

STRATEGIC RISK REGISTER

March 2015



C3 - Failure to use the Council's commitment to invest £30M as a catalyst to investment across the Borough

Category: Corporate	Corporate Priority:	Risk Owner: Mark Gaynor	Portfolio Holder:	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
4 Very Likely	4 Severe	16 Red	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
Political fallout		Hemel Evolution Programme		MTFS	
Reputational damage		Gade Zone Regeneration		Capital Strategy	
Limited growth or reduction in NNDR base and growth		West Herts College new campus		Effective Project Management	
Reduction in quality of life and opportunities within the Borough		Corporate Regeneration Group		Local Plan and associated planning documents	
		Heart of Maylands programme		Appropriately resourced team	
		Open for Business approach			
		Development of Town Centre Partnership			
		Dacorum Look No Further			
		Use of Statutory Powers and own property assets			
		Liaison with major land owners, institutional investors, land agents and employers			

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	Berkhamsted Multi Storey Car Park	
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Sign Off and Comments

Sign Off Complete

This is a new risk. The Council cannot control the overall economic conditions which provide the context for new investment across the borough (particularly over retail which is being transformed by on-line shopping). The Council is acting to make Hemel Hempstead Town Centre, Maylands and the other key sites as attractive as possible to stimulate development, deliverability or facilitate investment. We are also being proactive in the attraction of new investment by anticipating and/or meeting its requirements.

C4 - Failure to exceed current plans for creation of new homes over the next five years

Category: Corporate	Corporate Priority:	Risk Owner: Mark Gaynor	Portfolio Holder:	Tolerance: Treating
Inherent Probability 5	Inherent Impact 3 High	Inherent Risk Score 15 Red	Residual Probability 3 Likely	Residual Impact 3 High
Consequences		Current Controls	Assurance	
Continued housing shortage particularly affordable housing		Council house new build programme		
Increased likelihood of increases in house prices (supply not matching demand)		Direct council financial support to housing associations developing over and above s106		
Negative impact on potential business investment		Clear strategy to attract developers with new opportunities and to build a reputation for facilitating housebuilding particularly on previously used sites		
Potential impact on unmet housing need and homelessness		Impact through regeneration schemes		

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	Positive approach to permitted development conversions	
	Positive use of planning policy	

Sign Off and Comments

Sign Off Complete

This is a new risk. The residential construction sector is beyond the direct control of the council and is subject to national and supra-national financial conditions. It is notoriously variable and subject to volatile swings. The Council can however act on those areas that are under greatest control or capable of direct influence. This is most directly evidenced in the HRA new build and regeneration. It could in future be enhance by a General Fund wholly owned but arms length development company which it is proposed be investigated as a priority.

F1 - Resource base not sufficient to deliver Corporate Plan

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
4 Very Likely	4 Severe	16 Red	2 Unlikely	2 Medium	4 Green
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> - Dissatisfaction - Political fallout - Reputation damage 		<ul style="list-style-type: none"> - Corporate plan kept under review - MTFS kept under review - Fees & Charges strategy kept under review - Capital Strategy kept under review - Aspirations managed via communication e.g. articles in Dacorum Digest, press releases 		Medium Term Financial Strategy uploaded into Corvu Capital Strategy uploaded into Corvu	

Sign Off and Comments

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Sign Off Complete

Following approval of the budget by Council in February 2015, work will begin on the revision of the Medium Term Financial Strategy. The new version will benefit from the Council having met the savings target for 2015/16, but will need to be updated for pressures anticipated in 2019/20.

Based on recent Government announcements and work undertaken by the Local Government Association, it is anticipated that government funding over the next parliament will reduce by the same proportion as it has since 2010. If this materialises for Dacorum it will mean funding reductions of a further 40%.

F2 - Lack of effective procurement and contract management

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	4 Severe	16 Red	2 Unlikely	3 High	6 Amber
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> - Increased budgets - Reduced service quality - Contractual disputes - Impact on reputation - Decision makers not fully briefed 		<ul style="list-style-type: none"> - Financial Regulations - Corporate Financial System - Agresso - Corporate Procurement Strategy - Procurement Standing Orders - continuously reviewed - Use of Herts Marketplace - Joint Procurement activity - Asset Management Group - Training programme 		<p>The existing controls ensure that the procurement process is kept under close scrutiny. Contract management has also improved and is more effective in relation to the high profile and/or high value contracts.</p> <p>There is still a risk of ineffective contract management in relation to the lower value contracts where there is less likely to be a designated contract manager.</p>	
Sign Off and Comments					

Sign Off Complete

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F5 - Risk of extensive damage to property arising from adverse weather conditions and/or unstable ground within the Dacorum area

Category: Financial	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	3 Likely	3 High	9 Amber
Consequences		Current Controls		Assurance	
<p>That external funding is not made available for treatment and this gives rise to an expectation that the Council will provide funding for treatment works.</p> <p>That extensive response measures with partner agencies are required, with impact on the Council's capacity to respond, its resources and reputation if these are not well planned and well executed.</p>		<p>Responsibilities exists under the Civil Contingencies Act which are restricted to assessing the danger to the public and taking action to mitigate immediate danger. These responsibilities are shared with other public agencies.</p> <p>The council has received Counsel opinion that its duties are limited to taking reasonable steps to prevent risk to health and safety and do not extend to funding treatment costs.</p> <p>Emergency Plan.</p>			
Sign Off and Comments					
Sign Off Complete					

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I2 - Failure to effectively manage health and safety

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: Sally Marshall	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	1 Very Unlikely	4 Severe	4 Green
Consequences		Current Controls		Assurance	
<p>Fatality or serious injury to employee/s or member/s of public</p> <p>Damage to DBC assets including property or property of others</p> <p>Criminal court cases with unlimited fines and/or imprisonment of Chief Executive, Directors or Responsible Managers/Officers</p> <p>Civic court case resulting in damages being paid by DBC</p> <p>Enforcement Notices from the HSE which could prohibit without appeal activities of the Council</p>		<p>H& S Policy Statement</p> <p>H&S Committee with Union representation, HR & Occ Health sub group, Service Providers sub-group</p> <p>Risk Assessment Training</p> <p>Other in House H&S training</p> <p>H&S Action Plan – including review of risk assessments</p> <p>Health Surveillance for HAV</p>		<p>Audit Committee report 25/4/12</p> <p>Corporate Health & Safety Strategy</p> <p>Health & Safety Coordinator Role</p>	
Sign Off and Comments					
Sign Off Complete					

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M1 - Failure to deliver required regeneration and economic growth

Category: Marketplace	Corporate Priority: Regeneration	Risk Owner: Mark Gaynor	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"> - Unforeseen changes in levels of demand for services - Political fallout - Failure by Council to meet citizen's needs - Unplanned for financial implications - Regeneration of key areas e.g. Town Centre - does not happen 		<ul style="list-style-type: none"> Hemel Evolution Programme Gade Zone Regeneration West Herts College new campus Corporate Regeneration Group Heart of Maylands programme Open for Business approach Development of Town Centre Partnership Dacorum Look No Further Use of Statutory Powers and own property assets Liaison with major land owners, institutional investors, land agents and employers 		<ul style="list-style-type: none"> Sustainable Community Strategy uploaded into Corvu MTFS Capital Strategy Effective Project Management Local Plan and associated planning documents Appropriately resourced team 	

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	Berkhamsted Multi Storey Car Park	
Sign Off and Comments		
Sign Off Complete		

M3 - Key commercial partnership fails or failure of services provided via a partner/contractor

Category: Marketplace	Corporate Priority:	Risk Owner: Steve Baker	Portfolio Holder:	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	4 Severe	4 Green
Consequences		Current Controls		Assurance	
<p>In the case of high value and/or high profile service contracts the consequence to the Council could be-</p> <ul style="list-style-type: none"> -damage to reputation -severe inconvenience to the public -failure to provide an essential service -punitive cost of securing an alternative provider at short notice -severe disruption to service 		<p>There are a number of controls built into the procurement process which mitigates against the risk of failure of a commercial partner, for example -</p> <ul style="list-style-type: none"> -eligibility criteria will include financial standing, capacity to provide the service in terms of requisite resources - the evaluation criteria will require the partner to demonstrate that they will be able to deliver the service in accordance with the specification <p>Once the contract has been let there will be regular meetings to monitor performance.</p> <p>The contract will contain an exit strategy which will deal with management of a failure on the part of the partner. The Council can safeguard its position by, for example, retaining ownership of plant and equipment (eg,</p>		<p>The existing controls will reduce the risk of a failure in a commercial partner as far as possible. The controls will ensure that the commercial partner has sufficient financial standing and operational capacity to undertake the contract.</p> <p>However, it is not possible to legislate completely against a commercial partner finding itself unable to perform the contract for a variety of reasons. That is always the inherent risk associated with outsourcing.</p>	

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<p>vehicles, premises) to enable services to continue until a new provider can be found. The provider's staff will transfer back to the Council under TUPE. The contract will provide 'step in rights' in case of partial failure or early termination in the case of a total failure.</p>	
Sign Off and Comments	
Sign Off Complete	

R3 - Disclosure of personal data in breach of the Data Protection Act					
Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:	
Reputational	Dacorum Delivers	Steve Baker	Cllr Neil Harden	Treating	
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	
Complaint to the ICO and a fine of up to £500,000 in serious cases. Reputational damage (which could be national as well as local).		The appointment of an Information Security Team Leader with the role of ensuring that the Council complies with the requirements of the Data Protection Act. Existence of a Records Management Policy and other associated policies and procedures including a Retention Schedule Policy which deals with the secure storage and destruction of personal data.		Having a dedicated visible presence and point of contact to provide advice, guidance and support to staff on information security and data protection related matters will help raise the awareness of the importance of handling personal data in accordance with the Council's policies and procedures. The Council's Records Management Policy and other related policies and procedures contain clear guidelines on records scheduling that cover all Council functions	

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	<p>The Council have a records disposal policy and documented destruction procedures and a prescribed form to be used by staff when disposing of Council records.</p> <p>Regular review and updating of the policies and procedures referred to above.</p> <p>Information audit and physical storage audit has been carried out to establish the type of personal data being stored (either as paper documents or electronically), where and how the data is being stored and who by.</p> <p>Arrangements are in place for the secure disposal of confidential waste which include the provision of locked bins located around the Civic Centre and special arrangements for the disposal of bulk confidential waste by a specialist contractor.</p> <p>Frequent mandatory training of staff provided and run by the Information Security Team Leader.</p> <p>The Council have a formal incident reporting procedure for reporting actual and technical security breaches. The procedure includes escalation to the ICO and CMT.</p>	<p>and enable staff to make a confident decision on records management and disposal.</p> <p>The information audits are designed to ensure that the management of personal data which is stored in premises away from the Civic Centre is handled in a manner consistent with the Council's policies and procedures. The audit is also designed to ensure that as far as possible personal data is stored centrally in the Civic Centre.</p> <p>Having a closed loop disposal system reduces the risk of personal data being left in a place to which the public have access.</p> <p>By having a series of instructor led training on data protection and information security enables the Information Security Team Leader to inform staff of their responsibilities for handling personal data, make them aware of what constitutes a breach and the implications, what constitutes an offence and the implications and how to report such breach or offences by using the Council's incident reporting procedure.</p>
Sign Off and Comments		
Sign Off Complete		

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I am satisfied that there are a wide range of robust controls in place which significantly reduce the risk of a serious breach of data protection and we review these regularly. However there is a need to maintain vigilance and especially in relation to the management of physical files and we will continue to monitor this closely and take any action necessary to ensure we have a robust approach to preventing and dealing with breaches.