

Project	Corporate Risks
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Date	Updated 08/02/21 - Risk 1 removed by LB on 16/02/21 and risks of 9 + after mitigation added from service and project plans

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Ref	Risk description	Cause	Consequence	Response	Action agreed to respond / mitigate / control	CURRENT RISK ASSESSMENT		
						Likelihood 1-4	Severity 1-4	Risk Score
1	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 inward migration 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 tensions in community relations. The council may not be able to deliver the services the expanding population requires leading to a reduced level of satisfaction in council services. The impact of Covid-19	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. Working with the community and the implementation of the Road to Recovery Plan	3	3	9
2	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 through the EPMO . For projects outside of the Councils control the council seeks to assert influence through its politicians and senior officers lobbying and influencing 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. Need to have plans in place in case critical staff are unavailable to keep projects going.	3	4	12
3	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.	2	4	8

4	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	3	3	9
5	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	2	2	4
6	Failure to maintain our ambitious programme of delivery.	Our ambitious programme exceeds our funding capacity as the opportunities to generate additional income become more scarce and more difficult and council tax and non domestic rates come under pressure. Lack of internal capacity leads to issues in delivery.	Projects are not delivered on time and within budget and commitments on service levels and improvements can not be fulfilled.	Treat	Ensure governance processes are in place to actively manage programmes. Corporate ownership of major projects and budgets.	3	3	9
7	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. Restrictions imposed by the Government as a result of the Covid Pandemic.	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. Developing corporate wide "Centre of Excellence" approach in contract management and Toolkit development. Making adjustments as required as a result of the Covid pandemic.	2	4	8

8	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, and 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	3	3	9
9	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.	1	4	4
10	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 function outsourced to HCC for greater resilience. Training to be ongoing with regular refreshers. Installation of e-mail encryption. Regular IT upgrades to maintain security of systems.	3	4	12
11	Failure of investments or commercial ventures	Downturn in commercial markets lead to failure in investments or reductions in income levels. Poor investment decisions.	Council does not have sufficient funds to undertake it's day to day activities, reductions in service budgets, s151 officer constrains spending, intervention by central government	Treat	Ensure appoint appropriate advisers to consider any potential transaction. Have proper governance arrangements in place. Clear monitoring and reporting. Effective management of reserves to guard against downturns.	3	4	12
12	Commercial income may not materialise as identified in the MTFS	Take up of 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.	2	4	8
13	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.	2	4	8
14	Cybersecurity attack renders ICT systems inoperable or inaccessible.	Lack of appropriate security controls, failure to report security breaches, lack of training for all staff to identify when a security incident has taken place, failure to remediate identified vulnerabilities, failure to patch systems appropriately, unsupported software in place.	ICT systems inaccessible, inoperable, or data loss is experienced. Business Continuity plans invoked.	Treat	Ongoing actions in place. Vulnerability management system in place, Qualysguard to monitor, remediation procedure in place. Staff security and awareness training module in place, security incident reporting mechanisms in place, Anti virus systems in place, annual IT health check, annual cybersecurity audit conducted. Patching policies and procedure in place, unsupported operating systems in segregated part of the network.	3	4	12

15	Failure of major investment acquisition Croxley Park	Downturn in the market leading to business failures and inability to rent units.	Significant expenditure commitment to freeholder with inadequate resource to pay and significant losses to the council	Treat	Active management of the Park with appropriately qualified staff. Regular monitoring.	2	3	6
16	Provision of incorrect procurement advice, missing of crucial deadlines, lack of suitably qualified staff internally, lack of awareness to seek advice. Loss of reputation either by being successfully challenged through court action or receive a financial penalty relating to any Procurement activity	Lack of capacity internally due to staff shortage, sickness or difficulty recruiting to posts. Lack of resources to research advice. Lack of time to consider advice being given. Lack of awareness by others that procurement advice should be sought	Council fails to follow it's own procurement procedures and faces challenges from contractors. Contracts are delayed. Possible litigation. Potential for financial and reputational loss	Treat	Dedicated Procurement Manager in post. Regular monitoring of corporate procurement activity. Maintenance of the Corporate Contract Register and pipeline register. Training opportunities taken to keep abreast of case law and other relevant events affecting this service area.	3	3	9
17	Crematorium project is not completed on time or is completed over budget	Lack of project planning, issues not predicted, pressures caused by balancing input from 5 authorities	Financial pressure on the organisation, reputational impact.	Treat	Project governance and robust project management disciplines already in place. Reporting into the EPMO Assurance Group to provide Leadership Board with transparency and oversight.	3	3	9
18	Failure to deliver anticipated efficiencies and improvements to customer experience through developing online services	- Customer take-up of web services is not in line with the anticipated levels - Insufficient organisation-wide engagement with the delivery and embedding of the outcomes of the Watford 2020 programme	- Planned savings through customers moving to self-service may not be realised. - Potential disjointed, inconsistent, unsustainable or non-strategic mix of services and delivery vehicles.	Treat	- Ensure a high quality design of all self-service transactions and web content focussing on the needs of the customer - Ensure all staff are engaged in and monitored on ensuring continuous improvement to digital channels and web content - Ensure all staff are engaged in and monitored on promoting the uptake of digital channels - Work with communications to promote online services in a strategic and planned way to drive the uptake of digital channels - CSC staff to use the same processes and knowledge base (the web) as customers to drive up quality standards	3	3	9
19	CfH Docmail implementation	Lack of resources within services to support implementation Digital mailroom	Failure to deliver digital mail room concept and associated savings successfully	Treat	Project tracked through COVID-19 Organisational Recovery work stream. Issues highlighted in regular highlight reports and reviewed by leadership board.	3	3	9
20	The council's resilience model may not be fit-for-purpose	Model has not be benchmarked or reviewed recently and requirements and expectations have changed significantly due to Covid.	The council may not be as prepared as it could be to manage an incident or business continuity situation	Treat	- Review to be conducted under the Organisational Renewal work stream with the findings reported to Leadership Board	3	3	9
21	Failure to innovate and keep up to date with communications and engagement improvements	Lack of team time and motivation	Ineffective / poor quality communications and engagement that do not reflect the council or the town. Missed opportunities	Treat	Training and mentoring to advance team and expose them to new techniques / ways of working.	3	3	9
22	Failure to engage with local businesses and build effective networks	Lack of time spent on networking and building relationships. Failure to deliver necessary communications / engagement tools for business.	Loss of council's credibility with business. Potential loss of existing and new business opportunities - loss of competitive advantage	Treat	Key accounts established to improve how the council engages with business. New business forums established.	3	3	9
23	No five year housing land supply	24 July 2018 new National Planning Policy Framework introduced new standised approach to assessing housing need. This increased significantly Watford's annual requirement and has meant that we have fallen below the 5 year housing land requirement.	Likelihood of inappropriate development having to be approved.	Treat	Planning policy team progressing new local plan and working with SW Herts authorities on new Joint Strategic Plan.	4	3	12
24	Watford Junction: Failure to secure grant funding from Homes England and other sources (e.g. LEP) to support infrastructure costs.	Inability of development partners to agree to parameters of the scheme and deliver essential infrastructure in timely and coordinated way.	Failure to secure new infrastructure improvement resulting in significant under-capacity for projected growth.	Treat	Engagement with Network Rail, the LEP and private sector partners in development of options appraisal and final business case.	3	3	9

25	Watford Junction: failure to deliver site within timescales referred to in Housing Land Supply monitoring document could prompt a review of the Local Plan	Scheme viability, ability to secure grant and private sector funding	Failure to deliver site	Treat	Engagement with Network Rail and private sector partners in development of scheme including potential funding sources	3	3	9
26	Elections 2021 Project. Risks associated with running a triple election in a pandemic	Election cannot be managed due to lack of suitable premises and staff.	Voters disenfranchised, election petitions	Treat	Project in place. Early identification of issues with venues. Widen net of staff pool. Seek advice from Public Health	3	4	12