

# OPERATIONAL RISK REGISTER

September 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	
<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					
Recent Announcement regarding proposed changes to Govt Rent Policy could have an impact on the HRA Business Plan going forward. Officcers working to analyse and briefing Members & Tenants					

### 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		Monthly financial monitoring with Group Manager and accountant, team leader monitors weekly B & B spend,			

# OPERATIONAL RISK REGISTER

September 2013



service. Health & Safety risks for clients if not provided with TA and left to sleep rough. Increase in homeless presentations would have severe impact on budget.	and monthly reporting of stats including numbers of 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	Clr 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					

# OPERATIONAL RISK REGISTER

September 2013



## 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					
Project Plan on target - training of new modules taking place					

## 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.			

# OPERATIONAL RISK REGISTER

September 2013



<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

Currently analysing the Period 6 position to report to Cabinet / Scrutiny & TLC in November. There are projected overspends regarding Responsive Repairs and Voids but with valid reasons

**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		TI Strategy - Get Involved	

# OPERATIONAL RISK REGISTER

September 2013



**Sign Off and Comments**

Sign Off Complete

New Tenant Scrutiny Panel now in place

**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)			

**Sign Off and Comments**

Sign Off Complete

Second Stage of Comp dialogue due to start early November (TAM)

New Gas Contract Started 1/10/13

# OPERATIONAL RISK REGISTER

September 2013



## 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>
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.			
<b>Sign Off and Comments</b>					
<p>Sign Off Complete</p> <p>Hostel Contract awarded &amp; signed - first part of HCA grant received</p> <p>Fram Place Contract to be awarded Late October</p> <p>Galley Hill and London Road on schedule</p>					