

# OPERATIONAL RISK REGISTER

June 2013



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
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	2 Medium	2 Green
Consequences		Current Controls		Assurance	
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	
Sign Off and Comments					
Sign Off Complete					

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
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	
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			

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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		

HL_I03 Failure to adopt a service specific best practice approach to Health and Safety (Housing Landlord)					
Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:	
Infrastructure	Safe and Clean Environment	Elliott Brooks	CLlr Margaret Griffiths	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			
<b>Sign Off and Comments</b>					
Sign Off Complete					

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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
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	4 Severe	16 Red	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
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			
Sign Off and Comments					
Sign Off Complete					

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
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
Poor audit external and internal reports; reputation; unable to demonstrate value for money; lack of credibility, less improvements to stock / homes		- Regular meetings with contractors and housing accountant. - Budget transparency and monthly monitoring in place.			

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<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

Latest Repoorts to Cabinet 23rd July (Part 2)

**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			

**Sign Off and Comments**

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Sign Off Complete

## 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 nsolely on the project - (substantive post backfilled)			

### Sign Off and Comments

Sign Off Complete

Latest Reports to Cabinet 23rd July - Part 2

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

<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> 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>

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2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
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.			
Sign Off and Comments					
Sign Off Complete					