

OPERATIONAL RISK REGISTER

September 2013



Performance and Projects - Shane Flynn

PP_R01 Lack of capacity to bring together all of the strands of the information required

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Shane Flynn	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
Library not established and Council services do not have access to information to plan and monitor services. Members do not have sound information about citizens and the community to base decisions upon.		<ul style="list-style-type: none"> - Customer Insight post established to lead process. Key information systems already in place. - Monthly strategy meetings to monitor achievements and progress. - Evidence Based Decision Making project established. - Citizen Insight function incorporated into CSCG contract with Northgate. 		EBDM draft PID TOR of Customer Insight joint working group	
Sign Off and Comments					
Sign Off Complete					
Additional controls have been put in place to ensure that there is sufficient capacity to establish a DBC evidence base to support decision making					

PP_R02 Failure to develop a range of initiatives to contribute to the Council's improvement and efficiencies agenda

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Shane Flynn	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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3 Likely	4 Severe	12 Red	3 Likely	4 Severe	12 Red
Consequences		Current Controls		Assurance	
Books do not balance and services are at risk. Negative impact on Council Reputation.		<ul style="list-style-type: none"> - CMT support Dacorum Delivers improvement Programme - including corporate governance and 2 way communications mechanisms. - Revised programme and project management methodology established to support continuous improvement (roll out from October 2013). 		Draft project methodology guidance document	
Sign Off and Comments					
Sign Off Complete					
Risk has increased due to greater need for reform arising from the Medium Term Financial Strategy - significant efficiencies in operations are needed over the next four years.					

PP_R03 Services do not understand or support the need to innovate and improve.

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Shane Flynn	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	
Initiatives are designed, but full implementation is not achieved.		<ul style="list-style-type: none"> - CMT support Dacorum Delivers improvement Programme - including corporate governance and 2 way communication mechanisms. 			
Sign Off and Comments					

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Sign Off Complete

Awareness is increasing through roll out of Dacorum Anywhere programme. Additional support is under development in advance of decant through the Moving On Programme.

PP_R04 Lack of capacity and financial resources to transform services through ICT

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Shane Flynn	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	3 High	6 Amber
Consequences		Current Controls		Assurance	
Low levels of customer channel access shift. Lack of realisation of savings from channel shift. Customers are not able to access services in the way they wish.		Interim ICT Strategy and Improvement Plan (to be finalised November 2013). - New ICT staffing structure introduced and specialised ICT GM role in place. - Web architecture brought within ICT - Web Content Editor appointed to support channel shift - Channel shift project included in CSCG transfer and driven by financial incentives for contractor - Dedicated project support- agreed for specific projects.		New ICT staff structure. TOR for joint Customer Insight working group.	

Sign Off and Comments

Sign Off Complete

Risk reduced. A new GM role dedicated to ICT has been introduced. The post was filled in July and has taken over responsibility for web architecture. A Web Content Editor has been appointed under the GM (People) to emphasise culture change. Channel shift is one of two customer relationship management projects within the CSCG contract with Northgate.

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PP_R05 Lack of 'buy-in' from services in terms of the culture changes needed to deliver innovative ways of working					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: Shane Flynn	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	4 Severe	8 Amber	2 Unlikely	3 High	6 Amber
Consequences		Current Controls		Assurance	
Progress halted and opportunities for savings and modernisation lost. Council reputation lowers and is seen as 'old-fashioned'.		<ul style="list-style-type: none"> - Dacorum Delivers - internal improvements programme - t-3 programme working with a range of staff across the organisation in an 'activist' role to positively influence culture change. - Organisational Transformation Working Group acts as co-ordinating body to drive change - Dacorum Anywhere introducing new ways of working during roll out 			
Sign Off and Comments					
Sign Off Complete					
Risk reduced. Increased momentum for Dacorum Anywhere is highlighting the need for, and opportunities presented by, new ways of working. Benefits realisation work is underway to track progress.					

PP_R06 Lack of Resources					
Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: Shane Flynn	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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3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
The project will miss timescales and will slip		<ul style="list-style-type: none"> - Project Plan with resources linked - Regular cycle of reporting to Performance Board - Regular reconciliation of resources required to resources provided in project reports 		Monthly project reports available on Corvu	
Sign Off and Comments					
Sign Off Complete					
This risk relates to the resources dedicated by the Council to the wider improvement programme. Additional resources have been secured during 2013/14 in respect of procurement, project management (particularly for PSQ and decant), contract management (CSCG and Total Asset Management) and ICT. Therefore the risk has been reduced.					

PP_R07 Other projects need heavy ICT resource

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Shane Flynn	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	3 Likely	2 Medium	6 Amber
Consequences		Current Controls		Assurance	
The project will be forced to slip or be put on hold		<ul style="list-style-type: none"> - Project Plan with resources linked - High level plan of the Council's critical projects with resources - Dedicated GM, supportive staff structure and ICT project management resources in place. 		ICT staff structure chart	
Sign Off and Comments					

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Sign Off Complete

The risk of projects coming forward with significant demand for ICT support remains high. However, the increased focus of resources in the ICT area allows for better prioritisation and dedicated project support. Therefore the likely impact of the risk being realised has reduced.

PP_R08 Lack of Capital or Revenue funding

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Shane Flynn	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	3 High	6 Amber
Consequences		Current Controls		Assurance	
Unable to deliver significant parts of the transformation programme.		The earmarked Management of Change Reserve and Technology Reserve are available to absorb revenue pressures if required. The Capital programme includes ongoing resources for maintaining the ICT asset base over a five year rolling programme.			

Sign Off and Comments

Sign Off Complete

At this stage there appear to be sufficient resources to fund the change programme. However the decant costs are likely to increase against approved budgets (As at 30 September 2013). Therefore risk is unchanged until decant costs are known.

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PP_R09 Suitable electronic systems for incoming and outgoing post are not established in time for decant

Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: Shane Flynn	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	3 Likely	1 Low	3 Green
Consequences		Current Controls		Assurance	
Paper based systems are retained, reducing the capacity for flexible working. Change to new ways of working not achieved. Loss of information due to multiple systems in operation and increased use of mail posting to home addresses		<ul style="list-style-type: none"> - Pilot work for incoming post completed as feasibility study - EDRMS system in place and being rolled out to all departments - Repographics equipment in place but integration software needed for outgoing post 		Report to CMT 1 October 2013	
Sign Off and Comments					
Sign Off Complete					
Following a pilot to test methodologies and capacity, and a review of resource needs, CMT approved a recommendation on 1 October to proceed with internal e-post arrangements for incoming post. A solution for outgoing post is still required.					

PP_R10 Insufficient capacity to support increasing number of formal meetings

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: Shane Flynn	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green

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Consequences	Current Controls	Assurance
Meetings are not adequately minuted so that all decisions are recorded appropriately. Reduced support to service departments from Business Support Officers, leading to inefficiencies in business activity	<ul style="list-style-type: none"> - Full staffing complement under new structure in pooled arrangement - Voice recording facility in Mittel software 	

Sign Off and Comments

Sign Off Complete

New structure in place and workloads split between departmental and corporate activities on a pooled basis. Options for recording meetings to be explored alongside revised telephony arrangements.

PP_R11 The CSGC contractor focuses attention on meeting speed of response targets and not quality of service

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Shane Flynn	Portfolio Holder: Cllr Neil Harden	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	3 High	6 Amber	2 Unlikely	2 Medium	4 Green

Consequences	Current Controls	Assurance
Calls are not resolved at first point of contact. Insufficient time is dedicated to callers to ensure that call has been fully resolved in a satisfactory manner. Reputational damage to the Council.	<ul style="list-style-type: none"> - Govmetric surveys each month assess quality - Six monthly customer satisfaction survey - Quarterly quality assessment by Group Managers - Monthly meetings with back officers to assess service delivery and monthly operational Board meetings to escalate issues. 	<ul style="list-style-type: none"> - Monthly performance reports - Minutes of Operational Board meetings

Sign Off and Comments

Sign Off Complete

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Monthly meetings with Group Managers have begun but not yet fully operational. Monthly operational Board meetings are monitoring progress against key indicators.

PP_R12 During the transformation of the CSCG there is a high level of requirement for DBC staff resource

Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: Shane Flynn	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	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
The Customer Relationship Management and Channel Shift projects cannot be implemented in the timescales resulting in reduced value from the contract or increased resource impact on DBC to maintain the pace.		<ul style="list-style-type: none"> - Service Improvement Plan includes key milestones for engagement - SIP reviewed to identify resource implications for DBC - Joint Customer Insight and channel Shift working group established 		<ul style="list-style-type: none"> - Terms of Reference of Channel Shift and Citizen Insight operational Board. - Project plans for CRM and channel shift implementation. - September 2011 Cabinet report: Web and Customer Access Strategy (currently being revised) 	

Sign Off and Comments

Sign Off Complete

A set of governance arrangements has been put in place to support these two projects and project plans have been shared by Northgate. DBC channel shift strategy is under revision.

PP_R13 The introduction of inform 360 and automated self-service options via telephone reduces access and/or satisfaction with contact

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: Shane Flynn	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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3 Likely	4 Severe	12 Red	2 Unlikely	3 High	6 Amber
Consequences		Current Controls		Assurance	
Increase in customer dissatisfaction with the Council. Potential reduction in contact with customers and missed opportunities for citizen insight		<ul style="list-style-type: none"> - Service Improvement Plan includes key milestones for engagement and tasks to be completed, including communications - Customer Insight and Channel Shift working group established to review progress - Monthly meetings and quarterly audits with GMs to assess quality of customer contacts 			
Sign Off and Comments					
Sign Off Complete					
Presentation to Assistant Directors group on 23rd October will be first step in wider communications around the implementation of Inform 360.					

PP_R14 Integration of CRM systems cannot be accomplished due to technical difficulties or high cost

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: Shane Flynn	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	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
The CRM project cannot be completed resulting in failure of the CSCG project and reduced impact of Citizen Insight and Evidence Based Decision Making initiatives. Resource intensive manual operations introduced as work around solutions		<ul style="list-style-type: none"> - Integration requirements included in Service Improvement Plan - Alternative options clause included in contract in the event that integration is untenable - Customer Insight and Channel Shift working group set 			

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up to manage progress

Sign Off and Comments

Sign Off Complete

Governance arrangements have been put in place to strengthen partnership working for implementation of CRM. Detailed costs are not yet known but degree of integration is limited to key systems which already have integration with Northgate through the EDRMS project. ICT and back office resource requirements are being defined.

PP_R15 Redundancy costs of transferred staff borne by DBC in first year of contract

Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: Shane Flynn	Portfolio Holder: Cllr Neil Harden	Tolerance: Tolerating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	2 Medium	8 Amber	4 Very Likely	2 Medium	8 Amber
Consequences		Current Controls		Assurance	
Unrecognised costs have an impact on Council reserves and reduce the value of the contract		<ul style="list-style-type: none"> - Earmarked Redundancy Reserve available to meet impact - Potential redundancy costs factored in to Value for Money assessment at tender stage 			

Sign Off and Comments

Sign Off Complete

Costs are expected to be in line with budgeted costs at this stage. Some attrition of current staff currently is reducing the need for compulsory redundancies.

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Neighbourhood Delivery - David Austin

ND_F01 Failure to monitor the variation in projected levels of income for recyclables.

Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: David Austin	Portfolio Holder: Cllr Julie Laws	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	3 High	12 Red	3 Likely	2 Medium	6 Amber
Consequences		Current Controls		Assurance	
Budget overspends Difficulty in predicting budgets		- Regular meetings with Accountant - Organising longer term contracts/consortia		Monthly budget monitoring reports	
Sign Off and Comments					
Sign Off Complete					

ND_F02 Lack of budget to develop services

Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: David Austin	Portfolio Holder: Cllr Julie Laws	Tolerance: Tolerating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	3 High	12 Red	3 Likely	2 Medium	6 Amber
Consequences		Current Controls		Assurance	
Services performance ratings could suffer		- Medium Term Financial Plan			

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More complaints Demotivated staff	- Robust business cases put in place to justify expenditure - Linking spend to council priorities	
Sign Off and Comments		
Sign Off Complete		

ND_F03 Lack of Capital Funding					
Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: David Austin	Portfolio Holder: Cllr Julie Laws	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	2 Medium	4 Green	2 Unlikely	1 Low	2 Green
Consequences		Current Controls		Assurance	
Unable to deliver improved service Failure to take advantage of opportunities for income generation		- Full research and business case - Opportunities with Partners			
Sign Off and Comments					
Sign Off Complete					

ND_I01 Failure to achieve Headline Service Objectives				
Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: David Austin	Portfolio Holder: Cllr Julie Laws	Tolerance: Tolerating

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Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	2 Medium	4 Green	1 Very Unlikely	1 Low	1 Green
Consequences		Current Controls		Assurance	
Poor service quality, lessened resident satisfaction.		<ul style="list-style-type: none"> - Service Plan ownership at AD level and regular reviews with GMs. - Staff involved in setting milestones 			
Sign Off and Comments					
Sign Off Complete					

ND_I02 Failure to manage relationships with Service areas across the Council

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: David Austin	Portfolio Holder: Cllr Julie Laws	Tolerance: Tolerating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
Duplication of activities, resident dissatisfaction.		<ul style="list-style-type: none"> - New Corporate working groups - Talking point meetings - Cross cutting service plan objectives 			
Sign Off and Comments					
Sign Off Complete					

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ND_I03 Failure to manage sickness levels and staff retention

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: David Austin	Portfolio Holder: Cllr Julie Laws	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	3 Likely	2 Medium	6 Amber
Consequences		Current Controls		Assurance	
Increase use of agency staff Higher Complaints Cost implications		<ul style="list-style-type: none"> - A robust system to manage sickness and absence - Sickness management - Programme of inoculation against diseases - Robust provider of temporary labour 			
Sign Off and Comments					
Sign Off Complete					

ND_I04 Lack of fuel due to shortages, unavailability or price

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: David Austin	Portfolio Holder: Cllr Julie Laws	Tolerance: Terminating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	1 Low	2 Green	1 Very Unlikely	1 Low	1 Green
Consequences		Current Controls		Assurance	
Service disruption Health hazards		- National agreements in place			

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Staffing issues		
Sign Off and Comments		
Sign Off Complete		

ND_M01 Failure to respond to opportunities presented by Localism Bill

Category: Marketplace	Corporate Priority: Dacorum Delivers	Risk Owner: David Austin	Portfolio Holder: Cllr Neil Harden	Tolerance: Tolerating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	2 Unlikely	3 High	6 Amber
Consequences		Current Controls		Assurance	
Missed efficiencies from inappropriate allocation of resources		- Analysis of localism bill proposals			

Sign Off and Comments					
Sign Off Complete					

ND_R01 Lack of capacity to deliver Neighbourhood Action

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: David Austin	Portfolio Holder: Cllr Neil Harden	Tolerance: Tolerating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	2 Unlikely	1 Low	2 Green

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Consequences	Current Controls	Assurance
Failure to on priorities identified at a local level by residents	<ul style="list-style-type: none"> - Create new apprentice position - Create generic JDs for ASB and Neighbourhood Action - Regular appraisals to assess individual needs/requirements 	
Sign Off and Comments		
Sign Off Complete		

Planning Development & Regeneration - James Doe

PDR_F01 Market fails to bring forward because of continuing economic uncertainty

Category: Financial	Corporate Priority: Regeneration	Risk Owner: James Doe	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	2 Medium	6 Amber
Consequences		Current Controls	Assurance		
<ul style="list-style-type: none"> - Unable to meet local targets. - Adverse effect on local economy - Rise in unemployment - Other centres emerge stronger 		Economic Development Strategy in place with review process planned in - Dacorum Development Programme in place with dedicated team and budget - Participation in county-wide initiatives and Partnership - Corporate actions; developments monitored and managed through Corporate Regeneration Group;	Economic Development Strategy published - to be uploaded to website Dacorum Development Programme at http://www.dacorum.gov.uk/docs/default-source/strategic-planning/ddpjanuary2013.pdf?sfvrsn=0		

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<p>- Dacorum: Look No Further initiative in place and operational with £150,000 fund over two years - Bid approved by Herts LEP for £3.5m for infrastructure delivery to unlock key developments at Maylands in Dec 2011 - Bid made for 2nd round of growing places funding for £1m to assist with the regeneration of Market Square, HH Town Centre through relocation of bus interchange</p>	<p>Regeneration proposals generally at http://www.dacorum.gov.uk/home/regeneration See promotional information at www.dacorumlooknofurther.co.uk</p>
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Sign Off and Comments

Sign Off Complete

No change since last period. Note links to assurance documents.

PDR_F02 External funding sources are reduced or disappear

Category: Financial	Corporate Priority: Regeneration	Risk Owner: James Doe	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	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> - Unable to meet government and local targets. - Key projects are not delivered and local economy suffers - Local Development Framework is set back - Low housing delivery in recession limits New Homes Bonus receipt 		<ul style="list-style-type: none"> - Expenditure and actions are being monitored through the Corporate Regeneration Group increasing chances of success in the future - Dacorum Development Programme to ensure maximum output of housing - LDF expenditure kept under review - SPAR team to keep external sources under review - Local Investment Plan aims to get most from Council 		Submission being prepared to LEP for strategic implementation plan, autumn 2013.	

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and HCA assets - Growing Places Fund bids to Herts LEP approved in 2012, with further bid submitted December 2012. - Cabinet approved further operational resources in December 2011 of £150,000 for the now operational Dacorum: Look No Further initiative - strong housing output leading to receipt of New Homes Bonus	
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Sign Off and Comments

Sign Off Complete
See update as above.

PDR_F03 Key income streams do not meet planning fees, building regulations and local land charges income budgets

Category: Financial	Corporate Priority: Regeneration	Risk Owner: James Doe	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	2 Unlikely	3 High	6 Amber
Consequences		Current Controls		Assurance	
Unable to meet government and local targets. - Bad press - Shortfall on budget and potential staff cuts/service reduction		Review of processes in development management to bring service costs down - new national planning fees with 15% uplift from autumn 2012 now in place - Regular budget monitoring - Trading accounts for BC and LLC set up		Cabinet report re BC proposals on 23 July 2013 (part 2 item)	

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- BC fees have been revised
Sign Off and Comments
Sign Off Complete Note update to Building Control.

PDR_I01 Failure to deliver on the Regeneration and Sustainability Agenda by Insufficient Capac					
Category:	Corporate Priority:		Risk Owner:	Portfolio Holder:	Tolerance:
Infrastructure	Regeneration		James Doe	Cllr Andrew Williams	Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	3 High	6 Amber
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> - Unable to meet government and local targets. - Bad press - Lack of funding 		<ul style="list-style-type: none"> - SPAR team now fully funded by General Fund following phase 2 realignment and budget process - Formation of corporate regeneration group has brought in further support and capacity - Work with Destination Dacorum Group (our partners) underway to engage in a programme of work -Dacorum: Look No Further initiative launched backed by £150,000 of resource to support economic growth and development. -SPAR team organised to focus on delivery of top corporate priorities. - Service plan objectives to consider partnering and local delivery options - New Strategy and Development team in Strategic Housing formed with considerable development 		Project PIDs and governance in place, particularly Corporate Regeneration Group and Hemel Evolution Programme Board.	

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experience
Sign Off and Comments
Sign Off Complete As above.

PDR_I02 Failure to deliver on the Regeneration and Sustainability Agenda by lack of internal expertise

Category: Infrastructure	Corporate Priority: Regeneration	Risk Owner: James Doe	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	2 Unlikely	3 High	6 Amber
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> - Unable to meet government and local targets - Bad press - Lack of funding 		<ul style="list-style-type: none"> - Allocated budget to provide extra resources - Formation of corporate regeneration group - Work with Destination Dacorum Group (our partners) to engage in a programme of work - Service plan objectives to consider partnering and local delivery options - new Strategy and Development team in Strategic Housing formed with considerable development experience - Options for strategic partnering with a major developer are being laid out, to bring in external expertise 			

Sign Off and Comments
Sign Off Complete

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Note additional staff resource as above.

PDR_I03 Failure to deliver on the Regeneration and Sustainability Agenda by Failure of partners to engage

Category: Infrastructure	Corporate Priority: Regeneration	Risk Owner: James Doe	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"> - Unable to meet government and local targets - Bad press - Lack of funding 		<ul style="list-style-type: none"> - Allocated budget to provide extra resources - Formation of corporate regeneration group - Work with Destination Dacorum Group (our partners) to engage in a programme of work - Service plan objectives to consider partnering and local delivery options - Meetings with developers and agents to identify and resolve blockages to delivery - Landowner agreement with HCA drafted and sent to them for consideration and approval 			
Sign Off and Comments					

Sign Off Complete

Note change to residual risk rating, now at 9.

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PDR_I04 Failure of Business Continuity Plan to keep critical and key services running

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: James Doe	Portfolio Holder: Cllr Andrew Williams	Tolerance: Tolerating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	3 High	6 Amber	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	
		<ul style="list-style-type: none"> - Business Continuity Plan in place at start of business year - Quarterly review through PDRMT - Review through Emergency Planning Officer 		Corporate Business Continuity Plan	
Sign Off and Comments					
Sign Off Complete No further changes.					

PDR_I05 Workforce Planning fails to prevent service failure

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: James Doe	Portfolio Holder: Cllr Andrew Williams	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	3 High	6 Amber	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> - Unable to fulfil service commitments - Public service adversely affected 		<ul style="list-style-type: none"> - Workforce development plan - Establishment Management control procedures 			

OPERATIONAL RISK REGISTER

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- Projects not fulfilled and economy suffers	encourage critical evaluation over need for posts
Sign Off and Comments	
Sign Off Complete	
No further changes.	

PDR_R01 Local Development Framework (LDF) fails to meet milestones in Local Development Scheme

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: James Doe	Portfolio Holder: Cllr Andrew Williams	Tolerance: Tolerating	
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"> - Bad press - Policy vacuum develops and control over new development diminishes 		<ul style="list-style-type: none"> - Core Strategy adopted September 2013 - a major task and milestone achieved, to make the rest of the process achievable - Project management and monitoring of progress against the Local Development Scheme - LDS revised December 2012 to set out work programme over next 3 years - Use of project support resource over 2013 		<p>Core Strategy to be published on line.</p> <p>Report to Cabinet http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-(373-kb).pdf?sfvrsn=0</p> <p>supplementary report to Cabinet on 17 Sep at http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-supplement---core-strategy-legal-challenge-(572-kb).pdf?sfvrsn=0</p>	

OPERATIONAL RISK REGISTER

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Sign Off and Comments

Sign Off Complete

Adoption of CS a major achievement, but residual risk raised to 9 during judicial review period.

Housing Landlord - Elliott Brooks

HL_F01 Failure to closely monitor operational and financial factors affecting the delivery of the HRA Business Plan

Category: Financial	Corporate Priority:		Risk Owner: Elliott Brooks	Portfolio Holder: Cllr Margaret Griffiths	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	2 Medium	2 Green
Consequences		Current Controls		Assurance	
Delivery of the Business Plan would not be achieved if income and financial control is not closely managed		Quarterly and end of year review of Business Plan in partnership with Finance		HRA Business Plan	

Sign Off and Comments

Sign Off Complete

Recent Announcement regarding proposed changes to Govt Rent Policy could have an impact on the HRA Business Plan going forward. Officcers working to analyse and briefing Members & Tenants

HL_F02 Failure to closely monitor operational and financial factors relating to the delivery of the Council's Homelessness Service

Category: Financial	Corporate Priority: Affordable Housing		Risk Owner: Elliott Brooks	Portfolio Holder: Cllr Margaret Griffiths	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score

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3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
DBC Could be open to legal challenge if the service is not fit for purpose due to lack of resources for this statutory service. Health & Safety risks for clients if not provided with TA and left to sleep rough. Increase in homeless presentations would have severe impact on budget.		Monthly financial monitoring with Group Manager and accountant, team leader monitors weekly B & B spend, and monthly reporting of stats including numbers of cases seeking Housing Advice and presentations as homeless.			
Sign Off and Comments					
Sign Off Complete					

HL_I03 Failure to adopt a service specific best practice approach to Health and Safety (Housing Landlord)

Category: Infrastructure	Corporate Priority: Safe and Clean Environment	Risk Owner: Elliott Brooks	Portfolio Holder: Cllr Margaret Griffiths	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	
Death or injury to staff; residents or contractors' staff; reputation; litigation and charges of corporate manslaughter.		Service specific H & S procedures applied to sheltered housing service covering service users and staff eg. fire safety and lone working; clear landings policy and procedures; estate inspections schedule.. Corporate H&S policy under review. Ongoing training for staff in key areas. Directorate Health & Safty Committee Quarterly at DMT			

OPERATIONAL RISK REGISTER

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Standing Items on Team Meeting Agendas
Sign Off and Comments
Sign Off Complete

HL_I04 Failure to upgrade the housing IT management system and Orchard Upgrade implementation project

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: Elliott Brooks	Portfolio Holder: Cllr Margaret Griffiths	Tolerance: Tolerating	
Inherent Probability 4 Very Likely	Inherent Impact 4 Severe	Inherent Risk Score 16 Red	Residual Probability 2 Unlikely	Residual Impact 4 Severe	Residual Risk Score 8 Amber
Consequences		Current Controls		Assurance	
An unsupported system would result in significant management risks; unable to develop the service and become more customer focussed.		Project Group progressing - budget allocated. Role out of some modules on target to completed 4TH Quarter 13/14			

Sign Off and Comments
Sign Off Complete
Project Plan on target - training of new modules taking place

HL_M01 Failure to have systems in place which exert effective financial and operational control over current contracts in the lead-in period to 2014 expiry

Category: Marketplace	Corporate Priority: Dacorum Delivers	Risk Owner: Elliott Brooks	Portfolio Holder: Cllr Margaret Griffiths	Tolerance: Tolerating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score

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3 Likely	4 Severe	12 Red	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
Poor audit external and internal reports; reputation; unable to demonstrate value for money; lack of credibility, less improvements to stock / homes		<ul style="list-style-type: none"> - Regular meetings with contractors and housing accountant. - Budget transparency and monthly monitoring in place. - Post inspection checks of charges undertaken. - Support from AD and Corporate Director. <p>Procurement Project Plan includes Exit Strategy from Current Contract - Initial related discussions started</p> <p>Core Group meetings set up monthly with outgoing Responsive Repairs contractor to manage performance, financial control and staffing/TUPE issues</p>			
Sign Off and Comments					
Sign Off Complete					
Currently analysing the Period 6 position to report to Cabinet / Scrutiny & TLC in November. There are projected overspends regarding Responsive Repairs and Voids but with valid reasons					

HL_R01 Failure to adapt to the new regulatory framework and requirements for tenant scrutiny

Category: Reputational	Corporate Priority:	Risk Owner: Elliott Brooks	Portfolio Holder: Cllr Margaret Griffiths	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact
		Residual Risk Score		

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3 Likely	3 High	9 Amber	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	
		Recent Review of Tenant Involvement Structure included the introduction of a Tenant Scrutiny Panel by April 2013		TI Strategy - Get Involved	
Sign Off and Comments					
Sign Off Complete New Tenant Scrutiny Panel now in place					

HL_R02 Failure to deliver key milestones on time within the Housing Repairs, Maintenance and Improvement Procurement Project

Category: Reputational	Corporate Priority:	Risk Owner: Elliott Brooks	Portfolio Holder: Cllr Margaret Griffiths	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
Reputational damage, service disruptions and budget uncertainty		Approved PID Project Plan on Target Report for Cabinet submitted recommending progression direction GM seconded to work solely on the project - (substantive post backfilled)			
Sign Off and Comments					

OPERATIONAL RISK REGISTER

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Sign Off Complete

Second Stage of Comp dialogue due to start early November (TAM)

New Gas Contract Started 1/10/13

HL_R03 Failure to Deliver the Council's New Build Programme

Category: Reputational	Corporate Priority: Affordable Housing	Risk Owner: Elliott Brooks	Portfolio Holder: Cllr Margaret Griffiths	Tolerance: Tolerating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
Reputational and financial impact with public and HCA regarding grant allocations and due to the high profile of the project		Monthly Financial meetings to monitor budgets, Fortnightly AD update, monthly project group, seconded team concentrating solely on development.			

Sign Off and Comments

Sign Off Complete

Hostel Contract awarded & signed - first part of HCA grant received

Fram Place Contract to be awarded Late October

Galley Hill and London Road on schedule

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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: 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 Incomplete					

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	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 Incomplete		

CE_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 Incomplete		

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

CE_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 Incomplete					

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
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 Incomplete		

CE_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 Incomplete

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
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 Incomplete

CE_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 Incomplete					

CE_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 Incomplete		

CE_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 Incomplete					

CE_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					
Sign Off Incomplete					

Finance & Resources - James Deane

FR_F02 Delays to Capital programme

Category: Financial	Corporate Priority: Dacorum Delivers	Risk Owner: James Deane	Portfolio Holder: Cllr Nick Tiley	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
Many of the major projects within the Capital Programme are fundamental to delivery of the Council's corporate objectives. Therefore significant delays can impact on the achievement of the corporate plan.		<p>Monthly meetings take place between accountants and budget holders to monitor progress against original timeframes and costs.</p> <p>Capital Strategy Steering Group (CSSG) meets quarterly</p>		<p>Quarterly Finance reports to Cabinet and OSCs.</p> <p>Capital Strategy.</p>	

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<p>Financial decision-making is negatively affected if the timing of projects in the Capital Programme is wrong. This can result in lost investment income or increased interest costs as the Council moves closer to the point where it will need to borrow.</p> <p>The estimated delivery date is considered as part of the decision to allocate capital funds to one project over another. If estimated timings are not accurate, there is a risk that the allocation of funds is not being decided on appropriately.</p> <p>If inaccurate project management is tolerated, there is a risk that the culture of financial management across the Council will be negatively affected which will have consequences for wider financial decision-making.</p> <p>Not delivering major projects within the timeframe to which it has committed itself exposes th</p>	<p>to review progress against the Programme, and to consider whether new funding bids are robust.</p> <p>Reports go to Cabinet and all Overview and Scrutiny Committees (OSC) every quarter. These reports have been redesigned to focus on the more immediate risk of in-year delivery, highlighting higher risk areas to invite closer scrutiny from Members.</p>	
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Sign Off and Comments

Sign Off Incomplete

FR_F03 Variances in General Fund revenue budget

<p>Category: Financial</p>	<p>Corporate Priority: Dacorum Delivers</p>	<p>Risk Owner: James Deane</p>	<p>Portfolio Holder: Cllr Nick Tiley</p>	<p>Tolerance: Treating</p>	
<p>Inherent Probability</p>	<p>Inherent Impact</p>	<p>Inherent Risk Score</p>	<p>Residual Probability</p>	<p>Residual Impact</p>	<p>Residual Risk Score</p>

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4 Very Likely	2 Medium	8 Amber	3 Likely	2 Medium	6 Amber
Consequences		Current Controls		Assurance	
<p>Accurate, well-controlled budgeting relates directly to the achievement of the Dacorum Delivers corporate objective, and indirectly, through the financial decision-making process, to the achievement of all of the Council's corporate objectives.</p> <p>Inaccurate budgeting negatively affects the Council's ability to make evidence-based decisions. A significant underspend at year-end could indicate that funds have been needlessly diverted from a competing priority. A significant overspend at year-end could result in reserves being used to support lower priority objectives. Both of these could result in reputational damage for the Council.</p> <p>Failure to address the causes of inaccurate budgeting could negatively impact the Council's culture of financial management, which in turn increases the risk of poor financial decision-making.</p>		<p>The annual budget-setting process consists of an ongoing scrutiny process in which senior officers from across the Council, together with the Financial Services team, challenge the following year's budget bids from Group Managers.</p> <p>This scrutiny process is augmented by the Budget Review Group (BRG), consisting of Chief Officer Group and representatives from the Portfolio Holder group, which provides early Member-level challenge.</p> <p>There are two opportunities for OSCs to scrutinise the budget proposals and directly question the relevant officers before the budget report is finalised and considered by Cabinet and Council.</p> <p>Once approved, in-year budget performance is managed through monthly meetings between accountants and budget holders, which underpin monthly reports to CMT and quarterly reports to Cabinet and OSCs.</p> <p>The Council's Financial Regulations provide a guide to all budget-holders and are subject to annual review.</p>		<p>The Council's budgetary controls are assessed each year by Internal Audit, and at the last assessment, in January 2013, received a 'Full' level of assurance.</p>	
Sign Off and Comments					
Sign Off Incomplete					

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FR_I02 Failure to optimise income generated by commercial assets

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: James Deane	Portfolio Holder: Cllr Nick Tiley	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	2 Unlikely	3 High	6 Amber
Consequences		Current Controls		Assurance	
<p>The council has a significant portfolio of commercially let properties, which provides one of the council's largest sources of income.</p> <p>Council officers must attempt to maximise income from these assets whilst avoiding the risk of vacant properties and increasing bad debts, which could arise if rents are set too high, and would jeopardise the council's achievement of its corporate objectives of Regeneration and Dacorum Delivers.</p> <p>The continuing recession and the difficulties it brings for local businesses increases the likelihood of this risk crystallising.</p>		<p>Estates officers responsible for negotiating rent reviews hold monthly meetings with the Debtors team to track current bad debtors. This increases their understanding of the economic pressures businesses are facing, and how it can impact on council income.</p> <p>There are currently Corvu performance targets to maintain the number of voids (empty properties) below 5%, and to keep the rent arrears below 10%. Failure to meet either of these targets would prompt further investigation.</p>			
Sign Off and Comments					
Sign Off Incomplete					

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FR_I04 Failure to maintain an effective business continuity plan for all relevant service areas

Category: Infrastructure	Corporate Priority: Safe and Clean Environment	Risk Owner: James Deane	Portfolio Holder: Cllr Nick Tiley	Tolerance: 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	
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 process. - Corporate business continuity process and procedures set out in emergency response toolkit. 			
Sign Off and Comments					
Sign Off Incomplete					

FR_R01 Council Tax and Business Rates collections rates drop below budget

Category: Reputational	Corporate Priority: Dacorum Delivers	Risk Owner: James Deane	Portfolio Holder: Cllr Nick Tiley	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
Distribution of collection fund to other preceptors is		Profiled monthly collection rates form part of monthly			

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<p>based on the budgeted collection level, if collection falls short this could lead to a cashflow issue within the Council's finances. The fund distribution is balanced after the end of the financial year.</p> <p>Reputational risk if collection rate falls significantly – this could also impact on future years' council tax base leading to increased budget pressures.</p> <p>Financial risk in relation to business rate retention scheme if rates collection falls below government set baseline.</p>	<p>monitoring.</p> <p>Reasons for variance are investigated monthly.</p> <p>Direct debit payment is recommended for all customers – a pre-filled instruction is sent to all non-DD payers with their annual bill or a first bill for a new taxpayer.</p> <p>There is an active programme for taking formal recovery action against non payers.</p>	
Sign Off and Comments		
Sign Off Incomplete		

FR_R02 Delays and errors in the processing of Benefits claims

Category: Reputational	Corporate Priority: Dacorum Delivers		Risk Owner: James Deane	Portfolio Holder: Cllr Nick Tiley	Tolerance: Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	3 High	12 Red	4 Very Likely	2 Medium	8 Amber
Consequences		Current Controls		Assurance	
This risk links to the corporate objective Dacorum Delivers, focussing on an efficient and effective council. Customers could suffer personal hardship resulting from		Quality checking and individual performance management is in place. These mean that each officer has targets for their personal productivity and accuracy, and information from quality checks is fed back in order			

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<p>delays or errors in the processing of claims.</p> <p>Significant reputational risk associated with high-profile errors.</p> <p>Staff time spent on addressing unnecessary errors leads to duplication of effort and is an inefficient use of resources.</p> <p>Government subsidy for housing benefit expenditure is based on external audit certification of the claim made. There is financial risk if errors on cases are identified during their testing.</p> <p>Communications with claimants needs to be well written and jargon-free in order to reduce the risk of repeat queries which puts pressure on limited staff resources.</p>	<p>to sustain improvement.</p> <p>Average time taken for processing new claims and changes in circumstances forms part of monthly monitoring.</p> <p>Processes are in place to expedite cases where the customer is vulnerable or facing eviction. These processes start when a case is identified within benefits, or by customer services, homelessness, housing etc.</p>	
<p>Sign Off and Comments</p>		
<p>Sign Off Incomplete</p>		