

OPERATIONAL RISK REGISTER

March 2015



Planning Development & Regeneration - James Doe

PDR_F01 Market fails to bring forward because of continuing economic uncertainty

Category: Financial	Corporate Priority: Regeneration	Risk Owner: James Doe	Portfolio Holder: Cllr Andrew Williams	Tolerance: Treating	
Inherent Probability	Inherent Impact	Inherent Risk Score	Residual Probability	Residual Impact	Residual Risk Score
3 Likely	4 Severe	12 Red	3 Likely	2 Medium	6 Amber
Consequences		Current Controls		Assurance	
<ul style="list-style-type: none"> - Unable to meet local targets. - Adverse effect on local economy - Rise in unemployment - Other centres emerge stronger 		<p>Economic Development Strategy in place with review process planned in</p> <ul style="list-style-type: none"> - Dacorum Development Programme in place with dedicated team and budget - Participation in county-wide initiatives and Partnership - Corporate actions; developments monitored and managed through Corporate Regeneration Group; - Dacorum: Look No Further initiative in place and operational with £150,000 fund over two years - Submission made to the LEP's Strategic Economic Plan for a range of projects to boost the economy; SEP now approved with funding to the LEP - New Town Centre team in place with Town Centre Strategy now approved 		<p>Economic Development Strategy published at http://www.dacorumlooknofurther.co.uk/docs/default-document-library/ed-strategy-brochure-web-pdf.pdf?sfvrsn=0</p> <p>Dacorum Development Programme at http://www.dacorum.gov.uk/docs/default-source/strategic-planning/ddpjanuary2013.pdf?sfvrsn=0</p> <p>Regeneration proposals generally at http://www.dacorum.gov.uk/home/regeneration</p> <p>See promotional information at www.dacorumlooknofurther.co.uk</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

Category: Financial	Corporate Priority: Regeneration	Risk Owner: James Doe	Portfolio Holder: Cllr Andrew Williams	Tolerance: 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	
<ul style="list-style-type: none"> - Unable to meet government and local targets. - Key projects are not delivered and local economy suffers - Local Development Framework is set back - Low housing delivery in recession limits New Homes Bonus receipt 		<ul style="list-style-type: none"> - Expenditure and actions are being monitored through the Corporate Regeneration Group increasing chances of success in the future - Dacorum Development Programme to ensure maximum output of housing - LDF expenditure kept under review - SPAR team to ke 		Herts LEP SEP published.	
Sign Off and Comments					
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

Category: Financial	Corporate Priority: Regeneration	Risk Owner: James Doe	Portfolio Holder: Cllr Andrew Williams	Tolerance: Treating	
Inherent Probability 3 Likely	Inherent Impact 4 Severe	Inherent Risk Score 12 Red	Residual Probability 2 Unlikely	Residual Impact 3 High	Residual Risk Score 6 Amber
Consequences		Current Controls		Assurance	
Unable to meet government and local targets. - Bad press - Shortfall on budget and potential staff cuts/service reduction		- Review of processes in development management to bring service costs down - Regular budget monitoring - Trading accounts for BC and LLC set up		Budget preparation for 2015/16 plans for increased income from planning fees.	
Sign Off and Comments					
Sign Off Complete					

PDR_I01 Failure to deliver on the Regeneration and Sustainability Agenda by Insufficient Capac

Category: Infrastructure	Corporate Priority: Regeneration	Risk Owner: James Doe	Portfolio Holder: Cllr Andrew Williams	Tolerance: Treating	
Inherent Probability 3 Likely	Inherent Impact 4 Severe	Inherent Risk Score 12 Red	Residual Probability 2 Unlikely	Residual Impact 3 High	Residual Risk Score 6 Amber
Consequences		Current Controls		Assurance	

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<ul style="list-style-type: none"> - Unable to meet government and local targets. - Bad press - Lack of funding 	<ul style="list-style-type: none"> - SPAR team now fully funded by General Fund following phase 2 realignment and budget process - Formation of corporate regeneration group has brought in further support and capacity - Work with Destination Dacorum Group (our partners) underway to engage 	<p>Project PIDs and governance in place, particularly Corporate Regeneration Group and Hemel Evolution Programme Board.</p> <p>See Cabinet report Dec 2013 regarding Hemel Evolution project management arrangements http://www.dacorum.gov.uk/docs/default-source/council-democracy/cabinet---13-12-17---hemel-evolution-report---final-report-jd-comments.pdf?sfvrsn=0</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

Category: Infrastructure	Corporate Priority: Regeneration	Risk Owner: James Doe	Portfolio Holder: Cllr Andrew Williams	Tolerance: 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	
<ul style="list-style-type: none"> - Unable to meet government and local targets - Bad press - Lack of funding 		<ul style="list-style-type: none"> - Allocated budget to provide extra resources - Formation of corporate regeneration group - Work with Destination Dacorum Group (our partners) 		<p>See Dec 2013 Cabinet report for Hemel Evolution project management arrangements http://www.dacorum.gov.uk/docs/default-</p>	

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	to engage in a programme of work - Service plan objectives to consider partnering and local delivery options	source/council-democracy/cabinet---13-12-17---hemel-evolution-report---final-report-jd-comments.pdf?sfvrsn=0
Sign Off and Comments		
Sign Off Complete		

PDR_I03 Failure to deliver on the Regeneration and Sustainability Agenda by Failure of partners to engage

Category: Infrastructure	Corporate Priority: Regeneration	Risk Owner: James Doe	Portfolio Holder: Cllr Andrew Williams	Tolerance: 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	
<ul style="list-style-type: none"> - Unable to meet government and local targets - Bad press - Lack of funding 		<ul style="list-style-type: none"> - Allocated budget to provide extra resources - Formation of corporate regeneration group - Service plan objectives to consider partnering and local delivery options - Meetings with developers and agents to identify and resolve blockages to delivery 		HH Town Centre Masterplan at http://www.dacorum.gov.uk/home/regeneration/hemel-evolution/hemel-hempstead-masterplan Water Gardens funding report to Cabinet at http://www.dacorum.gov.uk/home/council-democracy/meetings-minutes-and-agendas/events/2014/07/22/cabinet/cabinet	
Sign Off and Comments					
Sign Off Complete					

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PDR_I04 Failure of Business Continuity Plan to keep critical and key services running

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: James Doe	Portfolio Holder: Cllr Andrew Williams	Tolerance: 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"> - loss of service to the public - harm to Council's reputation - duty to meet legal requirements is impaired - potential loss of income and business 		<ul style="list-style-type: none"> - Business Continuity Plan in place at start of business year - Quarterly review through PDRMT - Review through Emergency Planning Officer 		Corporate Business Continuity Plan	
Sign Off and Comments					
Sign Off Complete					

PDR_I05 Workforce Planning fails to prevent service failure

Category: Infrastructure	Corporate Priority: Dacorum Delivers	Risk Owner: James Doe	Portfolio Holder: Cllr Andrew Williams	Tolerance: 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	
<ul style="list-style-type: none"> - Unable to fulfil service commitments - Public service adversely affected 		<ul style="list-style-type: none"> - Workforce development plan - Establishment Management control procedures 		#NAME?	

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- Projects not fulfilled and economy suffers	encourage critical evaluation over need for posts - pressure on staffing in Development Management and Building control as employment market becomes increasingly difficult with t	
Sign Off and Comments		
Sign Off Complete		

PDR_R01 Local Development Framework (LDF) fails to meet milestones in Local Development Scheme					
Category:	Corporate Priority:	Risk Owner:	Portfolio Holder:	Tolerance:	
Reputational	Dacorum Delivers	James Doe	Cllr Andrew Williams	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	
- Bad press - Policy vacuum develops and control over new development diminishes		- Core Strategy adopted September 2013 - a major task and milestone achieved, to make the rest of the process achievable - Project management and monitoring of progress against the Local Development Scheme - LDS revised December 2012 to set out work pro		Core Strategy published on line at http://www.dacorum.gov.uk/home/planning-development/planning-strategic-planning/local-planning-framework/core-strategy Report to Cabinet http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-(373-kb).pdf?sfvrsn=0	

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		<p>supplementary report to Cabinet on 17 Sep at http://web.dacorum.gov.uk/docs/default-source/council-democracy/core-strategy-adoption---report-supplement---core-strategy-legal-challenge-(572-kb).pdf?sfvrsn=0</p> <p>Further report to Cabinet on next steps with Local Planning Framework Dec 2013 http://www.dacorum.gov.uk/docs/default-source/council-democracy/annual-monitoring-report-and-lpf---report-(187-kb).pdf?sfvrsn=0</p> <p>Local Development Scheme at http://www.dacorum.gov.uk/docs/default-source/strategic-planning/lds-2014-final-version.pdf?sfvrsn=0</p>
Sign Off and Comments		
Sign Off Complete		