

OPERATIONAL RISK REGISTER

March 2014



Chief Executive's Unit - Steve Baker					
CE_F01 Lack of resources to be able to spend the appropriate time analysing the Councils 3rd party expenditure					
Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:	
Financial	Dacorum Delivers	Steve Baker	Cllr Neil Harden	Treating	
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	
Continued delivery of a reactive service. Potential breach of the Public Contract Regs via non-aggregation. Off-contract spend. Reduced savings.		- Spikes Cavell spend analysis undertaken - Realignment of the Service will increase resource capacity -Stradia procurement consultants have been appointed to provide additional support for the procurement of the Total Asset Mangement Contract, the affordable housing new build and the PSQ thereby releasing capacity within the in house procurement team to analyse 3rd party expenditure.			
Sign Off and Comments					
Sign Off Complete					

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CE_F02 Lack of resources to be able to design and implement a Category Management approach to the Councils 3rd party expenditure

Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	3 High	12 Red	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	
Lack of strategic direction. Reduced savings. Procurement silos. Increased workload.		Realignment of Service will increase the resource capacity. The appointment of Stradia procurement consultants to provide additional support for the major procurement contracts has increased the capacity of the in house team to deliver category management.			
Sign Off and Comments					
Sign Off Complete					

CE_M02 Failure of Council staff and Members to understand and embrace localism

Category: Marketplace	Corporate Priority: Building Community Capacity	Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	

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Poor service to communities, intervention from Government, Poor reputation.	- Officer training Localism policy and strategy being developed.	
Sign Off and Comments		
Sign Off Complete		

CE_M03 Failure to prepare policy and strategy around Localism

Category: Marketplace	Corporate Priority: Building Community Capacity	Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
Poor service to communities, intervention from Government, Poor reputation.		- Officer/member training events. Localism policy and strategy being developed. Localism Working Group set up. Guidance and processes being produced			
Sign Off and Comments					
Sign Off Complete					

CE_R01 Failure to deliver successful elections

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score

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4 Very Likely	4 Severe	16 Red	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
<p>Legal sanction and re-run of election at DBC expense. Loss of faith in elections process. Intense scrutiny on future referenda Potential 'Failed service' designation from Electoral Commission. Personal Financial liability for Returning Officer. Invalid or unsubstantiated election Results. Dissatisfaction of key stakeholders with the borough council elections and the process for future referenda.</p>		<ul style="list-style-type: none"> - Election Preparation Plan and Risk Assessment - Establish Election Team, allocate resources, audit and prepare equipment - Oversee actual Election - Check Results - Conclude election paperwork - Clear and Store election equipment - Prepare Election Accounts - Consult Key stakeholders - Produce 'Mop-up' report for Autumn Overview & Scrutiny - Implement recommendations from Overview & Scrutiny in preparation for future elections 			
Sign Off and Comments					
Sign Off Complete					

CE_R03 Failure to maintain Lexcel accreditation					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	3 High	12 Red	1 Very Unlikely	3 High	3 Green

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Consequences	Current Controls	Assurance
Loss of confidence in the service, adverse effect on staff morale, processes not improved, waste of officer time and waste of consultant's costs and assessment fee.	<ul style="list-style-type: none"> - IDP framework - Engaged specialist consultant - Support from Policy and Improvement Officer - Support and active participation of Legal Team members 	
Sign Off and Comments		
Sign Off Complete		

CE_R05 Failure to adopt a service specific best practice approach to managing Health and Safety

Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:	
Reputational	Dacorum Delivers	Steve Baker	Cllr Neil Harden	Treating	
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			
Death or injury to staff; residents or contractors' staff; reputation; litigation and charges of corporate manslaughter	<ul style="list-style-type: none"> - Service specific health and safety policies in respect of Council buildings and commercial properties. - Ongoing training for staff in key areas. 				
Sign Off and Comments					
Sign Off Complete					

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CE_R07 Failure to adopt a service specific best practice approach to managing Health and Safety					
Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:	
Reputational	Dacorum Delivers	Steve Baker	CLlr Neil Harden	Tolerating	
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.		<ul style="list-style-type: none"> - Service specific H&S Risk Registers produced and monitored quarterly at DMT - Corporate H&S policy under review - Ongoing training for staff in key areas 			
Sign Off and Comments					
Sign Off Complete					