

OPERATIONAL RISK REGISTER

December 2016



3) Neighbourhood Delivery - David Austin

ND_E05 Response to EH Emergencies

Category: Health and Safety	Corporate Priority: Health & Safety	Risk Owner: David Austin	Portfolio Holder: Janice Marshall	Tolerance: 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 No further comments.					

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ND_E01 General enforcement

Category: Technical/Operational	Corporate Priority: Health & Safety	Risk Owner: David Austin	Portfolio Holder: Janice Marshall	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	
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. There are currently pressures in the teams which has meant that inspection levels are reduced.		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 vacancies in key areas at the moment and we are using agency staff to cover these positions on a temporary basis.		Annual Inspection reports to FSA. Performance published on FSA website All officers required to do CPD. All EH Targets reported quarterly at SPAE 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. We continue to ensure that any agency staff employed meet the necessary competences.	
Sign Off and Comments					
Sign Off Complete No further comments.					

ND_E02 Direct enforcement action

Category: Technical/Operational	Corporate Priority: Health & Safety	Risk Owner: David Austin	Portfolio Holder: Janice Marshall	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score

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2 Unlikely	4 Severe	8 Amber	2 Unlikely	3 High	6 Amber
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					
There are some complex enforcement actions at this time and officers will continue to monitor resource levels.					

ND_E03 Primary Authority					
Category: Financial	Corporate Priority:		Risk Owner: David Austin	Portfolio Holder: Janice Marshall	Tolerance: Terminating
2 Unlikely	4 Severe	8 Amber	1 Very Unlikely	1 Low	1 Green
Consequences		Current Controls		Assurance	

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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.

Sign Off and Comments

Sign Off Complete

The PA arrangements have now been terminated so this will be removed as a risk in Quarter 4.

ND_E04 Pest Control

Category: Reputational	Corporate Priority: Safe and Clean Environment	Risk Owner: David Austin	Portfolio Holder: Janice Marshall	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	
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.	

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Sign Off and Comments

Sign Off Complete

No issues in Quarter 3.