

# OPERATIONAL RISK REGISTER

March 2016



## 1) 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	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	5	15 Red	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
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 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.		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. There are arrangements in place for other LA's to provide cover in emergency. Any incident would be managed by TL or GM.		Mass casualty /CBRN incidents would be covered by Centralised emergency plans. Local emergency plans tested on an annual basis. LA outbreak plans peer reviewed.	
Sign Off and Comments					
Sign Off Complete					

# OPERATIONAL RISK REGISTER

March 2016



## ND\_E01 General enforcement

<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	3 High	6 Amber	2 Unlikely	2 Medium	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
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.		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.		Annual Inspection reports to FSA. Performance published on FSA website All officers required to do CPD. All EH Targets reported quarterly at H&C Overview & 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.	
<b>Sign Off and Comments</b>					
Sign Off Complete					

## 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

# OPERATIONAL RISK REGISTER

March 2016



Consequences	Current Controls	Assurance
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

### 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 Impact</b>	<b>Residual Risk Score</b>
2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	2 Medium	2 Green
Consequences	Current Controls	Assurance			
DBC has a number of Primary Authority Partnerships and the income from these partnerships pay for the salaries	Ensure that full cost recovery is achieved at the beginning when contracts are agreed and throughout	PA budgets are reviewed on a monthly basis and with the larger companies such as Tesco's there is an annual			

# OPERATIONAL RISK REGISTER

March 2016



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.	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.	assessment of performance and key objectives.
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**Sign Off and Comments**

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> 3 Likely	<b>Inherent Impact</b> 4 Severe	<b>Inherent Risk Score</b> 12 Red	<b>Residual Probability</b> 2 Unlikely	<b>Residual Impact</b> 2 Medium	<b>Residual Risk Score</b> 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.	

**Sign Off and Comments**

Sign Off Complete

# OPERATIONAL RISK REGISTER

March 2016



**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	
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	
<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 of Waste Management</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

March 2016



Sign Off and Comments					
Sign Off Complete					

## 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	
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	
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					

## ND\_I01 Failure to achieve Headline Service Objectives

<b>Category:</b>	<b>Corporate Priority:</b>	<b>Risk Owner:</b>	<b>Portfolio Holder:</b>	<b>Tolerance:</b>	
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# OPERATIONAL RISK REGISTER

March 2016



Infrastructure	Dacorum Delivers		David Austin	CLlr Janice Marshall	Tolerating
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	
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.		There continues to be good progress against objectives.	
Sign Off and Comments					
Sign Off Complete					

## 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	
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

# OPERATIONAL RISK REGISTER

March 2016



Consequences	Current Controls	Assurance
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.
Sign Off and Comments		
Sign Off Complete		

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

Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:
Infrastructure	Dacorum Delivers	David Austin	CLlr Janice Marshall	Treating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Risk Score
4 Very Likely	4 Severe	16 Red	3 Likely	12 Red
Consequences	Current Controls	Assurance		
If there is an increase in sickness, there are a number of significant impacts on services. Agency staff usage increases which leads to higher revenue costs but also affects service quality. This can lead to further additional	There is a robust system to manage sickness and absence with dedicated Human Resource support based at Cupid Green Depot. A monthly update is circulated for management team including a case review of long	As more agency staff have therefore been employed this has a 'knock on' effect to service quality and further cost implications. Officers will be carrying out further work in this area during 2015/2016 to ascertain whether		



# OPERATIONAL RISK REGISTER

March 2016



costs such as returning for missed bins as well the resource required to deal with additional complaints.	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.	policy changes are required to improve performance in this area.
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### Sign Off and Comments

Sign Off Complete

## 2) Neighbourhood Delivery - David Austin

**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> 3 Likely	<b>Inherent Impact</b> 4 Severe	<b>Inherent Risk Score</b> 12 Red	<b>Residual Probability</b> 1 Very Unlikely	<b>Residual Impact</b> 4 Severe	<b>Residual Risk Score</b> 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.		#NAME?		There have been no issues to date with performance in this area.	

### Sign Off and Comments

Sign Off Complete

# OPERATIONAL RISK REGISTER

March 2016



## 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	
<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	2 Medium	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
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.		Full training will be given to all staff  A corporate approach is being applied to all Public Space CCTV within DBC  Monitoring and regular review will form part of the procedures	
<b>Sign Off and Comments</b>					
Sign Off Complete					

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

<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

# OPERATIONAL RISK REGISTER

March 2016



Consequences	Current Controls	Assurance
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
Sign Off and Comments		
Sign Off Complete		

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

Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:	
Marketplace		David Austin	Cllr Neil Harden	Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	3 High	6 Amber	1 Very Unlikely	2 Medium	2 Green
Consequences	Current Controls	Assurance			
The consequences of increased competition could impact on the attendance at the Old Town Hall and the Cellar Club	A wide range of genres offered to a wide range of age groups The Old Town Hall's reputational standing	Experienced staff setting the programme			
Sign Off and Comments					
Sign Off Complete					

# OPERATIONAL RISK REGISTER

March 2016



## ND\_RO1 Lack of capacity to deliver Neighbourhood Action/Love Your Neighbourhood

<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					

## ND\_RO3 Community Safety and Anti-social behaviour – failure to address ASB at an early stage and identify vulnerable or repeat victims

<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>
2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	4 Severe	4 Green
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
A failure to identify vulnerable or repeat victims of ASB		Shared IT systems with Police and other partners		Highly trained and experienced staff	

# OPERATIONAL RISK REGISTER

March 2016



<p>/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</p>	<p>Dedicated ASB Team</p> <p>Community Trigger</p> <p>Early intervention meetings with partnerships</p> <p>Monitoring of emerging Community Safety trends</p>	<p>Strong Community Safety Partnership with good working relationships with partners.</p>
<p>Sign Off and Comments</p>		
<p>Sign Off Complete</p>		