

Risk Title	Risk Description	Consequences	Controls	Risk Manager	Latest Note	Previous Score (Q2)	Current Score
Strategic - Availability of sites / land / assets Housing Development	Lack of suitable sites for affordable homes for development, either for direct provision by the council or disposal and grant funding to Registered Providers at the scale that is required. Sites need to be deliverable and suitable to attract interest	Increased homelessness, Financial - financial penalties, Reputational damage, Additional costs, Poor partnership working	Senior Leadership Team Staff resource	Executive Director (Place)	The council has a Housing Delivery Strategy in place for affordable housing. There is a mechanism for assessing available sites. The Housing Development and Services Manager has made links to a number of developers and land owners to identify opportunities. We have reviewed a number of sites within the council's Housing Revenue Account, which could be brought forward. The council's Housing, Homelessness and Rough Sleeping Strategy identifies housing supply as a key target area.	18	18
Strategic - Change Management	A new culture and direction have been set by the transformation strategy This risk addresses the consequences of any failure to robustly manage change.	Inadequate service shaping, Additional costs, Reputational damage	Use of consultants Communication Chief Executive Briefings LGA Membership Peer Challenge HR - Meetings with Trades Unions HR - Employee Forum Appraisal and one to one process Close Working Relationship with HR	Chief Executive	The new management structure has now been embedded, and the new transformation strategy has been approved. An action plan to deliver the strategy has been developed, and a the approach to project and change management is under review. A new Transformation Board has been put in place to monitor and oversee key transformation and change projects. The risk management framework is under review and will form a key aspect of ensuring that risk are identified for programmes of changes and monitored closely.	32	32
Strategic - Community Consultation and Engagement	Failure to properly consult customers in line with legislative and regulatory requirements (as appropriate to relevant service areas). Failure to involve communities when planning services.	Intervention by regulatory bodies, Legal - challenge, Reputational damage, Additional costs, Inadequate service shaping	Corporate Strategy - Tenant Involvement Strategy (Housing) Policy and Procedure Framework Borough Panel Tenants' Panel Alliance Strategy Community Partnership Team engagement events New Corporate Community and Stakeholder Engagement Strategy	Executive Director (Finance and Transformation)	The corporate Community and Stakeholder Engagement Group, with representation from council services, meets monthly. It is responsible for coordinating and communicating all consultation and engagement activity. It is also responsible for the delivery of the corporate community engagement strategy. A review of membership of this group is underway. The Customer Services Member Project Board has had Consultations added to the remit of the group and will be considering the approach to the non statutory consultations over the coming months.	32	32

Risk Title	Risk Description	Consequences	Controls	Risk Manager	Latest Note	Previous Score (Q2)	Current Score
Strategic - Corporate Resilience	<p>Failure to meet the requirements of the Civil Contingencies Act 2004, including the material failure or inadequacy of plans</p> <p>Failure to respond appropriately to a civil emergency or business continuity incident, including the duty of care to the community. The current plans are generic in nature and cover the following risks:</p> <ul style="list-style-type: none"> - Severe weather (fog, storm, snow or heatwave) - Loss of, damage to, or denial of access to, a council site (both critical and non-critical) - Loss of utilities (Gas, electricity, water or sewerage) - Loss of critical ICT hardware, data or network, including a hostile attack - Pandemic - Staff (industrial action, loss of key staff) - Supply chain (failure of contractor including performance) - Fuel shortage - Civil emergency 	<p>Community impact, Economic development, Unsafe assets, Customer dissatisfaction, Reputational damage, Poor partnership working, Intervention by regulatory bodies</p>	<p>Resilience - Local Resilience Forum</p> <p>Resilience - WHBC Emergency Plan</p> <p>Resilience - Crisis Support Team</p> <p>Resilience - Training and Exercising</p> <p>Resilience - Resilient Telecommunications</p> <p>Resilience- Business Continuity Management Process</p> <p>Resilience - Extended Floodline</p> <p>Resilience - Care of People Plan</p>	Service Director (Residents and Neighbourhood)	A comprehensive review of the Emergency Planning function has identified some training needs as a priority which is being addressed in February 2023.	75	48
Strategic - Data Protection	The General Data Protection Regulations (GDPR) replaced the previous Data Protection Act from May 18. It contains onerous obligations that had an immediate impact. As we handle people's data we are responsible for keeping it safe.	Legal - Litigation, Intervention by regulatory bodies, Reputational damage, Legal - challenge, Additional costs	Governance - Data Protection Policies ICT - data encryption Procurement considerations - Data Protection in Contracts Internal Auditing	Executive Director (Finance and Transformation)	GDPR remains a high priority for the Council, and work continues to ensure the Council remains GDPR compliant. However, as GDPR has been in place now for over 3 years, project type work (such as production of policies and procedures) has reduced, and the focus is on improving and enhancing awareness and procedures. Subject Access Requests have been increasing, and this work is currently being supported by an officer in the Governance team. Risk assessments are completed on any breaches and action plans put into place. We have had no data breaches reported to the ICO for the quarter.	32	32

Risk Title	Risk Description	Consequences	Controls	Risk Manager	Latest Note	Previous Score (Q2)	Current Score
Strategic - Finance	<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.</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 will be crucial to ensure the medium and long term sustainability of the council.</p>	<p>Finance - Depletion of reserves, Reputational damage, Service delivery - loss/reduction, Financial - affects on receipts, Service delivery -can't meet demand</p>	<p>Finance - Financial Systems and Controls</p> <p>Finance - Reserve policy and strategy</p> <p>Finance - Budget Setting Process</p> <p>Finance - Medium Term Financial Strategy</p> <p>Finance: Minimum Revenue Provision Policy</p> <p>Transformation Programme</p> <p>Culture of change and improvement</p> <p>Finance - Budget Monitoring Processes and Procedures</p> <p>Monitoring of debt collection rates</p> <p>Finance - Financial Regulations</p> <p>Finance - Treasury Management Strategy</p> <p>Treasury and Debt Monitoring</p> <p>Internal Audit</p> <p>External Audit</p> <p>Prevention and detection of fraud</p> <p>Contract Procedure Rules</p>	Executive Director (Finance and Transformation)	<p>There is a continuing and increased challenge to meet the medium term targets. The MTFS update and budget for 2022/23 was approved at full council in February 2022 and updated in September 2023 to take into account the uncertain economic conditions and cost of living crisis.</p> <p>A draft budget has been prepared and published for consideration at January Cabinet. The Task and Finish Panel has met to consider key budget proposals. The government announced key budget policy statements, followed by the draft local government which was published on 21st December. The council has proposed a balanced budget with a planned use of reserves which ensures reserves remain above minimum assessed levels. There continues to be significant uncertainties for the future, and challenging targets ahead. The risk has been lowered this quarter following the publication of the balanced budget proposals.</p>	100	50
Strategic - Health and Safety	<p>Failure to maintain an adequate and effective safety management system within the Council, including structures, processes, control measures and allocation of responsibilities and ensuring competence of employees, contractors and service providers.</p>	<p>H&S - Injuries and ill health, Lost productivity, Sickness absence, Legal - Litigation, Intervention by regulatory bodies, Reputational damage</p>	<p>Collective Responsibility of Senior Leadership Team</p> <p>Corporate Health and Safety Policies</p> <p>Map of the extent of the undertaking</p> <p>Staff Induction and Training</p>	Service Director (Property Maintenance and Climate Change)	<p>The Risk and Resilience function has been transferred to a new service. A dedicated corporate Health and Safety team has been put in place within the Property Maintenance new structure. Interim arrangements are in place to ensure the function continues to support the teams. The recruitment process to appoint permanent staff has commenced.</p>	50	50

Risk Title	Risk Description	Consequences	Controls	Risk Manager	Latest Note	Previous Score (Q2)	Current Score
Strategic - Homelessness	Failure to meet the demand of homelessness due to lack of provision of temporary housing and permanent housing	Intervention by regulatory bodies, Additional costs, Reputational damage, Increased homelessness, Community impact, Service delivery -can't meet demand, Legal - Regulatory, Financial Implications, Risk to residents wellbeing	Housing, Homelessness and Rough Sleeping Strategy Budget Monitoring Processes and Procedures HRA Business Plan Delivery Strategy Use of funding for homeless prevention Provision of temporary accommodation stock Private Sector Navigator post Night Shelter and rough sleeper navigators	Executive Director (Place)	<p>The Housing, Homelessness and Rough Sleeping Strategy sets out our approach to tackling homelessness.</p> <p>We have strategic plans to increase the amount and quality of temporary accommodation.</p> <p>The housing options team is highly skilled and we supplement the service with support from other agencies such as SADA, Resolve, DrugLink, and YMCA</p> <p>Use of the government's Homeless Prevention funding for preventative projects and activities has helped to ensure that the number of households in temporary accommodation has not risen further</p> <p>Additional funding has been received to provide specialist services for single people, ex offenders and victims of domestic abuse</p> <p>Demand is very high currently and the available properties coming via development and through voids is low, so there is an increasing number of households in temporary accommodation and on the housing needs register.</p>	48	48
Strategic - ICT Failure	Critical failure of ICT services, for example due to virus attack or ransomware virus attacks. These target computers running Microsoft Windows.	ICT - loss of service	ICT - malware detection ICT - database updates ICT - Disaster Recovery Plan ICT - Temporary PSTN connection ICT - infrastructure review ICT - ICT Strategy ICT - PSN Compliance Testing	Executive Director (Finance and Transformation)	<p>TTthe completion of the Housing, Homelessness and Rough Sleeping Strategy sets out our approach to tackling homelessness.</p> <p>We have strategic plans to increase the amount and quality of temporary accommodation. It is anticipated that the Howlands House project will make more progress in the next twelve months.</p> <p>The housing options team is highly skilled and we supplement the service with support from other agencies such as SADA, Resolve, DrugLink, YMCA etc..</p> <p>Use of the government's Homeless Prevention funding for preventative projects and activities has helped to ensure that the number of households in temporary accommodation has not risen further. Funding commitments for 23/24 and 24/25 have also been provided by government.</p> <p>Additional funding has been received to provide specialist services for single people, ex offenders and victims of domestic abuse</p> <p>Demand continues to be very high. The pipeline of supply from the Wheat Quarter and other schemes has started to increase, so there is a steady number of households in</p>	75	75
Strategic - Income from recyclables	Potential risk regarding income receipts for recyclables. Price can be volatile depending on the market conditions	Increased cost of waste collection	Budget control Hertfordshire waste strategic and operational partnerships	Service Director (Residents and Neighbourhood)	<p>The income from recycled materials can fluctuate and is influenced by UK and global markets. The risk of volatility remains but anticipated income is being met at present although there is slightly less demand/income from paper at present.</p>	64	64

Risk Title	Risk Description	Consequences	Controls	Risk Manager	Latest Note	Previous Score (Q2)	Current Score
Strategic - Local Plan	Risk that Local Plan will be found unsound. Inspector wants to examine all previously rejected sites to identify most sustainable choices.	Economic development, Financial - affects on receipts, Economic - inward investment, Economic - local infrastructure, Economic - new facilities, Environment - hostile developments, Economic - loss of funding, Reputational damage	Planning - Evidence Planning - Committees Planning - Project Plan Planning - Consultation Planning - Section 106 and CIL	Executive Director (Place)	Following a decision of full Council in December 2022, the Council has now commenced consultation on the main modifications to the Local Plan. This consultation takes place in January and February 2022 and comments received will be sent to the Inspector for his consideration. The Inspector will consider the responses received and will then prepare his report on the Local Plan. It will then be for full Council (summer 2023) to determine whether or not to adopt the plan.	64	27
Strategic - Management of Council Owned Housing Property Assets	Failure to provide and maintain council housing property assets and services. Taking opportunities to invest in assets.	Increased homelessness, Community impact, Economic development, Unsafe assets, H&S - Injuries and ill health, Intervention by regulatory bodies, Customer dissatisfaction, Reputational damage, Additional costs, Financial Implications, Safety of Residents	Planned works delivery LGSR compliance Electrical safety Asbestos Management Policy and Procedure Framework Fire Risk Assessment H and S - Organisation And responsibilities Lift Safety Management Water Hygiene Management	Service Director (Property Maintenance and Climate Change)	A £150m 5 year investment plan is now in place and built into the HRA business plan. Year 1 is in the 2023/24 budget. All 3 contractors have been procured to deliver the programme and tenders from supporting consulting surveyors are being evaluated. Staff structure reviewed to deliver and recruitment to new posts underway. Kitchen and bathroom specifications reviewed and updated to meet modern requirements. Building safety compliance performance is strong and a positive internal audit outcome was achieved. Repairs and voids performance has improved significantly following the implementation of the new repairs contract. A detailed response has been sent to the RSH following the recent damp and mould tragedy. A working group is in place with a detailed action plan being implemented to include reviewing literature, data management etc. Preparation for accelerating stock condition surveying is underway with the engagement of an external provider. A project of £4.3m with a grant bid for £1.9m of Social Housing Decarbonisation Fund programme to address homes which are harder to retain heat and therefore prone to damp and mould issues has been submitted. This will improve more than 180 homes in our housing stock. We are awaiting a response to the bid. Detailed Preparations for the new Building and Fire Safety legislation which is implemented in 2023 are in place. A key risk is the high rise block at Queensway House which is in the process of being emptied and decommissioned.	48	48
Strategic - Management of Council Owned Non-Housing Property Assets	Failure to provide and maintain council owned non-housing property assets. Taking opportunities to invest in assets.	Economic development, Unsafe assets	Property Portfolio Asset Management Plan	Service Director (Property Maintenance and Climate Change)	Planned maintenance works are being delivered in line with the recommendations from the subsequent condition surveys carried out. A budget bid has been submitted for £330,000 for 2023/24 . Building safety compliance remains strong and detailed preparations for the new Building and Fire Safety legislation are in place which includes the residential units in the general fund. Works are underway to comply with MEES legislation which sets a minimum energy performance standards score of E and above for commercial units by April 2023. Decarbonisation works have been completed to 3 of the larger General Fund sites which has decreased the overall carbon baseline by 16% with a further 3 grant bids submitted which will take this reduction level to 25% if successful	32	32

Risk Title	Risk Description	Consequences	Controls	Risk Manager	Latest Note	Previous Score (Q2)	Current Score
Strategic - New Government's new Resources and Waste Strategy	Draft proposals regarding waste producer responsibility and collection of waste/recyclables, garden waste	Potential Implications for Councils	Hertfordshire waste strategic and operational partnerships	Service Director (Residents and Neighbourhood)	The Government 's Resources and Waste Strategy outlined proposed changes to the waste regime. This includes consistency of what recyclables are collected, Deposit return schemes for some recyclables and Extended Producer Responsibility (packaging producers being responsible for the costs of dealing with the packaging they produce). It is anticipated that the new proposals will come be implemented during 2024 or 2025 but the details are awaited.	48	48
Strategic - Prevent	Not properly implementing the government's 'Prevent' agenda to address the risks of radicalisation.	Reputational damage, Undetected Abuse, Prevent Delayed referral to Channel, Prevent - lack of staff awareness, Poor partnership working	Prevent - WRAP workshops Prevent - Nominated Lead Officer for Prevent Prevent matters discussed at Safeguarding meetings. Prevent - Channel Prevent - Venue Guidance Prevent - Lease and Hire Agreements Prevent - Security and Terrorism implications in report template Representation at County Prevent Board	Service Director (Residents and Neighbourhood)	The 'Prevent' duty in now aligned under the Community Safety Partnership. We are reviewing the 'Prevent' duty and responsibilities as part of our Community Safety Action plan to identify what further actions we can take to give further assurance to the Council and partners.	32	32
Strategic - Safeguarding	Failure to meet obligations in respect of children and adults at risk from abuse.	Undetected Abuse, Legal - Litigation, Reputational damage, Risk to residents wellbeing	Safeguarding Policies Safeguarding Action Plan Reporting pathways communicated and updated Mandatory safeguarding training programme	Human Resources Manager	It has been agreed, as part of a wider corporate exercise to streamline corporate groups, to merge the Safeguarding Group with the E&D Steering Group and Prevent work strands. A new Terms of Reference are being developed which will set out the governance structure and future membership of the group. Due to changes in senior management, the terms of reference and membership of the group needs to reconsidered again. The membership of the group has been reviewed and implemented. Safeguarding training has been delivered to front line staff and new recruits.	32	32
Strategic - Staff/Workforce	Failure to recruit or retain staff with key skills. Lack of resources due to high levels of sickness, turnover or industrial action. Failure to develop and train existing staff. Breach of legislation or failure to follow our HR policies.	Legal - Litigation, HR - High Staff Turnover, Low morale, Additional costs	HR - Workforce Development Strategy Apprenticeship Scheme Training and Awareness of HR Staff Departmental Training Plans for Food HR - Reporting to ROSC Appraisal and one to one process HR - Meetings with Trades Unions HR - Employee Forum HR Policies and procedures Flexible Working Health and Wellbeing Programme Green Travel Plan	Human Resources Manager	The workforce strategy action plan has been approved as part of the transformation strategy. The actions and targets meet the strands of the strategy. HR work closely with all senior managers to mitigate these risks. The new Transformation Strategy contains some key commitments in relation to our workforce and culture, and the HR Manager will lead on this strand of the strategy and associated action plan. We have been successful in recruiting to most roles, by trying different techniques and seeking candidates with transferable skills and being quicker to get to interview before candidates accept alternative job offers.	48	48

Operational Risk Register for risks scoring 50+ - 2022/23 Quarter 3

Appendix B

Risk Title	Risk Description	Consequences	Controls	Risk Manager	Latest Note	Previous Score (Q2)	Current Score
Planning - Housing land supply	Failure to maintain rolling five year housing land supply, which puts Council at risk of having to approve undesirable developments	Reputational damage, Additional costs, Intervention, Environment - hostile developments, Financial - financial penalties, Speculative planning applications	Planning - Qualifications and Training Planning - AMR	Planning Policy Implementation Manager	The lack of five-year housing land supply continues to pose a significant risk of speculative development. Whilst the Local Plan has progressed to Main Modifications stage, this does not prevent applications being submitted and utilising the NPPF five-year land supply policies until such time as the plan is adopted.	80	80
Property Services (Housing) - Disrepair	That the Council fails to meet its responsive and planned maintenance obligations and allows property assets to fall into disrepair. This may result in discomfort and a reduced quality of life for the tenant and occupiers. It may also lead to legal action	Legal - Litigation, Legal - challenge, Reputational damage, Additional costs, Customer dissatisfaction, H&S - Injuries and ill health	Disrepair Process Service Review Staff recruitment	Service Manager (Housing Repairs and Building Safety)	The risk remains the same as we continue to receive disrepair claims but the system in place to manage these is working well. The number of disrepair claims should improve overtime as repairs are completed (we see an improvement in the first quarter of the new repairs contract) and the new 5 year investment programme makes an impact with new components being installed.	64	64
Property Services (Housing) - Quality Assurance II	Complaints not managed effectively as per policy	Reputational damage, Inadequate service shaping, Legal - challenge, Additional costs, Unsafe assets	Complaints Process Weekly monitoring by Director	Service Manager (Housing Repairs and Building Safety)	Complaints handling remains a challenge. The new structure will address this and recruitment is underway. Interim resources are in place to manage this risk.	80	64
Supplier financial failure	Failure of supplier due to bankruptcy etc		Contract Management Guide Credit Agency alerts Contract monitoring	Procurement Manager	Due to uncertainty in the market place due to Covid 19, the probability on supplier failure has increased with the probability increased. Some sectors continue to see impacts of the pandemic on income streams, and this is compounded by the current cost of living crisis.	64	64