

Project	Corporate Risks
Risk Log Owner	Carol Chen

Ref	Risk description	Cause	Consequence	Response	Action agreed to respond / mitigate / control	Status	Date raised	Raised by	Risk Owner	CURRENT RISK ASSESSMENT			Action Taken
										Likelihood 1-4	Severity 1-4	Risk Score	
1	Election of a new mayor in 2018	Manifestos of mayoral candidates not yet published, therefore unclear what their objectives for the next 4 years are and whether they reflect the current direction of travel and financial constraints of the council. Establishing new working relations with a new mayor, future of the mayors office, future relations between the mayor and the rest of council. Potential for affecting relationships with partners and stakeholders.	Officers are unprepared when change takes effect in May. Relations between mayor and officers get off to a bad start and council business is stalled. Budget has to be adjusted and corporate plan revised. Mayor unable to deliver manifesto commitments.	Treat	Obtain mayoral manifestos as soon as published and begin to develop potential implementation plans. Meet all mayoral candidates to discuss how they would wish to operate their office and explain nature of responsibility of the role vis a vis the law and constitution. Have communication plan for staff and partners/stakeholders to prepare for the change, including understanding legal powers of the mayor.	closed	06/09/17		Carol Chen	3	2	6	Meetings taken place with all announced candidates. Keeping powder dry. Manifestos now published and on radar.
2	Brexit and Government failure to progress its other legislative programme whilst Brexit negotiations are taking place	The Council is left without certainty on a number of key potential government programmes such as NNDR retention, Welfare Benefit reforms and planning and is unable to have a robust MTFS and be confident that its Local Plan review will be passed by PINs. In addition any changes to the current free travel arrangements within the EU may see a change in the population, demographic and economic prosperity of the Town	Long term future funding from central government is unclear and worst case scenario assumptions may be required that could result in unnecessary service reduction. Developers take advantage of delays in implementing the Local Plan by seeking developments that are not in accordance with the councils policy aspirations. Town loses a percentage of its workforce, businesses unable to recruit and inward investment stops.	Treat	Already planning MTFS on assumption of not having full NNDR retention. Actively seeking ways to be more self sufficient by increasing income opportunities. Engagement with business on a regular basis to pick up employment trends. Work with partners like the College to skill up young people to be able to step into the jobs market.	Open	06/09/17		LT	3	3	9	
3	A breakdown in community cohesion within the Town and the ability to ensure our objectives meet the needs of our residents and businesses.	The census data tells us that the population of the borough continues to expand and we have a high proportion of migrants in the both from eastern Europe and the Asian sub continent. We are also receiving an influx of people displaced from London due to high house prices which is having a knock on effect on house prices in the Borough. A shortage of affordable homes, a diverse population and a constrained boundary may lead to civil unrest and a breakdown of community relations. The council may not be able to deliver the services the expanding population requires leading to a loss of satisfaction in council services.	Higher rates of hate crime and anti social behaviour, communities not engaging with the council or each other. Sections of communities leave the Borough. Borough gets bad reputation in the press that then discourages businesses from investing in the Town.	Treat	Good engagement by mayor and local politicians with communities. Working with LSP to understand our varied communities. Looking at reviewing our local plan policies and looking at partnerships to create more affordable homes.	Open	06/09/17		LT	2	3	6	

4	our major projects not being delivered on time and in budget	The Council has a number of major projects, some of which are directly within its control and some of which it has to rely on third parties. Failure to deliver these projects would affect the finances of the council and its ability to provide its statutory services, will affect the economic prosperity and well being of the Borough, this would have a knock on effect for the reputation of the council	The council will not have sufficient resources to provide statutory services. The council will not meet its 5 year land supply of housing. The council will not be able to engage with its customers in the way they would prefer. The Borough is not seen as a place for businesses to invest and the economic prosperity of the Town declines, leading to increased unemployment and homelessness and higher reliance on welfare benefits.	Treat / Transfer	Projects within the control of the council have good governance arrangements. Risks are regularly assessed by project boards and reported to PMB Watford 2020 has own programme board. Projects outside of the Councils control the council through its politicians and senior officers seek to lobby and influence decision makers. Regular engagement with businesses and the LSP. Making use of external funding opportunities where ever possible such as the LEP, HLF or other similar funding streams to help make projects viable and achievable.	Open	06/09/17		PMB	3	3	9	
5	Failure to have a suitably skilled workforce and the capacity to deliver the councils services and objectives	The council is unable to retain and recruit staff with the appropriate skills to deliver the councils objectives and that it does not have the correct number of staff to undertake and manage the work	Services are not delivered. Contracts are not managed more resources are spent on using external providers without appropriate management and oversight.	Treat	Robust people strategy in place with clear reward and recognition. Robust job evaluation scheme. Employee well being and work life balance understood. Regular PDR process. Robust recruitment process. Good prioritisation of corporate objectives.	Open	06/09/17		LT	3	4	12	Progress implementation of people strategy. Due to a particular pressue in project management capacity look at recruitment of graduates to 'grow our own' and to that end having a recruitment open day initiative.
6	unable to provide our statutory services at all times	The council is unable to fulfil its statutory responsibilities to its residents and businesses due to catastrophic service failure or as a result of a civil emergency	The council is unable to perform its statutory obligations, it fails its citizens and the government intervenes to run the services in its place. National media and government criticism. Major reputational damage and loss of trust and confidence in the council	Tolerate	Belong to Herts Resilience Partnership which supports the county response to civil emergencies. Keep emergency plan up to date. Encourage staff to volunteer to assist/look to change employment contracts to compel assistance. Developed relationships with partner agencies to also provide assistance.Undertake regular EP exercises. Keep Business Continuity Plans up to date and regularly tested. Statutory Service KPI's regularly monitored by LT.	Open	06/09/17		LT	3	4	12	
7	Decline in economic prosperity and vibrance of the borough	The council is unable to deliver an up to date and workable local plan due to the inability of the council and its neighbouring districts to cooperate on major planning policy requirements. There is insufficient funds to provide the necessary infrastructure to promote growth	Piecemeal inappropriate development in the Borough. Resident dissatisfaction, increased legal challenges to planning decisions with resultant expense. Businesses do not locate in the Borough, rise in house prices and unemployment, more homelessness, more congestion.	Treat	Good working relationships at officer level with neighbouring authorities and joint working already taking place. Good dialogue with the County Council and imput into SW Herts Transport Strategy. Making use of external funds like the LEP to bring forward infrastructure projects, robust use of s106 for site specific infrastructure, like schools. MARF, Developers Forum. Core strategy in place	Open	06/09/17		PMB	2	3	6	

8	Having an insufficient supply of affordable homes to meet demand	The council is unable to fulfil its statutory duty towards homeless households by offering a sufficient supply of suitable affordable accommodation within the Borough. Unable to secure sufficient suitable affordable accommodation on private ly developed sites due to viability issues. Unable to source sufficient affordable accommodation in the private rented sector due to the difference between local housing allowance rates and private rental income.	More families are required to move considerable distances away from the Borough to resolve their housing needs, breaking their links with family, schools and work. Insufficient land supply to meet demand. More legal challenges against unfavourable decisions. Increased costs for finding temporary accommodation and legal fees.	Treat / Transfer	The council has set up a joint venture with WCHT to utilise both parties land to build affordable housing. Looking at underused garage sites to build temporary accommodation. Looking at existing assets and disposing of them to then use the funds to purchase better suited temporary accommodation. Working with selected private providers on a call off framework. Testing rigorously viability assessments from developers and using s106 for overage. Robust processes in place to ensure decision making is challenge proof.	closed	06/09/17		LT	3	3	9	Merged with risk 12 following review by LT 5.12.17
9	Failure to provide an optimum service for our residents by not looking proactively at all service delivery models.	Fail to make the most of opportunities to provide better more cost effective service delivery	Customer dissatisfaction with level of service provided. Increasing financial burden for the cost of services may result in cuts.	Treat	Already operate a number of different delivery models, from shared services to outsourcing, to supporting self service (third sector). Officers continue to look at best practice	Open	06/09/17		LT	2	2	4	
10	Failure to maintain our ambitious programme of delivery	Our ambitious programme exceeds our funding capacity. We do not receive external funding support for example from HCC and or the LEP to support infrastructure improvements to the Town	The Town will not benefit from improved facilities and infrastructure	Treat	Undertake a rigorous review of all our projects and funding streams and make appropriate adjustments	Open	06/09/17		LT	3	4	12	Will be reviewing all core funding and continuing dialogue with funding partners such as HCC and the LEP
11	Failure of Contract Management of Outsourced Services/Contractor insolvency and failure of management capacity	Failure of contracting partner to deliver required service to agreed specification. Contractor going into administration/liquidation. Failure of adequate contract monitoring. Failure of having appropriate contractual terms in place to remedy problems	Service delivery inadequate, loss of income, reputation affected, step in to deliver services directly.	Terminate	Robust procurement processes. External consultancy support used. Clear specifications and conditions. Contract monitoring officers and client teams and regular monitoring meetings in place. Legal conditions in contract. Full monitoring regime in place, and regular real time reporting procedures. Weekly / Monthly updates to review progress. Contract Management Forum established in Nov 2013. Developing corporate wide "Centre of Excellence" approach in contract management and Toolkit development. EU Directives complied with.	Open	06/09/17		LT	1	4	4	Contract and relationship Forum in place. Early instructions to legal to prepare contracts. PMB to monitor contract pipeline. Also regularly monitor financial health of companies we partner with or outsource to via Dunn and Bradstreet alerts and sharing intelligence via networks.

12	Lack of affordable housing in the Borough to meet demand, homelessness increases, placing pressures upon temporary accommodation & bed and breakfast	homeless / vulnerable families and individuals have no accommodation or unsuitable accommodation creating health, wellbeing and safety issues The council is unable to fulfil its statutory duty towards homeless households by offering a sufficient supply of suitable affordable accommodation within the Borough. Unable to secure sufficient suitable affordable accommodation on privately developed sites due to viability issues. Unable to source sufficient affordable accommodation in the private rented sector due to the difference between local housing allowance rates and private rental income.	Increased cost to the council in finding temporary accommodation. Increased legal challenges as homeless families placed outside of the Borough. Families split up and disconnected from their support networks, schools work	Treat	Joint venture with Watford Community Housing to increase amount of both temporary and affordable housing. Use of redundant garage sites to build temporary accommodation. Framework contract with accommodation providers to get better rates. Making better use of property assets to lever more affordable housing. Make use of commuted sums from developers for affordable housing and the council's own capital receipts	open	06/09/17		Nick Fenwick	3	4	12	Risk 8 merged following review by LT 5.12.17 Joint venture with WCH and WBC to provide 50 social rented properties. Report to cabinet September 2018 and then to Council. Grant funding to Homes England applied for and decision expected late Sept 2018. Latest position as at end of Aug is that TA accommodation needs reduced to 158. This is significant in the past year at 220+. WBC seem to be bucking the national trend.
13	Failure to ensure our ICT systems remain fit for purpose and services can maintain service delivery	Inadequate resources secured both in-house and external leading to a skill set gaps. Inadequate contract management, poor process & lack of procedures, poor governance. Service not fit for purpose. Failure of hardware and software.	Services unable to operate business as usual due to service interruption and down time. Security breaches leading to loss of information and reputation. Loss of income. High resident and customer dissatisfaction	Treat	ICT strategy being developed. Resources being spent to upgrade hardware. Stronger contract management and governance arrangements around new projects. Staff structure being implemented.	Open	06/09/17		LT	3	3	9	11/9/18 - Significant progress made in delivery of Core Infrastructure Transformation programme. New staff structure in place. ICT Strategy actions being delivered as planned (new WAN and Unified Communications on track for delivery in FY 18/19).
14	Revenues and Benefits Service remains fit for purpose	Productivity of the service slips, leading to delays in processing claims and recovering income. Loss of subsidy from DWP due to LA error; Failure to keep IT systems up to date: Relocating offices without a clear management plan	Claimants do not receive their benefits in a timely manner leading to arrears, evictions and more homelessness. Council experiences issues of cash flow due to income not being collected. Reputation of the Council damaged. Government intervention.	Treat	Monitoring of workload being constantly reviewed. External resource engaged to process routine change of circumstances.	Open	06/09/17		Jane Walker	2	3	6	
15	Failure to find a suitable site for a new cemetery	Insufficient space in the medium to long term to cope with the demand for burials.	Residents unable to bury their loved ones in the Borough.	Tolerate	Project brief being scoped for approval, including budget and timescale. Further details to follow, including project risk mitigation measures.	Open	06/09/17		Alan Gough	2	4	8	A task and finish group has been initiated to look at the options for delivery

