

# STRATEGIC RISK REGISTER

June 2014



F1 - Resource base affected by slow recovery from recession resulting in lack of funds to deliver on commitments & policies					
<b>Category:</b> Financial	<b>Corporate Priority:</b> Dacorum Delivers		<b>Risk Owner:</b> Martin Hone	<b>Portfolio Holder:</b> Cllr Nick Tiley	<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	2 Medium	4 Green
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> <li>- Dissatisfaction</li> <li>- Political fallout</li> <li>- Reputation damage</li> </ul>		<ul style="list-style-type: none"> <li>- Corporate plan kept under review</li> <li>- MTFS kept under review</li> <li>- Fees &amp; Charges strategy kept under review</li> <li>- Capital Strategy kept under review</li> <li>- Aspirations managed via communication e.g. articles in Dacorum Digest, press releases</li> </ul>		Medium Term Financial Strategy uploaded into Corvu Capital Strategy uploaded into Corvu	
Sign Off and Comments					
Sign Off Incomplete					

F2 - Lack of effective procurement and contract management					
<b>Category:</b> Financial	<b>Corporate Priority:</b> Dacorum Delivers		<b>Risk Owner:</b> Martin Hone	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	4 Severe	16 Red	2 Unlikely	3 High	6 Amber
Consequences		Current Controls		Assurance	

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<ul style="list-style-type: none"> <li>- Increased budgets</li> <li>- Reduced service quality</li> <li>- Contractual disputes</li> <li>- Impact on reputation</li> <li>- Decision makers not fully briefed</li> </ul>	<ul style="list-style-type: none"> <li>- Financial Regulations</li> <li>- Corporate Financial System - Agresso</li> <li>- Corporate Procurement Strategy</li> <li>- Procurement Standing Orders - continuously reviewed</li> <li>- Use of Herts Marketplace</li> <li>- Joint Procurement activity</li> <li>- Asset Management Group</li> <li>- Training programme</li> <li>- Corporate Procurement Group, with updated terms of reference</li> <li>- 6 monthly monitoring reports on procurement to Scrutiny Committees and Cabinet</li> </ul>	
Sign Off and Comments		
Sign Off Incomplete		

F3 - Failure to achieve identified savings to ensure that the budget remains balanced					
Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Financial	Dacorum Delivers		Martin Hone	Cllr Nick Tiley	Tolerating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	4 Severe	16 Red	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> <li>- Reactive service changes rather than proactive</li> <li>- Damage to reputation</li> <li>- Criticism from external inspectors</li> </ul>		<ul style="list-style-type: none"> <li>- Budget process</li> <li>- Monthly budget monitoring</li> <li>- 'in year' budget management</li> <li>- Monthly performance report to Leader of Council</li> </ul>			

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June 2014



Sign Off and Comments					
Sign Off Incomplete					

F5 - Risk of extensive damage to property arising from adverse weather conditions and/or unstable ground within the Dacorum area					
Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:	
Financial	Safe and Clean Environment	Martin Hone	Cllr Nick Tiley	Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
<p>That external funding is not made available for treatment and this gives rise to an expectation that the Council will provide funding for treatment works.</p> <p>That extensive response measures with partner agencies are required, with impact on the Council's capacity to respond, its resources and reputation if these are not well planned and well executed.</p>		<p>Responsibilities exists under the Civil Contingencies Act which are restricted to assessing the danger to the public and taking action to mitigate immediate danger. These responsibilities are shared with other public agencies.</p> <p>The council has received Counsel opinion that its duties are limited to taking reasonable steps to prevent risk to health and safety and do not extend to funding treatment costs.</p> <p>Emergency Plan.</p>			
Sign Off and Comments					
Sign Off Incomplete					

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June 2014



## I2 - Failure to effectively manage health and safety

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Sally Marshall	<b>Portfolio Holder:</b> Cllr Andrew Williams	<b>Tolerance:</b>	
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	
<ul style="list-style-type: none"> <li>- Death/Injury</li> <li>- Litigation</li> <li>- Prosecution</li> <li>- Reputation damage</li> <li>- Low staff morale</li> <li>- Increased costs</li> <li>- Criticism by Regulatory bodies</li> <li>- Adverse impact on local environment &amp; community</li> </ul>		<ul style="list-style-type: none"> <li>- Health &amp; Safety Training</li> <li>- HR Service – implementation of policies and procedures</li> <li>- Sickness absence monitoring</li> <li>- Accident monitoring</li> <li>- Workplace Options</li> <li>- Appraisals</li> <li>- Flexible working policies</li> <li>- Quarterly reporting to CMT</li> <li>- Service H&amp;S prioritised risk registers</li> </ul>		<ul style="list-style-type: none"> <li>- Audit Committee report 25/4/12</li> <li>- Corporate Health &amp; Safety Strategy</li> <li>- Health &amp; Safety Coordinator Role</li> </ul>	
Sign Off and Comments					
Sign Off Incomplete					

# STRATEGIC RISK REGISTER

June 2014



## M1 - Failure to deliver required regeneration and economic growth

<b>Category:</b> Marketplace	<b>Corporate Priority:</b> Regeneration	<b>Risk Owner:</b> Mark Gaynor	<b>Portfolio Holder:</b> Cllr Andrew Williams	<b>Tolerance:</b> Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> <li>- Unforeseen changes in levels of demand for services</li> <li>- Political fallout</li> <li>- Failure by Council to meet citizen's needs</li> <li>- Unplanned for financial implications</li> <li>- Regeneration of key areas e.g. Town Centre - does not happen</li> </ul>		<ul style="list-style-type: none"> <li>- Sustainable Community Strategy</li> <li>- Local Development Framework</li> <li>- Dacorum Partnership</li> <li>- Local Investment Plan &amp; partnership working with HCA</li> </ul>		Sustainable Community Strategy uploaded into Corvu	
Sign Off and Comments					
Sign Off Incomplete					

## M2 - Failure to shape services based on robust understanding of customer's needs

<b>Category:</b> Marketplace	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Sally Marshall	<b>Portfolio Holder:</b> Cllr Neil Harden	<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	2 Medium	4 Green
Consequences		Current Controls		Assurance	

# STRATEGIC RISK REGISTER

June 2014



<ul style="list-style-type: none"> <li>- Poor external assessment &amp; opinion</li> <li>- Reputation damage</li> <li>- Political fallout</li> <li>- High level of complaints</li> <li>- Potential loss of non statutory services</li> <li>- Decreased customer satisfaction levels</li> <li>- Provison of inappropriate services</li> <li>- Wasted resources</li> </ul>	<ul style="list-style-type: none"> <li>- Customer &amp; Community consultation processes</li> <li>- Reporting the results of the consultation to members</li> <li>- Code of Corporate Governance</li> <li>- View Point Action Plan</li> <li>- Consultation &amp; Communication Strategy</li> <li>- Community Plan Consultation</li> <li>- Dacorum Delivers Programme</li> <li>- Customer Insight Officer</li> <li>- Consultative outcomes fed into Service Planning process</li> <li>- Neighbourhood Action</li> <li>- Citizens Panel</li> <li>- My Place Survey</li> </ul>	
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**Sign Off and Comments**

Sign Off Incomplete

<b>R1 - Failure to align political aspirations for service delivery with budget pressures</b>					
Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Reputational	Dacorum Delivers		Sally Marshall	Cllr Andrew Williams	Tolerating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> <li>- Failure to deliver on aspirations</li> <li>- Financial implications</li> <li>- Adverse publicity</li> </ul>		<ul style="list-style-type: none"> <li>- Regular 1 to 1's between Chief Executive &amp; Leader</li> <li>- Portfolio Hold COG meetings raises awareness of situation</li> </ul>			

# STRATEGIC RISK REGISTER

June 2014



- Political fall out for members	- Directors meet with Portfolio Holders - Group meetings	
<b>Sign Off and Comments</b>		
Sign Off Incomplete		

## R3 - Disclosure of personal data in breach of the Data Protection Act

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b>	<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>	
Complaint to the ICO and a fine of up to £500,000 in serious cases.  Reputational damage (which could be national as well as local).		The appointment of an Information Security Team Leader with the role of ensuring that the Council complies with the requirements of the Data Protection Act.  Existence of a Records Management Policy and other associated policies and procedures including a Retention Schedule Policy which deals with the secure storage and destruction of personal data.  Regular review and updating of the policies and procedures referred to above.  Information audit and physical storage audit has been			

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June 2014



	<p>carried out to establish the type of personal data being stored (either as paper documents or electronically), where and how the data is being stored and who by.</p> <p>Arrangements in place for the secure disposal of confidential waste which include the provision of locked bins located around the Civic Centre and special arrangements for the disposal of bulk confidential waste by a specialist contractor.</p> <p>Frequent mandatory training of staff provided and run by the Information Security Team Leader.</p> <p>In addition to the mand</p>	
<b>Sign Off and Comments</b>		
<b>Sign Off Incomplete</b>		