

# OPERATIONAL RISK REGISTER

September 2015



## 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> Cllr 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.		<p>Economic Development Strategy in place with review process planned in</p> <ul style="list-style-type: none"> <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>- Dacorum: Look No Further initiative in place and operational with £150,000 fund over two years</li> <li>- Submission made to the LEP's Single Local Growth Fund for a range of projects to boost the economy;</li> <li>- New Town Centre team in place with Town Centre Strategy now approved; funding for this ends in March 2016 but services are to be rearranged for 16/17 onwards to allow TC management to continue</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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		<a href="http://www.dacorum.gov.uk/home/council-democracy/meetings-minutes-and-agendas/events/2014/10/21/cabinet/cabinet">http://www.dacorum.gov.uk/home/council-democracy/meetings-minutes-and-agendas/events/2014/10/21/cabinet/cabinet</a>
<b>Sign Off and Comments</b>		
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> Cllr 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.  Corporate Project Management systems  Management of cases through Dacorum Regeneration Programme Board.		Cabinet reports on Water Gardens project  Cabinet reports on Maylands Urban Realm Project  Bid submission to Herts LEP	
<b>Sign Off and Comments</b>					
Sign Off Complete					

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## 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> Cllr Graham Sutton	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b> 3 Likely	<b>Inherent Impact</b> 4 Severe	<b>Inherent Risk Score</b> 12 Red	<b>Residual Probability</b> 2 Unlikely	<b>Residual Impact</b> 3 High	<b>Residual Risk Score</b> 6 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		Monthly monitoring of development levels and income with Accountancy at GM and AD level		Budget preparation for 2016/17 plans for increased income from planning fees.	
<b>Sign Off and Comments</b>					
Sign Off Complete					

## 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> Cllr Graham Sutton	<b>Tolerance:</b> Treating	
<b>Inherent Probability</b> 3 Likely	<b>Inherent Impact</b> 4 Severe	<b>Inherent Risk Score</b> 12 Red	<b>Residual Probability</b> 2 Unlikely	<b>Residual Impact</b> 3 High	<b>Residual Risk Score</b> 6 Amber
<b>Consequences</b>		<b>Current Controls</b>		<b>Assurance</b>	

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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>
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**Sign Off and Comments**

Sign Off Complete

**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> Cllr Graham Sutton	<b>Tolerance:</b> Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	3 High	6 Amber
Consequences		Current Controls		Assurance	
Regeneration projects fail, are delayed or go over budget.		Qualified staf appointed.  Specialist expertise has been brought in using project		See Dec 2013 Cabinet report for Hemel Evolution project management arrangements <a href="http://www.dacorum.gov.uk/docs/default-">http://www.dacorum.gov.uk/docs/default-</a>	

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	finance on cost management, Design monitoring and Health and Safety.	source/council-democracy/cabinet---13-12-17---hemel-evolution-report---final-report-jd-comments.pdf?sfvrsn=0
<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					
Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:	
Infrastructure	Regeneration	James Doe	Cllr Graham Sutton	Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	3 High	6 Amber
Consequences		Current Controls		Assurance	
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.		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>	
<b>Sign Off and Comments</b>					
Sign Off Complete					

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## 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> Cllr 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	
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> Cllr Graham Sutton	<b>Tolerance:</b> Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	2 Unlikely	4 Severe	8 Amber
Consequences		Current Controls		Assurance	
Service cannot be delivered effectively if staffing levels are reduced		Workforce development plan as drafted		Workforce Development Plan	

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	<p>Timely filling of posts and rearrangement of responsibilities where appropriate when staff leave</p> <p>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.</p>	
<b>Sign Off and Comments</b>		
Sign Off Complete		

<b>PDR_R01 Local Development Framework (LDF) fails to meet milestones in Local Development Scheme</b>					
Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:	
Reputational	Dacorum Delivers	James Doe	Cllr Graham Sutton	Tolerating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	1 Very Unlikely	3 High	3 Green
Consequences		Current Controls		Assurance	
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>- LDS revised December 2014 to set out work programme</li> <li>- Site Allocations DPD and masterplans well advanced</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---">http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---</a></p>	

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		<p>report-(373-kb).pdf?sfvrsn=0</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-source/council-democracy/annual-monitoring-report-and-lpf---report-(187-kb).pdf?sfvrsn=0">http://www.dacorum.gov.uk/docs/default-source/council-democracy/annual-monitoring-report-and-lpf---report-(187-kb).pdf?sfvrsn=0</a></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>
<b>Sign Off and Comments</b>		
Sign Off Complete		