

# OPERATIONAL RISK REGISTER

June 2014



## Housing Landlord - Elliott Brooks

### HL\_F01 Failure to closely monitor operational and financial factors affecting the delivery of the HRA Business Plan

<b>Category:</b> Financial	<b>Corporate Priority:</b>	<b>Risk Owner:</b> Elliott Brooks	<b>Portfolio Holder:</b> Cllr Margaret Griffiths	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	2 Medium	2 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Delivery of the Business Plan would not be achieved if income and financial control is not closely managed		Quarterly and end of year review of Business Plan in partnership with Finance		HRA Business Plan	
<b>Sign Off and Comments</b>					
Sign Off Complete					
Current Annual Review of Business Plan deferred until September Cabinet due to further work needed on recently announced govt rent guidance.					

### HL\_F02 Failure to closely monitor operational and financial factors relating to the delivery of the Council's Homelessness Service

<b>Category:</b> Financial	<b>Corporate Priority:</b> Affordable Housing	<b>Risk Owner:</b> Elliott Brooks	<b>Portfolio Holder:</b> Cllr Margaret Griffiths	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
DBC Could be open to legal challenge if the service is not fit for purpose due to lack of resources for this statutory service. Health & Safety risks for clients if not provided		Monthly financial monitoring with Group Manager and accountant, team leader monitors weekly B & B spend, and monthly reporting of stats including numbers of		Recently Agreed New Homelessness Strategy	

# OPERATIONAL RISK REGISTER

June 2014



with TA and left to sleep rough. Increase in homeless presentations would have severe impact on budget.	cases seeking Housing Advice and presentations as homeless.	
<b>Sign Off and Comments</b>		
Sign Off Complete		

<b>HL_I03 Failure to adopt a service specific best practice approach to Health and Safety (Housing Landlord)</b>					
<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Safe and Clean Environment	<b>Risk Owner:</b> Elliott Brooks	<b>Portfolio Holder:</b> Cllr Margaret Griffiths	<b>Tolerance:</b> Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
Death or injury to staff; residents or contractors' staff; reputation; litigation and charges of corporate manslaughter.		Service specific H & S procedures applied to sheltered housing service covering service users and staff eg. fire safety and lone working; clear landings policy and procedures; estate inspections schedule.. Corporate H&S policy under review. Ongoing training for staff in key areas. Directorate Health & Safty Committee Quarterly at DMT Standing Items on Team Meeting Agendas		All Risk Assessments / Notes of meetings available for review	
<b>Sign Off and Comments</b>					
Sign Off Complete					
Currently the corporate governance of Health & Safety is under Review and Housing are being consulted					

# OPERATIONAL RISK REGISTER

June 2014



## HL\_I04 Failure to upgrade the housing IT management system and Orchard Upgrade implementation project

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Elliott Brooks	<b>Portfolio Holder:</b> Cllr Margaret Griffiths	<b>Tolerance:</b> Tolerating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
4 Very Likely	4 Severe	16 Red	2 Unlikely	4 Severe	8 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
An unsupported system would result in significant management risks; unable to develop the service and become more customer focussed.		Project Group progressing - budget allocated. Role out of some modules on target to completed 4TH Quarter 13/14		Project Plan	
<b>Sign Off and Comments</b>					
Sign Off Complete					
This work is complete and therefore the risk can be removed from the register next quarter					

## HL\_M01 Failure to have systems in place which exert effective financial and operational control over current contracts in the lead-in period to 2014 expiry

<b>Category:</b> Marketplace	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Elliott Brooks	<b>Portfolio Holder:</b> Cllr Margaret Griffiths	<b>Tolerance:</b> Tolerating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	1 Very Unlikely	4 Severe	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Poor audit external and internal reports; reputation; unable to demonstrate value for money; lack of credibility, less improvements to stock / homes		<ul style="list-style-type: none"> <li>- Regular meetings with contractors and housing accountant.</li> <li>- Budget transparency and monthly monitoring in place.</li> </ul>		Any overspends projected are reported early and reasons explained	

# OPERATIONAL RISK REGISTER

June 2014



<p>- Post inspection checks of charges undertaken. - Support from AD and Corporate Director.</p> <p>Procurement Project Plan includes Exit Strategy from Current Contract - Initial related discussions started</p> <p>Core Group meetings set up monthly with outgoing Responsive Repairs contractor to manage performance, financial control and staffing/TUPE issues</p>	
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**Sign Off and Comments**

Sign Off Complete

The MITIE & Keepmoat contracts have now expired and therefore this risk can be removed at next quarter.

**HL\_R01 Failure to adapt to the new regulatory framework and requirements for tenant scrutiny**

<b>Category:</b> Reputational		<b>Corporate Priority:</b>		<b>Risk Owner:</b> Elliott Brooks	<b>Portfolio Holder:</b> Cllr Margaret Griffiths	<b>Tolerance:</b> Treating
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>	
3 Likely	3 High	9 Amber	1 Very Unlikely	3 High	3 Green	
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>		
		Recent Review of Tenant Involvement Structure included the introduction of a Tenant Scrutiny Panel by April 2013  Tenant Scrutiny Panel now undertaking Service Reviews		TI Strategy - Get Involved		

# OPERATIONAL RISK REGISTER

June 2014



## Sign Off and Comments

Sign Off Complete  
 TLC / HMEC / TLSP & HMEC all in place and operating  
 Regular updates to TLC & Housing & Communities Overview & Scrutiny

### HL\_R02 Failure to deliver key milestones on time within the Housing Repairs, Maintenance and Improvement Procurement Project

<b>Category:</b> Reputational	<b>Corporate Priority:</b>	<b>Risk Owner:</b> Elliott Brooks	<b>Portfolio Holder:</b> Cllr Margaret Griffiths	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	2 Unlikely	2 Medium	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Reputational damage, service disruptions and budget uncertainty		Approved PID Project Plan on Target Report for Cabinet submitted recommending progression direction  GM seconded to work solely on the project - (substantive post backfilled)		Project is updated through the Corporate system	

## Sign Off and Comments

Sign Off Complete  
 Osborne / TAM contract now up and running - This risk will be modified next quarter to relate to the management of the contract

### HL\_R03 Failure to Deliver the Council's New Build Programme

# OPERATIONAL RISK REGISTER

June 2014



<b>Category:</b> Reputational	<b>Corporate Priority:</b> Affordable Housing		<b>Risk Owner:</b> Elliott Brooks	<b>Portfolio Holder:</b> Cllr Margaret Griffiths	<b>Tolerance:</b> Treating
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	4 Severe	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Reputational and financial impact with public and HCA regarding grant allocations and due to the high profile of the project		Monthly Financial meetings to monitor budgets, Fortnightly AD update, monthly project group, seconded team concentrating solely on development.		All Schmes have project worksheets updated fortnightly	
<b>Sign Off and Comments</b>					
Sign Off Complete 3 out of 4 Phase 1 schemes running to timescales - 3 month delay on London Rd due to complications with a sub-station					