

Operational Risk Register

Legal Democratic & Regulatory

Quarter 3, 2012

Consequences	Inherent Probability	Inherent Impact	Inherent Risk Score	Controls	Residual Probability	Residual Impact	Residual Risk Score	Assurance
<b>Finance &amp; Governance &gt;&gt; Legal Democratic &amp; Regulatory - Steve Baker</b>								
<b>LDR_F01 - Lack of resources to be able to spend the appropriate time analysing the Council's 3rd party expenditure</b>								
Category of risk: Financial Risks			Portfolio Holder: Cllr Neil Harden - Residents & Regulatory Services					
Continued delivery of a reactive service Potential breach of the Public Contract Regs via non-aggregation Off-contract spend Reduced savings	3 - Likely	4 - Severe	12 - Red	- Spikes Cavell spend analysis undertaken - Realignment of the Service will increase resource capacity	1 - Very Unlikely	3 - High	3 - Green	
Status of this risk: Treating			Corporate Priority: Dacorum Delivers					
Risk Owner Comments:								
<b>LDR_F02 - Lack of resources to be able to design and implement a Category Management approach to the Council's 3rd party expenditure</b>								
Category of risk: Financial Risks			Portfolio Holder: Cllr Neil Harden - Residents & Regulatory Services					
Lack of strategic direction Reduced savings Procurement silos Increased workload	4 - Very Likely	3 - High	12 - Red	- Realignment of Service will increase the resource capacity.	2 - Unlikely	2 - Medium	4 - Green	
Status of this risk: Treating			Corporate Priority: Dacorum Delivers					
Risk Owner Comments:								
<b>LDR_M01 - Failure to reach our most vulnerable citizens, in particular the elderly and disabled, in the provision of housing assistance, (i.e. grant aid and loan schemes)</b>								
Category of risk: Marketplace Risks			Portfolio Holder: Cllr Neil Harden - Residents & Regulatory Services					
Leads to essential repairs and disabled adaptations not being undertaken, resulting in (non Council owned) dwellings remaining unfit for purpose and a reduction in the quality	3 - Likely	4 - Severe	12 - Red	- The housing assistance scheme being completely reviewed to offer a comprehensive package - The Private Sector Housing Renewal Strategy	1 - Very Unlikely	3 - High	3 - Green	

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of the housing stock				being reviewed to reflect this - IT system being re-programmed to capture more sophisticated performance data - Staff training - Phase II realignment improving resource allocation - Partnership opportunities being sought - Equity release schemes being researched				
Status of this risk: Tolerating		Corporate Priority: Safe and Clean Environment						
Risk Owner Comments:								
<b>LDR_M02 - Failure of Council staff and Members to understand and embrace localism</b>								
Category of risk: Marketplace Risks			Portfolio Holder: Cllr Neil Harden - Residents & Regulatory Services					
Poor service to communities, intervention from Government, Poor reputation	3 - Likely	3 - High	9 - Amber	- Officer training Localism policy and strategy being developed.	1 - Very Unlikely	3 - High	3 - Green	
Status of this risk: Treating		Corporate Priority: Building Community Capacity						
Risk Owner Comments:								
<b>LDR_M03 - Failure to prepare policy and strategy around Localism</b>								
Category of risk: Marketplace Risks			Portfolio Holder: Cllr Neil Harden - Residents & Regulatory Services					
Poor service to communities, intervention from Government, Poor reputation	3 - Likely	3 - High	9 - Amber	- Officer/member training events. Localism policy and strategy being developed. Localism Working Group set up. Guidance and processes being produced	1 - Very Unlikely	3 - High	3 - Green	

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Status of this risk: Treating Corporate Priority: Building Community Capacity								
Risk Owner Comments:								
<b>LDR_R01 - Failure to deliver successful elections</b>								
Category of risk: Reputational Risks Portfolio Holder: Cllr Neil Harden - Residents & Regulatory Services								
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	4 - Very Likely	4 - Severe	16 - Red	- 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	1 - Very Unlikely	4 - Severe	4 - Green	
Status of this risk: Treating Corporate Priority: Dacorum Delivers								
Risk Owner Comments:								
<b>LDR_R02 - Failure to successfully complete Parliamentary Boundary Review</b>								
Category of risk: Reputational Risks Portfolio Holder: Cllr Neil Harden - Residents & Regulatory Services								
Inability to run National Parliamentary election or By-elections Legal sanction and re-run of Review at DBC expense Delay in future County, Borough, and Parish Reviews Parliamentary Boundaries not Reviewed	4 - Very Likely	4 - Severe	16 - Red	- Prepare Plan and Risk Assessment - Establish Review Team, allocate resources, audit and prepare mapping equipment - Consult with all interested groups and statutory consultees - After 2011 election begin to implement action plan - Winter 2011/12; Collect consultation, organise	1 - Very Unlikely	4 - Severe	4 - Green	

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			12 - Red	Boundary Steering Group, agree Council submission - Assess review and implement conclusions			3 - Green	
Status of this risk: Treating Corporate Priority: Dacorum Delivers								
Risk Owner Comments:								
<b>LDR_R03 - Failure to maintain Lexcel accreditation</b>								
Category of risk: Reputational Risks			Portfolio Holder: Cllr Neil Harden - Residents & Regulatory Services					
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	4 - Very Likely	3 - High	12 - Red	- IDP framework - Engaged specialist consultant - Support from Policy and Improvement Officer - Support and active participation of Legal Team members	1 - Very Unlikely	3 - High	3 - Green	
Status of this risk: Treating Corporate Priority: Dacorum Delivers								
Risk Owner Comments: Lexcel accreditation has been maintained								
<b>LDR_R04 - Failure to have a robust system in place to deal with contingencies</b>								
Category of risk: Reputational Risks			Portfolio Holder: Cllr Neil Harden - Residents & Regulatory Services					
Leads to the inability to respond to a civil contingency or an incident that affects the continuity of the Council's operations, resulting in non-compliance with the Council's statutory and other obligations, service disruptions and system failures	4 - Very Likely	2 - Medium	8 - Amber	- Training programme for officers who would be involved in the emergency plan in place - regular training exercises - regular testing of business continuity call out - Existing arrangements with Herts CC - Up to date business continuity plans in place	2 - Unlikely	2 - Medium	4 - Green	
Status of this risk: Tolerating Corporate Priority: Dacorum Delivers								

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Risk Owner Comments:								
<b>LDR_R05 - Failure to adopt a service specific best practice approach to managing Health and Safety</b>								
Category of risk: Reputational Risks			Portfolio Holder: Cllr Neil Harden - Residents & Regulatory Services					
Death or injury to staff; residents or contractors' staff; reputation; litigation and charges of corporate manslaughter	3 - Likely	4 - Severe	12 - Red	- Service specific health and safety policies in respect of Council buildings and commercial properties. - Ongoing training for staff in key areas.	1 - Very Unlikely	4 - Severe	4 - Green	
Status of this risk: Treating			Corporate Priority: Dacorum Delivers					
Risk Owner Comments:								
<b>LDR_R06 - Failure to maintain an effective business continuity plan for all relevant service areas</b>								
Category of risk: Reputational Risks			Portfolio Holder: Cllr Neil Harden - Residents & Regulatory Services					
Disruption caused by service failure leading to hardship for individuals, potential loss of business and significant reputational damage	3 - Likely	4 - Severe	12 - Red	- Business continuity plans in place, revised at March 2011. - Annual review and update process. - Corporate business continuity process and procedures set out in emergency response toolkit.	1 - Very Unlikely	4 - Severe	4 - Green	
Status of this risk:			Corporate Priority: Dacorum Delivers					
Risk Owner Comments:								