

Code	Block	Objective	Value of Investment	Risk	Causes	Assessment of Risk				Assessment of Risk				Consequence	Further controls in place				Review Frequency	Date of Next review	Owner
						Categories of risk - See Appendix 1 for options	Severity	Likelihood	Risk Rating							Severity	Likelihood	Risk Rating			
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	4	12	Work with Housing to identify take up rates for DHPs and landlord evictions - work with CAB to ensure proper money advice is given to residents	4	4	16	Council may not be able to manage demand on housing		3	3	9	M	May-17	Jude Green/Ayaz maqsood
12	Service Delivery	Wider welfare reform changes	not quantified	The benefit Cap will reduce the maximum amount of benefit residents can receive by up to £3,000 a year - at the same time, benefit for private rents will be frozen, although it is known rents increase by a minimum of 3-4% per year and it is expected that council tax may increase	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	8	Ensure residents receive support on budgeting and maximise benefits /income to soften impact of welfare reform changes	4	2	8	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	Loss of subsidy from DWP due to LA error; homelessness caused by rent arrears accruing; private sector landlords not willing to accommodate benefit customers through fear of not being paid	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	2	8	Monitoring of workload being constantly reviewed. External resource engaged to process routine change of circumstances.	4	2	8	Backlogs are not fully cleared (partly due to increased volumes of applicants–due to 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	4	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/reputational	4	4	16	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	16	Unable to deliver planning, land charges and environmental health services & meet legislative deadlines	Regular MIT project reviews Review of supplier options to support / deliver upgrade projects in progress	4	3	12	M	Ongoing	ITSG/ HoS
15	Service Delivery	Failure to secure an effective new ICT service delivery model	not yet quantified	Failure to deliver required service to meet needs of the organisation. Key customer interfaces impacted. Loss of income if payments impacted.	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	4	4	16	Revised service delivery model in place. Additional resources supporting exit and procurement/recruitment. Senior stakeholder engagement	4	4	16	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	16	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	3	6	regular meetings with TCM to review progress. Steering group	2	2	4	Town centre does not feel vibrant, empty space means pedestrians go elsewhere	none	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.	Customer / Citizen Legislative/Legal Reputational	4	2	8	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	8	The Council will not be seen to support 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	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 CIL and S106 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	3	12	Alternative funding/ longer payment period will be required to meet MLX commitment.	3	3	9	Delay to delivery of MLX which could have reputational/ legal implications for Council. 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	4	3	12	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	8	This may result in temporary disadvantages 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	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 Reputational	4	3	12	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	3	12	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/	4	3	12	Regular fraud up dates distributed to all staff. E learning module on intranet	4	3	12	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	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	9	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	6	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	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	4	4	16	Business Rates are monitored on a monthly basis and the budget has been set based on current performance. The Council can quantify the overall value of the risk and has taken this into account when setting the budget.	3	3	9	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	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	4	12	Testing booked into the diary and external contractor appointed to undertake the testing. 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	8	Q	on-going	Cathy Watson