impact on the council's finances, along with other preceptors which may lead to reputational risks also.		Controls:  Experienced service delivery partners Contract monitoring. Stringent monitoring with a recent dip in collection. Collection policies and procedures Collections legislation Use of legal action and enforcement agents Benchmarking and regular performance monitoring Fees and penalties used as appropriate		Risk Manager Commentary:  A static debt review is commencing shortly with the new service provider. Performance is generally improving following the pandemic. However, it is still behind target and it will take time before we get back to pre Covid levels.	
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 Management - Quarter 1 2024/25 - Operational Risks (Serious and Severe)**

**Appendix B**

<b>Risk:</b> Savings Delivery		<b>Risk Manager:</b> Executive Director (Finance and Transformation)		<b>Last updated:</b> 08 July 2024	
Description of risk:  Failure to deliver the savings targets set as part of the budget could have financial implications for the council. Delays to implementation may have an impact for 2024/25, but failure to implement or achieve altogether could add to the medium term pressures for the council.		Controls:  Budget monitoring processes Monthly reporting to management Quarterly reporting to members Project plans		Risk Manager Commentary:  Monthly monitoring is in place. There are some early indications that some of the savings may not be fully delivered, as have not started from 1 April 2024. These will be looked by budget managers in detail as part of the quarter 1 monitoring process, which will be presented to Cabinet alongside the quarter 1 risk registers.	
Inherent Probability: 5		Inherent Impact: 4		Inherent Score: 20	
Residual Probability: 4		Residual Impact: 3		Residual Score: 12	
Previous Inherent Probability: 5		● Previous Inherent Impact: 4		● Previous Inherent Score: 20	
Previous Residual Probability: 4		● Previous Residual Impact: 3		● Previous Residual Score: 12	

<b>Risk:</b> <b>Recruitment and Retention (Regeneration &amp; Economic Development)</b>	<b>Risk Manager:</b> <b>Assistant Director (Regeneration and Economic Development)</b>	<b>Last updated:</b> <b>12 July 2024</b>
<b>Description of risk:</b>  Issues with recruitment and retention within the regeneration and economic development services may impact on the ability to deliver council services.	<b>Controls:</b>  Use of agency staff Use of specialist contractors Agency Worker Framework Training and Development Recruitment and Retention Policies and Procedures	<b>Risk Manager Commentary:</b>  Council's across the country continue to experience challenges relating to professional surveying and estates roles. We have recruited a new Regeneration and Housing Development Service Manager post, to combine the knowledge of these two teams and create additional resilience. Further work is being done to review roles in the Estates team due to existing vacancies, which includes the Service Manager and Senior Surveyor, with a view to increasing recruitment options, which has included recruiting one member of agency staff. In the interim, some work is being prioritised to support the delivery of corporate objectives
Inherent Probability: 5	Inherent Impact: 4	Inherent Score: 20
Residual Probability: 5	Residual Impact: 4	Residual Score: 20
Previous Inherent Probability: 5	● Previous Inherent Impact: 4	● Previous Inherent Score: 20
Previous Residual Probability: 5	● Previous Residual Impact: 4	● Previous Residual Score: 20

**Risk Management - Quarter 1 2024/25 - Operational Risks (Serious and Severe)**

<b>Risk:</b> <b>Legal Challenge to Planning decisions</b>	<b>Risk Manager:</b> <b>Assistant Director (Planning)</b>	<b>Last updated:</b> <b>04 July 2024</b>	
<b>Description of risk:</b>  Successful planning appeals and/or legal challenge against a planning decision can lead to costs awarded against the council, along with potential reputational damage.	<b>Controls:</b>  Decision making structure requires applications to be checked before determination. Officers are encouraged to discuss more complex applications with senior managers. Officers in the planning service aim to behave reasonably in order to minimise risk of costs awards against the Council. Other measures include: Application checking processes and procedures Complex cases reviewed by managers Officers in the planning service aim to behave reasonably in order to minimise risk of costs awards against the Council. Member training Constitution and Governance Procedures In terms of DMC decisions, members are always warned of the risk attached to their decision, particularly if this goes against the advice of officers	<b>Risk Manager Commentary:</b>  This risk continues to be monitored as more complex applications are determined.  The level of challenge to the Council, both prior and post decision, continues to increase and therefore legal advice is required more frequently to try and mitigate the risk of further JR.  There has been a JR to the adoption of the local plan; the Council and DLUHC successfully defended the challenge in the High Court.  Officers continue to take a precautionary approach to the most complex applications and, where necessary, will take specific legal advice before an application is determined.	
Inherent Probability: 5	Inherent Impact: 5	Inherent Score: 25	
Residual Probability: 3	Residual Impact: 5	Residual Score: 15	
Previous Inherent Probability: 5	<input type="radio"/> Previous Inherent Impact: 5	<input type="radio"/> Previous Inherent Score: 25	<input type="radio"/>
Previous Residual Probability: 3	<input type="radio"/> Previous Residual Impact: 5	<input type="radio"/> Previous Residual Score: 15	<input type="radio"/>

**Risk Management - Quarter 1 2024/25 - Operational Risks (Serious and Severe)**

<b>Risk: Planning - Building Control</b>		<b>Risk Manager: Assistant Director (Planning)</b>		<b>Last updated: 04 July 2024</b>	
Description of risk:  The identified risk is that HBC is unable to provide the statutory building control service to the Council at any point in time.		Controls:  The Council's statutory building control functions are now delivered by appropriately qualified members of the Herts Building Control team, who are seconded to the Council when undertaking this type of work. HBC has a pool of officers who provide this service, providing resilience to that service.		Risk Manager Commentary:  Following the creation of a jointly owned company to provide building control services, the Council's statutory building control functions and responsibilities are delivered by Hertfordshire Building Control Ltd. The company, and the council's contract with it, are managed via shareholder & director joint meetings and secondment of staff from Herts Building Control. The seconded staff, by way of formal agreement, are considered to be working for the Council at the time they are undertaking statutory functions. The remainder of the time they work for the commercial business.	
Inherent Probability: 3		Inherent Impact: 5		Inherent Score: 15	
Residual Probability: 2		Residual Impact: 5		Residual Score: 10	
Previous Inherent Probability: 3		● Previous Inherent Impact: 5		● Previous Inherent Score: 15	
Previous Residual Probability: 2		● Previous Residual Impact: 5		● Previous Residual Score: 10	

**Risk Management - Quarter 1 2024/25 - Operational Risks (Serious and Severe)**

**Appendix B**

<b>Risk:</b> <b>Responsive repairs (Housing)</b>		<b>Risk Manager:</b> <b>Service Manager (Housing Repairs and Building</b>		<b>Last updated:</b> <b>12 July 2024</b>	
Description of risk:  The Council fails to meet its responsive repairs obligations leading to disrepair, non adherence to regulations and expectation set out by the RSH and Housing Ombudsman, leading to financial, legal, health and safety and reputational implications.		Controls:  Use of partnering contractor to complete responsive repairs Contractual SLAs Contract Monitoring and KPIS Disrepair Group and Operational damp and mould group in place Councils policy and procedures in relation to responsive repairs Identifying trends through complaints and lessons learned		Risk Manager Commentary:  Repairs performance has under performed over the last period and improvement plans are currently being looked at to this 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 Management - Quarter 1 2024/25 - Operational Risks (Serious and Severe)**

<b>Risk:</b> Asset Data		<b>Risk Manager:</b> Service Manager (Building Repairs and Climate Change)		<b>Last updated:</b> 17 July 2024	
Description of risk:  Failure to maintain building stock data leads to inaccurate forecasting and poor investment decisions leading to Regulatory, Financial and Reputational consequences		Controls:  Savills appointed to complete 100% stock condition survey, Ark competed desk top exercise to develop programmes which are funded in the business plan, new structure includes an Asset Data team		Risk Manager Commentary:  Stock conditions surveys commenced in January and due to complete by July. Data being fed through as the programme progresses and repairs/actions raised as required. When all the condition surveys are completed this will inform further maintenance and investment programmes for our buildings.  New Asset Data Manager starts on 22/7/24	
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 Management - Quarter 1 2024/25 - Operational Risks (Serious and Severe)**

<b>Risk: Fire Safety</b>		<b>Risk Manager: Service Manager (Housing Repairs and Building</b>		<b>Last updated: 12 July 2024</b>	
Description of risk:  Failure to comply with the Fire Safety Regulations and Building Safety Act leads to harm to the public and/or colleagues resulting in Regulatory, legal and Reputational consequences		Controls:  Policy's and processes in place and regularly reviewed Regular reporting of compliance to ensure visibility Contractors met on a regular basis to ensure issues are identified Programmes are regularly reviewed and updated to ensure compliance		Risk Manager Commentary:  Operational Health and Safety board (OHSB) continues to meet on a regular basis to monitor the actions required to meet the Building Safety Act.	
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 Management - Quarter 1 2024/25 - Operational Risks (Serious and Severe)**

<b>Risk:</b> <b>Damp, Mould and Condensation</b>		<b>Risk Manager:</b> <b>Service Manager (Housing Repairs and Building</b>		<b>Last updated:</b> <b>17 July 2024</b>	
Description of risk:  Failure to manage damp and mould cases effectively leads to customer harm resulting in Financial, Legal, Regulatory and Reputational consequences.		Controls:  Procedures and monitoring in place to manage all cases Damp and Mould Group in place Regular reporting to Cross Party Group Operational damp and mould group in place Self assessment against the Housing Ombudsman's report underway Inherent defect house types identified Budget created for damp and mould		Risk Manager Commentary:  we are currently reviewing the damp and mould policy and procedure to ensure they align with the current government consultation, this includes the damp and mould proposal from Morgan Sindall.  An internal audit was completed on the councils response to damp and mould. No high priority recommendations were made, but there were a high number of recommendations. A number of these have already been actions, and the risk score has been increased whilst these actions are finalised.	
Inherent Probability: 4		Inherent Impact: 5		Inherent Score: 20	
Residual Probability: 4		Residual Impact: 5		Residual Score: 20	
Previous Inherent Probability: 4		● Previous Inherent Impact: 5	●	Previous Inherent Score: 20	●
Previous Residual Probability: 3		● Previous Residual Impact: 5	●	Previous Residual Score: 15	●

**Risk Management - Quarter 1 2024/25 - Operational Risks (Serious and Severe)**

<b>Risk: Complaints</b>		<b>Risk Manager: Service Manager (Housing Repairs and Building</b>		<b>Last updated: 12 July 2024</b>	
Description of risk:  Failure to manage complaints effectively leads to Housing Ombudsman investigations, resulting in Financial, Regulatory and Reputational consequences.		Controls:  Complaints System Management reporting Complaints policy and processes Weekly meeting to review complaints		Risk Manager Commentary:  Surveyors are now working to cover 5 geographical areas (i.e. patches). Weekly meetings are taking place to ensure complaints are being answered correctly.  Work continues in the background to take a proactive approach to address the outstanding complaint cases.  We currently have some staff shortages which we are actively recruiting to. A temporary complaints resolution officer has been recruited.	
Inherent Probability: 4		Inherent Impact: 5		Inherent Score: 20	
Residual Probability: 3		Residual Impact: 5		Residual Score: 15	
Previous Inherent Probability: 4		● Previous Inherent Impact: 5	●	Previous Inherent Score: 20	●
Previous Residual Probability: 3		● Previous Residual Impact: 5	●	Previous Residual Score: 15	●

**Risk Management - Quarter 1 2024/25 - Operational Risks (Serious and Severe)**

<b>Risk:</b> <b>Recruitment and Retention - Homes and Neighbourhoods</b>	<b>Risk Manager:</b> <b>Assistant Director (Homes and Neighbourhoods)</b>	<b>Last updated:</b> <b>17 July 2024</b>	
<b>Description of risk:</b>  Failure to attract and retain competent staff leads to service failure resulting in Regulatory, Legal and Reputational consequences	<b>Controls:</b>  Temporary staff being utilised to fill some gaps in the structure Point 13 appointed to help with targeted marketing campaign All posts re-evaluated Fortnightly staff briefings in place Regular recruitment meetings with HR	<b>Risk Manager Commentary:</b>  This continues to be a challenging area, especially in light of the significant changes in the Housing industry in the past few years.  The new AD(Homes and Neighbourhood) started 20 May 2024 and is working with with service managers and HR to look at ways to improve recruitment in the team. They will also continue to work with contractors to improve the service. Also some new work practices have been introduced, which includes rolling out mobile tablets to workers to ease some of the back office admin burdens to make the roles more attractive.	
Inherent Probability: 5	Inherent Impact: 5	Inherent Score: 25	
Residual Probability: 4	Residual Impact: 4	Residual Score: 16	
Previous Inherent Probability: 5	<input type="radio"/> Previous Inherent Impact: 5	Previous Inherent Score: 25	<input type="radio"/>
Previous Residual Probability: 4	<input type="radio"/> Previous Residual Impact: 4	Previous Residual Score: 16	<input type="radio"/>

**Risk Management - Quarter 1 2024/25 - Operational Risks (Serious and Severe)**

<b>Risk: Tree Failure</b>		<b>Risk Manager: Landscape and Ecology Manager</b>		<b>Last updated: 08 July 2024</b>	
Description of risk:  Tree Risk of failure of a tree with resultant risk to property or life.		Controls:  Trees managed by WHBC are inspected on regular scheduled programmed basis by qualified staff. Any trees requiring any safety works will be given a priority and actioned within budget constraints.		Risk Manager Commentary:  Inspections on going and work prioritised as necessary. Cyclical inspections slightly below target for the first quarter of 2024/25, however expected to meet annual target of 33% of trees in each Financial year.	
Inherent Probability: 4		Inherent Impact: 5		Inherent Score: 20	
Residual Probability: 2		Residual Impact: 5		Residual Score: 10	
Previous Inherent Probability: 4	<input type="radio"/>	Previous Inherent Impact: 5	<input type="radio"/>	Previous Inherent Score: 20	<input type="radio"/>
Previous Residual Probability: 2	<input type="radio"/>	Previous Residual Impact: 5	<input type="radio"/>	Previous Residual Score: 10	<input type="radio"/>

**Risk Management - Quarter 1 2024/25 - Operational Risks (Serious and Severe)**

**Appendix B**

<b>Risk:</b> <b>Housing Management - Poor void management</b>		<b>Risk Manager:</b> <b>Assistant Director (Homes and Neighbourhoods)</b>		<b>Last updated:</b> <b>17 July 2024</b>	
Description of risk:  Poor void and allocatons management leading to loss of income, increased costs and extended periods of reduced property availability.		Controls:  End to end mapped process Housing Management system in place Responsive repairs management Effective contractor management Void management standard Allocations Policy Clear management reporting		Risk Manager Commentary:  The average void time is still above target. This is due to a number of factors, including kitchen supplier issues, contractor resources, planned works issues and condition of properties being returned. In addition we have had some problems with the contractor completing their scope of works quickly and then completing the void works within the specified time and to standard. However, there has been a marked improvement and voids being completed satisfactorily. Contractor has invested in more resources for the voids team.	
Inherent Probability: 5		Inherent Impact: 4		Inherent Score: 20	
Residual Probability: 5		Residual Impact: 4		Residual Score: 20	
Previous Inherent Probability: 5		● Previous Inherent Impact: 4		● Previous Inherent Score: 20	
Previous Residual Probability: 4		● Previous Residual Impact: 3		● Previous Residual Score: 12	