

Appendix B – Top Operational Risks

Strategy and Development

Service Team	Description of Operational Risk	Risk Owner	Controls	Mitigation Plan	Current Score	Previous Score Half-Year 1	Previous Score Half-Year 2
PL 6	<p>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.</p>	Colin Haigh - Head of Planning Sue Tiley - Planning Policy & Implementation Manager Mark Harvey - Manager Building Control Lisa Hughes - Development Management Service Manager	Planning - Recruitment Policy		16 ↔	16 ↑	12
Any Comments	No comment was made.						
PL 8	<p>IT Failure or Inappropriate/Inadequate IT Systems Loss of or corruption of monitoring information, consultation data bases, records and files. IT systems which are not capable of performing to the necessary complexity and scope Consequence: Inability to provide acceptable level of service according to both customer expectation and government requirements. This may lead to financial and reputational penalty. Inability to complete planning policy formulation or monitoring processes, delay and challenge with regard to inability to complete statutory duties with respect to planning policy and monitoring matters.</p>	Colin Haigh - Head of Planning Sue Tiley - Planning Policy & Implementation Manager Lisa Hughes - Development Management Service Manager Mark Harvey - Manager Building Control Manager	ICT - Backup and Recovery Arrangements ICT - Disaster Recovery Plan ICT - Firewall ICT - Virus Detection		16 ↔	16 ↔	16

Any Comments	It was agreed that this risk can be reduced to Amber following the successful implementation of a new Planning IT system in 2015.						
SH 3	Strategic Housing - Non Delivery on section 106 sites. 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 ↑	12 ↔	12
Any Comments	Awaiting further guidance on how the government proposals to alter S106 sites will impact on delivery of affordable rented homes.						

Governance

Service Team	Description of Operational Risk	Owner	Controls	Mitigation Plans	Current Score	Previous Score Half-Year 1	Previous Score Half-Year 2
HC 10	<p>Hackney Carriages - Accusations of corruption against hackney carriage staff False allegations of corruption made against hackney carriage staff.</p>	<p>Nick Long - Head of Public Health & Protection James Vaughan - Hackney Carriage Officer</p>	<p>Hackney Carriages - Complaints and Investigation Policy Hackney Carriages - video badges</p>	<p>Hackney Carriages - Revised customer service and complaints strategy Hackney Carriages Recording of telephone calls</p>	16		
Any Comments	<p>Following observations from Members, a meeting has taken place with the hackney carriage team and the risk and resilience officer in order to better understand and record the risks arising from the work of this team. Therefore the previous general risk has been withdrawn and replaced with several more specific risks.</p>						
HC 12	<p>Hackney Carriages - Occupational stress Occupational stress arising from hackney carriage work. Consequences: Sickness absence, reduction in service delivery, potential for claim against the council.</p>	<p>James Vaughan - Hackney Carriage Officer Nick Long - Head of Public Health & Protection</p>	<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		

Any Comments	<p>Following observations from Members, a meeting has taken place with the hackney carriage team and the risk and resilience officer in order to better understand and record the risks arising from the work of this team.</p> <p>Therefore the previous general risk has been withdrawn and replaced with several more specific risks.</p>						
HC 7	<p>Hackney Carriages - Verbal abuse and aggression towards hackney carriage staff</p>	<p>James Vaughan - Hackney Carriage Officer</p>	<p>Hackney Carriages - CCTV Hackney Carriages - Personal Protective Equipment Hackney Carriages - Potentially Violent Customer Database Hackney Carriages - video badges</p>	<p>Hackney Carriages - Incident logs Hackney Carriages - Regular checks to ensure CCTV is working Hackney Carriages Recording of telephone calls</p>	15		
Any Comments	<p>Following observations from Members, a meeting has taken place with the hackney carriage team and the risk and resilience officer in order to better understand and record the risks arising from the work of this team.</p> <p>Therefore the previous general risk has been withdrawn and replaced with several more specific risks.</p>						
HC 9	<p>Hackney Carriages - Deliberate damage to hackney carriage staff personal property For example cars, homes, animals</p>	<p>James Vaughan - Hackney Carriage Officer Nick Long - Head of Public Health & Protection</p>	<p>Hackney Carriages - cars registered to the office Hackney Carriages - CCTV at home address Hackney Carriages - Training</p>		16		
Any Comments	<p>Following observations from Members, a meeting has taken place with the hackney carriage team and the risk and resilience officer in order to better understand and record the risks arising from the work of this team.</p> <p>Therefore the previous general risk has been withdrawn and replaced with several more specific risks.</p>						
Public Health	<p>Food Safety Competency Changes to the Food Law Code of Practice</p>	<p>Nick Long - Head of Public Health</p>			15		

	require two staff to receive additional training to meet new baseline standards	& Protection						
Any Comments	Following clarification from the Food Standards Agency we need to ensure that all authorised food officers meet the prescribed competency framework in the new food law code of practice.							
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.	Nick Long - Head of Public Health & Protection	Environmental Health - Robust Interview and Selection Techniques			15 ↔	15 ↔	15
Any Comments	There have been recruitment successes this quarter so this risk will be looked at in more detail to see if it can be reduced.							
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. 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,	Nick Long - Head of Public Health & 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 Digital evidence copying facility Multiple Authorisations for Some Notices Sound Deputisation Arrangements for			15 ↔	15 ↔	15

			Head of Service Training					
Any Comments	This risk continues to remain based on current staffing levels, commitments, and operational experience.							
PH 24	<p>Public Health - Out of hours noise monitoring for breach of notice</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 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</p>	Nick Long - Head of Public Health & Protection				20 ↔	20 ↔	20
Any Comments	This risk continues to remain high, based on current staffing levels, commitments, and operational experience.							
PH 29	<p>Public Health - failure to deliver an 'Operation Reprise' shift</p> <p>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.</p>	Nick Long - Head of Public Health & Protection	<p>Operation Reprise - MoU with Herts Police</p> <p>Operation Reprise - Back up arrangements in place</p> <p>Operation Reprise: Rota drawn up well in advance and confirmed</p>	Use of street warden team		15 ↔	15 ↔	15
Any Comments	This risk remains, but it has only been necessary to cancel a couple of shifts, with good reason.							

Finance and Operations

Service Team	Description of Operational Risk	Owner	Controls	Mitigation Plans	Current Score	Previous Score Half-Year 1	Previous Score Half-Year 2
	<p>Server Room Move The server room needs to move from BRE to Campus East. This involves installing 3 new circuits; BT, Redcentric and Vodafone. There is a risk associated with not having these installed in time for the 23 December BRE lease cut-off date. There are separate risks associated with this: BT - Loss of resilience. Network connectivity, internet and telephone lines. Redcentric - Loss of all internet services. This includes our website and internal and external emails. Vodafone - This is our PSN link which impacts on vulnerable customers as well as our electoral registration service & Tell Us once service.</p>	Farhad Cantel - Client Support Services Manager	PSN Link Redcentric Internet pipe		15 ↔	15	
Any Comments	Server Room successfully moved in November 2015.						
PRS 9	<p>Premises - Wrong Advice/Decision Premises Management staff provide wrong advice or make wrong decision, either through error or negligence. Consequence(s): Maintenance issue may not get resolved. May result in a dangerous situation and lead to health and safety issues. May also lead to extra costs in rectification and a Professional Indemnity Insurance claim. May cause loss or disruption to services.</p>	Mike Storey - Corporate Property Manager	Premises - Familiarity with Current Regulations Premises - Staff Training Premises - Training/Professional Qualifications		15 ↓	12 ↑	8
Any Comments	No comment was made.						