

OPERATIONAL RISK REGISTER

March 2017



1) Neighbourhood Delivery - David Austin

ND_F01 Variation in levels of income for recyclables due to changes in market conditions

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|---|--|---|---|---|----------------------------|
| Category: Financial | Corporate Priority: Dacorum Delivers | Risk Owner: David Austin | Portfolio Holder: Janice Marshall | Tolerance: 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 see 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"> - There are regular meetings with the Group Manager, Service Accountant and a representative from the end receiver to monitor any changes. - 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 and Lets Recycle Indices | | <p>The contract for the processing of recyclables is currently under review to ensure surety of costs moving forward.</p> | |

Sign Off and Comments

OPERATIONAL RISK REGISTER

March 2017



Sign Off Incomplete

ND_F04 Operational Factors Affecting Service Delivery

| Category: Infrastructure | Corporate Priority: Dacorum Delivers | Risk Owner: | Portfolio Holder: Janice Marshall | Tolerance: Treating | |
|--|--|---|---|---|---------------------|
| 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 | |
| <p>Risk – Operational Risks Industrial Action/Employee relations</p> <p>- The service employees are its greatest assets and it is important that they are kept fully informed of service developments and the reasons for them if unrest is to be avoided.</p> | | <p>Current control</p> <ul style="list-style-type: none"> - Regular monthly team briefs are held to advise of service developments - Annual two way appraisals are held to discuss performance and training requirements - A quarterly Cupid Green Round Up magazine is produced which includes "Compliments Corner highlighting service achievements - Bi-Monthly Health and Safety meetings are held – Attendees include Management, Supervisors and Union Representatives - The corporate staff survey will highlight areas of improvement. - Every operator of heavy goods vehicles must convince the Traffic Commissioner of their good repute. Each | | <p>Assurances</p> <p>- Apart from a national pay dispute, Dacorum has not been threatened with Industrial Action for many years. With the current controls in place it is probably that this will continue.</p> | |

OPERATIONAL RISK REGISTER

March 2017



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| <p>Revocation, suspension or curtailment of Operators licence</p> | <p>operator must have a qualified Certificate of Competence holder (CPC) to who is personally responsible for maintaining the fleet and driver records. If standards are found to be less than satisfactory the then VOSA could chose to revoke, curtail or suspend the licence.</p> <ul style="list-style-type: none"> - Currently DBC have three CPC holders and a admin support on a fixed term. This is adequate until a review and restructure has taken place. - An independent audit of vehicles maintenance and records by the FTA has been organised for the next two years to ensure compliance - Interviews are being undertaken to employ a suitably qualified Transport Manager - Herts County Council have a statutory obligation to provide disposal outlets for Hertfordshires Waste Collection Authorities (WCA) so there are a number of alternative outlets available if required - Cupid Green has a licenced Waste Transfer Station with bulking facilities which can hold material if required until a suitable outlets is sourced. | <ul style="list-style-type: none"> - In the absence of a Transport Manager interim measures are in place in order to remain compliant and independent audit by the FTA will highlight any improvements that may be required |
| <p>Closure/lack of access to disposal outlets</p> | <ul style="list-style-type: none"> - Service disruption has been experienced on a number of occasions in the past and this has affected Waste Services more than CSG. | <ul style="list-style-type: none"> - Waste can be held for a number of days until suitable alternatives have been sourced |

OPERATIONAL RISK REGISTER

March 2017



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| <p>Suspension of service due to inclement weather.</p> | <ul style="list-style-type: none">- Although the severity of the weather and its effect is difficult to plan for managers have adequate experience on which to make decisions on resumption of collections- Staff are engaged on salt/grit spreading and snow clearing duties if the service is suspended.- All staff are aware of priority areas for the above- Passenger carrying vehicles are available to transport staff to the most affected areas.- Free salt is sourced from HCC before the winter to ensure adequate stock levels.- As many refuse collection vehicles as possible are kept in undercover during freezing conditions to prevent freezing of ancillary equipment.- Over 4000 residents signed up to text alerts to advise of disruption and contingency plans | <ul style="list-style-type: none">- Environmental Services are suitably prepared for inclement weather which will lessen the potential full impact on affect service delivery- Social media plays a significant role in keeping residents informed and this has been seen to be well used by residents. This, coupled with the text alerts, ensure that reside4nts can keep up to date with developments. |
| <p>Fuel Shortage</p> | <ul style="list-style-type: none">- Fuel is now kept and drawn from a storage until at Cupid Green depot- A number of fuel cards to enable purchase from local petrol stations have been retained and can be used in an emergency. | |

OPERATIONAL RISK REGISTER

March 2017



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| | <ul style="list-style-type: none">- Refuse collection is classed as an emergency service and therefore priority will be given to emergency services and utility vehicles such as refuse collection vehicles before regular motorist- All drivers are instructed to fill up with fuel at the end of each day. This will allow the next days collections to be unaffected whilst alternative fuel supplies are sourced. | <ul style="list-style-type: none">- Environmental service is now fairly self-sufficient in terms of sourcing fuel and therefore any short term shortage should not impact on service delivery |
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OPERATIONAL RISK REGISTER

March 2017



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| Sign Off and Comments | | | | | |
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|--|--|---|------------------------------------|--|-------------------------------|
| ND_I03 Failure to manage sickness levels and staff retention | | | | | |
| Category: Infrastructure | Corporate Priority: Dacorum Delivers | | Risk Owner: David Austin | Portfolio Holder: Janice Marshall | 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 | 4 Severe | 8 Amber |
| 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 costs such as returning for missed bins, replacing lost and damaged bins as well as the resource required to deal with additional complaints. | | 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 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. | | A stricter approach to sickness management coupled with a change to the Sickness Policy has reduced sickness and therefore the need for previous levels of agency cover. | |
| Sign Off and Comments | | | | | |
| Sign Off Incomplete | | | | | |

OPERATIONAL RISK REGISTER

March 2017



2) Neighbourhood Delivery - David Austin

ND_RO2 CCTV – Not implementing the mandatory Public Surveillance Code of Practice

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| Category: Reputational | Corporate Priority: Safe and Clean Environment | Risk Owner: David Austin | Portfolio Holder: Neil Harden | Tolerance: Treating | |
| 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, closure of the system and adverse publicity. | | A full compliant policy has been adopted. There is a constant review of procedures and a corporate approach to new installations of CCTV to comply with code of practice. | | Full training ongoing to all staff Monitoring and regular review is part of the procedures | |
| Sign Off and Comments | | | | | |
| Sign Off Incomplete | | | | | |

ND_RO4 Adventure Playgrounds – failure to manage risk of adventure play

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|----------------------------------|--|------------------------------------|---|-------------------------------|----------------------------|
| Category: Reputational | Corporate Priority: Safe and Clean Environment | Risk Owner: David Austin | Portfolio Holder: Neil Harden | 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 | 2 Green |
| Consequences | | Current Controls | | Assurance | |
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OPERATIONAL RISK REGISTER

March 2017



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| 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 Incomplete | | |

ND_RO5 Old Town Hall – increased competition from other providers

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|---|----------------------------|---|---|---|----------------------------|
| Category: Marketplace | Corporate Priority: | Risk Owner: David Austin | Portfolio Holder: Neil Harden | Tolerance: 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 Incomplete | | | | | |

OPERATIONAL RISK REGISTER

March 2017



ND_RO1 Lack of capacity to deliver Neighbourhood Action/Love Your Neighbourhood

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|---|---|---|---|--|----------------------------|
| Category: Reputational | Corporate Priority: Building Community Capacity | Risk Owner: David Austin | Portfolio Holder: Neil Harden | Tolerance: Treating | |
| Inherent Probability | Inherent Impact | Inherent Risk Score | Residual Probability | Residual Impact | Residual Risk Score |
| 3 Likely | 3 High | 9 Amber | 2 Unlikely | 1 Low | 2 Green |
| Consequences | | Current Controls | | Assurance | |
| 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 | | All projects require an evidence base to proceed and are targeted on a needs basis | |
| Sign Off and Comments | | | | | |
| Sign Off Incomplete | | | | | |

ND_RO3 Community Safety and Anti-social behaviour – failure to address ASB at an early stage and identify vulnerable or repeat victims

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|---|--|--|---|--------------------------------------|----------------------------|
| Category: Reputational | Corporate Priority: Safe and Clean Environment | Risk Owner: David Austin | Portfolio Holder: Neil Harden | 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 | |
| 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 2017



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| <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> |
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Sign Off and Comments

Sign Off Incomplete

3) Neighbourhood Delivery - David Austin

ND_E05 Response to EH Emergencies

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|--|---|---|---|---|-----------------------------------|
| <p>Category: Health and Safety</p> | <p>Corporate Priority: Health & Safety</p> | <p>Risk Owner: David Austin</p> | <p>Portfolio Holder: Janice Marshall</p> | <p>Tolerance: Treating</p> | |
| <p>Inherent Probability</p> | <p>Inherent Impact</p> | <p>Inherent Risk Score</p> | <p>Residual Probability</p> | <p>Residual Impact</p> | <p>Residual Risk Score</p> |
| <p>3 Likely</p> | <p>5</p> | <p>15 Red</p> | <p>3 Likely</p> | <p>3 High</p> | <p>9 Amber</p> |
| <p>Consequences</p> | | <p>Current Controls</p> | | <p>Assurance</p> | |
| <p>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</p> | | <p>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</p> | | <p>Mass casualty /CBRN incidents would be covered by Centralised emergency plans. Local emergency plans tested on an annual basis. LA outbreak plans peer reviewed.</p> | |

OPERATIONAL RISK REGISTER

March 2017



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.

managed by TL or GM.

Sign Off and Comments

Sign Off Incomplete

ND_E01 General enforcement

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|--|---|--|--|---|--|
| Category: Technical/Operational | Corporate Priority: Health & Safety | Risk Owner: David Austin | Portfolio Holder: Janice Marshall | Tolerance: Treating | |
| Inherent Probability 2 Unlikely | Inherent Impact 3 High | Inherent Risk Score 6 Amber | Residual Probability 2 Unlikely | Residual Impact 2 Medium | Residual Risk Score 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

OPERATIONAL RISK REGISTER

March 2017



Sign Off Incomplete

ND_E02 Direct enforcement action

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|--|---|--|---|---|----------------------------|
| 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 | 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 Incomplete

OPERATIONAL RISK REGISTER

March 2017



ND_E03 Primary Authority

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|--|----------------------------|--|---|--|----------------------------|
| Category: Financial | Corporate Priority: | Risk Owner: David Austin | Portfolio Holder: Janice Marshall | Tolerance: Terminating | |
| Inherent Probability | Inherent Impact | Inherent Risk Score | Residual Probability | Residual Impact | Residual Risk Score |
| 2 Unlikely | 4 Severe | 8 Amber | 1 Very Unlikely | 1 Low | 1 Green |
| Consequences | | Current Controls | | Assurance | |
| <p>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.</p> | | <p>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.</p> | | <p>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.</p> | |
| Sign Off and Comments | | | | | |
| Sign Off Incomplete | | | | | |

ND_E04 Pest Control

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|----------------------------------|--|------------------------------------|---|-------------------------------|----------------------------|
| 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 |

OPERATIONAL RISK REGISTER

March 2017



| 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. | |
| Sign Off and Comments | | | | | |
| Sign Off Incomplete | | | | | |