

# OPERATIONAL RISK REGISTER

September 2013



## 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

<b>Category:</b> Financial	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
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			
<b>Sign Off and Comments</b>					
Sign Off Complete No change					

### CE\_F02 Lack of resources to be able to design and implement a Category Management approach to the Councils 3rd party expenditure

<b>Category:</b> Financial	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
4 Very Likely	3 High	12 Red	2 Unlikely	3 High	6 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	

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

<b>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</b>					
<b>Category:</b> Marketplace	<b>Corporate Priority:</b> Safe and Clean Environment		<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Tolerating
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	1 Very Unlikely	4 Severe	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
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"> <li>- The housing assistance scheme being completely reviewed to offer a comprehensive package</li> <li>- The Private Sector Housing Renewal Strategy being reviewed to reflect this</li> <li>- IT system being re-programmed to capture more sophisticated performance data</li> <li>- Staff training</li> </ul>			

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- Phase II realignment improving resource allocation	
- Partnership opportunities being sought	
- Equity release schemes being researched	

**Sign Off and Comments**

Sign Off Complete

The risk owner will become David Austin. The Private Sector Housing Assistance Policy was agreed by Cabinet on 28 March 2013. This Policy sets out the range of different types of financial assistance which can be provided by the Council to eligible owners/occupiers in private sector housing for the purpose of improving and maintaining the quality of the residential stock. The Policy was prepared by Environmental Health.

## **CE\_M02 Failure of Council staff and Members to understand and embrace localism**

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

## **CE\_M03 Failure to prepare policy and strategy around Localism**

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<b>Category:</b> Marketplace	<b>Corporate Priority:</b> Building Community Capacity	<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	3 High	9 Amber	1 Very Unlikely	4 Severe	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
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			
<b>Sign Off and Comments</b>					
Sign Off Complete No change					

## CE\_R01 Failure to deliver successful elections

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
4 Very Likely	4 Severe	16 Red	1 Very Unlikely	4 Severe	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
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.		- Election Preparation Plan and Risk Assessment - Establish Election Team, allocate resources, audit and prepare equipment - Oversee actual Election - Check Results			

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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.	<ul style="list-style-type: none"> <li>- Conclude election paperwork</li> <li>- Clear and Store election equipment</li> <li>- Prepare Election Accounts</li> <li>- Consult Key stakeholders</li> <li>- Produce 'Mop-up' report for Autumn Overview &amp; Scrutiny</li> <li>- Implement recommendations from Overview &amp; Scrutiny in preparation for future elections</li> </ul>	
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**Sign Off and Comments**

Sign Off Complete

No change

## **CE\_R02 Failure to successfully complete Parliamentary Boundary Review**

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> 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"> <li>- Prepare Plan and Risk Assessment</li> <li>- Establish Review Team, allocate resources, audit and prepare mapping equipment</li> <li>- Consult with all interested groups and statutory consultees</li> <li>- After 2011 election begin to implement action plan</li> <li>- Winter 2011/12; Collect consultation, organise Boundary Steering Group, agree Council submission</li> </ul>			

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- Assess review and implement conclusions
<b>Sign Off and Comments</b>
Sign Off Complete This risk will be removed from the operational risk register as the Home Office have suspended the Boundary Review indefinitely.

<b>CE_R03 Failure to maintain Lexcel accreditation</b>					
<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers		<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
4 Very Likely	3 High	12 Red	1 Very Unlikely	3 High	3 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
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"> <li>- IDP framework</li> <li>- Engaged specialist consultant</li> <li>- Support from Policy and Improvement Officer</li> <li>- Support and active participation of Legal Team members</li> </ul>			
<b>Sign Off and Comments</b>					
Sign Off Complete No change					

<b>CE_R04 Failure to have a robust system in place to deal with contingencies</b>					
<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers		<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Tolerating

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Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	4 Severe	16 Red	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
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"> <li>- Training programme for officers who would be involved in the emergency plan in place</li> <li>- regular training exercises</li> <li>- regular testing of business continuity call out</li> <li>- Existing arrangements with Herts CC</li> <li>- Up to date business continuity plans in place</li> </ul>			
Sign Off and Comments					
Sign Off Complete					
The risk owner will become David Austin. An up to date Emergency Plan was recently issued and training followed by a desk top exercise has been arranged for later this year.					

## CE\_R05 Failure to adopt a service specific best practice approach to managing Health and Safety

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> 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	

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Death or injury to staff; residents or contractors' staff; reputation; litigation and charges of corporate manslaughter	- Service specific health and safety policies in respect of Council buildings and commercial properties. - Ongoing training for staff in key areas.	
<b>Sign Off and Comments</b>		
Sign Off Complete No change		

## CE\_R06 Failure to maintain an effective business continuity plan for all relevant service areas

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> Steve Baker	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Tolerating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	1 Very Unlikely	4 Severe	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Disruption caused by service failure leading to hardship for individuals, potential loss of business and significant reputational damage		- 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.			
<b>Sign Off and Comments</b>					
Sign Off Complete The risk owner will become David Austin.					

## CE\_R07 Failure to adopt a service specific best practice approach to managing Health and Safety

<b>Category:</b>	<b>Corporate Priority:</b>	<b>Risk Owner:</b>	<b>Portfolio Holder:</b>	<b>Tolerance:</b>
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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"> <li>- Service specific H&amp;S Risk Registers produced and monitored quarterly at DMT</li> <li>- Corporate H&amp;S policy under review</li> <li>- Ongoing training for staff in key areas</li> </ul>				
Sign Off and Comments						
Sign Off Complete						
No change						