

Strategic Risks - 2023/24 (Quarter 1)

Appendix A

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| Risk: New Government's new Resources and Waste Strategy | Risk Manager: Sue McDaid | Last updated: 20 July 2023 |
| Description of risk: There are draft proposals regarding waste producer responsibility and collection of waste/recyclables, garden waste but the details are not yet known. There are potential Implications for Councils in terms of the collection operation of waste and recycling and additional costs. | Controls: Monitoring the proposals. Monitored closely and information shared in the Hertfordshire waste strategic and operational partnerships | Risk Manager Commentary: Proposal for food waste recycling from all properties to be introduced form 2025. Details and any available funding not yet known. |
| Inherent Probability: 4 | Inherent Impact: 3 | Inherent Score: 12 |
| Residual Probability: 4 | Residual Impact: 3 | Residual Score: 12 |
| Previous Residual Probability: 4 | Previous Residual Impact: 3 | Previous Residual Score: 12 |

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| Risk: Recognising and responding to current and future technology needs | Risk Manager: Ben Trueman | Last updated: 06 July 2023 | |
| Description of risk: 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. | Controls: End User Services contract Use of specialist contractors Modernisation Programme Technology Design Principles ICT Strategy Staff engagement | Risk Manager Commentary: The ICT Service works closely with Services within the Council to understand priorities and to respond rapidly to changing needs. Much of the Service has been brought in-house, allowing for closer working, cooperation and informed support for other teams. ICT & Digital forms a core part of the Transformation Programme, designed to deliver technology meeting the Council's current and future business needs. | |
| Inherent Probability: 4 | Inherent Impact: 4 | Inherent Score: 16 | |
| Residual Probability: 2 | Residual Impact: 2 | Residual Score: 4 | |
| Previous Residual Probability: 2 | ● Previous Residual Impact: 2 | ● Previous Residual Score: 4 | ● |

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| Risk: | Risk Manager: | Last updated: |
| Cultural change (Transformation) | Richard Baker | 11 July 2023 |
| Description of risk: | Controls: | Risk Manager Commentary: |
| 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. | Communications Plan Engagement activity Transformation Strategy and Action Plan Transformation Board and wider Governance Project Management Framework | 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. A review of the values and behaviours has commenced during the quarter, and there is a pipeline of projects for the year which are progressing as part of the cultural strand of the transformation strategy. |
| Inherent Probability: 5 | Inherent Impact: 4 | Inherent Score: 20 |
| Residual Probability: 2 | Residual Impact: 3 | Residual Score: 6 |
| Previous Residual Probability: 2 | Previous Residual Impact: 3 | Previous Residual Score: 6 |

Strategic Risks - 2023/24 (Quarter 1)

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| Risk: Recruitment, Retention and Organisational Development | Risk Manager: Janet Pilbeam | Last updated: 17 July 2023 |
| Description of risk: Issues with recruitment, sickness, staff development and retention within the team may impact on the ability to deliver council services. The consequences of this may mean the council is unable to delivery statutory services, or fail to deliver its corporate plan and annual action plans. The impacts of these would be far reaching and would likely include legal, financial and reputational impacts. | Controls: HR Policies and Procedures Use of agency staff Use of specialist contractors Agency Worker Framework Training and Development Recruitment and Retention Policies and Procedures Learning from exit interviews and staff surveys Regular management monitoring of workforce data Learning Management System and Training Plans | Risk Manager Commentary: The recruitment market is constantly changing and we have to adapt to attract and recruit the best talent. We also review vacant posts to see if they would be suitable for an apprenticeship or trainee role. We are taking part in the National Graduate Development Programme to offer high quality graduates an opportunity to undertake projects to meet strategic goals and build a pipeline of future talent. We are also using social media to promote roles. We will be reviewing recruitment activity and producing an action plan in quarter 2. |
| Inherent Probability: 4 | Inherent Impact: 4 | Inherent Score: 16 |
| Residual Probability: 2 | Residual Impact: 3 | Residual Score: 6 |
| Previous Residual Probability: 2 | Previous Residual Impact: 3 | Previous Residual Score: 6 |

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| Risk: Employment legislation | Risk Manager: Janet Pilbeam | Last updated: 17 July 2023 |
| 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: Managers are trained to undertake people management processes including sickness management & disciplinary investigations / hearings. Briefing sessions are held when there are changes to policies & procedures to keep managers up to date with best practice and legislative changes. HR Advisors support and guide managers through complex employee relations matters. We have implemented a new health passport to support employees with long term health conditions or disabilities. We are updating our bullying & harassment policy (respect at work policy). We have updated the flexible working policy and guidance. We have run training sessions on carrying out internal investigations and disciplinary / grievance hearings. |
| Inherent Probability: 5 | Inherent Impact: 4 | Inherent Score: 20 |
| Residual Probability: 2 | Residual Impact: 3 | Residual Score: 6 |
| Previous Residual Probability: 2 | Previous Residual Impact: 3 | Previous Residual Score: 6 |

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| Risk: Equalities and Safeguarding | Risk Manager: Janet Pilbeam | Last updated: 17 July 2023 |
| Description of risk: Failure to comply with equalities and safeguarding legislation & best practice could lead to challenges to council decisions as a service provider, employer and in the procurement of products and services. This in turn could have severe financial, legal and reputational implications. | Controls: HR polices and procedures Equality and Diversity Strategy Equality and Diversity Action Plan Equality, Diversity and Safeguarding Working Group Training and development Safeguarding policies and procedures | Risk Manager Commentary: The council's steering group has strategic responsibility for all equality, diversity, inclusion and safeguarding matters. This includes Prevent, Modern Slavery and Hate Crime and has oversight of the organisational delivery plans for these strands. An updated policy and action plan are being produced, as is a Modern Slavery policy. A refreshed training package on safeguarding is being launched this month. |
| Inherent Probability: 5 | Inherent Impact: 5 | Inherent Score: 25 |
| Residual Probability: 2 | Residual Impact: 5 | Residual Score: 10 |
| Previous Residual Probability: 2 | Previous Residual Impact: 5 | Previous Residual Score: 10 |

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| Risk: Data Governance | Risk Manager: Richard Baker | Last updated: 11 July 2023 | |
| 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. No material breaches have occurred in the quarter, and the audit plan includes a review of controls during the year. | |
| Inherent Probability: 5 | Inherent Impact: 5 | Inherent Score: 25 | |
| Residual Probability: 2 | Residual Impact: 5 | Residual Score: 10 | |
| Previous Residual Probability: 2 | ● Previous Residual Impact: 5 | ● Previous Residual Score: 10 | ● |

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| Risk: Elections | Risk Manager: Richard Baker | Last updated: 11 July 2023 |
| Description of risk: New legislation has come into force which will see new requirements, including voter ID. Failure to promote and manage this could lead to reputational damage and legal challenge, in turn possibly leading to financial implications. We have yet to complete larger scale elections (government and county) since this new legislation has been introduced, and further legislative changes are anticipated | Controls: Weekly meetings with returning officer Project plans Staff training and development Understanding and management of risks at operational level Government guidance | Risk Manager Commentary: Weekly meeting were held in the run up to the elections to ensure measures were in place for the smooth running of the elections and compliance with the new legislation. The elections went well and the risk can now be lowered until we are closer to the running of larger elections, or until further information is obtained on future legislative changes. |
| Inherent Probability: 4 | Inherent Impact: 4 | Inherent Score: 16 |
| Residual Probability: 1 | Residual Impact: 4 | Residual Score: 4 |
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| Previous Residual Probability: 2 | Previous Residual Impact: 4 | Previous Residual Score: 8 |

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Appendix A

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| Risk: Financial Sustainability | Risk Manager: Richard Baker | Last updated: 19 July 2023 |
| Description of risk: The council is in a time of high inflation, with ongoing cuts to government funding forecast for the coming years. It also has restrictions on how much funding can be raised through council tax. The cost of living crisis is likely to have an impact on the ability of residents and businesses in paying debts due to the council, and may impact on the use of discretionary services such as our cultural services, and associated income streams. The reducing capital balances for the general fund puts means the council will become more reliant on borrowing, and interest rate rises will increase the revenue cost to deliver capital schemes. Identification of long term efficiency plans, and sound financial controls, will be crucial to ensure the medium and long term sustainability of the council. | Controls: Income monitoring and trend analysis Medium Term Financial Strategy Debt policy and procedures/Debt monitoring Budget Setting Process Financial Regulations Minimum Reserve Policy Minimum Revenue Provision Policy Budget Monitoring and Reporting Transformation Programme Treasury Management Strategy Internal Audit/External Audit Fraud Prevention | Risk Manager Commentary: The council has now finalised the outturn position for 2022/23. Additional favourable variances occurred during the last quarter, putting the council in a stronger reserves starting position for 2023/24. The Budget was approved in February, and work on the 2024/25 budget will commence in quarter 2. The council also joined the shared anti-fraud service in April, strengthening the councils approach to the identification and investigations into potential fraud. The scope for the task and finish panel, which this year will improve public engagement, will be presented to OSC in July for approval. |
| Inherent Probability: 5 | Inherent Impact: 5 | Inherent Score: 25 |
| Residual Probability: 3 | Residual Impact: 5 | Residual Score: 15 |
| Previous Residual Probability: 3 | Previous Residual Impact: 5 | Previous Residual Score: 15 |

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| Risk: Service Standards | Risk Manager: Kirsten Roberts | Last updated: 17 July 2023 |
| Description of risk: Failure to adequately identify key performance statistics, complaints and data could lead to a failure in oversight of service provision, leading to a failure to quickly identify and 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. | Controls: Annual Business Plan Regular review of operational key performance indicators Performance Management Framework Digital collection and reporting of performance Management and Member reporting Complaint handling policy, procedures and use of templates Dispute resolution training Annual complaint assessment Management reporting Member reporting Persistent and Vexatious Policy and Procedure Monitoring and reporting of ombudsman complaints | Risk Manager Commentary: Overall performance is being monitored on a monthly basis by SMT, with complaints monitored and reported to relevant officers on a weekly basis. Quarterly performance is reported to Cabinet. This enables quick decisions to be made where there is a downward trend or failure in performance, mitigating the impacts of such events. Updates to the council's Complaints Policy and Vexatious, Persistent and Abusive Policy were reviewed and agreed by the Cross Party Customer Service Project Board in April 2023. |
| Inherent Probability: 4 | Inherent Impact: 4 | Inherent Score: 16 |
| Residual Probability: 2 | Residual Impact: 3 | Residual Score: 6 |
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| Previous Residual Probability: 2 | ● Previous Residual Impact: 3 | ● Previous Residual Score: 6 |

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| Risk: Fraud and Corruption | Risk Manager: Richard Baker | Last updated: 11 July 2023 | |
| 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 | Risk Manager Commentary: The council has joined the shared anti-fraud service from 1 April 2023. Contracts are in place and the fraud plan has been agreed for the year. Data sharing agreements have been put in place to allow the service access to DWP data for fraud investigations. A refresh of policies is planned and training is being put into place for staff. A new hotline and reporting system has been rolled out. | |
| Inherent Probability: 5 | Inherent Impact: 5 | Inherent Score: 25 | |
| Residual Probability: 2 | Residual Impact: 5 | Residual Score: 10 | |
| Previous Residual Probability: 2 | ● Previous Residual Impact: 5 | ● Previous Residual Score: 10 | ● |

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| Risk: Cyber Security | Risk Manager: Ben Trueman | Last updated: 18 July 2023 |
| Description of risk: Issues with cyber security, could lead to loss of sensitive and operational data and render systems unuseable, in turn impacting on the Council's ability to deliver key and statutory services. A major incident could lead to extended downtime, which could impact financially, legally and have a significant impact on the Council's reputation. | Controls: Network Architecture Malware detection Data encryption Disaster recovery plan (e.g. off-site back-up) DR Tests External Alerts (Eg WARP, NCSC and suppliers) Internal Monitoring (e.g. SIEM) Email gateway PSN accreditation Health checks and Penetration tests ICT policies and procedures Staff training (e.g. Phishing Simulation) | Risk Manager Commentary: The Council's ICT environment is subject to 3rd-party testing and accreditation as part of Public Sector Network membership, with any vulnerabilities identified and remedied. The Council's submission is currently being assessed by the Cabinet Office ahead of re-accreditation. To greatly reduce the risk of successful cyber attack, the ICT Team employ a strong range of technical preventative and mitigating measures (including firewalls, timely security patching, anti-malware software, etc.) The Council has recently adopted a cloud-based Security Information & Event Management (SIEM) system. The Council has recently introduced phishing simulations to maintain high awareness of this risk. |
| Inherent Probability: 5 | Inherent Impact: 5 | Inherent Score: 25 |
| Residual Probability: 3 | Residual Impact: 4 | Residual Score: 12 |
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| Previous Residual Probability: 3 | ● Previous Residual Impact: 4 | ● Previous Residual Score: 12 |

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| Risk: | Risk Manager: | Last updated: |
| ICT Continuity | Ben Trueman | 06 July 2023 |
| Description of risk: | Controls: | Risk Manager Commentary: |
| 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. | 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 | The Council's data centre technology 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. |
| Inherent Probability: 4 | Inherent Impact: 5 | Inherent Score: 20 |
| Residual Probability: 2 | Residual Impact: 4 | Residual Score: 8 |
| Previous Residual Probability: 2 | Previous Residual Impact: 4 | Previous Residual Score: 8 |

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| Risk: | Risk Manager: | Last updated: |
| Strategic - RSH Regulatory Standards | Chris Barnes | 20 July 2023 |
| Description of risk: | Controls: | Risk Manager Commentary: |
| 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 | Social Housing White Paper Action plan in place Tenant Survey Measures commenced Training of Members Staff training and development | A Strategic Housing Managers group has been established to meet quarterly, to ensure actions are co-ordinated across teams; this complements the operational Housing Managers meetings that take place. Self-assessment against standards will be developed during Q2-3 2023/24, and an action plan to improve following pilot tenant satisfaction measures surveys will be developed during Q3. |
| Inherent Probability: 5 | Inherent Impact: 5 | Inherent Score: 25 |
| Residual Probability: 4 | Residual Impact: 5 | Residual Score: 20 |
| Previous Residual Probability: 4 | Previous Residual Impact: 5 | Previous Residual Score: 20 |

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| Risk: Planning - SPD masterplans | Risk Manager: Chris Carter | Last updated: 14 July 2023 |
| Description of risk: Failure to deliver aspirations of Local Plan as a consequence of failure to adopt SPD masterplans for strategic sites | Controls: Identification of sufficient resources and skills across the Planning Service to the preparation of masterplans. Early and meaningful engagement with stakeholders and members. Potential external support and expertise to supplement internal resources. | Risk Manager Commentary: Work on Masterplans, where they can be secured, is continuing positively. Work has progressed well with the masterplan for Birchall Garden Suburb (joint with East Herts Council). Community information sharing events were held in July and the masterplan will be presented to CPPP and Cabinet in August and September. Work is now commencing on the North West Hatfield masterplan. This will be lead by Gascoyne Estates, working with WHBC, HCC and stakeholders. The Planning Service has identified a need for specialist advice in some areas and this is currently being procured. These costs will be met by the applicant 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 |
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| Previous Residual Probability: 2 | <input type="radio"/> Previous Residual Impact: 2 | <input type="radio"/> Previous Residual Score: 4 |

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| Risk: | Risk Manager: | Last updated: |
| Planning - Submission of GIS data | Chris Carter | 14 July 2023 |
| Description of risk: | Controls: | Risk Manager Commentary: |
| Failure to properly submit GIS mapping data to Local Land & Property Gazetteer (LLPG) which results in the loss of gold standard and free access to Public Services Mapping Agreement (PSMA) | All corporate mapping tasks rest with a single officer (James Young) and so this is a point of risk. However, there are officers across the council who have been trained on GIS by James and this provides a degree of support for more regular and service specific tasks. The LLPG updates are outsourced to NHDC and so this does provide resilience in the absence of James Young. | This risk continues to be monitored and actively managed by the GIS Manager. James does provide refresher training to staff where possible, but this must be balanced with the other calls on his time, as a single corporate resource. |
| Inherent Probability: 3 | Inherent Impact: 3 | Inherent Score: 9 |
| Residual Probability: 2 | Residual Impact: 3 | Residual Score: 6 |
| Previous Residual Probability: 2 | ● Previous Residual Impact: 3 | ● Previous Residual Score: 6 |

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| Risk: Cost of Living Crisis - Impacts on residents, businesses and local economy | Risk Manager: Joyce Guthrie | Last updated: 20 July 2023 |
| 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. | Risk Manager Commentary: We have provided warm spaces and cool spaces to assist residents and worked with a number of local organisations to offer food and activities as part of this. The housing support fund has also provided much needed assistance to residents. All residents engaged in one of the programmes have been signposted to support services. |
| Inherent Probability: 4 | Inherent Impact: 3 | Inherent Score: 12 |
| Residual Probability: 2 | Residual Impact: 3 | Residual Score: 6 |
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| Previous Residual Probability: 2 | Previous Residual Impact: 3 | Previous Residual Score: 6 |

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| Risk: | | Risk Manager: | | Last updated: | |
| Leisure and Culture - Sustainability | | Joyce Guthrie | | 20 July 2023 | |
| Description of risk: | | Controls: | | Risk Manager Commentary: | |
| 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 | | Business plans being developed for all leisure and culture assets. Buildings being used in more efficient ways, and commercial opportunities are being explored. Plans are being developed to review the future provision of leisure and culture assets and how ageing buildings will be tackled. Energy efficiency measures have been implemented. Management of GLL contract. | | All programmes in facilities have been reviewed to ensure they meet the needs of residents. Changes have been made and new activities have been introduced to improve the business out turn. The leisure contract is being closely monitored and as a result has seen improvement in usage and reporting. Refurbishment works have also taken place to improve the look and feel of facilities and drive the business. Commercial activities such as the Escape room have been introduced to increase footfall and income. | |
| Inherent Probability: 4 | | Inherent Impact: 3 | | Inherent Score: 12 | |
| Residual Probability: 2 | | Residual Impact: 3 | | Residual Score: 6 | |
| Previous Residual Probability: 2 | | ● Previous Residual Impact: 3 | | ● Previous Residual Score: 6 | |

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| Risk: | Risk Manager: | Last updated: |
| Council Run Events | Joyce Guthrie | 20 July 2023 |
| Description of risk: | Controls: | Risk Manager Commentary: |
| 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 | 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. | All events are reported at the monthly engagement group, event management plans, risk assessments are all in place to ensure our events are delivered safely. All suppliers and contractors are required to provide adequate documentation and public liability insurance. All staff in the Community partnerships team have undertaken emergency first aid in preparation for the events programme. |
| Inherent Probability: 5 | Inherent Impact: 5 | Inherent Score: 25 |
| Residual Probability: 4 | Residual Impact: 3 | Residual Score: 12 |
| Previous Residual Probability: 4 | Previous Residual Impact: 3 | Previous Residual Score: 12 |

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| Risk: Planning for, and delivering, high quality affordable homes for everyone | Risk Manager: Chris Barnes | Last updated: 20 July 2023 | |
| Description of risk: Failure to co-ordinate the delivery of new homes of all tenures and types could lead to a lack of availability of homes, increased prices and increased homelessness. | Controls: Planning, Housing Development and Housing Needs co-located in Place directorate to ensure co-ordinated strategic approach to the provision of new homes. Emerging Local Plan has been progressed, and key allocations have been considered by DMC. New social homes being built by the Council. Well resourced Housing Options and Allocations teams with investment in temporary accommodation. | Risk Manager Commentary: A number of existing AHP projects are due for completion during 2023 calendar year. Cabinet decisions on future sites are being progressed during Q2 and Q3 of 2023/24, to ensure a pipeline of sites. 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. | |
| Inherent Probability: 5 | Inherent Impact: 5 | Inherent Score: 25 | |
| Residual Probability: 4 | Residual Impact: 5 | Residual Score: 20 | |
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| Previous Residual Probability: 4 | ● Previous Residual Impact: 5 | ● Previous Residual Score: 20 | ● |

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| <p>Risk:</p> <p>Strategic - Management of Council Owned Housing Property Assets</p> | <p>Risk Manager:</p> <p>Ka Ng</p> | <p>Last updated:</p> <p>19 July 2023</p> |
| <p>Description of risk:</p> <p>Failure to maintain and invest in Council Housing Assets adequately leads to Regulatory, Reputational and Financial consequences</p> | <p>Controls:</p> <p>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</p> | <p>Risk Manager Commentary:</p> <p>Capital investment plan has been approved. Novus has been appointed as an additional contractor to work on our planned maintenance programme. Due to the kitchen supplier pulling out of the local housing sector market, the team has started a new procurement exercise to source a new supplier.</p> <p>Building Safety Compliance performance is strong. Repairs performance continues to improve now that Morgan Sindall has introduced a number of changes in their procedure.</p> <p>A contractor (Savills) has been appointed to carry out stock condition survey on all the housing stock and the work is due to commence later this year. This will improve our data record and will enable us to plan our maintenance programme better going forward.</p> |
| <p>Inherent Probability: 5</p> | <p>Inherent Impact: 5</p> | <p>Inherent Score: 25</p> |
| <p>Residual Probability: 3</p> | <p>Residual Impact: 5</p> | <p>Residual Score: 15</p> |
| <p> </p> | <p> </p> | <p> </p> |
| <p>Previous Residual Probability: 3</p> | <p>Previous Residual Impact: 5</p> | <p>Previous Residual Score: 15</p> |

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| <p>Risk:</p> <p>Strategic - Management of Council Owned Non-Housing Property Assets</p> | <p>Risk Manager:</p> <p>Mark Croft</p> | <p>Last updated:</p> <p>19 July 2023</p> |
| <p>Description of risk:</p> <p>Failure to maintain and invest in Non-Housing property assets adequately leads to Regulatory, Reputational and Financial consequences</p> | <p>Controls:</p> <p>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</p> | <p>Risk Manager Commentary:</p> <p>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.</p> <p>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.</p> <p>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.</p> |
| <p>Inherent Probability: 5</p> | <p>Inherent Impact: 5</p> | <p>Inherent Score: 25</p> |
| <p>Residual Probability: 2</p> | <p>Residual Impact: 5</p> | <p>Residual Score: 10</p> |
| <p>Previous Residual Probability: 2</p> | <p>Previous Residual Impact: 5</p> | <p>Previous Residual Score: 10</p> |

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| Risk: | Risk Manager: | Last updated: |
| Strategic - Climate Change | Mark Croft | 19 July 2023 |
| Description of risk: | Controls: | Risk Manager Commentary: |
| Failure to develop and implement a Climate Change Strategy and Action Plan leads to Legal and Reputational consequences | Climate Change Strategy Action Plan in place Climate Change Member Board | The Climate Change Officer is now in post and is meeting with all internal teams to ensure the CAP and other schemes are all working towards our NetZero target. The Climate Officer Group will meet in August and will act as the driving force for delivering the council's overall strategy. |
| Inherent Probability: 4 | Inherent Impact: 4 | Inherent Score: 16 |
| Residual Probability: 3 | Residual Impact: 4 | Residual Score: 12 |
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| Previous Residual Probability: 3 | Previous Residual Impact: 4 | Previous Residual Score: 12 |

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| Risk: Corporate Health and Safety | Risk Manager: Sue McDaid | Last updated: 09 July 2023 |
| 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: New Health and Safety & Resilience Manager started on 14 June. Programme of work has been planned for Q2-4 to review the health and safety policies and management system to give assurance. |
| Inherent Probability: 5 | Inherent Impact: 5 | Inherent Score: 25 |
| Residual Probability: 2 | Residual Impact: 5 | Residual Score: 10 |
| | | |
| Previous Residual Probability: 2 | ● Previous Residual Impact: 5 | ● Previous Residual Score: 10 |

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| Risk: Resilience and Business Continuity | Risk Manager: Sue McDaid | Last updated: 09 July 2023 |
| 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: New Health and Safety & Resilience Manager started 14 June 2023. Emergency Plan is currently being reviewed and updated. Training and exercising plan being developed. |
| Inherent Probability: 4 | Inherent Impact: 4 | Inherent Score: 16 |
| Residual Probability: 3 | Residual Impact: 3 | Residual Score: 9 |
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| Previous Residual Probability: 3 | Previous Residual Impact: 3 | Previous Residual Score: 9 |