

OPERATIONAL RISK REGISTER

June 2013



Legal Democratic & Regulatory - Steve Baker

LDR_F01 Lack of resources to be able to spend the appropriate time analysing the Council's 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
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
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			
Sign Off and Comments					
Sign Off Complete There has been no change to this risk.					

LDR_F02 Lack of resources to be able to design and implement a Category Management approach to the Council's 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	2 Unlikely	3 High	6 Amber
Consequences		Current Controls		Assurance	

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Lack of strategic direction. Reduced savings. Procurement silos. Increased workload.	Realignment of Service will increase the resource capacity.	
Sign Off and Comments		
Sign Off Complete No change		

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

Category: Marketplace	Corporate Priority: Safe and Clean Environment	Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Tolerating	
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	
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 of the housing stock.		<ul style="list-style-type: none"> - The housing assistance scheme being completely reviewed to offer a comprehensive package - The Private Sector Housing Renewal Strategy being reviewed to reflect this - IT system being re-programmed to capture more sophisticated performance data - Staff training 			

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	<ul style="list-style-type: none"> - Phase II realignment improving resource allocation - Partnership opportunities being sought - Equity release schemes being researched 	
Sign Off and Comments		
Sign Off Complete		
No change		

LDR_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	
Poor service to communities, intervention from Government, Poor reputation.		- Officer training Localism policy and strategy being developed.			
Sign Off and Comments					
Sign Off Complete					
No change					

LDR_M03 Failure to prepare policy and strategy around Localism

Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:
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Marketplace	Building Community Capacity		Steve Baker	CLlr Neil Harden	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 No change					

LDR_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
4 Very Likely	4 Severe	16 Red	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
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.		- Election Preparation Plan and Risk Assessment - Establish Election Team, allocate resources, audit and prepare equipment - Oversee actual Election - Check Results - Conclude election paperwork			

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Invalid or unsubstantiated election Results. Dissatisfaction of key stakeholders with the borough council elections and the process for future referenda.	<ul style="list-style-type: none"> - 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		
No change		

LDR_R02 Failure to successfully complete Parliamentary Boundary Review

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	4 Severe	16 Red	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
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.		<ul style="list-style-type: none"> - 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 Boundary Steering Group, agree Council submission - Assess review and implement conclusions 			

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Sign Off and Comments

Sign Off Complete

No change

LDR_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
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

No change

LDR_R04 Failure to have a robust system in place to deal with contingencies

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Tolerating	
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	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
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		<ul style="list-style-type: none"> - 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 			
Sign Off and Comments					
Sign Off Complete					
No change					

LDR_R05 Failure to adopt a service specific best practice approach to managing Health and Safety

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
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		- Service specific health and safety policies in respect of Council buildings and commercial properties.			

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manslaughter	- Ongoing training for staff in key areas.	
Sign Off and Comments		
Sign Off Complete		
No change		

LDR_R06 Failure to maintain an effective business continuity plan for all relevant service areas					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Tolerating
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	
Disruption caused by service failure leading to hardship for individuals, potential loss of business and significant reputational damage		<ul style="list-style-type: none"> - 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. 			
Sign Off and Comments					
Sign Off Complete					
No change					

LDR_R07 Failure to adopt a service specific best practice approach to managing Health and Safety					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: Steve Baker	Portfolio Holder: Cllr Neil Harden	Tolerance: Tolerating

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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					
<p>Sign Off Complete</p> <p>Quarterly meetings with service teams continue.</p>					