

Health and Community Risk Registers

Entity: Health and Community Directorate (including children), Risk Assessment open, Current Risk version, Risk is open, Total Residual Risk Score is at or greater than Medium 5, Total Residual Risk Score is at or less than Critical 25

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
(PCSP Manager)							
Policing and Community Safety Partnership	PCSP3 Inadequate Health & Safety Management system	Lack of ownership/direction; Lack of awareness; Lack of training; Public aggression to staff	Personal injury/death; Litigation; Financial cost; Reputational cost; Demoralised staff	Risk assessments in place for Community Safety Wardens which are regularly reviewed Communication equipment provided Safety equipment provided Community Safety Wardens adequately trained IOSH Managing Safely & Working Safely training delivered to all staff Regular meetings with Corporate Health & Safety Officer Compliance with OHS18001 requirements Staff training programme CCTV in place at Council Depot Secure parking for Community Safety Wardens Navman fleet management software installed on Community Safety Warden vehicles Close liaison with Corporate Health & Safety Premises Risk Assessments	2	4	8

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Policing and Community Safety Partnership	PCSP11 Warden schemes are not delivered effectively	Insufficient research; Lack of departmental liaison & co-ordination; Lack of appropriate steering group; Unclear roles & responsibilities; Lack of resources; Lack of agreement with communities; Lack of definition of geographical areas of responsibility	Loss of funding; Loss of employment opportunities; Reputation; Impact on communities; Impact on a city-wide basis	Quarterly meetings with key funders Good public awareness of scheme Community Safety Forums in NRAs for tasking & monitoring Continual research of potential funding sources & ways to enhance service delivery Funding secured until March 2018 Monthly reporting on services provided by warden schemes Negotiation with funders (DSD, NIHE, PSNI and UU) to secure future funding for Service	2	4	8

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Policing and Community Safety Partnership	PCSP8 Lack of public awareness of PCSP Service	Lack of consultation; Lack of strategy; Delay in funding decisions; Reduction of funding; Inability to resource priorities; Reconstitution of PCSP	Loss of credibility; Public disengagement	Community Safety Strategy & Action Plan in place Funding allocated based on evidence of need Communication & liaison with other Statutory Agencies Membership of Community Organisations e.g. Neighbourhood Renewal Forum, Civic Alcohol Forum etc..... Communication & liaison with community groups and Neighbourhood Watch Schemes Representation from Community & Voluntary Sector on PCSP Board & representation from <ul style="list-style-type: none"> • PSNI (Police Service NI) • NIFRS (NI Fire and Rescue Service) • EANI (Education Authority NI) • WHSCT (Western Health and Social Care Trust) • YJA (Youth Justice Agency) • PBNI (Probation Board NI) Focus Groups Questionnaires Surveys Community Forum Groups Adherence to Code of Practice Policing Board and Department of Justice Audits Public meetings at various times/locations Engagement in Community Planning process Social Media Plan which is updated regularly	2	3	6
Policing and Community Safety Partnership	PCSP7 An effective project support programme is not implemented	Lack of policies & procedures; Lack of resources; Lack of consultation	Financial Cost; Loss of Credibility; Litigation	Council Grant aid procedures in place and adhered to Continuous consultation with community & key stakeholders Community Safety/Inter-Agency Forums Partnership-led approach Monitoring procedures in place	2	3	6

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Policing and Community Safety Partnership	PCSP12 Failure to ensure security and integrity of critical data / information	Inappropriate security systems	Loss of information; Loss of credibility; Data protection	Staff awareness & training IT Access controls Hard copies of all reports/minutes held Password protection Security Access system in place for Admin Headquarters and for Council Depot Secure filing storage devices	2	3	6
Policing and Community Safety Partnership	PCSP1 Failure to manage incidences of stress amongst staff	Excessive workload; Lack of support; Lone working; Political issues;	Service disruption; Loss of confidence; Personal health issues of staff	Staff training Regular informal meetings with staff Health & Safety Procedures in place Work Scheduling Health & Safety Risk Assessments IOSH Managing Safely & Working Safely training delivered to all staff Liaison with PSNI Carecall Counselling Service Council BeWell Programme	2	3	6
Policing and Community Safety Partnership	PCSP5 Budgets for specific projects are not managed effectively	Lack of clear strategy; Lack of funds; Lack of communication	Overspend	All costings sourced Council procurement procedures adhered to Comparative analysis carried out to achieve Value for Money Liaison with Finance Liaison with Community Groups All quarterly claims copied to & signed off by Finance Quarterly claims submitted to Joint Committee (Policing Board DOJ) Ongoing monitoring of Projects by PCSP Officers Access to Agresso Financial System to monitor budgets Officer dedicated to administration of project budgets	2	3	6

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Policing and Community Safety Partnership	PCSP4 Absenteeism is not managed effectively	Poor working practices; Inadequate policies; Apathy; Poor morale	Poor morale; Financial cost; Service disruption	Adherence to Council's Attendance Policy Line Manager training on Attendance policy and procedures Staff awareness training on attendance procedures	2	3	6
Policing and Community Safety Partnership	PCSP9 Lack of effective communication with staff	Lack of planning; Time	Demoralised workforce; Reputation of Council	Continuous two way communication Weekly meetings held with the Community Safety Wardens Regular informal meetings with staff Monthly staff meetings with HOS	2	3	6
Policing and Community Safety Partnership	PCSP10 Appropriate budgets are not set or appropriate level of funding is not recovered	Lack of knowledge; Lack of communication	Overspend; Inadequate funding	Staff awareness Networking Attendance at Seminars & Events SLA with DCSDC Finance Dept & budgets agreed with Management Accounts Regular monitoring of expenditure Quarterly returns to Joint Committee Access to Agresso Financial System to monitor budgets Quarterly returns to funders including Progress Reports	2	3	6
Policing and Community Safety Partnership	PCSP13 Non-compliance with the Justice Act (NI) 2011	Lack of awareness; Lack of planning; Lack of resources; Budget constraints.	Litigation; Loss of credibility.	Code of Practice in place Local training DOJ and NIPB training Quarterly meetings with NIPB/DOJ and other PCSPs	2	3	6

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Policing and Community Safety Partnership	PCSP15 The implications of Central Government Funding Cuts are not managed appropriately	Reduction in resourcing of PCSPs; Uncertainty around actual budget allocated; Delay in receipt of Letter of Offer; Failure to communicate effectively with Project Promoters & communities; Failure to identify and capitalise on alternative potential funding sources	Loss of credibility; Public Disengagement; Community impact	Funding allocated based on high priority themes Re-prioritisation of Action Plan in light of budget available Alternative funding sources secured (Priority Youth and Assets Recovery Fund) Increased partnership working to avoid duplication Communication through Community Safety Forum 9 Community-based Independent members communicating with their communities in relation to implications of funding cuts	2	3	6
Policing and Community Safety Partnership	PCSP2 Loss of key members of staff	Dependence on external funding; Illness; Lack of certainty around resourcing and restructuring of Service	Loss of experience/knowledge; Service disruption; Impact on staff morale	Staff training Regular communication with staff Continual review of funding arrangements Regular meetings with Head of Service in relation to staffing needs of service	2	3	6

Licensing and Safety Advisory (Licensing and Safety Advisor)

Licensing and Safety Advisory	Unlicensed premises/street traders are not identified	Lack of resources; Lack of strategy	Public Health & Safety; Failure to fulfill statutory obligations; Reputation; Litigation	Response to complaints Scanning of media Written communication/notification to identified unlicensed premises/street traders Tascomi system identifies all licensed premises Continuous monitoring of public spaces with high density footfall Liaison with Event Organisers	3	3	9
Licensing and Safety Advisory	Lack of appropriate IT tools/System	Lack of resources; Lack of planning.	Reduction in efficiency of service; Security of information; Non-compliance with EU Directive	Council IT systems Online system for licence applications & payments Tascomi software in use for all licence applications	3	3	9

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Licensing and Safety Advisory	Council does not provide an effective safety advisory service to organisers of public events within the Council area	Failure to work effectively with key statutory agencies and partners; Lack of clear procedures; Lack of resources/expertise; Poor communication with public and stakeholders	Lack of co-ordination across statutory agencies; Unsafe public events; Public dissatisfaction; Reputation	<ul style="list-style-type: none"> Safety Advisory Group with representation from key statutory agencies meets twice monthly Event Planning templates available to Event Organisers Screening of Event Plans by Safety Advisory Group SAG Public meetings and awareness sessions Annual Calendar of Events held within Licensing/Safety Advisory Section Event Safety information available on Council website 	2	4	8
Licensing and Safety Advisory	Non-compliance with licence conditions	Lack of resources; Lack of strategy; Failure to work effectively with statutory partners; Lack of out-of-hours arrangements;	Public Health & Safety; Failure to fulfill statutory obligations; Credibility.	<ul style="list-style-type: none"> Response to complaints Liaison with Environmental Health & Building Control Liaison with statutory authorities During Performance Inspections (DPIs) Inspections completed in respect of all licence renewals Directorate Enforcement Policy 	2	4	8
Licensing and Safety Advisory	Lack of adequate Health & Safety Management System	Lack of ownership / direction; Lack of awareness; Lack of training; Lone working.	Personal injury / death; Litigation; Financial Cost; Reputational Cost; Demoralised Staff.	<ul style="list-style-type: none"> Compliance with OHS18001 requirements Liaison with Corporate Health & Safety Service Specific health and safety training for Licensing staff (eg Lone Working) 	2	4	8
Licensing and Safety Advisory	Non-compliance with legislation / regulatory guidance	Lack of awareness; Lack of planning; Lack of resource; Budget constraints; Lack of adequate training.	Litigation; Loss of credibility; Financial cost; Fatalities / Injuries.	<ul style="list-style-type: none"> Staff awareness Attendance at seminars / courses Attendance at NI Licensing Forum Support and advice from Council Legal Services where required Training on legislative requirements Support from NI Licensing Forum and from other Councils Liaison with other statutory agencies 	2	4	8

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Licensing and Safety Advisory	Failure to safeguard against bribery	Lack of policies/procedures; Poor cash handing procedures; Lack of knowledge	Inappropriate licences issued; Reputation; Litigation; Financial cost	<p>Online system for licence applications & payments</p> <p>Receipts issued by member of Admin/Finance staff</p> <p>DCSDC Gifts & Hospitality Policy</p> <p>Strict adherence to criteria for issuing of licences</p> <p>Committee approval required for all contentious applications</p> <p>Compliance with all relevant legislation</p> <p>All Committee reports scrutinised by Strategic Director/HOS</p>	2	4	8
Licensing and Safety Advisory	Delays in the issuing of Licences or inappropriate issuing of Licences	Lack of resources; Inappropriate systems; Lack of awareness; Lack of training; Lack of documented policies and procedures; New legislation (eg Road closures, Pavement cafes)	Credibility; Failure to fulfill statutory obligations; Poor service delivery; Personal injury/fatalities; Litigation; Financial cost	<p>Physical structure inspections (Entertainment/Marriage venues)</p> <p>Checklist / Template in place</p> <p>Issue of conditions of licence</p> <p>Building Control & Fire Service checks for new applications</p> <p>All applications provided to PSNI for consultation</p> <p>Scheme of Delegation - Director authority to approve non-contentious Licence renewals</p> <p>Tascomi software in use for all licence applications</p> <p>All applications signed & dated upon receipt</p> <p>Documented policies and procedures</p> <p>Attendance at NI Licensing Forum</p> <p>Support from NI Licensing Forum and from other Councils</p> <p>Support and advice from Council Legal Services where required</p> <p>Central location for files</p> <p>Information workshops for Licensees on licence application process</p>	2	4	8

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Licensing and Safety Advisory	Lapsed licences are not identified	Lack of appropriate procedures; Inadequate IT systems.	Public Health & Safety; Failure to fulfill statutory obligations; Reputation; Litigation.	Licensing database Reminder letters issued to all Licensees Tascomi software in use for all licence applications	2	3	6
Licensing and Safety Advisory	Lack of awareness of community needs	Lack of communication	Loss of credibility; Public disengagement	Press Releases Public Advertisements Meetings with Residents' Groups, local businesses and stakeholders Special Council meetings including deputations Feedback from elected members Liaison with other statutory agencies Consultation exercises with key stakeholders	2	3	6
Licensing and Safety Advisory	The security & integrity of critical data / information is not assured	Inappropriate security systems; Lack of policies	Loss of information; Loss of credibility; Data protection	IT access controls / security Tascomi software in use for all licence applications Licence Agreement with Tascomi includes security/back-up requirements Council File Retention Policies Central location for files	2	3	6
Licensing and Safety Advisory	Income collection procedures are not effective	Lack of procedures; Inadequate reconciliation between income and licences issued; Lack of training; Inadequate software; Inadequate security (physical & financial controls)	Financial cost; Loss of credibility; Theft/Fraud; Staff morale; Delays in issuing of licences or licences not issued	Receipts issued by member of Admin/Finance staff Online system for licence applications & payments Tascomi software in use for all licence applications Liaison with Finance Fraud Awareness training for staff	3	2	6

Manager Community Services (Community Services)

Community Development	CD25 Budgets are not managed effectively	Lack of information; Failure to monitor; Inappropriate certification of expenditure; Lack of communication;	Overspend; Financial cost; Impact on service delivery; Reputation	Regular reviews of budgetary reports Liaison with appropriate officers and approval of expenditure	3	3	9
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				Liaison with Directorate Accountant			
				Regular Team Meetings			

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Community Development	CD24 Council does not provide appropriate financial support to Advice Services	Lack of forward planning; Lack of policy/direction; Budgetary constraints; Inappropriate system of resource allocation	Community impact; Credibility; Litigation; Inconsistency in service provision; Lack of support for communities regarding the implications of Welfare Reform	Quality Control Measure Programme Commissioning Agreements in place with Advice Providers Advice Services budget Formula for grant allocation Advice Services panel Standard guidelines for Advice Centres Monitoring & Evaluation procedures	3	3	9
Community Development	CD20 Failure to exploit external funding opportunities	Lack of knowledge; Lack of communication; Lack of Event Team to secure sponsorship	Impact on community; Financial cost to Council; Failure to attract funding	Staff awareness GrantNet Facility Attendance at Funders seminars Networking Forward Planning Allocation of budgets for co-financing Liaison & communication with Corporate Funding Unit	3	3	9
Community Development	CD15 Contractors and service providers are not managed effectively	Lack of communications; Lack of contracts; Failure to monitor	Poor service; Financial cost; Credibility; Health & Safety implications	Adherence to Council procurement procedures Contractual arrangements Regular communication Reviews of service provision Post-event evaluations	3	3	9

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Community Development	CD22 An effective Grant Aid Programme (including TSN criteria) is not managed and implemented effectively	Lack of procedures; Lack of consultation; Uncertainty around central government funding; Ineffective review processes	Impact on community; Credibility	On-Line Grant Application process All planning and reviews of Grant Aid programme take into account uncertainty around central govt funding Grant Aid policy & procedures Consultation with Community & Voluntary Sector Groups Regular monitoring & review of system Ongoing Staff training Assessment panels with appropriate membership Appropriate formula in place for grant allocation Budgetary control process in place	3	3	9
Community Development	CD28 The security and integrity of data and information is not assured	Lack of policies/procedures; Unawareness of requirements; Inappropriate security systems	Loss of information; Data protection breaches; Inaccurate data; Fines; Loss of credibility	Compliance with Data Protection Policy and Retention & Disposal Policy ICT Access controls & restriction of access to files Staff Training Information Asset Audit completed	3	3	9
Community Development	CD2 Inadequate Health & Safety management system	Lack of ownership/direction; Lack of awareness; Lack of training	Personal injury; Death; Litigation; Financial cost; Reputational cost; Demoralised staff	Ongoing Staff training Staff awareness Departmental Health & Safety Meetings Accident/Incident Reporting Health & Safety item included on monthly Team Meeting agenda Health & Safety Performance Indicators & monitoring system in place Premises Risk Assessments OHS18001 compliance	2	4	8

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Community Development	CD16 Council does not manage effectively the relationship with community/voluntary groups based in Council premises	Unclear roles & responsibilities; Lack of formal management agreements; Failure to monitor; Lack of resources	Health & Safety implications; Budgetary implications; Inappropriate use of premises; Inadequate maintenance; Poor security of premises	<ul style="list-style-type: none"> Management Agreements in place for majority of centres. Monitoring & Evaluation procedures Community Services Officer assigned to each DEA Service Level Agreements for joint provision centres Training & Information Pack to Community Groups based on Council premises Quarterly inspections and spot checks completed on Community Centres managed by third parties Health & Safety Briefings completed with all responsible persons within Community managed/Council-owned centres Set opening & closing hours Appropriate security infrastructure & procedures Accident/Incident Reporting Liaison with Council Property Management Section Premises Risk Assessments Annual reviews of pricing policy for facilities Programme planning for facilities Community Facilities Officer in post with responsibility for co-ordination & advice in relation to Facilities Management of community centres. 	2	4	8
Community Development	CD6 Absenteeism is not managed effectively	Poor working practices; Inadequate policies; Apathy; Poor morale	Poor morale; Financial cost; Service disruption	<ul style="list-style-type: none"> Adherence to Council's Absenteeism Policy 	2	3	6
Community Development	CD27 Failure to safeguard against bribery	Lack of policies/procedures; Lack of knowledge	Financial costs; Quality of service; Reputation	<ul style="list-style-type: none"> Adherence to Council procurement procedures Grant Aid policy & procedures DCSDC Gifts & Hospitality Policy Conflicts of Interest Policy Anti-Bribery Policy Fraud Awareness Training 	2	3	6

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Community Development	CD14 Lack of awareness of community needs	Lack of consultation; Lack of strategy	Loss of credibility; Public disengagement; Impact on funding	Consultation with Community & Voluntary Sector Groups Monitoring & Evaluation procedures Community Support Plan Good Relations Strategy Liaison with DSD/VCU, NW Community Network, RAPID & NW Partnership Board Engagement in Community Planning process Community Engagement Officer - Bonfire Management	2	3	6

(Registrar of Births, Deaths, Marriages & Civil Partnerships)

Registration of Births, Deaths, Marriages and Civil Partnerships	RBDM6 The security and integrity of critical data / information is not assured	Inappropriate security systems; Lack of training/experience	Loss of information; Loss of credibility; Data protection issues; Inaccurate data	Staff training and awareness IT passwords changed regularly GRO Audit & Inspections Critical data held on GRO database Data retention policies agreed Adherence to GRO data protection requirements GRO Privacy Notice issued to all customers Online GDPR training for all staff Fireproof and lockable storage facilities	2	4	8
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Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Registration of Births, Deaths, Marriages and Civil Partnerships	RBDM5 Inadequate Health & Safety Management System	Lack of ownership / direction; Lack of awareness; Lack of training.	Personal injury / death; Litigation; Financial cost; Reputational cost; Demoralised staff	Monthly & quarterly Premises Inspections OHS 18001 Compliance Prior inspections of venues in conjunction with Licencing Staff Adherence to Registrar General's instructions & procedures Good housekeeping within office Regular reviews of procedures Staff training and awareness Panic Button installed Health & Safety meetings Risk Assessments in place	2	4	8
Registration of Births, Deaths, Marriages and Civil Partnerships	RBDM16 Inadequate security of premises	Inappropriate office accommodation; Lack of planning; Lack of procedures	Damage to premises; Loss of property; Loss of data; Financial cost; Reputation	Visual Monitoring System in place for Waiting Area and Reception Intruder & Fire Alarm systems - Intruder Alarm linked to Alarm Company Keyholders designated Fireproof and lockable storage facilities Strabane Registrar's Office based in Council offices and subject to Council security controls	2	4	8
Registration of Births, Deaths, Marriages and Civil Partnerships	RBDM2 Lack of appropriate IT tools	Lack of resources; Lack of planning.	Reduction in efficiency of service	GRO system in place and maintained by GRO Council IT Systems Regular reviews of systems to ensure requirements met NIRAS system in place from Feb 16	2	3	6
Registration of Births, Deaths, Marriages and Civil Partnerships	RBDM4 Non-compliance with Births & Deaths Order 1976, Children's Order 2002, Marriages Act 2003 and Civil Partnership Act 2004.	Lack of awareness; Lack of planning; Lack of resource; Budget constraints.	Litigation; Loss of Credibility.	Staff training and awareness Regular updates via GRO Communication & Liaison with GRO Attendance at NI Registrars' Forum	2	3	6

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Registration of Births, Deaths, Marriages and Civil Partnerships	RBDM7 Ineffective budgetary management	Lack of clear strategy; Lack of funds; Lack of communication	Overspend; Under resourced service; Impact on service delivery	Budget reports & monitoring Budgets subject to GRO approval Liaison with GRO & Council Finance Dept re expenditure	2	3	6
Registration of Births, Deaths, Marriages and Civil Partnerships	RBDM9 Lack of awareness of client needs	Lack of consultation; Lack of strategy	Loss of credibility; Public disengagement	Clear customer care focus & staff awareness Follow up on complaints from public Production of information leaflets and brochures	2	3	6
Registration of Births, Deaths, Marriages and Civil Partnerships	RBDM10 Absenteeism is not managed effectively	Poor working practices; Inadequate policies; Apathy; Poor morale	Poor morale; Financial cost; Service disruption	Adherence to DCSDC Sickness & Absence Policy Encouragement of good staff relations Communication	2	3	6
Registration of Births, Deaths, Marriages and Civil Partnerships	RBDM12 Lack of effective communication with staff	Lack of planning; time	Demoralised workforce; Reputation of Council	Regular staff meetings Constant 2 way communication Registrars' Group Email system	2	3	6
Registration of Births, Deaths, Marriages and Civil Partnerships	RBDM8 Unavailability of emergency cover to maintain continuity of service delivery	Lack of trained, experienced staff; Lack of budget	Poor service delivery; Customer dissatisfaction; Reputational damage; Impact on staff morale	Emergency staff designated Effective communication with staff Rotation of roles/duties GRO Casual Registrars' List Rota agreed to ensure cover for 2 sites	2	3	6

(Leisure and Sport Services Manager)

Leisure and Sport	LS35 Absenteeism is not managed effectively	Poor working practices; Inadequate or Inconsistent policies (legacy policies in place currently); Poor morale	Poor morale; Financial cost; Service disruption; Reputation	Consistent Adherence to Council's sickness & absence policy Training to Line Managers and Team Leaders on procedures for application of Council Attendance Policy Awareness training to all staff on Council Attendance Policy	3	3	9
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Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Leisure and Sport	LS16 Appropriate levels of service delivery are not maintained	Poor customer care; Poor hygiene; Lack of staff training; Lack of monitoring system	Public dissatisfaction; Reputation; Loss of income; Inability to develop service	Training Regular staff meetings. Cleanliness & Maintenance Checklists Monitoring & Supervision Mystery Visitor Scheme Complaints/Suggestion Scheme Customer satisfaction surveys	3	3	9
Leisure and Sport	LS36 Ineffective management of pavilions/pitches which fall under Leisure responsibility	Ageing facilities; Unclear roles and responsibilities; Lack of accountability for budget allocation; Inadequate inspection & maintenance procedures	Poor facilities; Poor service; Health & Safety implications; Reputation	Weekly facility checks (Health & Safety) Legionella Management contractors in place Booking procedures - Central booking points Review of budget allocation ongoing Pricing Policy Management structure agreed Liaison with Council Property Management Section Use of Council Asset Management system	3	3	9
Leisure and Sport	LS29 External funding opportunities are not exploited	Lack of knowledge; Lack of communication; Lack of adequate match funding.	Failure to deliver service to its full potential	Awareness of & Research into potential funding opportunities Attendance at Funders' Seminars Subscription to Grant Finder Networking	2	4	8
Leisure and Sport	LS5 Budgets are not managed appropriately	Lack of clear strategy; Lack of funds; Lack of communication; Unforeseen circumstances; Competition; Restrictions arising from rates estimates process	Overspend; Service withdrawal or limitation	Rates estimates process monthly budget monitoring Liaison with Directorate Accountants Purchasing limits/thresholds set	2	4	8

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Leisure and Sport	LS10 Inadequate security of premises	Lack of initial planning; Lack of resources.	Service disruption; Loss of confidence; Financial cost; theft/Fraud	Security infrastructure in place (CCTV, Alarms etc...) Regular reviews of security Locker Facilities Basket Room System - City Baths Intermittent supervision of Changing Room areas Changing areas locked when not attended Visitors' Register in place in all facilities Gym access restrictions	2	4	8
Leisure and Sport	LS28 Failure to safeguard against bribery	Lack of policies/procedures; Lack of staff awareness	Impact on service delivery; Reputation; Financial cost	Conditions of hire included on Booking Forms Scale of charges Internal Audits DCSDC Procurement & Tender procedures DCSDC approval & payment procedures Gifts & Hospitality Policy Anti-Fraud & Bribery Policy Staff awareness & training	2	4	8
Leisure and Sport	LS33 Inadequate planning for operational implications of Leisure capital development projects	Lack of communication; Lack of co-ordination across Council Depts; Lack of resources	Poor service delivery; Public dissatisfaction; Impact on staff morale; Financial cost	Leisure membership on Project Steering Groups Leisure Review ongoing Liaison with Directorate Accountants Rates estimates process	2	4	8

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Leisure and Sport	LS1 Service providers are not managed effectively (e.g. coaches, gym providers, contractors)	Lack of communications / trust; Lack of formal contract; Responsibilities not defined.	Poor service; Financial Cost; Credibility; Health & Safety implications; Child Protection issues	Tender process Formal contracts Panel of contractors Vetting of coaches Access NI checks completed for all Leisure staff Leisurewatch accreditation for all leisure facilities Code of Conduct for Contractors Risk Assessments provided by Contractors Council Facility Hire Policy/Booking Application Form	2	4	8
Leisure and Sport	LS35 Inappropriate Customer behaviour is not managed effectively	No exclusion policies in place; No Code of Conduct for users; Staff unawareness	Health & wellbeing of users and employees; Reputation; Litigation; Public dissatisfaction	Terms & Conditions of Use and Customer Charters in place for some facilities Training Exclusion Policy ongoing	2	4	8
Leisure and Sport	LS32 Effective integration of Leisure and Sports services from 2 Legacy Councils is not achieved	Structure not agreed for integrated Leisure Service across all sites; Lack of consultation and communication; Inconsistent policies and procedures; Inconsistent grading of posts; Unclear roles, responsibilities and priorities; Inadequate ICT systems; Lack of training	Underperformance; Staff morale; Poor service delivery; Failure to meet public expectations; Loss of opportunity; Reputational damage; Duplication of resources; Financial cost; Health & Safety implications; Security of premises	Leisure Review ongoing Consultation with staff and Trade Unions Liaison with Finance & Strategic Director Prioritised review of policies and procedures Quality Assurance Officer (Leisure) and Admin Team Leader in post Staff awareness & training Documented procedures Use of Legendware software Financial Management procedures in place	2	4	8
Leisure and Sport	LS13 Inconsistent ICT Systems across Leisure facilities	Lack of resources; Lack of planning; Legacy systems	Reduction in efficiency of service; Incompatible systems; Customer dissatisfaction; Reputation;	Periodic review of systems to ensure meets requirements Legendware software in place for majority of sites. Front of House Booking System software implemented across all Leisure Sites	2	4	8

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Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Leisure and Sport	LS37 Loss of Income or all Income due to Leisure Services is not collected	Lack of adequate systems/procedures; Lack of training; Inappropriate software; Inadequate security; Loss of or damage to facilities	Financial cost; Theft/Fraud; Loss of credibility; Staff morale	Legendware software in place for majority of sites. Documented income collection and cash handling procedures in place for all areas Provision of secure areas and safes Staff awareness & training Use of Security Company at all sites Physical Access controls Front of House Booking System software implemented across all Leisure Sites Quality Assurance Officer (Leisure) and Admin Team Leader in post Continual management of budgets and monitoring of income Insurance of facilities	2	4	8
Leisure and Sport	LS14 Inadequate or inconsistent Child Protection/Safeguarding procedures	Lack of policy; Lack of training	Personal injury/damage; Stress; Litigation; Reputation	Child Protection/Safeguarding Policy Training Access NI checks completed for all Leisure staff Appropriate staff:child ratios Leisurewatch accreditation for all leisure facilities DCSDC CoachMark/Sport NI Clubmark Leisurewatch Mystery visits Council Facility Hire Policy/Booking Application Form	2	4	8
Leisure and Sport	LS30 Security and integrity of critical data/information is not assured	Inappropriate security systems; Lack of knowledge/understanding/training.	Loss of information; Loss of credibility/trust; Data protection	IT system access controls Staff awareness & training Controls in place for schools & participation monitoring programme Secure filing systems Document Retention & Disposal Policy Information and guidance from Council Information and Records Management Section	2	3	6

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Leisure and Sport	LS31 Inappropriate payment of grants under Sports Development Programme	Inappropriate / Inadequate systems	Credibility; Financial cost; Impact on service delivery	Adherence to DCSDC Grant Aid systems Adherence to Funders' requirements All grant aid approved by Council Committee	2	3	6
Leisure and Sport	LS34 Sports grant funding due to Council is not drawn down	Failure to achieve deliverables; Ineligible expenditure; Inadequate documentation	Financial cost; Credibility; Failure to deliver projects.	Quarterly reviews with funders Timely submission of grant claims Review of receipt of grants Budgetary control Liaison between Admin Officer & Finance	2	3	6
Leisure and Sport	LS7 Lack of awareness of customer and community needs	Lack of consultation; Lack of strategy; Perceived high pricing strategy	Loss of credibility; Public disengagement	Annual consultation (user and non-user surveys) Complaint system Suggestion schemes On-Line Complaints system Needs Assessment - Sports Development Projects DCSDC Facility Strategy Ongoing consultation in relation to planned capital projects, Sports Fund, pricing etc. Engagement in Community Planning process Citizen Survey under Community Planning process Mystery Visitor Reports	2	3	6
Leisure and Sport	LS8 Lack of effective communication amongst staff	Lack of planning; Time.	Demoralised workforce; Reputation of Council.	Regular staff meetings. Meetings with Unions Leisure Team Briefings Training	2	3	6
Leisure and Sport	LS15 Failure to comply with legislation/regulatory guidance (Disability legislation)	Lack of awareness; Lack of planning; Lack of resource; Budget constraints	Litigation; Loss of credibility	Training Attendance at relevant Seminars/Information Sessions Liaison with Legal Services Liaison with Property Management	2	3	6

				Disability Awareness Training			
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Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Leisure and Sport	LS26 Hirers of Leisure facilities are not managed effectively	Lack of formal procedures/Conditions of Hire; Lack of communication	Inappropriate use of Council facilities; Financial Cost; Credibility; Health & Safety implications; Child Protection issues	Meetings with Hirers Screening of Hirers' Insurance, Risk Assessments etc. Conditions of hire included on Booking Forms Scale of charges Child Protection/Welfare Policies Liaison with Insurance Officer where required Council Facility Hire Policy/Booking Application Form	2	3	6
Leisure and Sport	LS25 Leisure facilities are not protected from potential fire risk	Lack of knowledge/expertise; Lack of resources; Lack of systems/procedures; Lack of training; Poor inter-departmental co-ordination	Injury to public/employees; Loss of premises; Litigation; Reputation; Service disruption; Financial cost	Fire Risk Assessments completed by CE Dept and held on Corporate Health & Safety folder Recommendations arising from Fire Risk Assessments implemented Staff training on Fire Risk Assessments Fire Alarm Systems Recorded inspections of emergency lighting, call points, emergency exits & fire fighting equipment Electrical Equipment testing Designated Fire Wardens Bi-Monthly Leisure Health & Safety meetings attended by Corporate Health & Safety Officer and representation from Property Management Health & Safety Internal and External audits OHS18001 compliance	1	5	5

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Leisure and Sport	LS12 Lack of adequate Health & Safety Management Systems	Lack of ownership / direction; Lack of awareness; Lack of training.	Personal injury / death; Litigation; Financial Cost; Reputational Cost; Demoralised staff	Staff awareness & training Continual monitoring of systems H&S Risk Assessments Bi-Monthly Leisure Health & Safety meetings attended by Corporate Health & Safety Officer and representation from Property Management Emergency Plan in place for all Leisure Facilities which is regularly tested Health & Safety Performance Indicators and monitoring system in place Health & Safety Service Managers designated to all sites Health & Safety Internal and External audits OHS18001 compliance	1	5	5

(Head of Environmental Health)

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Environmental Health Service	EH18 A smooth transition to Council assuming responsibilities related to Houses in Multiple Occupation (HMO) is not achieved	Delays in approval of subordinate legislation; Inappropriate delivery model; Inadequate IT support systems; Inadequate budget allocated; Inadequate staff resources; Inadequate capacity and training plans; Poor communication with staff and client groups; Staff transfer arrangements are not agreed; Geographical split not effective; New fee structure not agreed and communicated;	Anticipated timeline for transfer not achieved; Inability of Council to deliver effective service; Staff morale; Reputation; Transfer of function not cost neutral	<p>Economic Appraisal completed by external Consultant with options for suitable delivery model and costs for implementation</p> <p>NIHE meeting with Councils and workshops ongoing to discuss present IT requirements and future transfer of information strategy</p> <p>Workstreams established on Legislation, Transitional arrangements, Finance and Set Up Costs, Staff (HR) and Training, Code of Practice, Guidance and Governance, ICT, and Communications. Regular workstream meetings held between NIHE, DFC and Council</p> <p>Detailed Project Risk Register in place which is monitored on a regular basis by the Programme Board/Stakeholder Groups</p> <p>Council to provide a business case outlining resources required to administer the scheme in line with new HMO legislation and guidance</p> <p>Action Plans reviewed on a regular basis</p> <p>NIHE to continue to operate the HMO Registration Scheme for the period up to transfer date.</p> <p>Staff Scheme of Transfer to be agreed between NIHE and Council</p> <p>Communication strategy in place</p> <p>Councils to liaise with SOLACE NI to discuss and agree future SLA proposals for 'cluster areas'.</p> <p>Councils to provide proposals for HMO fees reflective of actual costs of self-sustaining licensing scheme. Workstream meetings to discuss new fee proposal.</p> <p>Work plan and timeline in place prioritising the subordinate legislation required for introduction</p>	3	3	9

Senior Environmental Health Officers (Senior Environmental Health Officers)

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Environmental Health Service	EH7 Uncertainty around the continuity of Central Govt funding of certain services (Affordable Warmth, Food Safety, Environmental Protection)	Current political climate; Number of funded positions; Lack of communication; Lack of alternative funding sources; DFC review of Affordable Warmth Scheme and associated funding; Regulating our Future (FSA Initiative)	Impact on service delivery; Financial cost; Loss of funded positions	Sourcing of all potential external funding opportunities Lobbying of Govt Depts through regional sub-groups, EHNI or through Council Environmental Health Team continually keep up to date with changing requirements and legislation around service delivery, and associated budgetary implications. Member/Officer Working Group reviewing Affordable Warmth Scheme Consultation response submitted to FSA in relation to Regulating our Future Communication ongoing with DFC regarding sustainability of Affordable Warmth Scheme	3	3	9
Environmental Health Service	EH3 Objectives of Action Plan for Air Quality Management areas are not achieved	Poor work practice; Lack of planning; Technical issues; Time constraints; Lack of resources; Restrictions through rates estimates; Reliance on other statutory agencies; Central Government funding cuts; Loss of Group staff	Legal obligation - direction by DOE; Poor press; Impacts on health. Infraction proceedings	Air Quality Grant Aid - Environment Fund Grant Aid Audits Timetable Liaison with other agencies Action Plan	3	3	9
Environmental Health Service	EH17 Dog Control legislation including Dog Control Orders are not implemented effectively in Council area	Lack of staff awareness; Lack of training; Poor inter-departmental communication; Lack of follow-up to licence renewals; Lack of resources; Inadequate structure	Loss of licence revenue; Credibility; Inability to identify stray dogs; Impact on performance indicators; Dog attacks to members of public, staff or livestock; Dog fouling	Software in place Quarterly statistical returns to DAERA Service Plan in place Patrolling of problem areas and use of CCTV Systems Inter-Departmental Dog Control Working Group Staff awareness/training Documented procedures Complaints procedures Health Education Programme including YES Programme for schools Issuing of Fixed Penalties	3	3	9

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Environmental Health Service	EH2 Environmental Health legislation / regulatory guidance is not enforced	Lack of awareness; Lack of planning; Lack of resources; Budget constraints; Inadequate out of hours working arrangements; Introduction of new legislation; Loss of Group Staff; Central Government funding cuts	Litigation; Loss of credibility; Inadequate regulatory service; Inequalities in enforcement	Health and Community Service Plan Quarterly reviews Regular Team meetings Targeting of resources External/Internal audits Risk based inspection system Annual Report for all Service areas Member of Safety Advisory Group Accidents & complaints investigation procedures Environmental Health Policies and Procedures Performance Monitoring Council representation on EH NI Sub-Groups	2	4	8
Environmental Health Service	EH4 Health & Safety Management System is not implemented within Environmental Health service	Lack of resources; Lack of corporate guidance; Lack of awareness; Lack of training	Personal injury to employees/public; Litigation; Financial cost; Reputational cost; Staff morale; Stress	Staff awareness/training Health & Safety discussions at Team meetings Regular reviews of Risk Assessments and SSOWs IOSH training undertaken by all line managers and some staff Health & Safety included on OMT and staff meetings agendas Director of Health & Community attends Corporate Health Safety & Wellbeing Committee Regular meetings with Corporate Health & Safety Officer Consultation with staff regarding procedures	2	4	8

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Environmental Health Service	EH5 Council does not work effectively with Partners and other Statutory Agencies	Time; Resources; Work Practices.	Poor work practice; Delivery of service; Lack of knowledge and funding opportunities; Failure to influence policy.	Meetings of EHNI Liaison with Western Health & Social Care Trust/Public Health Agency, FSA, WELB, DFC and DAERA Member of Safety Advisory Group SLAs in place with statutory partners Participation in Health and Wellbeing Outcome Delivery Partnership Council acts as lead on Civic Forum	2	4	8
Environmental Health Service	EH8 Systems for the procurement and management of contractors and service providers are not effective	Lack of communications / trust; Lack of contracts; Inexperience for drawing up specification / tender / contract; Lack of training.	Poor service; Financial cost; Credibility; Downtime.	DAERA Audit and Progress report Use of reputable, experienced companies Liaison with Procurement Manager Adherence to Council Procurement Policies Adherence to funding Govt Dept's procurement requirements	2	3	6
Environmental Health Service	EH9 Ineffective management of sickness & absenteeism	Poor working practices; Inadequate policies; Apathy; Poor morale; Inconsistency in application of policy; Poor monitoring	Poor morale; Financial cost; Service disruption; Work overload; Loss of credibility; Public perception	Council policy and procedures on sickness & absence Monthly absenteeism reports Staff training on procedures	2	3	6
Environmental Health Service	EH11 The security and integrity of critical data/information is not assured	Inappropriate security systems including building; Lack of application of policy; Corporate IT reliability (computer crash).	Loss of information; Loss of credibility; Data protection.	Compliance with IT Policies Document Retention Policy Tascomi Software and User Permissions in place GDPR training to all staff	2	3	6
Environmental Health Service	EH10 Lack of effective communication with staff	Lack of planning; Time; Information overload; Poor communication of policies	Demoralised workforce; Stress; Reputation of Council; Inequalities in implementation of policies	Management/Staff meetings Regular Team meetings Informal meetings with staff PDP processes in place	2	3	6

Service Area	Risk Description	Potential Causes	Potential Impacts	Current Controls	Residual Likelihood	Residual Impact	Total Residual Risk Score
Environmental Health Service	EH12 Lack of awareness of community needs	Lack of consultation; Lack of strategy; Limited working partnerships; Lack of financial / human resources.	Loss of credibility; Public disengagement; Inefficient working relationship; Poor public perception.	Liaison with other agencies Participation in relevant working groups Engagement in Community Planning Process Use of Council Website Response to service requests in accordance with procedures and policies	2	3	6
Environmental Health Service	EH13 Failure to safeguard against bribery	Lack of policies/procedures; Lack of awareness	Failure to enforce legislation; Reputation; Financial cost	Adherence to Council Procurement Policies Cash handling procedures DCSDC Gifts & Hospitality Policy Anti-Fraud & Bribery Policy Implementation of audit recommendations Fraud awareness training	2	3	6
Environmental Health Service	EH1 Failure to meet Consultee response times in respect of Planning Applications	Lack of resources; Complexities of applications; Increase in energy renewal applications; General workloads	Planning Service unable to process planning applications; Delays in development opportunities; Reputational risk	Liaison with Planning Service Prioritisation of consultations Monitoring of workloads Staff resource allocated Consultee response time targets set for 2018/19	3	2	6