

STRATEGIC RISK REGISTER

March 2014



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

F2 - Lack of effective procurement and contract management					
Category: Financial	Corporate Priority: Dacorum Delivers		Risk Owner: Martin Hone	Portfolio Holder: Cllr Neil Harden	Tolerance: 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"> - Increased budgets - Reduced service quality - Contractual disputes - Impact on reputation - Decision makers not fully briefed 	<ul style="list-style-type: none"> - Financial Regulations - Corporate Financial System - Agresso - Corporate Procurement Strategy - Procurement Standing Orders - continuously reviewed - Use of Herts Marketplace - Joint Procurement activity - Asset Management Group - Training programme - Corporate Procurement Group, with updated terms of reference - 6 monthly monitoring reports on procurement to Scrutiny Committees and Cabinet 	
Sign Off and Comments		
Sign Off Complete		

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"> - Reactive service changes rather than proactive - Damage to reputation - Criticism from external inspectors 		<ul style="list-style-type: none"> - Budget process - Monthly budget monitoring - 'in year' budget management - Monthly performance report to Leader of Council 			

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Sign Off and Comments

Sign Off Complete

F5 - Risk of extensive damage to property arising from adverse weather conditions and/or unstable ground within the Dacorum area

Category: Financial	Corporate Priority: Safe and Clean Environment	Risk Owner: Martin Hone	Portfolio Holder: Cllr Nick Tiley	Tolerance: 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 Complete

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I2 - Failure to effectively manage health and safety

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: Sally Marshall	Portfolio Holder: Cllr Andrew Williams	Tolerance:	
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"> - Death/Injury - Litigation - Prosecution - Reputation damage - Low staff morale - Increased costs - Criticism by Regulatory bodies - Adverse impact on local environment & community 		<ul style="list-style-type: none"> - Health & Safety Training - HR Service – implementation of policies and procedures - Sickness absence monitoring - Accident monitoring - Workplace Options - Appraisals - Flexible working policies - Quarterly reporting to CMT - Service H&S prioritised risk registers 		<ul style="list-style-type: none"> Audit Committee report 25/4/12 Corporate Health & Safety Strategy Health & Safety Coordinator Role 	
Sign Off and Comments					
<p>Sign Off Complete</p> <p>A review of Health and Safety arrangements is currently underway. The outcome of this will be incorporated into Strategic Risk assessment in due course</p>					

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M1 - Failure to deliver required regeneration and economic growth

Category: Marketplace	Corporate Priority: Regeneration	Risk Owner: Mark Gaynor	Portfolio Holder: Cllr Andrew Williams	Tolerance: 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"> - Unforeseen changes in levels of demand for services - Political fallout - Failure by Council to meet citizen's needs - Unplanned for financial implications - Regeneration of key areas e.g. Town Centre - does not happen 		<ul style="list-style-type: none"> - Sustainable Community Strategy - Local Development Framework - Dacorum Partnership - Local Investment Plan & partnership working with HCA 		Sustainable Community Strategy uploaded into Corvu	
Sign Off and Comments					
Sign Off Complete					
Progress is underway with town centre improvements and procurement for PSQ/Gade Zone, and for key development in Maylands Gateway and Heart of Maylands. If/when these are clearly proceeding the risk should be reviewed again.					

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

Category: Marketplace	Corporate Priority: Dacorum Delivers	Risk Owner: Sally Marshall	Portfolio Holder: Cllr Neil Harden	Tolerance: 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	

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

Sign Off Complete

A new project, "Customer Focus" is being included in the Corporate Programme and the outcomes from this project will be incorporated into future versions of this Strategic Risk assessment.

R1 - Failure to align political aspirations for service delivery with budget pressures					
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"> - Failure to deliver on aspirations - Financial implications 		<ul style="list-style-type: none"> - Regular 1 to 1's between Chief Executive & Leader - Portfolio Hold COG meetings raises awareness of 			

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- Adverse publicity - Political fall out for members	situation - Directors meet with Portfolio Holders - Group meetings	
Sign Off and Comments		
Sign Off Complete The current controls are being maintained on an ongoing basis.		

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

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Steve Baker	Portfolio Holder:	Tolerance: 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	
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.			

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	<p>Information audit and physical storage audit has been 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 mandatory training courses the Information Security Team Leader also conducts awareness campaigns using posters and flowcharts around the Civic Centre next to the confidential waste bins.</p> <p>The risk of an unlawful disclosure of personal data is greater in respect of data which is stored in the form of paper documents or files. As the EDRMS project continues to be rolled out the amount of data stored in the form of paper documents or files will decrease and therefore the risk of unlawful disclosure will also continue to reduce.</p>	
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Sign Off and Comments

Sign Off Complete

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