

# OPERATIONAL RISK REGISTER

September 2015



## 1) Neighbourhood Delivery - David Austin

ND\_F01 Failure to monitor the variation in projected levels of income for recyclables.

<b>Category:</b> Financial	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> David Austin	<b>Portfolio Holder:</b> Cllr Janice Marshall	<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	3 Likely	2 Medium	6 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
<p>The comingled recyclables are delivered to a Material Recycling Facility where we receive a 'basket' price for the materials. This 'basket' price is based on market rates and the relative percentage presence of the different recyclables in the mix (e.g the % of say glass of the overall weight , a sampling regime is in place). If there is a fall in market rates or changes in the % mix away from the more valuable recyclables we would see a gate fee introduced and the opposite of this also applies (a rise in material values would the Council receive an income per tonne of recyclable material. In addition the Council receives an incentive payment (called the Alternative Financial Model) from Hertfordshire County Council . This payment is based on reducing the amount of waste sent for disposal so again any changes in recycling performance will impact on this income stream.</p>		<ul style="list-style-type: none"> <li>- There are regular meetings with the Service Accountant to monitor any changes.</li> <li>- The market price for recyclable materials and potential forecasts in changes is monitored via trade publications and professional contacts such as the Chartered Institute</li> </ul>		<p>The contract for the processing of recyclables is with one of the larger waste management companies which gives greater reassurance in terms of their market position.</p>	

# OPERATIONAL RISK REGISTER

September 2015



**Sign Off and Comments**

Sign Off Complete  
 There has been a decline in global commodity prices which has affected some materials in the comingled mix for the second quarter.

**ND\_F02 Lack of budget to develop services**

<b>Category:</b> Financial	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> David Austin	<b>Portfolio Holder:</b> Cllr Janice Marshall	<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	3 Likely	3 High	9 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
There would be issues with service provision leading to more complaints around missed bins, return of containers etc and general dissatisfaction with the service. In addition , there would be issues with the provision of effective recycling services which may impact on recycling performance in the Borough.		The budget in place is based on significant modelling work carried out as part of the move to the new waste service. This included the use of route optimisation software to ensure that rounds were achievable using the resources provided.		There are issues with initial overspends in the first quarter which officers are currently analyzing. Including productivity on the rounds.	

**Sign Off and Comments**

Sign Off Complete  
 The residual risk score remains high as officers further investigate issues on the new service.

# OPERATIONAL RISK REGISTER

September 2015



## ND\_I01 Failure to achieve Headline Service Objectives

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> David Austin	<b>Portfolio Holder:</b> Cllr Janice Marshall	<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>
2 Unlikely	2 Medium	4 Green	1 Very Unlikely	1 Low	1 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
The headline service objectives link to the Borough's Corporate Plan and any failure to achieve them would lead to reputational damage to the Council and potentially additional costs.		The Service Plan objectives are monitored closely at a series of forums including appraisals, Corporate Working Group and Departmental Management Team. Any potential issues with delivery are discussed and addressed to ensure delivery. There are also regular updates at Corporate Management Team to ensure that there is cross working when required. Where possible, objectives are also supported by a suite of performance indicators.		Progress against the objectives is being monitored so assurance details will be advised here later in year.	
<b>Sign Off and Comments</b>					
Sign Off Complete No further comments at this stage.					

## ND\_I02 Failure to manage relationships with Service areas across the Council

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> David Austin	<b>Portfolio Holder:</b> Cllr Janice Marshall	<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>

# OPERATIONAL RISK REGISTER

September 2015



3 Likely	2 Medium	6 Amber	2 Unlikely	2 Medium	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
This could lead to duplication of activities on projects or the required support for a service not being by another part of the Council. This could have a negative impact on either service delivery or the successful completion of projects.		There are Corporate Working Groups that include staff from a cross section of disciplines across the Council to ensure there is effective communication on a range of areas. These meet on a monthly basis and there is a specific one for this area - the Environment Corporate Working Group. These groups then report to the senior Corporate Management Team an agreed unified approach can be taken. There are also regular Leadership Team events where any key current topics can be discussed.		There has been good progress on a range of Council projects which demonstrates that effective communication continues to take place.	
<b>Sign Off and Comments</b>					
Sign Off Complete No further comments at this stage.					

## ND\_I03 Failure to manage sickness levels and staff retention

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> David Austin	<b>Portfolio Holder:</b> Cllr Janice Marshall	<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	3 Likely	4 Severe	12 Red
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
If there is an increase in sickness, there are a number of significant impacts on services. Agency staff usage		There is a robust system to manage sickness and absence with dedicated Human Resource support based		As more agency staff have therefore been employed this has a 'knock on' effect to service quality and further	

# OPERATIONAL RISK REGISTER

September 2015



increases which leads to higher revenue costs but also affects service quality. This can lead to further additional costs such as returning for missed bins as well the resource required to deal with additional complaints.	at Cupid Green Depot. A monthly update is circulated for management team including a case review of long term absences to ensure everything is being done to support the employee back into work. There is also a programme of inoculation against diseases to act as a preventative measure.	cost implications. Officers will be carrying out further work in this area during 2015/2016 to ascertain whether policy changes are required to improve performance in this area.
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## Sign Off and Comments

Sign Off Complete

An action plan has been initiated by Neighbourhood Delivery to look at improving levels of sickness absence.

## Planning Development & Regeneration - James Doe

### PDR\_F01 Market fails to bring forward because of continuing economic uncertainty

<b>Category:</b> Financial	<b>Corporate Priority:</b> Regeneration	<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Cllr Graham Sutton	<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	3 Likely	2 Medium	6 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Needs of the community in terms of housing, jobs and local services will not be met.		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		Economic Development Strategy published at <a href="http://www.dacorumlooknofurther.co.uk/docs/default-document-library/ed-strategy-brochure-web-pdf.pdf?sfvrsn=0">http://www.dacorumlooknofurther.co.uk/docs/default-document-library/ed-strategy-brochure-web-pdf.pdf?sfvrsn=0</a>  Dacorum Development Programme at	

# OPERATIONAL RISK REGISTER

September 2015



	<p>managed through Corporate Regeneration Group;</p> <ul style="list-style-type: none"> <li>- Dacorum: Look No Further initiative in place and operational with £150,000 fund over two years</li> <li>- Submission made to the LEP's Single Local Growth Fund for a range of projects to boost the economy;</li> <li>- New Town Centre team in place with Town Centre Strategy now approved; funding for this ends in March 2016 but services are to be rearranged for 16/17 onwards to allow TC management to continue</li> </ul>	<p><a href="http://www.dacorum.gov.uk/docs/default-source/strategic-planning/ddpjanuary2013.pdf?sfvrsn=0">http://www.dacorum.gov.uk/docs/default-source/strategic-planning/ddpjanuary2013.pdf?sfvrsn=0</a></p> <p>Regeneration proposals generally at <a href="http://www.dacorum.gov.uk/home/regeneration">http://www.dacorum.gov.uk/home/regeneration</a></p> <p>See promotional information at <a href="http://www.dacorumlooknofurther.co.uk">www.dacorumlooknofurther.co.uk</a></p> <p>Town Centre Strategy at <a href="http://www.dacorum.gov.uk/home/council-democracy/meetings-minutes-and-agendas/events/2014/10/21/cabinet/cabinet">http://www.dacorum.gov.uk/home/council-democracy/meetings-minutes-and-agendas/events/2014/10/21/cabinet/cabinet</a></p>
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### Sign Off and Comments

Sign Off Complete

### PDR\_F02 External funding sources are reduced or disappear

<b>Category:</b> Financial	<b>Corporate Priority:</b> Regeneration	<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Cllr Graham Sutton	<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>	
Key projects fail to come forward.		Robust project management procedures in place to minimise risk to the Council in seeking new funds and to		Cabinet reports on Water Gardens project	

# OPERATIONAL RISK REGISTER

September 2015



	ensure timely spend to avoid clawback of grant funding.	Cabinet reports on Maylands Urban Realm Project
	Corporate Project Management systems	Bid submission to Herts LEP
	Management of cases through Dacorum Regeneration Programme Board.	
<b>Sign Off and Comments</b>		
Sign Off Complete		

<b>PDR_F03 Key income streams do not meet planning fees, building regulations and local land charges income budgets</b>					
<b>Category:</b> Financial	<b>Corporate Priority:</b> Regeneration		<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Cllr Graham Sutton	<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	3 High	6 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Unable to meet government and local targets. - Bad press - Shortfall on budget and potential staff cuts/service reduction		Monthly monitoring of development levels and income with Accountancy at GM and AD level		Budget preparation for 2016/17 plans for increased income from planning fees.	
<b>Sign Off and Comments</b>					
Sign Off Complete					

# OPERATIONAL RISK REGISTER

September 2015



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 Graham Sutton	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	
Regeneration projects fail, are delayed or go over budget.		<ul style="list-style-type: none"> <li>- SPAR team fully in place</li> <li>- Formation of corporate regeneration group has brought in further support and capacity</li> <li>- Projects monitored through Dacorum Regeneration Programme Board and Steering Group</li> </ul>		<p>Project PIDs and governance in place, particularly Corporate Regeneration Group and Dacorum Regeneration Programme Board.</p> <p>See Cabinet report Dec 2013 regarding Hemel Evolution project management arrangements  <a href="http://www.dacorum.gov.uk/docs/default-source/council-democracy/cabinet---13-12-17---hemel-evolution-report---final-report-jd-comments.pdf?sfvrsn=0">http://www.dacorum.gov.uk/docs/default-source/council-democracy/cabinet---13-12-17---hemel-evolution-report---final-report-jd-comments.pdf?sfvrsn=0</a></p> <p>Work now progressing on site for the Marlowes Shopping Zone improvements and on schedule.</p>	
Sign Off and Comments					
Sign Off Complete					



# OPERATIONAL RISK REGISTER

September 2015



## PDR\_I02 Failure to deliver on the Regeneration and Sustainability Agenda by lack of internal expertise

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Regeneration	<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Cllr Graham Sutton	<b>Tolerance:</b> 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	
Regeneration projects fail, are delayed or go over budget.		Qualified staf appointed.  Specialist expertise has been brought in using project finance on cost management, Design monitoring and Health and Safety.		See Dec 2013 Cabinet report for Hemel Evolution project management arrangements <a href="http://www.dacorum.gov.uk/docs/default-source/council-democracy/cabinet---13-12-17---hemel-evolution-report---final-report-jd-comments.pdf?sfvrsn=0">http://www.dacorum.gov.uk/docs/default-source/council-democracy/cabinet---13-12-17---hemel-evolution-report---final-report-jd-comments.pdf?sfvrsn=0</a>	
Sign Off and Comments					
Sign Off Complete					

## PDR\_I03 Failure to deliver on the Regeneration and Sustainability Agenda by Failure of partners to engage

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Regeneration	<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Cllr Graham Sutton	<b>Tolerance:</b> 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	

# OPERATIONAL RISK REGISTER

September 2015



Regeneration projects fail, are delayed or go over budget.	Regular engagement with key partners and stakeholders through direct project management and through Dacorum Regeneration Programme Board.	<p>HH Town Centre Masterplan at <a href="http://www.dacorum.gov.uk/home/regeneration/hemel-evolution/hemel-hempstead-masterplan">http://www.dacorum.gov.uk/home/regeneration/hemel-evolution/hemel-hempstead-masterplan</a></p> <p>Water Gardens funding report to Cabinet at <a href="http://www.dacorum.gov.uk/home/council-democracy/meetings-minutes-and-agendas/events/2014/07/22/cabinet/cabinet">http://www.dacorum.gov.uk/home/council-democracy/meetings-minutes-and-agendas/events/2014/07/22/cabinet/cabinet</a></p>
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**Sign Off and Comments**

Sign Off Complete

**PDR\_I04 Failure of Business Continuity Plan to keep critical and key services running**

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Dacorum Delivers		<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Cllr Graham Sutton	<b>Tolerance:</b> 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"> <li>- loss of service to the public</li> <li>- harm to Council's reputation</li> <li>- duty to meet legal requirements is impaired</li> <li>- potential loss of income and business</li> </ul>		<p>Actions in Corporate Business Continuity Plan</p> <p>Prioritisation of key service in the event of disaster or other failure.</p>		Corporate Business Continuity Plan	

**Sign Off and Comments**

Sign Off Complete

# OPERATIONAL RISK REGISTER

September 2015



## PDR\_I05 Workforce Planning fails to prevent service failure

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Cllr Graham Sutton	<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>	
Service cannot be delivered effectively if staffing levels are reduced		Workforce development plan as drafted  Timely filling of posts and rearrangement of responsibilities where appropriate when staff leave  Review of need for trainees to be developed in house to deal with recruitment and retention issues caused by a strong professional jobs market in 2015.		Workforce Development Plan	
<b>Sign Off and Comments</b>					
Sign Off Complete					

# OPERATIONAL RISK REGISTER

September 2015



## PDR\_R01 Local Development Framework (LDF) fails to meet milestones in Local Development Scheme

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Cllr Graham Sutton	<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	3 High	3 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
The Council is left without and up to date development plan and unable to resist inappropriate new developments (eg in the Green belt) and unable to plan effectively for future growth and development		<ul style="list-style-type: none"> <li>- Core Strategy adopted September 2013 - a major task and milestone achieved, to make the rest of the process achievable</li> <li>- Project management and monitoring of progress against the Local Development Scheme</li> <li>- LDS revised December 2014 to set out work programme</li> <li>- Site Allocations DPD and masterplans well advanced</li> </ul>		<p>Core Strategy published on line at <a href="http://www.dacorum.gov.uk/home/planning-development/planning-strategic-planning/local-planning-framework/core-strategy">http://www.dacorum.gov.uk/home/planning-development/planning-strategic-planning/local-planning-framework/core-strategy</a></p> <p>Report to Cabinet <a href="http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-(373-kb).pdf?sfvrsn=0">http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-(373-kb).pdf?sfvrsn=0</a></p> <p>supplementary report to Cabinet on 17 Sep at <a href="http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-supplement---core-strategy-legal-challenge-(572-kb).pdf?sfvrsn=0">http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-supplement---core-strategy-legal-challenge-(572-kb).pdf?sfvrsn=0</a></p> <p>Further report to Cabinet on next steps with Local Planning Framework Dec 2013 <a href="http://www.dacorum.gov.uk/docs/default-">http://www.dacorum.gov.uk/docs/default-</a></p>	

# OPERATIONAL RISK REGISTER

September 2015



		<p>source/council-democracy/annual-monitoring-report-and-lpf---report-(187-kb).pdf?sfvrsn=0</p> <p>Local Development Scheme at <a href="http://www.dacorum.gov.uk/docs/default-source/strategic-planning/lfs-2014-final-version.pdf?sfvrsn=0">http://www.dacorum.gov.uk/docs/default-source/strategic-planning/lfs-2014-final-version.pdf?sfvrsn=0</a></p> <p>Other cabinet reports on Local Planning Framework progress</p>
<b>Sign Off and Comments</b>		
Sign Off Complete		

## 2) Neighbourhood Delivery - David Austin

### ND\_E05 Response to EH Emergencies

<b>Category:</b> Health and Safety	<b>Corporate Priority:</b> Health & Safety	<b>Risk Owner:</b> David Austin	<b>Portfolio Holder:</b> Cllr Janice Marshall	<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	5	15 Red	3 Likely	3 High	9 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Failure to respond to a serious EH/PH Incident involving death, harm or injury ( or potential to cause these) could have catastrophic consequences to individuals , communities, businesses and the environment. An		Ensure there is sufficient resilience and expertise in Regulatory Services to manage an incident and control the risks. Training carried out on a regular basis which covers roles and responsibilities.		Mass casualty /CBRN incidents would be covered by Centralised emergency plans. Local emergency plans tested on an annual basis. LA outbreak plans peer reviewed.	

# OPERATIONAL RISK REGISTER

September 2015



<p>outbreak of infectious disease for example could spread further unmitigated. Chemical hazards left uncontrolled in the environment could continue to expose individuals to explosion, fire and chemical burns. A biological hazard such as legionella has potential to cause a serious health hazard if uncontrolled.</p>	<p>There are arrangements in place for other LA's to provide cover in emergency. Any incident would be managed by TL or GM.</p>	
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**Sign Off and Comments**

Sign Off Complete

No other comments at this stage.

**ND\_E01 General enforcement**

<b>Category:</b>	<b>Corporate Priority:</b>	<b>Risk Owner:</b>	<b>Portfolio Holder:</b>	<b>Tolerance:</b>	
Technical/Operational	Health & Safety	David Austin	Cllr Janice Marshall	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>
2 Unlikely	3 High	6 Amber	2 Unlikely	2 Medium	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
<p>Lack of resource for Enforcement could result in a failure to meet statutory duties imposed by central government. This could result in Legal action, poor reputation and most likely put the public at risk in terms of their health or safety. Failure to employ officers of sufficient calibre or monitor competence could also have similar consequences.</p>		<p>Resources maintained to a level which will achieve statutory inspection targets and respond to any complaints in a timely fashion. Ensure that officers employed by DBC have the required level of competence commensurate with their level of responsibility. There are arrangements in place for other LA's to provide cover in emergency.</p>		<p>Annual Inspection reports to FSA. Performance published on FSA website All officers required to do CPD. All EH Targets reported quarterly at H&amp;C Overview &amp; Scrutiny Committee and any resource issues identified. Service Plans identify key priorities and emerging issues. All enforcement actions are taken in accordance with the Councils Enforcement Policy which has been reviewed and approved by Cabinet.</p>	

**Sign Off and Comments**

# OPERATIONAL RISK REGISTER

September 2015



Sign Off Complete

No comments at this stage.

## ND\_E02 Direct enforcement action

<b>Category:</b> Technical/Operational	<b>Corporate Priority:</b> Health & Safety	<b>Risk Owner:</b> David Austin	<b>Portfolio Holder:</b> Cllr Janice Marshall	<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>
2 Unlikely	4 Severe	8 Amber	2 Unlikely	3 High	6 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Direct enforcement action resulting in closure of businesses, curtailment of commercial operations or sanctions against individuals. Immediate enforcement action is taken in response to serious contraventions of EH or PH legislation and the impact on businesses and individuals can be far reaching. The types of enforcement action include closure of premises (residential or commercial), works in default, prohibition of processes and sanctions against individuals. The consequences of getting this wrong is very serious and could result in compensation claims as well as legal action against DBC		Ensure that officers employed by DBC have the required level of competence commensurate with their level of responsibility. Enforcement protocols followed and any direct action is overseen by a team leader/GM. In many cases the Ass Director will also be advised.		All enforcement action is taken in accordance with the Councils Enforcement Policy and corresponding regulators code.	

### Sign Off and Comments

Sign Off Complete

None at this stage.

# OPERATIONAL RISK REGISTER

September 2015



## ND\_E03 Primary Authority

<b>Category:</b> Financial	<b>Corporate Priority:</b>	<b>Risk Owner:</b> David Austin	<b>Portfolio Holder:</b> Cllr Janice Marshall	<b>Tolerance:</b> Treating
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Risk Score</b>
2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	2 Green
<b>Consequences</b>		<b>Current Controls</b>	<b>Assurance</b>	
DBC has a number of Primary Authority Partnerships and the income from these partnerships pay for the salaries of the specialist EHO's. If any of the larger companies suddenly terminated their contract this would result in an immediate deficit in funding. There is also a risk that failure to give the correct technical advice could have far reaching implications nationally and could result in legal action against DBC. There would also be legal implications if we blocked an enforcement action by one of the enforcing Authorities and a challenge was upheld.		Ensure that full cost recovery is achieved at the beginning when contracts are agreed and throughout the term of the partnership. Ensure that officers employed by DBC have the required level of competence commensurate with their level of responsibility. If specialist officers left the authority other officers in the team could take over duties on a temporary basis.	PA budgets are reviewed on a monthly basis and with the larger companies such as Tesco's there is an annual assessment of performance and key objectives.	
<b>Sign Off and Comments</b>				
Sign Off Complete				

## ND\_E04 Pest Control

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Safe and Clean Environment	<b>Risk Owner:</b> David Austin	<b>Portfolio Holder:</b> Cllr Janice Marshall	<b>Tolerance:</b> Treating
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Risk Score</b>



# OPERATIONAL RISK REGISTER

September 2015



3 Likely	4 Severe	12 Red	2 Unlikely	2 Medium	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Failure to honour contracts or provide effective treatments could result in a loss of income and loss of reputation. The incorrect use of pesticides could result in harm to the public and non-target species and could result in compensation claims against the Council.		Ensure that pest control officers employed by DBC have undergone appropriate training. All PCO's have successfully completed the BPCA course and are familiar with the correct use of pesticides and other eradication techniques. COSHH risk assessments are carried out.		A log of training is maintained by the Team Leader. COSHH risk assessments are reviewed on an annual basis.	
<b>Sign Off and Comments</b>					
Sign Off Complete					

**ND\_M02 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:</b> Marketplace	<b>Corporate Priority:</b> Safe and Clean Environment	<b>Risk Owner:</b> David Austin	<b>Portfolio Holder:</b> Cllr Janice Marshall	<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	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> </ul>		There have been no issues to date with performance in this area.	

# OPERATIONAL RISK REGISTER

September 2015



	- IT system being re-programmed to capture more sophisticated performance data	
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**Sign Off and Comments**

Sign Off Complete

No further comments at this stage.

**ND\_RO2 CCTV – Not implementing the mandatory Public Surveillance Code of Practice**

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Safe and Clean Environment	<b>Risk Owner:</b> David Austin	<b>Portfolio Holder:</b> Cllr Neil Harden	<b>Tolerance:</b> Treating
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Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	3 High	9 Amber	2 Unlikely	2 Medium	4 Green

Consequences	Current Controls	Assurance
A failure to implement the code of practice is likely to result in an intervention from the Surveillance Commissioner (Part of the Information Commissioners Office) and an improvement notice or closure of the system	A full compliant policy and procedure is currently being drafted and will be implemented in the permitted time span.	<p>Full training will be given to all staff</p> <p>A corporate approach is being applied to all Public Space CCTV within DBC</p> <p>Monitoring and regular review will form part of the procedures</p>

**Sign Off and Comments**

Sign Off Complete

The new policy has been drafted and approved by officers and will now be taken through Committee process for approval.

**ND\_RO4 Adventure Playgrounds – failure to manage risk of adventure play**

# OPERATIONAL RISK REGISTER

September 2015



<b>Category:</b> Reputational	<b>Corporate Priority:</b> Safe and Clean Environment		<b>Risk Owner:</b> David Austin	<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	1 Very Unlikely	4 Severe	2 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
A failure to manage risk could result in serious injury to a service user. OFSTED intervention and inspections and resulting actions. Closure of premises and reputational impact to the Council		All equipment fully risk assessed  Voluntary registration with Ofsted and staffing to the good practice levels which meet their requirements.  External inspections of play equipment		Qualified staff and ratio of staff to children.  Appropriately trained staff  Daily equipment inspections and remedy of any defects	
<b>Sign Off and Comments</b>					
Sign Off Complete No further comments at this stage.					

## ND\_RO5 Old Town Hall – increased competition from other providers

<b>Category:</b> Marketplace	<b>Corporate Priority:</b>		<b>Risk Owner:</b> David Austin	<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>
2 Unlikely	3 High	6 Amber	1 Very Unlikely	2 Medium	2 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
The consequences of increased competition could impact on the attendance at the Old Town Hall and the		A wide range of genres offered to a wide range of age groups		Experienced staff setting the programme	

# OPERATIONAL RISK REGISTER

September 2015



Cellar Club	The Old Town Hall's reputational standing	
<b>Sign Off and Comments</b>		
Sign Off Complete		

<b>ND_RO1 Lack of capacity to deliver Neighbourhood Action/Love Your Neighbourhood</b>					
<b>Category:</b> Reputational	<b>Corporate Priority:</b> Building Community Capacity		<b>Risk Owner:</b> David Austin	<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	2 Unlikely	1 Low	2 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
A failure to act on priorities as identified by residents, members which are supported by the Dacorum 'Knowing What Works' (EBDM) process		Demand is managed by NA Officers who manage expectations of residents and members.  All projects to be assessed and supported with evidence of need and a full evaluation		There is a new team structure in place to manage this process.  All projects require an evidence base to proceed and are targeted on a needs basis	
<b>Sign Off and Comments</b>					
Sign Off Complete					

<b>ND_RO3 Community Safety and Anti-social behaviour – failure to address ASB at an early stage and identify vulnerable or repeat victims</b>				
<b>Category:</b>	<b>Corporate Priority:</b>	<b>Risk Owner:</b>	<b>Portfolio Holder:</b>	<b>Tolerance:</b>

# OPERATIONAL RISK REGISTER

September 2015



Reputational		Safe and Clean Environment		David Austin	ClIr Neil Harden	Treating
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		
A failure to identify vulnerable or repeat victims of ASB /crime could result in extreme outcomes – as in the Pilkington case. This would result in not only the damage to the victim but significant damage to reputation and trust of the Council		Shared IT systems with Police and other partners  Dedicated ASB Team  Community Trigger  Early intervention meetings with partnerships  Monitoring of emerging Community Safety trends		Highly trained and experienced staff  Strong Community Safety Partnership with good working relationships with partners.		
Sign Off and Comments						
Sign Off Complete						