bjective	Value of Investment		Planning consent granted and tenders returned, construction June 2016, remaining risk around	Categories of risk - See Appendix 1 for options	Severity Likelih	nood Ris		Assessment of Risk Control measures in place	Severity Like	elihood Ris Rat	sk ting	Consequence	Further controls in place	Severity	Likelihood	Risk Rating	Review Frequency	Date of Next review	Owner
				Appendix 1 for options						Kat	ung								
Vatford Health Campus		JV risk register held by Kier. Additional risks for WBC outside the JV agreement: 1. Trade City 2. WBC finance 3. hospital trust 4. Design Quality	marketing but considered low 2. WBC finance funding now approved; some risk remains relating to unknown abnormal costs 3. Trust avoiding commitment/ in special measures/ unsigned Campus Agreement/ regular meetings and workshops being held at a senior level with Trust officers 4. Commercially led design may not produce desired	Financial, reputational, social, customer/ citizen	3	3	9	Regular monitoring and viability checks	2	2		Delays in delivery of project and additional costs	Regular Reviews	2	2	4	ιQ	Jun-1	Martii Jones
Met Line Extension		Scheme exceeds available budget.	Specification too high; adverse ground conditions; CPO compensation too high; lack of interest from tenderers leads to high contract sum	Economic/ Financial/ Reputational	4	4			4	3	12	A significant overspend occurs; specification is cut back producing a sub standard product.	Need to obtain a fixed price procurement and to keep a tight control on specification and variation orders	4	2	8	Q	Ongoing	Nicl Fen
eccommodation Review Helivery of the Cassiobury Park Herivery for People Project	£10m			Economic/Financial Financial	3	3	12	oversight at PMB.Milestones in place to stop the project should risks outweigh benefits PID and rigid project management in place with allocated Project Manager, Director and Sponsor. Project governance established. Briefs developed and consultancy team in place. Reporting to Programme and Project Management Board on progress with updates covering all aspects of the project. Roles and responsibilities defined, regular diligence carried out by the design team on progress and scope of works. VE carried out and omissions assessed subject to approval by HLF. Scope of works		3			Value Engineering after appointment of contractor (appointed Dec 15). PMB sub group to undertake Contract Management Governance review in April	3	2	6	a a	Ongoing Feb-1	lan l Pau Rab
iomelessness Increases, placing ressures upon temporary ccommodation & bed and reakfast	potentially circa £150k	homeless / vulnerable families and individuals have no accommodation or unsuitable accommodation creating health, wellbeing and safety issues	combined with policy changes impact upon statutory		4	4	16	Plans for securing additional temporary accommodation are under review. Revenue related	4	4	16	Increasing numbers anticipated in Bed and Breakfast or equivalent accommodation. Pressure on staffing and welfare of clients. Statutory 6 week timeframe for families	on direction regarding	4	3	12	М	ongoing	Nic Fer
chieve Watford 20:20	£160m turnover	services deteriorate. Homelessness increases. The Town looks tired, dirty & neglected.Council cannot meet the budget gap.	service efficiencies / staff rationalisation affect service standards. Budget reductions reduce allocation of resources.	Economic/ Financial Reputational	4	3	12	teams/ Leadership/ quarterly reviews/ scrutiny process/ community surveys all in place to monitor	4	2	8	a deterioration in service standards will affect the council's vision and objectives. Complaints from the community will increase.	Targeted improvement/ resourcing to some services may be necessary eg Benefits Service/ Homelessness.	4	2	8	a Q	ongoing	Le
ontract Management of butsourced Services	not quantified	Failure of contracting partner to deliver required service to agreed specification.	Inadequate commissioning, procurement and contract monitoring arrangements in place. Poor monitoring of contractor performance.	Customer/ citizen legislative/ legal reputational / equalities	4	3	12	Legal conditions in contract. Full monitoring regime in place, and regular real time reporting procedures. Weekly / Monthly updates to review progress. First workshop and meeting of Contract Management Forum established in Nov 2013. Audits undertaken and action plans in place as part of 2014/15 Audit plan. Developing corporate wide "Centre of Excellence" approach in contract management incorporating a training audit and Toolkit development. Training Plan being delivered from	4	2	8	Contract and service delivery failure	Toolkit being developed .	4	1	4	w	Apr-1	Le: Pa 17 ow Hu
tability issues with Academy and nite may disrupt end of year rocessing and delay the issue of lb entitlement letters and new tax and nndr bills		A problem exists which causes Academy to crash when processing work. CS3 and IT are trying to establish what is causing a "bad file save" error.	IT server may be corrupt or may be linked to a SAN problem	customer/citizen/financial	4	3			4	2	8	programme is running, we will have to roll back the database and re-run that programme. The longest programme takes between 6-8 hrs to run. During year end we cannot process any work. The amount of downtime could cause additional delays in finishing year end. Deadlines are tight as we have to issue DD mandates 10 days before a DD is called for on the 1/4/16. If we are unable to get DDs out, then we may not be able to collect £5M in April, there is no way of predicting how many times the bug will occur or what the overall delay in	With CSS and IT as a P1	4	4	16	w	Ongoing	Jucc
year freeze to LHA rates for rivate tenants	not quantified	As part of welfare reform the government has announced that private rents will be frozen at 2015 rents from April 16 for four years. There is a already a substantial gap between the maximum amount someone can get in housing benefit and the market rents. This change will impact on over 2500 families	tenancies and others will be evicted as they will not be able to pay for the shortfall in their rent		3	3	9	DHPs and landlord evictions - work with CAB to	4	4				3	3	g	М	May-1	Juo 16 Grr Ma
lel arrived control of the control o	livery of the Cassiobury Park rks for People Project melessness Increases, placing essures upon temporary commodation & bed and eakfast hieve Watford 20:20 ntract Management of ttsourced Services ability issues with Academy and ite may disrupt end of year coessing and delay the issue of tentillement letters and new ix and nndr bills	livery of the Cassiobury Park rks for People Project E6.5m	the Line Extension Scheme exceeds available budget. Escalating costs, Police needs change, unable to obtain planning permission, not a sufficient revenue return failure to deliver the project on time and within budget and meeting all HLF conditions melessness increases, placing essures upon temporary commodation & bed and eakfast melessness increases, placing essures upon temporary controlled in the project on time and within budget and meeting all HLF conditions homeless / wulnerable families and individuals have no accommodation or unsuitable accommodation creating health, wellbeing and safety issues exprises deteriorate. Homelessness increases, The Town looks tired, dirty & neglected Council cannot meet the budget gap. Intract Management of tsourced Services not quantified A problem exists which causes Academy to crash when processing and delay the issue of entitlement letters and new ix and nndr bills A problem exists which causes Academy to crash when processing and early the issue of entitlement letters and new ix and nndr bills A problem exists which causes Academy to crash when processing and early the issue of entitlement letters and new ix and nndr bills As part of welfare reform the government has announced that private rents upon the processing and early the issue of entitlement letters and new ix and nndr bills As part of welfare reform the government has announced that private rents and the may feet rents. This change will not may be a private rent with the force on years. There is a fready a subsange need the provent of the provent of the government has an end of the provent of the prov	A. Design Quality 4. Design Quality 5. Commercially led design may not produce desired place shaping Scheme exceeds available budger. 5. Scheme exceeds available budger. 5. Scheme exceeds available budger. 6. Commercially led design may not produce desired place shaping and produce to highly adverse ground conditions. CPO compensation too high, lack of interest from tenders leads by high contract was unable to obtain planning permison, much to focal road infrastructure. Degring increase in construction costs lead to budger increases. The commercial within budget and meeting all risk for People Project 6.6.5m 6.6.5m	A. Design Quality 4. Design Quality 5. Commercially led design may not produce desided place shaping 5. Specification to high sheeme ground conditions; led control to control to high sheeme ground conditions; led control to high sheeme ground conditions; led control to control to high sheemes g	4. Design Quality 4. Design Quality 5. Commencion less being may not produce desired glace obtaining. 5. Commencion less being above pround conditions. 5. Commencion less being being produced conditions. 5. Commencion less being being being the produced conditions. 5. Commencion less being being being being being promotion. The less being produced conditions. 6. Commencion less being promotion. The less being	A Design Quality A Commercially led design may not produce desired size shaping Scheme exceeds available hudger. Scheme exceeds available hudger. Commercially led design may not produce desired size shaping Scheme exceeds available hudger. Commercially led design may not produce desired size shaping Scheme exceeds available hudger. Commercially led design may not produce desired size shaping Scheme exceeds available hudger. Commercially led of interest commercially led of interest commercially led of interest commercially led to the shape of the control of the	A Cospe Quality A Commercially led design may not produce desired place already and produce desired place already in the produce of the Commercial for the produce of the product of the Commercial for the product of the produc	A Disign Guiding A Commentation in the process of	Figure 2 of the Control of the Contr	Control of the property of the control of the contro	Commonship of disparance commonship of dispara	Auto Distriction Alternative and an experimental processing systems are processed and an experimental processes and	The second process of	The control of the co	About Clarifornia In Section 2 and Committee	A Page Date Processing of the processing of th	And the second s	Authorizania del la constitución del la consti

			Value of			Assessment of Risk		Assessment of Risk							Review	Date of Next		
Code	Block	Objective	Investment	Risk	Causes	Categories of risk - See Appendix 1 for options	Likelihood	Risk Rating	Control measures in place	Severity Likelihood	Risk Rating	Consequence	Further controls in place	Severity d Likelihoo	Risk Ratin	Frequency	review	Owner
11	Service Delivery	Introduction of Universal credit	not quantified	Claimants in receipt of Universal Credit will be paid monthly in arrears and receive their housing element within their UC. At the moment it is paid as a separate benefit and easily identifiable as being benefit for their rent	It is expected that some residents will not use their UC to pay their rent and arrears will increase resulting in evictions. This will put significant pressure on housing.	Customer/citizen/financial 3	3	4	Work with Housing to identify take up rates for 12 DHPs and landlord evictions - work with CAB to ensure proper money advice is given to residents	4	4 1	Council may not be able to manage demand on housing		3 3	3	9 M	May	Jude -17 Green/Ayaa maqsood
12	Service Delivery	Wider welfare reform changes	not quantified	a year - at the same time, benefit for	the cost of the council tax reduction scheme could increase between £0.5 and £1.5M per annum but hard to know until more details are released about benefit changes. With 6,000 residents getting benefits, it may also have a negative impact on council tax collection rates, leading to loss of revenue to the council with increase costs for CTR.	Financial 4		2	Ensure residents receive support on budgeting and 8 maximise benefits /income to soften impact of welfare reform changes	4	2	Council may lose significant income form council tax		3	3	9 M	May	-17 Jude Green
13	Service Delivery	Ensure Housing Benefit Service is fit for purpose	£75m turnover per annum	arrears accruing; private sector	Use of technology is not maximised. Benefits assessors spend time dealing with routine client enquiries. Incomplete information provided by benefits clients/ recipients.	Financial / reputational/ customer/ citizen 4	1	2	Monitoring of workload being constantly reviewed. 8 External resource engaged to process routine change of circumstances.	4	2	Backlogs are not fully cleared (partly due to increased volumes of applicants—due to 8 economic recession). A danger that conveyor belt mentality will affect quality control processes.	The Customer Service Centre is screening initial applicants in order to ensure all paperwork has been provided and to relieve pressure on benefits assessors		2	8 M	Ongoing	Jude Green
14	Service Delivery	Failure of Uniform and other essential back office systems	not yet quantified	Failure of contracting partner to deliver required service to agreed specification.	System is currently unsupported	customer/citizen/reputati onal 4	1	4	Business critical applications upgrade projects in progress Application discovery project in progress with reviews with key stakeholders and suppliers to identify options for upgrades on current platforms, hosted services	4	4 1	Unable to deliver planning, land charges a and environmental health services & meet legislative deadlines	Regular MIT project reviews Review of supplier options to support / deliver upgrade projects in progress	4 3	3 1	2 M	Ongoing	ITSG/ HoS
15	Service Delivery	Failure to secure an effective new ICT service delivery model	not yet quantified		Inadequate resources secured both in-house and external leading to a skill set gaps. Inadequate contract management by contracting partner, poor process & lack of procedures, poor governance by contracting partner. In house service not fit for purpose.	Customer/ citizen legislative/ legal reputational / equalities	1	4	Revised service delivery model in place. Additional resources supporting exit and procurement/recruitment. Senior stakeholder engagement	4	4 1	Poor service delivery / service debasement Poor return on investment Inability for council to deliver service improvements / efficiencies / vision	Regular monitoring of ARP progress Regular reviews with senior supplier management Review of contract service threshold & action options	4 4	1 1	6 M	Ongoing	Jo Wagstaffe
16	Service Delivery	Achieving a vibrant and viable market	Not achieving a return above WBC outgoings for rent etc	Failure of contractor to secure high occupancy and footfall	The market does not generate income above the annual costs costs incurred by WBC, the variety of stalls attracted is not appealing to shoppers resulting in lower footfall and reduced income.	Reputation/ customer 2	2	3	regular meetings with TCM to review progress. Steering group	2	2	Town centre does not feel vibrant, empty space means pedestrians go elsewhere	none	2 2	2	4 W	End Feb	Nick Fenwick
17	Reputational	Continue to Progress Equalities within the Council and across all service delivery	Not Quantifiable	Potential for council not to meet its statutory duties and for equalities issues not to be considered in an appropriate or timely way.	Lack of staff awareness n results in equalities being given a lower priority both within the Council and in the provision of services to all the community.			2	Equalities champions at Head of Service/ Cabinet level are in place. Quarterly reviews are held. Legislative changes to equalities are being monitored. Corporate Equalities group relaunched. Leadership Team review equalities. (HR report received annually). New mandatory training developed. EIAs developed where appropriate	4	2	The Council will not be seen to support 8 individuals and the community. It will not be recognised as a fair/ good employer.	EIA activity to be reviewed. Statistics relating to usage of facilities and complaints processes need to be closely monitored.	4 2	2	8 Q	Ongoing	Kathryn Robson
19	Reputational	CIL commitment to Metropolitan Line Extension	£5m	Significant shortfall in CIL income which could affect ability to meet MLX commitment	The Government is seeking to exempt new starter homes from ClL and \$106 payments. As most new homes in Watford could potentially fall under the starter home umbrella, this would undermine WBC's ability to raise such funding.	Economic/ Financial/ Reputational 4	100	3	Alternative funding/ longer payment period will be required to meet MLX commitment.	3	3	Delay to delivery of MLX which could have reputational/ legal implications for Council. 9 May have to renegotiate Council's commitment/ delivery of funding timescale.				0 Q	Ongoing	Nick Fenwick
20	Reputational	PSN - Public Services Accreditation is not achieved	Not Quantifiable	Residents do not receive correct Housing benefit payments.	Revenues and Benefits services are unable to send and receive data from departments such as DWP.	Financial / reputational/ customer/ citizen	1	3	Annual project reviewed previous submission & issues arising & submission completed with known non-compliance items 2016: Consultant engaged to work with WBC on ensuring PSN compliance. Positive engagement with Cabinet Office. Approved action plan.	4	2	This may result in temporary disadvantages 8 for the Council e.g. remote access to government services are disabled.	Long term and annual PSN project is in place. Regular contact with Cabinet Office & key stakeholders over known no compliance and remediation workplan	3 3	3	9 Q	Ongoing	Jo Wagstaffe
21	Functional	ICT platform fit for purpose	Not Quantifiable	Unreliability of system affects corporate efficiency and results in considerable staff downtime and failure to deliver full service to the public.	Delays on MIT project - out-dated hardware, systems and platform still in use. Inadequate project resources. New service delivery following exit from Capita will need to embed before MIT fully established.	Customer / Citizen Economic/ Financial 4 Reputational	1	3	Revised MIT project established and WBC now leading on areas of work to establish a stable platform. Additional resources being called upon as required.	4	2	8 Service delivery and staff efficiency badly affected	Ongoing sound project management and regular reviews of progress.	4 5	3 1	2 M	Ongoing	Jo Wagstaffe
22	Functional	Ensure the Control Environment across the authority reflects the changing nature of fraudulent activity	Not Quantifiable	Increasing sophistication of fraud, particularly cyber fraud could result in significant financial losses	moral standards in society falling. Financial hardship encouraging innovative ways to obtain money.	Financial / reputational/	:	3	Regular fraud up dates distributed to all staff. E learning module on intranet	4	3 1	Risks of fraudulent access to council's accounts still remain	Annual Audit Plan includes resources to test the council's resilience against cyber crime	4 2	2	8 Q	Ongoing	Bob Watson
23	Functional	Review Corporate/ Service Plans	Not Quantifiable	Corporate and Service Plans become stale and fail to engage with staff or reflect the ambitions and work programme of the organisation	Other competing priorities could mean the CP/SP process is delayed. Additionally, lack of focus or clear direction would impact on effective delivery.	Customer / Citizen Reputational 3	3	3	Service management teams/ quarterly reviews/Leadership Team give this a higher priority. Staff survey carried out. Appraisals in place. Annual review of vision, priorities and values to ensure they are relevant and reflect council's opportunities and challenges.	3	2	The Vision , values & key objectives are not recognised by all staff. Could impact on delivery if priorities are not clear and staff not focused on areas of work required.	Initiatives to encourage awareness. Intranet improvements.	3 1	1	3 Q	Ongoing	Kathryn Robson
24	Functional	Assess impact of major changes to funding by Government through Business rates Retention and Local Council Tax Benefits schemes	£193,000	WBC may lose a significant amount of financial support from Central Government	The localisation of business rates means that the Council carries risk in relation to it's overall funding from Central Government. Much of the causes for the fluctuations are outside of the Council's control.	Financial/ Reputational/ Citizen/ customer	1	4	Business Rates are monitored on a monthly basis and the budget has been set based on current 16 performance. The Council can quantify the overall value of the risk and has taken this into account when setting the budget.	3	3	The council may be at risk of reduced income which it had not intended.	Continued monitoring of the performance of business rates is to be undertaken.	3 2	2	6 Q	Ongoing	Bob Watson
25	Functional	Ensure Council complies with all relevant Health and Safety legislation		Risk of failing to comply with our statutory responsibilities, including compliance testing	Weakness in our support arrangements to ensure support that services will be resumed after compliance testing undertaken	Major 3	3	4	Testing booked into the diary and external contractor appointed to undertake the testing. 12 Dialogue with other external support service providers to ensure aware of and have planned in the testing requirements	2	4	8 Risk of non compliance reduced	Clear contractual commitment with external support service provider to ensure they will have measures in place to support any required testing	2 4	1	8 Q	on-going	Cathy Watson