

Appendix B: Top Operational Risks

Red - High Risk (16 & Over)

Amber - Medium Risk (11 - 15)

Green - Low Risk (10 & Under)

Executive Director – Ka Ng

| Service Team | Description of Operational Risk | Owner | Controls | Mitigation Plans | Current Score | Previous Score Half-Year 1 | Previous Score Half-Year 2 |
|---------------------|---|---|---|---------------------|---------------|----------------------------|----------------------------|
| ES 11 | <p>Environment Services - Streetscene major service changes Alteration to the expected service delivery: * change of refuse day change in materials collected * reduction in grass cutting frequencies * Reduction in cleansing schedules Consequences: High level of calls, emails and letters. Contact Centre is overwhelmed by contacts. Press prints adverse comments about the Council. The Council is currently reviewing the garden waste collection service and consulting on possible changes. This means the likelihood is a fact for the 2nd qtr of 2016-17.</p> | Durk Reyner - Head of Environment Services | Environmental Services - Contact Centre Environmental Services - Promotion & Publicity | | 15 | 6 | 12 |
| Any Comments | This risk has been raised due to consultation on the garden waste collection service which goes live in April 2017. | | | | | | |
| FS 19 | Finance - Loss to the Council as a result of fraudulent activity via | Jane Cika - Finance Manager | Finance - Ensure financial procedures are | Finance - financial | 15 | 15 | |

| | | | | | | | |
|----------------------------|--|---|--|---|-----------|-----------|--|
| | <p>internal or external sources Monetary loss as a result of fraudulent activity through external sources via electronic payments, computer hacking, attempts to deceive staff or by staff themselves resulting in loss of council funds and lack of confidence in financial systems, poor audit opinion and reputational damage.</p> | <p>Tim Neill - Head of Resources Jane Yeo - Finance Systems & Controls Manager</p> | <p>being followed Finance - Financial Procedures Finance - knowledge sharing of fraudulent attempts by outside bodies Finance - Quarterly independent electronic audit, testing robustness & PCI compliance. Finance - secure IT systems Finance - Separation of duties</p> | <p>procedures to ensure independent checks to changes and new bank details requests. Finance - intelligence sharing of fraudulent attempts with SIAS, SAFS and other Herts groups.</p> | | | |
| <p>Any Comments</p> | <p>Staff are informed to be aware for potential fraudulent activity. The internal audit of key financial systems has been completed with overall substantial assurance.</p> <p>Adequate segregation of duties is being maintained during the significant change in finance personnel.</p> <p>There have not been any known fraud during the last quarter.</p> | | | | | | |
| <p>FS 20</p> | <p>Finance - Restructure process results in inadequate financial services to the Housing Trust and Council Failure to provide adequate financial services to the Housing Trust and the Council during the period of change and the merging of services leading to lack of financial control and poor decision making resulting inability to achieve Council and Housing Trust objectives over the medium to longer term.</p> | <p>Jane Cika - Finance Manager Tim Neill - Head of Resources Kevin Hurd - Accounting Services Manager</p> | <p>Finance - attendance at corporate boards and working groups to ascertain requirements of Finance Finance - clear planning for handover of knowledge. Finance - Ensure agreement with Housing Trust allows council to obtain information required for its accounting, reporting</p> | <p>Finance - clear planning for handover of knowledge Finance - Identification of project lead for restructure and maintenance of a project risk log Finance - Involvement of Human Resources in the planning and</p> | <p>15</p> | <p>15</p> | |

| | | | | | | | |
|--|--|--|---|---|--|--|--|
| | | | <p>and statutory obligations Finance - Ensure that Finance are represented on the working group and that financial due diligence work is carried out and reviewed. Finance - establish ongoing systems and controls to support the other mentioned risk controls. Finance - Financial protocols between housing trust finance team and council finance team Finance - Identification of project lead for restructure and maintenance of a project risk log. Finance - ongoing team meetings, supervision and two way communication Finance - On-going training of finance staff Finance - recruitment process to appoint staff competent in their roles Finance - Regular communication and engagement of all staff involved Finance - staff</p> | <p>completion of the project. Finance - Regular communication and engagement of all staff involved through the restructure process. Finance - Use of external resources as required to fill any gaps. Financial Services - Ensure that procedures are kept available, up to date and applied. Financial Services - Staff training</p> | | | |
|--|--|--|---|---|--|--|--|

| | | | | | | | |
|---------------------|---|---------------------|--------------------------------|--|----|---|---|
| | | | appraisals | | | | |
| Any Comments | <p>The restructured finance team is now in place with the last couple of vacancies due to be filled in early February. Once this has happened workloads will be balanced across the team so progress in key areas can be made.</p> <p>There has been a large turnover of staff in the team, with over a third of the team new starters within the last 5 months.</p> <p>The changes have reduced resilience in the short term and been part of the reason for a dip in performance in some areas – such as the payment of creditors within 30 days. However, services have largely been maintained and key outcomes completed on time.</p> <p>The focus is using a systematic approach to making improvements and prioritising workloads.</p> | | | | | | |
| ICT 2 | ICT - Fire Risk in Server Room Increased number of servers in server room add potential risk of due to overheating. Consequences - Disruption to all services | - IT Client Manager | ICT - Environmental monitoring | | 15 | 8 | 8 |
| Any Comments | <p>The score has been increased while a fire management solution is not in place in the server room.</p> <p>Quotes for alternative solutions are being sought.</p> | | | | | | |

Executive Director – Nick Long

| Service Team | Description of Operational Risk | Owner | Controls | Mitigation Plans | Current Score | Previous Score Half-Year 1 | Previous Score Half-Year 2 |
|---------------------|---|---|---|--|----------------------|-----------------------------------|-----------------------------------|
| HC 12 | Hackney Carriages - Occupational stress Occupational stress arising from hackney carriage work. Consequences: Sickness absence, reduction in service delivery, potential for claim against the council. | James Vaughan - Hackney Carriage Officer Joanna Harding – Head of Public Health and Protection | Hackney Carriages - Complaints and Investigation Policy Hackney Carriages - family support Hackney Carriages - Line management support Hackney Carriages - support network | Hackney Carriages - consideration of office space Hackney Carriages - Revised customer service and complaints strategy Hackney Carriages Recording of telephone calls | 20 | 20 | 20 |
| Any Comments | There is no update to this risk. | | | | | | |
| HC 7 | Hackney Carriages - Verbal abuse and aggression towards hackney carriage staff | James Vaughan - Hackney Carriage Officer | Hackney Carriages - CCTV Hackney Carriages - Personal Protective Equipment Hackney Carriages - Potentially Violent Customer Database Hackney Carriages - video badges | Hackney Carriages - Incident logs Hackney Carriages - Regular checks to ensure CCTV is working Hackney Carriages Recording of telephone calls | 15 | 15 | 15 |
| Any | There is no update to this risk. | | | | | | |

| | | | | | | | |
|---------------------|---|---|---|--|----|----|----|
| Comments | | | | | | | |
| HC 9 | Hackney Carriages - Deliberate damage to hackney carriage staff personal property 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 |
| Any Comments | There is no update to this risk. | | | | | | |
| PH 11 | Public Health - Failure to recruit and maintain competent staff 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 |
| Any Comments | There is no update to this risk. | | | | | | |
| PH 14 | Public Health - Inability to Conduct Investigations, Serve and Enforce Legal Notices or Remedy Dangerous Situations/WID 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. | Joanna Harding – Head of Public Health and Protection | Appropriate Work Allocation Among Staff in Post Budget Car Loan Scheme Computerised Notice Generation Contractual Arrangements for Staff to Provide a Car for Work | | 15 | 15 | 15 |

| | | | | | | | | |
|---------------------|---|---|--|---------------------------|--|----|----|----|
| | 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, | | Digital evidence copying facility Multiple Authorisations for Some Notices Sound Deputisation Arrangements for Head of Service Training | | | | | |
| Any Comments | There is no update to this risk. | | | | | | | |
| PH 24 | Public Health - Out of hours noise monitoring for breach of notice 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 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 | Joanna Harding – Head of Public Health and Protection | | | | 20 | 20 | 20 |
| Any Comments | There is no update to this risk. | | | | | | | |
| PH 29 | Public Health - failure to deliver an 'Operation Reprise' shift 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 | Use of street warden team | | 15 | 15 | 15 |

| | | | | | | | |
|---------------------|--|--|---|--|----|----|----|
| | | | Operation Reprise: Rota drawn up well in advance and confirmed | | | | |
| Any Comments | There is no update to this risk. | | | | | | |
| PL 10 | Insufficient finances to implement planning system and meet strategic priorities Insufficient resources to implement the planning policy, development management and enforcement system and meet strategic priorities. Consequence(s): Inability to progress Local Plan, fund the examination of the Local Plan, determine planning applications, take enforcement action, employ additional staff, monitor performance, etc. | Colin Haigh - Head of Planning Sue Tiley - Planning Policy & Implementation Manager | Planning - Involvement in the Budget Setting Process | | 16 | 9 | 9 |
| Any Comments | Linked to the costs associated with the Local Plan examination, which cannot be confirmed at this time. This will become clearer as 2017 progresses. | | | | | | |
| PL 6 | Inadequate professional resource Inability to provide acceptable level of service due to insufficient staff or staff with insufficient knowledge and 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. | Colin Haigh - Head of Planning Sue Tiley - Planning Policy & Implementation Manager Lisa Hughes - Development Management Service Manager | Planning - Recruitment Policy | | 16 | 16 | 16 |
| Any Comments | There is no update to this risk. | | | | | | |

Executive Director – Simone Russell

| Service | Description of Operational Risk | Risk Owner | Controls | Mitigation | Current | Previous | Previous |
|---------|---------------------------------|------------|----------|------------|---------|----------|----------|
|---------|---------------------------------|------------|----------|------------|---------|----------|----------|

| Team | | | | Plan | Score | Score Half-Year 1 | Score Half-Year 2 |
|---------------------|--|---|---|------|-------|-------------------|-------------------|
| SH 3 | Strategic Housing - Non Delivery on section 106 sites. Risk - Private developers no longer building on s106 sites. Consequences - Failure to deliver the affordable Housing programme and meet the corporate promises. | Sian Chambers - Head of Housing & Community Services Jeremy Morton - Principal Housing Development Manager | Strategic Housing - Planning Toolkit viability appraisals | | 16 | 16 | 16 |
| Any Comments | There is no update to this risk. | | | | | | |