

Appendix A – Risk Management

Vulnerability/Risk	Trigger	Consequences	Current Rating
Service is not financially viable	<ul style="list-style-type: none"> <li>- Unable to retain suitable staff to carry out work</li> <li>- Fail to issue FPNs</li> <li>- Low payment rate of FPNs</li> <li>- Legal costs are higher than expected</li> </ul>	Cost of the service cannot be recovered through FPNs and therefore has to be funded internally	Likelihood: 3 Impact: 3 Rating: 9
Reputation	<ul style="list-style-type: none"> <li>- Poor training of staff</li> <li>- Staff turnover</li> <li>- Inappropriate behaviour</li> <li>- Financially driven service</li> </ul>	Negative publicity Lack of trust in the service Reduction in payment rate resulting in higher legal costs Service no longer tenable	Likelihood:3 Impact: 3 Rating: 9
Service is not deliverable	<ul style="list-style-type: none"> <li>- Unable to recruit staff</li> <li>- Staff turnover</li> <li>- Unable to retain suitable staff</li> <li>- Systems not in place to operate i.e. issue FPNs</li> <li>- Low payment rate puts pressure on legal services</li> </ul>	Service fails to change behaviour as not seen as effective Cost of service cannot be recovered through FPNs and therefore has to be funded internally Negative publicity Lack of trust in service	Likelihood: 2 Impact: 3 Rating: 6
Incorrect prosecution	<ul style="list-style-type: none"> <li>- Back office system is unable to reconcile payments</li> <li>- Management of FPNs is not robust</li> </ul>	Reputational risk to the Council Negative publicity Lack of trust in the service Legal action against Council	Likelihood: 2 Impact: 3 Rating: 6

No.	Current Rating	Target Rating	Risk		
1	9	6	Service is not financially viable		
Control in place	Adequacy of controls	Required action/control	Responsible Officer	Success Factors	Date for Review
Modelling of costs based on historical	Good	Staff training Performance monitoring of staff	Jennifer Shepherd	Payment rate > 70% No. of FPNs issued	6 months from start of service

data 18 month trial proposed		Varied work for staff to ensure remain engaged Monthly reviews of income		No. of complaints received low	
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No.	Current Rating	Target Rating	Risk		
2	9	6	Reputation		
Control in place	Adequacy of controls	Required action/control	Responsible Officer	Success Factors	Date for Review
Direct employment of staff New delivery model which tackles wider range of issues Service not financially driven	Fair	Recruitment of appropriate staff Training provided Performance management of staff	Jennifer Shepherd	Low level of complaints High payment rate of FPNs Positive behavioural outcomes	6 months from start of contract

No.	Current Rating	Target Rating	Risk		
3	6	6	Service is not deliverable		
Control in place	Adequacy of controls	Required action/control	Responsible Officer	Success Factors	Date for Review
Process map prepared Working with digital team to design technology solutions	Good	Training programme for staff Monthly team meetings Performance reviews Explore opportunities with technology	Jennifer Shepherd	Service implemented Staff recruited FPNs issued Payment rate > 70% Low level of complaints	6 months from start of service

<p>New delivery model which tackles wider range of issues offers staff range of duties Admin support already available for team Experienced staff within team</p>		<p>Offer opportunities for staff to progress within Waste and Street Scene Team to improve retention</p>			
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No.	Current Rating	Target Rating	Risk			
4	6	6	Incorrect Prosecution			
Control in place	Adequacy of controls	Required action/control		Responsible Officer	Success Factors	Date for Review
<p>Prosecution will not be sought without full reconciliation of the system Lower levels of tickets issued allows additional checks to be carried out Sufficient time allowed between issue of FPN and prosecution to enable checks to be completed</p>	Fair	<p>Appropriate Back office system used (included in costs) Explore other systems already used by MBC (i.e. Parking)</p>		Jennifer Shepherd	<p>Full reconciliation completed every month High Payment rate Low level of complaints</p>	Monthly