

## Appendix B – Top Operational Risks October 2017

**Red** - High Risk (16 & Over)  
**Amber** - Medium Risk (11 - 15)  
**Green** - Low Risk (10 & Under)

Service Team	Description of Operational Risk	Owner	Controls	Mitigation Plans	Current Score	Previous Score Half-Year 1	Previous Score Half-Year 2
HC 12	<p><b>Hackney Carriages - Occupational stress</b>  Occupational stress arising from hackney carriage work. Consequences: Sickness absence, reduction in service delivery, potential for claim against the council.</p>	James Vaughan - Hackney Carriage Officer Joanna Harding – Head of Public Health and Protection	<p>Hackney Carriages - Complaints and Investigation Policy  Hackney Carriages - family support  Hackney Carriages - Line management support  Hackney Carriages - support network</p>	<p>Hackney Carriages - consideration of office space  Hackney Carriages - Revised customer service and complaints strategy  Hackney Carriages Recording of telephone calls</p>	20	20	20
<b>Any Comments</b>	<p>A new staff member has now been recruited and the standard procedures are being revised.  The risk rating has been amended and has been reduced to a moderate score.  The new score has been generated using the Clearview system which has a different risk scoring regime.</p>						
HC 7	<p><b>Hackney Carriages - Verbal abuse and aggression towards hackney carriage staff</b></p>	James Vaughan - Hackney Carriage Officer Joanna Harding – Head of Public Health and Protection	<p>Hackney Carriages - CCTV  Hackney Carriages - Personal Protective Equipment  Hackney Carriages - Potentially Violent Customer Database</p>	<p>Hackney Carriages - Incident logs  Hackney Carriages - Regular checks to ensure CCTV is working</p>	15	15	15

Service Team	Description of Operational Risk	Owner	Controls	Mitigation Plans	Current Score	Previous Score Half-Year 1	Previous Score Half-Year 2
			Hackney Carriages - video badges	Hackney Carriages Recording of telephone calls			
<b>Any Comments</b>	No comments were made						
HC 9	<b>Hackney Carriages - Deliberate damage to hackney carriage staff personal property</b> For example cars, homes, animals	James Vaughan - Hackney Carriage Officer Joanna Harding – Head of Public Health and Protection	Hackney Carriages - cars registered to the office Hackney Carriages - CCTV at home address Hackney Carriages - Training		16	16	16
<b>Any Comments</b>	CCTV is now installed and operating correctly.						
PH 11	<b>Public Health - Failure to recruit and maintain competent staff</b> Failure to recruit and maintain competent staff leading to inadequate numbers of competent staff being available at given time. Consequence(s): Failure to provide acceptable levels EH service, increased pressure on remaining staff, potential government intervention using default powers, inability to deal with key cases leading to long term latent environmental damage.	Joanna Harding – Head of Public Health and Protection	Environmental Health - Robust Interview and Selection Techniques		15	15	15
<b>Any</b>	A recent recruitment process has been successful.						

Service Team	Description of Operational Risk	Owner	Controls	Mitigation Plans	Current Score	Previous Score Half-Year 1	Previous Score Half-Year 2
<b>Comments</b>							
PH 14	<p><b>Public Health - Inability to Conduct Investigations, Serve and Enforce Legal Notices or Remedy Dangerous Situations/WID</b></p> <p>Inability to conduct necessary statutory investigations and inspections including limited use of equipment, access to reference works and the timely release of information. Inability to serve and enforce statutory notices leading to ongoing risk situation and public health, safety or environmental hazard. Potential default of a statutory duty. Ongoing dangerous situation persisting risk to public. Consequence(s): Default of statutory duty or code of practice, failure to inform, warn or protect the public, ongoing risk situation where a public health, safety or environmental hazard is not controlled,</p>	Joanna Harding – Head of Public Health and Protection	<p>Appropriate Work Allocation Among Staff in Post Budget</p> <p>Car Loan Scheme</p> <p>Computerised Notice Generation</p> <p>Contractual Arrangements for Staff to Provide a Car for Work</p> <p>Digital evidence copying facility</p> <p>Multiple Authorisations for Some Notices</p> <p>Sound Deputisation</p> <p>Arrangements for Head of Service</p> <p>Training</p>		15	15	15
<b>Any Comments</b>	A serious workplace investigation is currently underway and, as a result of this, the team has reprioritised some existing work.						
PH 24	<p><b>Public Health - Out of hours noise monitoring for breach of notice</b></p> <p>This risk relates to a situation where the council has fulfilled its statutory duty to serve a noise abatement notice however the monitoring to see if the notice is complied with needs to take place on nights where there is no out of</p>	Joanna Harding – Head of Public Health and Protection			20	20	20

Service Team	Description of Operational Risk	Owner	Controls	Mitigation Plans	Current Score	Previous Score Half-Year 1	Previous Score Half-Year 2
	hours service in place. The main consequences of this are protracting a legal case, damage to reputation, negative press coverage, poor customer service and continuing exposure to nuisance for members of the public. There is a smaller risk of ombudsman challenge						
<b>Any Comments</b>	This has now been reassessed, as the likelihood of occurrence has been reduced.						
PH 29	<b>Public Health - failure to deliver an 'Operation Reprise' shift</b> Inability to carry out an Operation Reprise shift due to lack of resources, either from the Environmental Health Team of Herts Police. Consequences: reputational damage due to failure to act in response to complaints.	Joanna Harding – Head of Public Health and Protection	Operation Reprise - MoU with Herts Police Operation Reprise - Back up arrangements in place Operation Reprise: Rota drawn up well in advance and confirmed	Use of street warden team	15	15	15
<b>Any Comments</b>	The rota is now drawn up until the end of the year.						

Service Team	Description of Operational Risk	Risk Owner	Controls	Mitigation Plan	Current Score	Previous Score Half-Year	Previous Score Half-Year
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BC 1	<b>Provision of Building Control Service by Herts Building Control Ltd</b> Failure of company to provide building control service to the Council, including statutory functions and 24/7 service to deal with dangerous structures	Colin Haigh - Head of Planning			15	15	
<b>Any Comments</b>	Officers are still considering merits of transferring building control functions to Three Rivers DC. Further project information is awaited.						
BC 2	<b>Inability to make building control decisions in emergency situations</b> Constitution and Scheme of Delegation authorises the Chief Executive, Director and Head of Planning to sign-off building control decisions in emergency situations. The transfer of staff to Herts Building Control Ltd means that forms cannot currently be signed-off by building control officers as they are no longer council employees for the purposes of the Constitution and Scheme of Delegation. This is a particular risk in out-of-office hours. The mitigation arrangements are that building control officers will offer on-the-ground advice to emergency services and arrange for contractors to make buildings safe or be fenced off where necessary.	Colin Haigh - Head of Planning			15	15	
<b>Any Comments</b>	Officers still considering merits of transferring building control functions to Three Rivers. Further project information is awaited						
PL 6	<b>Inadequate professional resource</b> Inability to provide acceptable level of service due to insufficient staff or staff with insufficient knowledge and	Colin Haigh - Head of Planning Sue Tiley - Planning Policy & Implementation Manager Mark Harvey -	Planning - Recruitment Policy		16	16	16

	experience. Consequence(s): Poor provision of service to the customer. Inability to adequately provide service. This may lead to greater instances of complaint. Potential for inability to meet government targets with regard to service delivery. Reputational and potential financial risk.	Manager Building Control Manager Lisa Hughes - Development Management Service Manager					
<b>Any Comments</b>	The Planning Service continues to carry a number of vacancies where previous recruitments have been unsuccessful.						
SH 3	<b>Strategic Housing - Non Delivery on section 106 sites.</b> Risk - Private developers no longer building on s106 sites. Consq - Failure to deliver the affordable Housing programme and meet the coporate promises.	Sian Chambers - Head of Housing & Community Services Jeremy Morton - Principal Housing Development Manager	Strategic Housing - Planning Toolkit viability appraisals		16	16	16
<b>Any Comments</b>	No comments were made						

Service Team	Description of Operational Risk	Owner	Controls	Mitigation Plans	Current Score	Previous Score Half-Year 1	Previous Score Half-Year 2
	<p><b>Independent Living - Ending of SP contracts for provision sheltered housing and Lifeline service from 1 April 2015 (Flexi-care from 1 April 2017)</b></p> <p>The service will need to be funded entirely by the HRA/the service can no longer be provided. Consequences: Residents unable to request assistance or receive support. Sheltered housing services would cease to be viable.</p>	Jan Woods – Head of Independent Living	<p>Service Charge being implemented 01.04.2015. Discussions with external providers have secured financial gain through the provision of services. Exploring potential for further flexi-care units.</p> <p>Strategic review of the sheltered housing service, in progress, in partnership with the council. Exploring charges for contract with other landlords who receive lifeline services and for use of communal facilities.</p>	<p>Implement service charge, subject to consultation and council approval. Agree terms of an SLA with Riversmead, Thrive Homes and B3 Livingouncil for provision of services. Negotiate new contracts with other landlords for provision of lifeline service. Implement new charging policies for communal areas. Continue strategic review of sheltered housing service</p>	15	15	
<b>Any Comments</b>	Review of the current charges are being done as part of the budgeting process, with a longer term consideration that the service should be cost neutral to the HRA / council at some point through reasonable and stepped increases.						
	<b>Housing Management - Failure to carry out annual gas safety</b>	Kathy Robertson –	Servicing carried out every 10 months.	Formal review of procedure and	15	15	

	<p><b>checks through non access to our tenanted properties.</b>  Not meeting statutory requirements and failure to ensure appliances are maintained in a safe condition.  Consequences: At extreme level faulty gas appliances could result in death and or legal proceedings against senior managers of the [Housing Service/Council].  Reputational damage to the organisation.</p>	Specialist Housing Manager	<p>Robust procedures - regular monitoring.  Weekly operational management and monitoring.  Monthly reporting to OMT/SMT.  Reports reviewed by Services Committee and Board of Management</p>	<p>practice annually.  Promotion through website/housing matters etc.  Training / awareness sessions .</p>			
<b>Any Comments</b>	Performance is currently at 100% and this has been achieved week on week for a number of months recently.						
	<p><b>Housing Management - Fire damage to one of the [Council's] properties</b>  Vulnerable households in social housing are at particular risk of harm from fire. Within Hertfordshire, Welwyn area is a high risk area due to fire related incidents according to the Fire Service. Within the Welwyn area, social tenants are even more exposed to risk.  Consequences: A serious fire incident could result in injury or death of the tenant and/or members of their household. Minor fire damage could mean household members require emergency rehousing and void repairs for fire damage may not be fully covered on</p>	David Baker – Head of Housing Management	<p>Partnership working with Fire Service to jointly review and develop strategies to effectively promote fire safety in the home.  Protocol with Fire Service.  Training / good practice updates by Herts Fire Service for staff.  Annual gas servicing checks.  Hoarding prevention and joined up work with other partners.</p>	<p>Working with the Fire Service to refer cases for Fire Safety audit/home visit.  Consider joint visit with Fire Service at the time of the new tenancy visit.  Comprehensive survey (Tenant Audits) to be undertaken.  Fire risk assessments carried out as part of estate management H&amp;S visits.  Hoarding procedures being reviewed in</p>	15	15	



	insurance due to excess provisions.			liaison with fire service.			
<b>Any Comments</b>	No comments were made.						
	<p><b>Property Services – Health and Safety</b> That failures in management controls, working practices, procedures or other foreseeable risk results in a serious incident that causes harm to Human life. Consequences: Occurrence of preventable incidents that result in harm to human life. Risk of prosecution corporately and personally. Reputational risk to the Trust &amp; the Council.</p>	Head of Asset Management	<p>Staff H&amp;S Inductions. Contract management practice and procedures. Compliance with the annual health &amp; safety action plan. Lone working system for staff.</p> <p>PPE: Ensure that staff have been issued, possess and use PPE appropriate to their role and activities. Contractor H&amp;S Accreditation (Contract Managers Assuring contractor membership of CHAS or similar).</p> <p>Ongoing analysis of department training &amp; development needs.</p>	Introduction of revised safety management system.	15	15	
<b>Any Comments</b>	No comments were made.						
	<b>Property Services – servicing,</b>	Head of Asset	Gas Servicing &	Implement Asbestos	15	15	

	<p><b>planned and preventative maintenance.</b> That the regimes in place for the management of key risks (Including Control of Asbestos, Gas Safety, Fire Safety, Fire Risk, Lift Safety, Electrical Safety, Water Safety) fail to deliver effective controls.</p> <p>Consequences: Heightened risk of a serious incident, occurrence that is harmful to human health, injury or fatality(s). Significant Legal Risk to the Trust and its Officers.</p> <p>Reputational Risk to the Trust &amp; the Council. Financial Risk to the organisation resulting from responsive restorative action or legal expenses</p>	Management	<p>Maintenance: Ensure that adequate contractual arrangements are in place.</p> <p>Fire Detection &amp; Fighting Equipment: Ensuring that adequate contractual arrangements are in place for servicing &amp; Maintenance.</p> <p>Passenger and Stair lifts (Including hoists and other related equipment): Ensuring that adequate contractual arrangements are in place for Servicing &amp; Maintenance &amp; third-party monitoring (Allianz).</p> <p>Water Safety: Ensuring that adequate contractual arrangements are in place for risk assessment, testing and monitoring of stored and circulating water systems in accordance with relevant ACOPs. Audited annually.</p> <p>Electrical Safety:</p>	<p>Management Action Plan.</p> <p>Carry out 3rd party audit on Gas Contract works.</p> <p>Review and update related policies and procedures as part of SMS.</p> <p>Development of contract specific risk registers for key risk based contract areas as part of SMS.</p> <p>Carry out Fire Risk Assessments on communal areas of blocks.</p>			
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			<p>Ensure that electrical testing &amp; upgrade is undertaken as part of the void process or other planned works packages. Programme of periodic testing and upgrades.</p> <p>Asbestos Management: Ensuring that adequate contractual arrangements are in place for asbestos surveying, removal, management and record keeping.</p> <p>Thorough Testing: Ensuring that a programme of Thorough Testing for Lifts, Calorifiers, Commercial Plant and other relevant systems is in place.</p> <p>Ensure that Asbestos surveys are undertaken &amp; acted upon for any &amp; all intrusive or destructive works and that all works are being undertaken by a suitably qualified and competent contractor.</p>			
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			<p>Ensure that all relevant premises hold a current, actively reviewed and managed Fire Risk Assessment.</p> <p>Ensure that all relevant contracts are being actively reviewed and managed to assure the Trust that a good level of service is being delivered. (Performance monitoring, Progress meetings, risk management). Ensure that regular reviews of commitment and expenditure against budget are conducted to assure prudent &amp; accurate financial management.</p>				
<b>Any Comments</b>	No comments were made.						
	<p><b>Property Services – ICT and Telecommunications.</b> That the Orchard Housing Management System, Telecommunications systems or other technologies fail to adequately support the delivery of the Property</p>	Head of Asset Management	<p>Regular discussion of IT related matters at [Management Team] SMT level.</p> <p>Creation of a Property Services IT group with</p>	<p>Updating and reporting of IT Projects and Support requirements document.</p> <p>Regular meeting of Property Services IT</p>	15	15	

	<p>Services function. Consequences: Inefficiencies caused by over utilisation of manual processes that could be system led or driven. Difficulty for customers in accessing the repairs or other property services functions due to telephony or related issues. Difficulty for customers and colleagues in obtaining &amp; recording accurate information. Increased management costs resulting from inefficient manual processes.</p>		<p>reporting &amp; improvement meetings.</p> <p>Feed into the Trust IT strategy to highlight current and potential future requirements. Feed into and support the preparation and testing of Business Continuity Planning in respect of the failure of IT Infrastructure, Telephony or key software (including Orchard, Lifespan and Agresso).</p>	<p>group with reporting &amp; improvement meetings.</p> <p>Review Business Continuity Planning in respect of the failure of IT Infrastructure, Telephony or key software (including Orchard).</p>			
<b>Any Comments</b>	No comments were made.						
	<p><b>Asset Management – Budget Management.</b></p> <p>That failures to the budget setting or management process result in underbidding or overspending of available funds. Consequences: Principally a financial and reputational risk. Dependent upon severity, this could put current and future spending plans at risk as well as undermining the basis of both the Council &amp; Trust Business Plan. Additionally, poor budget management could generate various regulatory compliance issues which may threaten the viability of the</p>	<p>Head of Asset Management</p>	<p>Full participation in the annual budget setting process utilising investment planning and modelling of requirements as the basis for bids.</p> <p>Regular engagement at senior and contract management level with the Trust Finance team to assure sound budget management and monitoring is in place.</p> <p>Preparation and review</p>	<p>Regular Budget Meeting Reviews. (L)</p> <p>Re-procurement of Contractors - with clear financial management models.</p>	15	15	

	organisation.		of the Five Year Forward investment plan to predict future requirements. Monitoring of the Gas Contract against contract requirements.  Monitoring of the Partnering Contract (Mears) against contract requirements.				
No comments were made.							

Service Team	Description of Operational Risk	Owner	Controls	Mitigation Plans	Current Score	Previous Score Half-Year 1	Previous Score Half-Year 2
EST 10	<b>Estates - Litigation and Professional Negligence</b> Failure to comply with legislation and regulations. Consequence(s) could include legal action against the Council and audit. Could also have issues for the officers involved as negligence could result in a misconduct disciplinary.	Mike Storey - Corporate Property Manager	Estates - Ensure compliance with RICS Red Book. Estates - Staff training.	Estates - Debt Recovery Procedure	15		9
<b>Any Comments</b>	Many of the Estates functions are proscribed by statute. Failure to comply with the relevant statute(s) can render processes invalid, however Corporate Property team is working closely with legal to reduce this risk.						