

# OPERATIONAL RISK REGISTER

December 2016



**Planning Development & Regeneration - James Doe**

**PDR\_F01 Market fails to bring forward because of continuing economic uncertainty**

<b>Category:</b> Financial	<b>Corporate Priority:</b> Regeneration	<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Graham Sutton	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	3 Likely	2 Medium	6 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Needs of the community in terms of housing, jobs and local services will not be met.		<ul style="list-style-type: none"> <li>-Enterprise Zone for Maylands secured, due to be operational by April 2017</li> <li>- Developments coming forward at the Maylands Aviva site (out of town retail) and Prologis/Aviva (new commercial floorspace)</li> <li>- Economic Development Strategy in place with review process planned in</li> <li>- Dacorum Development Programme in place with dedicated team and budget</li> <li>- Participation in county-wide initiatives and Partnership</li> <li>- Corporate actions; developments monitored and managed through Corporate Regeneration Group;</li> <li>- Role of CRG updated into a new Growth and Infrastructure Board</li> <li>- Submission made to the LEP's bid for Growth Deal 3 fund for a range of projects to boost the economy;</li> <li>- Town Centre Strategy now approved;</li> </ul>		<p>Economic Development Strategy published at <a href="http://www.dacorumlooknofurther.co.uk/docs/default-document-library/ed-strategy-brochure-web-pdf.pdf?sfvrsn=0">http://www.dacorumlooknofurther.co.uk/docs/default-document-library/ed-strategy-brochure-web-pdf.pdf?sfvrsn=0</a></p> <p>Dacorum Development Programme at <a href="http://www.dacorum.gov.uk/docs/default-source/strategic-planning/ddpjanuary2013.pdf?sfvrsn=0">http://www.dacorum.gov.uk/docs/default-source/strategic-planning/ddpjanuary2013.pdf?sfvrsn=0</a></p> <p>Regeneration proposals generally at <a href="http://www.dacorum.gov.uk/home/regeneration">http://www.dacorum.gov.uk/home/regeneration</a></p> <p>See promotional information at <a href="http://www.dacorumlooknofurther.co.uk">www.dacorumlooknofurther.co.uk</a></p> <p>Town Centre Strategy at</p>	

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<http://www.dacorum.gov.uk/home/council-democracy/meetings-minutes-and-agendas/events/2014/10/21/cabinet/cabinet>

## Sign Off and Comments

Sign Off Complete

### PDR\_F02 External funding sources are reduced or disappear

<b>Category:</b> Financial	<b>Corporate Priority:</b> Regeneration	<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Graham Sutton	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Key projects fail to come forward.		Robust project management procedures in place to minimise risk to the Council in seeking new funds and to ensure timely spend to avoid clawback of grant funding.  Ongoing liaison with Herts LEP on external funding proposals, with submission made to the Growth Deal 3 programme in 2016  Participation in the Herts Enviro-Tech Enterprise Zone at Maylands / East Hemel to secure funding for major infrastructure improvements  Corporate Project Management systems		Corvu project updates  Cabinet reports on Water Gardens project  Cabinet reports on Maylands Urban Realm Project  Bid submission to Herts LEP	

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	Management of cases through Dacorum Regeneration Programme Board.	
<b>Sign Off and Comments</b>		
Sign Off Complete		

**PDR\_F03 Key income streams do not meet planning fees, building regulations and local land charges income budgets**

<b>Category:</b> Financial	<b>Corporate Priority:</b> Regeneration	<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Graham Sutton	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	3 Likely	3 High	9 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Unable to meet government and local targets. - Bad press - Shortfall on budget and potential staff cuts/service reduction - possibility of Govt intervention in the planning service if performance declines as a result		Monthly monitoring of development levels and income with Accountancy at GM and AD level  Review of major developments monthly to help track income trajectory  Building Control fees are to be increased from 1 April 2017			

<b>Sign Off and Comments</b>				
Sign Off Complete				

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Income from Planning fees now unlikely to meet the increased income target set in the 16/17 budget. impact has been mitigated by the later than expected arrival of major planning applications

## **PDR\_I01 Failure to deliver on the Regeneration and Sustainability Agenda by Insufficient Capac**

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Regeneration	<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Graham Sutton	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	2 Unlikely	3 High	6 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Regeneration projects fail, are delayed or go over budget.		<ul style="list-style-type: none"> <li>- SPAR team fully in place</li> <li>- Formation of corporate regeneration group has brought in further support and capacity</li> <li>- Projects monitored through Dacorum Regeneration Programme Board and Steering Group</li> </ul>		<p>Project PIDs and governance in place, particularly Corporate Regeneration Group and Dacorum Regeneration Programme Board.</p> <p>See Cabinet report Dec 2013 regarding Hemel Evolution project management arrangements  <a href="http://www.dacorum.gov.uk/docs/default-source/council-democracy/cabinet---13-12-17---hemel-evolution-report---final-report-jd-comments.pdf?sfvrsn=0">http://www.dacorum.gov.uk/docs/default-source/council-democracy/cabinet---13-12-17---hemel-evolution-report---final-report-jd-comments.pdf?sfvrsn=0</a></p> <p>Work now progressing on site for the Marlowes Shopping Zone improvements and on schedule.</p>	
<b>Sign Off and Comments</b>					
Sign Off Complete					

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## PDR\_I02 Failure to deliver on the Regeneration and Sustainability Agenda by lack of internal expertise

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Regeneration	<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Graham Sutton	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	2 Unlikely	3 High	6 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Regeneration projects fail, are delayed or go over budget.		Qualified staf appointed.  Specialist expertise has been brought in using project finance on cost management, Design monitoring and Health and Safety.		See Dec 2013 Cabinet report for Hemel Evolution project management arrangements <a href="http://www.dacorum.gov.uk/docs/default-source/council-democracy/cabinet---13-12-17---hemel-evolution-report---final-report-jd-comments.pdf?sfvrsn=0">http://www.dacorum.gov.uk/docs/default-source/council-democracy/cabinet---13-12-17---hemel-evolution-report---final-report-jd-comments.pdf?sfvrsn=0</a>	
<b>Sign Off and Comments</b>					
Sign Off Complete					

## PDR\_I03 Failure to deliver on the Regeneration and Sustainability Agenda by Failure of partners to engage

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Regeneration	<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Graham Sutton	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	3 Likely	3 High	9 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	

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Regeneration projects fail, are delayed or go over budget.	Regular engagement with key partners and stakeholders through direct project management and through Dacorum Regeneration Programme Board.  Infrastructure delivery plan in place and plans to engage key providers to address needs of development growth within Dacorum  new Two Waters masterplan in draft and engaging key partners	HH Town Centre Masterplan at <a href="http://www.dacorum.gov.uk/home/regeneration/hemel-evolution/hemel-hempstead-masterplan">http://www.dacorum.gov.uk/home/regeneration/hemel-evolution/hemel-hempstead-masterplan</a>  Water Gardens funding report to Cabinet at <a href="http://www.dacorum.gov.uk/home/council-democracy/meetings-minutes-and-agendas/events/2014/07/22/cabinet/cabinet">http://www.dacorum.gov.uk/home/council-democracy/meetings-minutes-and-agendas/events/2014/07/22/cabinet/cabinet</a>
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**Sign Off and Comments**

Sign Off Complete

Residual risk rating raised to reflect increased delivery of regeneration and development in the Borough by the private sector and therefore with less direct control. Challenge to match the needs generated by new developments with necessary infrastructure improvements.

**PDR\_I04 Failure of Business Continuity Plan to keep critical and key services running**

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Dacorum Delivers		<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Graham Sutton	<b>Tolerance:</b> Tolerating
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
2 Unlikely	3 High	6 Amber	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> <li>- loss of service to the public</li> <li>- harm to Council's reputation</li> <li>- duty to meet legal requirements is impaired</li> <li>- potential loss of income and business</li> </ul>		Actions in Corporate Business Continuity Plan  Prioritisation of key service in the event of disaster or other failure.		Corporate Business Continuity Plan	

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**Sign Off and Comments**

Sign Off Complete

**PDR\_I05 Workforce Planning fails to prevent service failure**

<b>Category:</b> Infrastructure	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Graham Sutton	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
Service cannot be delivered effectively if staffing levels are reduced		Workforce development plan as drafted  Timely filling of posts and rearrangement of responsibilities where appropriate when staff leave  Review of need for trainees to be developed in house to deal with recruitment and retention issues caused by a strong professional jobs market in 2015.		Workforce Development Plan	

**Sign Off and Comments**

Sign Off Complete  
 Growing difficulty in retaining and recruiting Building Control staff, yet recent recruitment in early 2017 has secured 3 trainee appointments.

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## PDR\_R01 Local Development Framework (LDF) fails to meet milestones in Local Development Scheme

<b>Category:</b> Reputational	<b>Corporate Priority:</b> Dacorum Delivers	<b>Risk Owner:</b> James Doe	<b>Portfolio Holder:</b> Graham Sutton	<b>Tolerance:</b> Tolerating	
<b>Inherent Probability</b>	<b>Inherent Impact</b>	<b>Inherent Risk Score</b>	<b>Residual Probability</b>	<b>Residual Impact</b>	<b>Residual Risk Score</b>
3 Likely	4 Severe	12 Red	2 Unlikely	3 High	6 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	
The Council is left without and up to date development plan and unable to resist inappropriate new developments (eg in the Green belt) and unable to plan effectively for future growth and development		<ul style="list-style-type: none"> <li>- Core Strategy adopted September 2013 - a major task and milestone achieved, to make the rest of the process achievable</li> <li>- Project management and monitoring of progress against the Local Development Scheme</li> <li>- Site Allocations DPD nearing adoption (summer 2017)</li> <li>- New Local Development Scheme approved by DBC in December 2016 to cover production of the new Dacorum Local Plan by 2019</li> </ul>		<p>Core Strategy published on line at <a href="http://www.dacorum.gov.uk/home/planning-development/planning-strategic-planning/local-planning-framework/core-strategy">http://www.dacorum.gov.uk/home/planning-development/planning-strategic-planning/local-planning-framework/core-strategy</a></p> <p>Report to Cabinet <a href="http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-(373-kb).pdf?sfvrsn=0">http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-(373-kb).pdf?sfvrsn=0</a></p> <p>supplementary report to Cabinet on 17 Sep at <a href="http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-supplement---core-strategy-legal-challenge-(572-kb).pdf?sfvrsn=0">http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-supplement---core-strategy-legal-challenge-(572-kb).pdf?sfvrsn=0</a></p> <p>Further report to Cabinet on next steps with Local Planning Framework Dec 2013 <a href="http://www.dacorum.gov.uk/docs/default-">http://www.dacorum.gov.uk/docs/default-</a></p>	



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		<p>source/council-democracy/annual-monitoring-report-and-lpf---report-(187-kb).pdf?sfvrsn=0</p> <p>Local Development Scheme at <a href="http://www.dacorum.gov.uk/docs/default-source/strategic-planning/lds-2014-final-version.pdf?sfvrsn=0">http://www.dacorum.gov.uk/docs/default-source/strategic-planning/lds-2014-final-version.pdf?sfvrsn=0</a></p> <p>Other cabinet reports on Local Planning Framework progress</p>
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## Sign Off and Comments

### Sign Off Complete

Residual risk rating raised as the new Local Plan gets underway. Potential for delays are quite high with introduction of new evidence throughout the process (eg new housing data) and reliance on the Planning Inspectorate to set up Examinations to align to the timescale.