

Project	Corporate Risks
Risk Log Owner	Carol Chen
Date	22.11.19

[For Guidance Please Click Here](#)

Ref	Risk description	Cause	Consequence	Response	Action agreed to respond / mitigate / control	Status	Date raised	Raised by	Risk Owner	CURRENT RISK ASSESSMENT		
										Likelihood 1-4	Severity 1-4	Risk Score
1	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	06/09/2017		SLT	3	3	9
2	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	06/09/2017		SLT	2	3	6
3	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	06/09/2017		PMB	3	3	9

4	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	06/09/2017		SLT	3	4	12
5	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	06/09/2017		SLT	3	4	12
6	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 input 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	06/09/2017		PMB	2	3	6
7	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	06/09/2017		SLT	2	2	4
8	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	06/09/2017		SLT	3	4	12

9	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	06/09/2017		SLT	1	4	4
10	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 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.	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 councils own capital receipts	open	06/09/2017		Helen Fisher	3	4	12
11	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 developed. Resources being spent to upgrade hardware. Stronger contract management and governance arrangements around new projects. Staff structure implemented.	Open	06/09/2017		SLT	3	3	9
12	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	06/09/2017		Jane Walker	2	3	6

13	Impact on the Town as a result of the Metropolitan Line Extension not taking place	Failure of central government and the Mayor of London to agree finance	Potential slow down in interest and investment in Watford. Need to make careful assessments and judgements of future development applications on a piecemeal basis and a case by case basis in the short term.	Treat and Tolerate	Work under way to develop a medium term and longer term strategy/policies including exploring any other opportunities as an alternative to the fixed rail MLX.	open	02/03/2018	Manny Lewis	Helen Fisher	3	3	9
14	Failure to comply with the GDPR and Data Protection Act 2018	Lack of staff awareness, failure in IT system security, failure to manage Data Processors, failure to use safe methods of sending personal data	Loss, or misuse of personal data, causing complaints to ICO with potential for heavy fines and also loss of reputation to Council	Treat	Data Protection Officer post. Training to be ongoing with regular refreshers. Installation of e-mail encryption. Regular IT upgrades to maintain security of systems.	open	29/05/2018	Carol Chen	Carol Chen	3	4	12
15	Failure of investments or commercial ventures	Lack of understanding of the business investing in, lack of management capacity, recession or general economic downturn	Council does not have sufficient funds to undertake it's day to day activities, s151 officer constrains spending, intervention by centrl government	Treat	Ensure appoint appropriate advisers to consider any potential transaction. Have proper governance arrangements in place. Clear monitoring and reporting	open	02/08/2018	Manny Lewis	SLT	4	4	16
16	Community Asset Review disclosing major repairs needed to the councils assets let to the thrid sector	Failure of incumbent lessees to undertake repairs and failure by council to inspect premises regularly	Needing to find significant funds to undertake repairs	Treat	Take a planned approach to undertaking repairs. Use percentage of rental income to set up a sinking fund. Challenge lessees to undertake works.	open	02/08/2018	Manny Lewis	SLT	3	3	9
17	Commercial income may not materialise as identified in the MTFS	Services offered for sale may not be as high as anticipated and/or commercial properties may remain vacant for prolonged periods of time.	The income built into the budget may be less than the estimate. This may cause a budget pressure which will need to be managed.	Treat	Regular budget monitoring should highlight income levels and allow an early warning system and appropriate action to be taken.	open	11/09/2018	Joanne Wagst	SLT	2	4	8
18	Failure to appropriately manage safeguarding within the Council.	Lack of understanding of the correct processes and procedures for reporting concerns or complete failure to report concerns. Lack of training for staff to identify when safeguarding might apply	Children and vulnerable adults being left at risk and not being referred to the appropriate agencies. Damage to reputation of the Council.	Treat	Action plan in place following external safeguarding review. Regular monitoring to ensure actions in action plan are achieved.	open	06/11/2018	LT	Alan Gough	2	4	8

