

BUILDING CONTROL

Risk Number		Risk Description	2008-11 Service Plan		
2008-11	2009-12		Impact	Likelihood	Treatment Plan?
4	1	Insufficient staff	IV	B	Yes
2	2	Total failure of ICT systems	III	D	Yes
1	3	Loss of accommodation	III	D	Yes
3	4	Loss of communications	IV	D	Yes
5	5	Loss of income	IV	B	Yes

2009-12 Service Plan		
Impact	Likelihood	Treatment Plan?
IV	D	Yes
III	E	Yes
III	D	Yes
IV	D	Yes
IV	C	Yes

Strategic Risk?	Comments
No	Reduced likelihood
No	Reduced likelihood
No	No change
No	No change
No	Reduced likelihood

DEVELOPMENT CONTROL

Risk Number		Risk Description	2008-11 Service Plan		
2008-11	2009-12		Impact	Likelihood	Treatment Plan?
2	1	Insufficient staff	III	C	Yes
1	2	Total failure of ICT systems	III	D	Yes
--	3	Loss of accommodation	III	D	Yes
3	4	Reduced funding / loss of PDG	IV	D	Yes
4	5	Loss of paper planning paper records	III	E	Yes

2009-12 Service Plan		
Impact	Likelihood	Treatment Plan?
IV	D	Yes
III	E	Yes
III	D	Yes
II	D	No
III	E	Yes

Strategic Risk?	Comments
No	No change
No	Reduced likelihood
No	New risk (in all registers)
No	Reduced impact
No	No change

DEVELOPMENT PLANS

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
2008-11	2009-12		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
3	1	Insufficient staff	III	C	Yes	IV	D	Yes	No	Increased impact
6	2	Total failure of ICT systems	III	D	Yes	III	D	Yes	No	No change
7	3	Loss of accommodation	III	D	Yes	III	D	Yes	No	No change
1	--	Threat to the Green Belt / Historic Buildings	III	D	Yes	--	--	--	No	Removed - covered by 4 (09-12)
2	4	Failure to deliver the LDF	III	D	Yes	III	D	Yes	No	No change
4	--	Local Land Charges income may not be achieved	IV	C	Yes	--	--	--	No	Transferred to Sustainability Risk Register
5	--	Parking service fails to break even financially (including impact of new legislation)	III	C	Yes	--	--	--	No	Transferred to Sustainability Risk Register
8	--	Cost of examination of LDF exceeds budget in view of objections	III	C	Yes	--	--	--	No	Removed - covered by 4 (09-12)
9	--	Failure to reduce pockets of deprivation as a result of low take up on training schemes	II	C	Yes	--	--	--	No	Transferred to Sustainability Risk Register
10	--	Annual Monitoring Report fails to be approved by Secretary of State	III	D	Yes	--	--	--	No	Removed - covered by 4 (09-12)
11	--	Self-funding element of Principal Projects Officer fails to achieve necessary income	III	E	Yes	--	--	--	No	Transferred to Sustainability Risk Register
12	--	Failure to deliver sustainable transport initiatives	III	C	Yes	--	--	--	No	Transferred to Sustainability Risk Register
--	5	Lack of future funding/HPDG	--	--	--	IV	D	Yes	No	New risk identified

ENVIRONMENTAL HEALTH

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
2008-11	2009-12		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
3	1	Insufficient staff	V	F	Yes	V	F	Yes	No	No change
2	2	Total failure of ICT systems	III	D	Yes	III	D	Yes	No	No change
1	3	Loss of accommodation	III	E	Yes	III	E	Yes	No	No change
4	4	DEFRA challenge the Council's refusal to remove or revoke AQMAs where necessary	II	E	No	II	E	No	No	No change
5	5	A resident challenges the Council's refusal to remove or revoke AQMAs where necessary	II	E	No	II	E	No	No	No change
6	6	Diffusion Tube survey not reinstated	I	E	No	I	E	No	No	No change
7	7	Monitoring station not relocated	II	D	No	II	D	No	No	No change
8	8	Failure to deliver inspection programmes required by the Food Standards Agency or the Health and Safety Commission through insufficient staff resources	III	F	No	III	F	No	No	No change
9	--	That the perceived problem of underage sales of alcohol adding to the problem of anti-social behaviour will not be addressed and therefore there would not be any (anticipated) improvement as a result of the proposed test purchasing arrangements	I	F	No	--	--	--	No	Risk Removed
10	--	Partial deregulation prompts an immediate and heavy competitive demand for Consents in Town Centre locations	II	E	No	--	--	--	No	Risk Removed
11	--	Applications requiring Committee approval considerable	II	E	No	--	--	--	No	Risk Removed
12	--	New consents attract complaints of unfair competition	I	A	No	--	--	--	No	Risk Removed
13	9	New street trading consents cause nuisance	II	D	No	--	--	--	No	No change
14	10	Possibility of complaints concerning unfair competition from shopkeepers in the event of trading consents being issued incorrectly	II	F	No	--	--	--	No	No change
15	--	That an opportunity to affect the environmental well being of residents of the district will be missed causing loss of reputation to the Council	III	F	No	--	--	--	No	Risk Removed

ENVIRONMENTAL PROTECTION

Risk Number		Risk Description	2008-11 Service Plan		
2008-11	2009-12		Impact	Likelihood	Treatment Plan?
--	1	Insufficient staff	--	--	--
--	2	Total failure of ICT systems	--	--	--
--	3	Loss of accommodation	--	--	--
1	--	Industrial Action	II	E	No
2	4	Vehicle lost in accident / fire / theft (one vehicle)	II	D	No
3	5	Fleet lost in fire	III	E	Yes
4	6	Vandalism of vehicle	II	D	No
5	--	Vandalised vehicle	II	D	No
6	--	Terrorist attack	IV	F	Yes
7	7	Bomb in bin	IV	F	Yes
8	8	Flooding of depot	I	B	No
9	9	Extreme weather / snow	II	C	Yes
10	10	Increase in parking problems	II	C	Yes
11	11	Environmental Maintenance contractor goes bust	II	E	No
12	--	Flu epidemic	III	E	Yes
13	--	Lottery syndicate win	III	F	No
14	12	Trade waste providers cease operation	II	E	No
15	13	Temporary disposal point closure	II	C	Yes
16	14	Permanent loss of disposal point	II	E	No
17	--	Loss of depot	III	D	Yes
18	15	Clinical waste vehicle accident	II	D	No
19	--	Cesspool service fails			

2009-12 Service Plan		
Impact	Likelihood	Treatment Plan?
III	D	Yes
II	D	No
III	D	Yes
--	--	--
II	E	No
IV	F	Yes
I	D	No
--	--	--
--	--	--
V	F	Yes
I	D	No
II	D	No
II	B	Yes
II	E	No
--	--	--
--	--	--
II	F	No
I	C	No
II	F	No
--	--	--
II	D	No
--	--	--

Strategic Risk?	Comments
No	Added to all Risk Registers
No	Added to all Risk Registers
No	Added to all Risk Registers
No	Removed - covered by 1 (09-12)
No	Description changed from "Vehicle accident / fire (one vehicle)"
No	Increased impact / decreased likelihood
No	Description changed from "Theft of vehicle" Reduced impact
No	Removed - covered by 6 (09-12)
No	Removed - covered by 3 & 5 (09-12)
No	Increased impact
No	Increased likelihood
No	Decreased likelihood
No	Increased likelihood
No	No change
No	Removed - covered by 1 (09-12)
No	Removed - covered by 1 (09-12)
No	Decreased likelihood
No	Decreased impact
No	Decreased likelihood
No	Removed - covered by 3 (09-12)
No	No change
No	Removed - no longer applicable

ENVIRONMENTAL PROTECTION (cont...)

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
Original	Revised		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
20	16	Fuel strike / price increase	III	C	Yes	III	B	Yes	No	Increased likelihood
21	17	Drop in scrap values	II	C	Yes	II	C	Yes	No	No change
22	18	Sudden changes in legislation	II	D	No	II	D	No	No	No change
23	19	Local Government reorganisation	II	D	No	II	D	No	No	No change
24	20	Health & Safety or DTp enforcement action	III	E	Yes	III	E	Yes	No	No change (added "or DTp")
25	--	DTp enforcement	III	E	Yes	--	--	--	No	Removed - covered by Rev 20
26	21	Breakdown in clinical waste service	II	D	No	II	D	No	No	No change
27	--	Loss of depot - fire	III	D	Yes	--	--	--	No	Removed - covered by 3 (09-12)
28	--	Loss of accommodation	III	D	Yes	--	--	--	No	Removed - covered by 3 (09-12)
29	--	Failure of ICT systems	III	D	Yes	--	--	--	No	Removed - covered by 2 (09-12)
30	22	Decrease in Recycling Rate	I	E	No	I	E	No	No	No change
31	23	Calendars not delivered	II	D	No	II	D	No	No	No change
32	24	Crews unable to complete catch up	II	D	No	II	D	No	No	No change
33	--	No static service				--	--	--	No	Removed - no longer applicable
34	--	Trained staff leave for better paid jobs	III	C	Yes	--	--	--	No	Removed - covered by 1 (09-12)
35	--	Extra work not carried out to expected standard due to demotivated staff	II	C	Yes	--	--	--	No	Removed - no longer applicable
36	--	Watford damage vehicle in accident				--	--	--	No	Removed - no longer applicable
37	--	Untrained operatives or mechanics damage vehicle				--	--	--	No	Removed - no longer applicable
38	--	Watford hit bridge due to forgetting extra height				--	--	--	No	Removed - no longer applicable
39	--	Fault develops but is undetected for some time				--	--	--	No	Removed - no longer applicable
40	--	Wiggenhall not found to be suitable	III	D	Yes	--	--	--	No	Removed - no longer applicable

ENVIRONMENTAL PROTECTION (cont...)

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
Original	Revised		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
41	--	Failure to locate local tipping space elsewhere	III	B	Yes	--	--	--	No	Removed - no longer applicable
42	--	Failure to obtain Operator's Licence for Wiggshall	III	D	Yes	--	--	--	No	Removed - no longer applicable
43	--	Watford BC seek to withdraw from arrangement	IV	E	Yes	--	--	--	No	Removed - no longer applicable
44	--	Three Rivers seek to withdraw from arrangement	IV	F	Yes	--	--	--	No	Removed - no longer applicable
45	--	Workforce dissatisfied with move	II	D	No	--	--	--	No	Removed - no longer applicable
46	--	Failure to reach mutually advantageous agreement	IV	E	Yes	--	--	--	No	Removed - no longer applicable
47	--	Residents do not use banks sufficiently to justify	I	D	No	--	--	--	No	Removed - no longer applicable
48	--	Banks overflow	II	D	No	--	--	--	No	Removed - no longer applicable
49	25	Offenders do not pay FPNs resulting in too many prosecutions with inadequate resources	I	D	Yes	II	F	No	No	Decreased likelihood / increased impact
50	26	Enforcement does not reduce flytipping/graffiti therefore not cost effective	II	E	No	II	E	No	No	No change
51	27	Enforcement impinges too heavily on staff's existing duties	I	C	No	II	C	Yes	No	Increased impact
52	28	Prosecutions not cost effective resulting in cost to Authority	III	F	No	III	F	No	No	No change
53	--	Changes to operator's Licence not approved	IV	D	Yes	--	--	--	No	Removed - no longer applicable
54	--	Waste Management Licence application turned down	IV	D	Yes	--	--	--	No	Removed - no longer applicable
55	--	Opposition to demolition of certain depot buildings	IV	D	Yes	--	--	--	No	Removed - no longer applicable
56	--	Accidents on site due to increased traffic	III	E	Yes	--	--	--	No	Removed - no longer applicable
57	--	Depot congested at critical times	I	C	No	--	--	--	No	Removed - no longer applicable

ENVIRONMENTAL PROTECTION (cont...)

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
Original	Revised		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
58	--	Temporary closure of waste transfer facility	II	E	No	--	--	--	No	Removed - no longer applicable
59	--	Lack of continual service provision during redevelopment of depot	III	D	Yes	--	--	--	No	Removed - no longer applicable
60	--	Inadequate vehicle parking	II	C	Yes	--	--	--	No	Removed - no longer applicable
61	--	Ineffective depot management by both authorities	II	E	No	--	--	--	No	Removed - no longer applicable
62	--	Failure of 2 work forces to share facilities appropriately	I	D	No	--	--	--	No	Removed - no longer applicable
63	--	Union Strike	III	C	Yes	--	--	--	No	Removed - no longer applicable
64	--	Public safety immediately outside the depot	III	E	Yes	--	--	--	No	Removed - no longer applicable
65	--	TRDC staff without cars or access to public transport	II	C	Yes	--	--	--	No	Removed - no longer applicable
66	--	Two workforces on different terms & conditions	III	A	Yes	--	--	--	No	Removed - no longer applicable
67	--	Planning consent not given for waste transfer bays	III	D	Yes	--	--	--	No	Removed - no longer applicable
68	29	Serious accident occurs due to vehicle movement at Batchworth Depot	IV	C	Yes	IV	C	Yes	No	No change
69	30	Increased complaints from residents due to early collections	I	D	No	I	D	No	No	No change
70	31	Collection staff become ill due to heat - increased sickness, costs	II	C	Yes	II	C	Yes	No	No change
71	32	Serious accident occurs due to crews operating machinery in extreme conditions	IV	E	Yes	IV	E	Yes	No	No change
72	33	Streets missed, resulting in high volume of complaints	III	B	Yes	III	B	Yes	No	No change
73	34	Early collections commence but high number of missed bins due to late publicity	I	D	No	I	D	No	No	No change
74	35	Christmas collection takes longer, with all residents being affected, therefore higher complaints	II	B	Yes	II	B	Yes	No	No change

ENVIRONMENTAL PROTECTION (cont...)

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
Original	Revised		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
75	36	Increased complaints from residents due to removal of facilities	I	D	No	I	D	No	No	No change
76	37	Contamination levels do not increase	II	E	No	II	E	No	No	No change
77	38	Increased charges result in decreased take up of services and lower overall income	II	E	No	II	F	No	No	Decreased likelihood
78	39	Charges do not rise adequately to cover costs	I	A	Yes	II	A	Yes	No	Increased impact
79	40	Charges remain too low to incentivise impact on LATS requirements	III	B	Yes	III	B	Yes	No	No change
80	41	Adverse publicity following perceived drop in service	II	D	No	II	D	No	No	No change
81	42	Subsidised funding withdrawn for home composters	II	F	No	II	F	No	No	No change
82	43	Uncertainties not resolved by end of review	II	C	Yes	II	C	Yes	No	No change
83	44	Extremely high increase in cost of Environmental Maintenance Contract	III	C	Yes	III	C	Yes	No	No change
84	45	Combining contracts restricts tenderers	II	E	No	II	E	No	No	No change
85	46	Poor take up from businesses	II	C	Yes	II	E	No	No	Decreased likelihood
86	47	Inadequate staff resources to carry out the work	II	B	Yes	II	B	Yes	No	No change
87	48	Technology fails	I	E	No	I	E	No	No	No change
88	49	Staff fail to use system to full potential	II	E	No	II	E	No	No	No change
89	50	TR 412 target missed	III	B	Yes	III	B	Yes	No	No change
90	51	No improvement in customer satisfaction	III	C	Yes	III	C	Yes	No	No change
91	52	Much higher volume of material collected and therefore higher collection costs	II	E	No	II	E	No	No	No change
92	53	Service not viable / cost neutral	II	E	No	II	E	No	No	No change
93	54	Current price structure inhibits incentives to recycle	II	D	No	II	D	No	No	No change
94	55	Service becomes popular but does not divert enough waste from landfill	II	D	No	II	D	No	No	No change
95	56	Customers contaminate recycling bins in attempt to obtain cheaper waste disposal	II	C	Yes	II	C	Yes	No	No change
96	57	Increased flytipping	I	E	No	I	E	No	No	No change
97	58	Committed Sum insufficient to cover future maintenance costs	II	E	No	II	E	No	No	No change

LEISURE AND COMMUNITY SERVICES

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
2008-11	2009-12		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
2	1	Insufficient staff	III	D	Yes	III	D	Yes	No	No change
4	2	Total failure of ICT systems	III	D	Yes	II	D	Yes	No	No change
6	3	Loss of accommodation	III	D	Yes	III	D	Yes	No	No change
1	4	Failure of major Plant and Equipment at venues	III	D	Yes	III	D	Yes	No	No change
3	5	Major Capital Project overruns or unforeseen costs	IV	E	Yes	IV	E	Yes	No	No change
5		Lack of prioritisation of workloads and new projects emerging through the year	II	D	No	II	D	No	No	No change
7	7	Temporary closure of venue due to infectious disease	II	E	No	II	E	No	No	No change
8	8	Successful appeal to the High Court against the Council making a new Tree Preservation Order	III	F	No	III	F	No	No	No change
9	9	A successful claim is made to the Lands tribunal for compensation where permission for works to trees has been refused by the Council	III	F	No	III	F	No	No	No change
10	10	Serious accident to customer or member of staff	IV	E	Yes	IV	E	Yes	No	No change
11	11	Loss of access to water for operation of services due to drought	IV	D	Yes	IV	D	Yes	No	No change
--	12	Community Safety Actions fail to meet targets	III	D	Yes	III	E	Yes	Yes	Transferred from Corporate Development Risk Register. Reduced likelihood
12	--	TRDC £2m contribution to Woodside project is variable	III	F	No	--	--	--	No	Removed - no longer applicable
13	13	Usage targets linked to Key Budget Indicators are not met	III	C	Yes	III	C	Yes	No	No change
14	14	WPLC refurbishment: Project over-runs budget	IV	B	Yes	IV	B	Yes	No	No change
15	15	WPLC refurbishment: Project is delivered late	III	A	Yes	III	A	Yes	No	No change
16	16	WPLC refurbishment: Loss of key project personnel	III	D	Yes	III	D	Yes	No	No change
17	17	WPLC refurbishment: Project does not deliver the required outputs	III	D	Yes	III	E	Yes	No	Reduced likelihood
18	18	WPLC refurbishment: Contractor fails	III	E	Yes	III	E	Yes	No	No change

LEISURE AND COMMUNITY SERVICES (cont...)

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
2008-11	2009-12		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
--	19	The District Children's Trust Partnership fails to improve outcomes for children and young people	III	D	Yes	III	D	Yes	No	Transferred from Corporate Development Risk Register. No change
--	20	The priorities of the Community Strategy are not achieved through the LSP	III	D	Yes	III	E	Yes	Yes	Transferred from Corporate Development Risk Register. Reduced likelihood
--	21	Community consultation and engagement methods fail to improve contact with hard to reach groups resulting in poor CAA rating	III	E	Yes	II	E	No	No	Transferred from Corporate Development Risk Register. Reduced impact
--	22	The Council fails to improve on its Equality rating and is criticised in the CAA	III	D	Yes	II	E	No	Yes	Transferred from Corporate Development Risk Register. Reduced impact and likelihood
19	--	Leisure Facilities Management (LFM): Operator fails performance review	IV	F	Yes	--	--	--	No	Removed - no longer applicable
20	--	LFM: Failure to agree tender price review	IV	E	Yes	--	--	--	No	Removed - no longer applicable
21	--	LFM: Tender price review leads to increase in cost	III	D	Yes	--	--	--	No	Removed - no longer applicable
22	--	LFM: Failure to adequately manage TUPE transfer of staff	IV	E	Yes	--	--	--	No	Removed - no longer applicable
23	23	LFM: Operator fails to provide adequate service	IV	E	Yes	IV	E	Yes	No	No change
24	24	LFM: Operator collapses due to loss of Hertsmere BC contract	IV	E	Yes	IV	E	Yes	No	No change
25	25	Failure of voluntary Meals On Wheels provider	IV	E	Yes	IV	E	Yes	No	No change
26	26	The Hertfordshire Environmental Forum does not meet the aims of the local bio-diversity plan	II	E	No	II	E	No	No	No change
27	27	Tree or part tree failure causing damage to property	III	C	Yes	III	C	Yes	No	No change
28	28	Tree or part tree failure causing loss of life	IV	C	Yes	IV	C	Yes	No	No change
29	29	Tree or part tree failure causing disruption to rail service resulting in a claim from rail operator	III	C	Yes	III	C	Yes	No	No change
30	30	Tree or part tree failure causing rail accident/disaster	V	C	Yes	V	C	Yes	No	No change

LEISURE AND COMMUNITY SERVICES (cont...)

Risk Number		Risk Description	2008-11 Service Plan		
2008-11	2009-12		Impact	Likelihood	Treatment Plan?
--	31	That the free swim attendances (National scheme) are higher than expected in 2009/10 and 2010/11, increasing costs to the Council, above existing revenue budgets	--	--	--
--	32	Government funding for the National free swim scheme does not continue from 2011/12 onwards, placing pressure on the Council to maintain the scheme financially if successful	--	--	--

2009-12 Service Plan		
Impact	Likelihood	Treatment Plan?
II	C	Yes
III	B	Yes

Strategic Risk?	Comments
No	New risk identified
No	New risk identified

SUSTAINABILITY

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
2008-11	2009-12		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
--	1	Insufficient staff	--	--	--	III	C	Yes	No	Standard risk in all Risk Registers
--	2	Total failure of ICT systems	--	--	--	III	D	Yes	No	Standard risk in all Risk Registers
--	3	Loss of accommodation	--	--	--	III	D	Yes	No	Standard risk in all Risk Registers
--	4	Local Land Charges income may not be achieved	IV	C	Yes	IV	B	Yes	No	Transferred from Development Plans and Transportation Risk Register. Increased likelihood
--	5	Parking service fails to break even financially (including impact of new legislation)	III	C	Yes	III	C	Yes	No	Transferred from Development Plans and Transportation Risk Register. No change
--	6	Failure to reduce pockets of deprivation as a result of low take up on training schemes	II	C	Yes	II	C	Yes	No	Transferred from Development Plans and Transportation Risk Register. No change
--	7	Failure to deliver sustainable transport initiatives	III	C	Yes	III	C	Yes	No	Transferred from Development Plans and Transportation Risk Register. No change
--	8	Failure to make progress on the sustainability action plan	IV	D	Yes	IV	E	Yes	Yes	Transferred from Property & Facilities Management Risk Register. Reduced likelihood

CUSTOMER SERVICES CENTRE

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
2008-11	2009-12		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	1	Insufficient staff	IV	E	Yes	IV	E	Yes	No	No change
2	2	Total failure of ICT systems	III	E	Yes	III	E	Yes	No	No change
4	3	Loss of accommodation	III	E	Yes	III	E	Yes	No	No change
3	4	Loss of telephone system	V	E	Yes	V	E	Yes	No	No change
5	5	Increased number of customer contacts	IV	E	Yes	IV	E	Yes	No	No change

DEMOCRATIC SERVICES

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
2008-11	2009-12		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
3	1	Insufficient staff	IV	D	Yes	IV	D	Yes	No	No change
2	2	Total failure of ICT systems	III	E	Yes	III	E	Yes	No	No change
1	3	Loss of accommodation	III	E	Yes	III	E	Yes	No	No change
4	4	Uncertainty regarding date of election	II	D	No	II	D	No	No	No change
5	5	Death of Candidate	II	E	No	II	E	No	No	No change
6	6	Adjournment of Poll	III	F	No	III	F	No	No	No change
7	7	Error or omission on the part of (Acting) Returning Officer	IV	F	Yes	IV	F	Yes	No	No change
8	8	Loss of Polling Station	II	E	No	II	E	No	No	No change
9	9	Incapacity of (Acting) Returning Officer	II	F	No	II	F	No	No	No change
10	10	Failure by contractor (eg Printer, Royal Mail)	III	F	No	III	F	No	No	No change
11	11	Failure on issue of postal vote	III	E	Yes	III	E	Yes	No	No change
12	12	Failure to verify/reconcile at count	III	F	No	III	F	No	No	No change
13	13	Re-count	I	D	No	I	D	No	No	No change

LEGAL PRACTICE

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
2008-11	2009-12		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	1	Insufficient staff	III	D	Yes	III	D	Yes	No	No change
2	2	Total failure of ICT systems	III	D	Yes	III	D	Yes	No	No change
3	3	Loss of accommodation	III	E	Yes	III	E	Yes	No	No change

PERFORMANCE MANAGEMENT AND SCRUTINY

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
2008-11	2009-12		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
--	1	Insufficient staff	--	--	--	III	D	Yes	No	Standard risk in all Risk Registers
--	2	Total failure of ICT systems	--	--	--	III	E	Yes	No	Standard risk in all Risk Registers
--	3	Loss of accommodation	--	--	--	III	E	Yes	No	Standard risk in all Risk Registers
--	4	Failure to secure improvements to services	III	E	Yes	III	E	Yes	Yes	Transferred from Corporate Development Risk Register. No change
--	5	Failure to tell residents about improvements	III	D	Yes	III	D	Yes	Yes	Transferred from Corporate Development Risk Register. No change
--	6	Failure to maintain sound procurement practices	IV	E	Yes	IV	E	Yes	No	Transferred from Corporate Development Risk Register. No change
--	7	Failure of Royal Mail to deliver or collect mail	III	F	No	III	F	No	No	Transferred from Corporate Development Risk Register. No change
--	8	Failure to communicate effectively with the public / stakeholders	IV	D	Yes	IV	D	Yes	No	Transferred from Corporate Development Risk Register. No change
--	9	Test reveals that the Business Continuity Plan is not workable	III	D	Yes	III	D	Yes	No	Transferred from Exchequer Services Risk Register. No change
--	10	The Council fails to manage its principle risks and that the likelihood of them occurring increases or the impact if they do cannot be minimised	III	F	No	III	F	No	No	Transferred from Exchequer Services Risk Register. No change
--	11	Non-compliance with Data Protection and Freedom of Information Acts	II	D	No	II	D	No	No	Transferred from ICT Risk Register. No change

ACCOUNTANCY

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
2008-11	2009-12		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	--	Insufficient staff	III	D	Yes	--	--	--	No	Transferred to Shared Services (Accountancy) Risk Register
2	--	Total failure of ICT systems	III	E	Yes	--	--	--	No	Transferred to Shared Services (Accountancy) Risk Register
3	--	Loss of accommodation	III	E	Yes	--	--	--	No	Transferred to Shared Services (Accountancy) Risk Register
4	--	Council's income stream is adversely affected	III	D	Yes	--	--	--	No	Transferred to Shared Services (Accountancy) Risk Register
5	--	Too few resources to enable proper bids for external funding	II	D	No	--	--	--	No	Transferred to Shared Services (Accountancy) Risk Register
6	--	Failure to achieve level 3 in 'Use of Resources' assessment	I	C	No	--	--	--	No	Transferred to Shared Services (Accountancy) Risk Register
7	--	Council fails to meet financial targets	III	D	Yes	--	--	--	No	Transferred to Shared Services (Accountancy) Risk Register
8	--	Banking system failure	II	E	No	--	--	--	No	Transferred to Shared Services (Accountancy) Risk Register
9	--	Failure of insurance company	I	E	No	--	--	--	No	Transferred to Shared Services (Accountancy) Risk Register
10	--	Failure of cash handling company to collect and bank income	I	E	No	--	--	--	No	Transferred to Shared Services (Accountancy) Risk Register
11	--	Failure to renew banking services contract	III	E	Yes	--	--	--	No	Transferred to Shared Services (Accountancy) Risk Register
12	--	Mortgagors default	II	E	No	--	--	--	No	Transferred to Shared Services (Accountancy) Risk Register

ACCOUNTANCY (cont...)

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
2008-11	2009-12		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
13	1	Revenue balances insufficient to meet estimate of pay award increases	II	F	No	II	F	No	No	Transferred to Shared Services Client (TRDC) Risk Register No change
14	2	Revenue balances insufficient to meet estimate of employers pension fund contributions	II	E	No	II	E	No	No	Transferred to Shared Services Client (TRDC) Risk Register No change
15	3	Revenue balances insufficient to meet estimate of other inflationary increases	II	F	No	II	F	No	No	Transferred to Shared Services Client (TRDC) Risk Register No change
16	4	Inaccurate cash flow forecasts resulting in significant variations in estimated interest income	III	D	Yes	III	D	Yes	No	Transferred to Shared Services Client (TRDC) Risk Register No change
17	5	Inaccurate estimates of fees and charges income	II	B	Yes	II	B	Yes	No	Transferred to Shared Services Client (TRDC) Risk Register No change
18	6	Revenue balances insufficient to meet loss of partial exemption for VAT	III	E	Yes	III	E	Yes	No	Transferred to Shared Services Client (TRDC) Risk Register No change
19	7	Major emergency requires funds beyond Bellwin Scheme and causes serious drain on balances	II	E	No	II	E	No	No	Transferred to Shared Services Client (TRDC) Risk Register No change
20	8	Balances affected by inaccurate estimate of the cost of Concessionary Fares scheme	III	D	Yes	III	D	Yes	No	Transferred to Shared Services Client (TRDC) Risk Register No change
21	9	Council is faced with an increasing number of employment tribunals	II	C	Yes	II	C	Yes	No	Transferred to Shared Services Client (TRDC) Risk Register No change

ACCOUNTANCY (cont...)

Risk Number		Risk Description	2008-11 Service Plan		
2008-11	2009-12		Impact	Likelihood	Treatment Plan?
22	10	Council wishes to continue with the shared services or joint working arrangements	III	B	Yes
23	11	Council is faced with potential litigation and other employment related risks	IV	E	Yes
24	12	Adverse variation in the investment interest rate	III	B	Yes

2009-12 Service Plan		
Impact	Likelihood	Treatment Plan?
III	B	Yes
IV	E	Yes
III	B	Yes

Strategic Risk?	Comments
No	Transferred to Shared Services Client (TRDC) Risk Register No change
No	Transferred to Shared Services Client (TRDC) Risk Register No change
No	Transferred to Shared Services Client (TRDC) Risk Register No change

EXCHEQUER SERVICES

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
2008-11	2009-12		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	--	Insufficient staff	II	D	No	--	--	--	No	Transferred to Shared Services (Exchequer Services) Risk Register
2	--	Total failure of ICT systems	II	D	No	--	--	--	No	Transferred to Shared Services (Exchequer Services) Risk Register
3	--	Loss of accommodation	II	D	No	--	--	--	No	Transferred to Shared Services (Exchequer Services) Risk Register
4		Unable to implement legislative changes - Benefit and Fraud	I	D	No	--	--	--	No	Transferred to Shared Services (Accountancy and Exchequer Services) Risk Registers
5		Failure of the bailiff to collect debts	I	E	No	--	--	--	No	Transferred to Shared Services (Exchequer Services) Risk Register
6		Criticism of the external auditor because of system imbalances	I	C	No	--	--	--	No	Transferred to Shared Services (Exchequer Services) Risk Register
7		Delay or inability to recover sums due to the Council	I	C	No	--	--	--	No	Transferred to Shared Services (Exchequer Services) Risk Register
8		Test reveals Business Continuity Plan is not workable	III	D	No	--	--	--	No	Transferred to Performance Management & Scrutiny Risk Register
9		Council fails to manage its principle risks and that the likelihood of them occurring increases or the impact if they do cannot be minimised	III	F	No	--	--	--	No	Transferred to Performance Management & Scrutiny Risk Register
10		Progress against audit recommendations is not monitored, they are not therefore implemented, and internal controls are consequently weakend	III	F	No	--	--	--	No	Transferred to Shared Services Client (TRDC) Risk Register
11		Partial write-offs are not reinstated	II	E	No	--	--	--	No	Transferred to Shared Services (Exchequer Services) Risk Register

EXCHEQUER SERVICES (cont...)

Risk Number		Risk Description	2008-11 Service Plan		
2008-11	2009-12		Impact	Likelihood	Treatment Plan?
13		Incorrect forecast of the council tax base	III	F	No
14		Recoverable debts are written off	I	E	No

2009-12 Service Plan		
Impact	Likelihood	Treatment Plan?
--	--	--
--	--	--

Strategic Risk?	Comments
No	Transferred to Shared Services (Exchequer Services) Risk Register
No	Transferred to Shared Services (Exchequer Services) Risk Register

INFORMATION & COMMUNICATIONS TECHNOLOGY

Risk Number		Risk Description	2008-11 Service Plan		
2008-11	2009-12		Impact	Likelihood	Treatment Plan?
1	--	Insufficient staff	III	C	Yes
2	--	Total failure of ICT systems	III	D	Yes
3	--	Loss of accommodation	III	D	Yes
4	--	Contractor or system failure - main ICT system suppliers and FM contractor	II	D	No
5	--	Non-compliance with Data Protection and Freedom of Information Acts	II	D	No
6	--	Failure to deliver the ICT Capital Programme	III	C	Yes
7	--	Service performance affected during implementation of Shared Services and Housing Transfer	III	D	Yes

2009-12 Service Plan		
Impact	Likelihood	Treatment Plan?
--	--	--
--	--	--
--	--	--
--	--	--
--	--	--
--	--	--

Strategic Risk?	Comments
No	Transferred to Shared Services (ICT) Risk Register
No	Transferred to Shared Services (ICT) Risk Register
No	Transferred to Shared Services (ICT) Risk Register
No	Transferred to Shared Services (ICT) Risk Register
No	Transferred to Performance Management & Scrutiny Risk Register
No	Transferred to Shared Services (ICT) Risk Register
No	Transferred to Shared Services (ICT) Risk Register

PERSONNEL AND TRAINING

Risk Number		Risk Description	2008-11 Service Plan			2009-12 Service Plan			Strategic Risk?	Comments
2008-11	2009-12		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
--	--	Insufficient staff	--	--	--	--	--	--	No	Transferred to Shared Services (Human Resources) Risk Register
--	--	Total failure of ICT systems	--	--	--	--	--	--	No	Transferred to Shared Services (Human Resources) Risk Register
--	--	Loss of accommodation	--	--	--	--	--	--	No	Transferred to Shared Services (Human Resources) Risk Register
1	--	Failure to support managers in resourcing their services	IV	D	Yes	--	--	--	No	Transferred to Shared Services (Human Resources) Risk Register
2	--	Pay and Benefits not sufficient to attract high calibre employees	IV	D	Yes	--	--	--	No	Transferred to Shared Services (Human Resources) Risk Register
3	--	Failing employee relations	IV	D	Yes	--	--	--	No	Transferred to Shared Services (Human Resources) Risk Register
4	--	Employees not fully trained to undertake their jobs	IV	D	Yes	--	--	--	No	Transferred to Shared Services (Human Resources) Risk Register