

BUILDING CONTROL

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	1	Insufficient staff	IV	D	Yes	IV	B	Yes	No Impact = no change Likelihood = increase	
2	2	Total failure of ICT systems	III	E	Yes	III	D	Yes	No Impact = no change Likelihood = increase	
3	3	Loss of accommodation	III	D	Yes	III	D	Yes	No Impact = no change Likelihood = no change	
4	4	Loss of communications	IV	D	Yes	IV	D	Yes	No Impact = no change Likelihood = no change	
5	5	Loss of income	IV	C	Yes	IV	D	Yes	No Impact = no change Likelihood = decrease	

DEVELOPMENT MANAGEMENT

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	1	Insufficient staff	IV	D	Yes	III	E	Yes	No Impact = decrease Likelihood = decrease	
2	2	Total failure of ICT systems	III	E	Yes	III	E	Yes	No Impact = no change Likelihood = no change	
3	3	Loss of accommodation	III	D	Yes	III	E	Yes	No Impact = no change Likelihood = decrease	
5	4	Loss of paper planning paper records	III	E	Yes	III	E	Yes	No Impact = no change Likelihood = no change	
4	--	Reduced funding / loss of PDG	II	D	No	----	----	----	No Risk closed	

DEVELOPMENT PLANS

Risk Number		Risk Description	2009-12 Service Plan		
2009-12	2010-13		Impact	Likelihood	Treatment Plan?
1	1	Insufficient staff	IV	D	Yes
2	2	Total failure of ICT systems	III	D	Yes
3	3	Loss of accommodation	III	D	Yes
4	4	Failure/delay in delivering LDF	III	D	Yes
5	5	Lack of future funding through H & PDG	IV	D	Yes

2010-13 Service Plan		
Impact	Likelihood	Treatment Plan?
IV	E	Yes
III	E	Yes
III	D	Yes
IV	E	Yes
III	B	Yes

Strategic Risk?	Comments
No	Impact = no change Likelihood = decrease
No	Impact = no change Likelihood = decrease
No	Impact = no change Likelihood = no change
No	Impact = increase Likelihood = increase
No	Impact = decrease Likelihood = increase

ENVIRONMENTAL HEALTH

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	1	Insufficient staff	V	F	Yes	IV	E	Yes	No	Impact = decrease Likelihood = increase
2	2	Total failure of ICT systems	III	D	Yes	II	E	No	No	Impact = decrease Likelihood = decrease
3	3	Loss of accommodation	III	E	Yes	III	E	Yes	No	Impact = no change Likelihood = no change
4	4	DEFRA challenge the Council's refusal to remove or revoke AQMAs where necessary	II	E	No	III	E	Yes	No	Impact = increase Likelihood = no change
5	5	A resident challenges the Council's refusal to remove or revoke AQMAs where necessary	II	E	No	III	E	Yes	No	Impact = increase Likelihood = no change
6	6	Diffusion Tube survey not reinstated so that air quality information is not gathered	I	E	No	II	E	No	No	Impact = increase Likelihood = no change
7	7	Monitoring station not relocated to Junction 18	II	D	No	II	D	No	No	Impact = no change Likelihood = no change
9	8	New street trading consents cause nuisance	II	D	No	II	D	No	No	Impact = no change Likelihood = no change
10	9	Possibility of complaints concerning unfair competition from shopkeepers in the event of trading consents being issued incorrectly	II	F	No	II	F	No	No	Impact = no change Likelihood = no change
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	--	--	--	No	Risk closed

ENVIRONMENTAL PROTECTION

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	1	Insufficient staff	III	D	Yes	III	E	Yes	No Impact = no change Likelihood = decrease	
2	2	Total failure of ICT systems	II	D	No	II	E	No	No Impact = no change Likelihood = decrease	
3	3	Loss of accommodation	III	D	Yes	II	E	No	No Impact = decrease Likelihood = decrease	
4	4	One vehicle lost (accident / fire / theft)	II	E	No	II	C	Yes	No Impact = no change Likelihood = increase	
5	5	Whole fleet lost (accident / fire / theft)	IV	F	Yes	IV	F	Yes	No Impact = no change Likelihood = no change	
9	6	Long period of extreme weather / snow	II	D	No	III	E	Yes	No Impact = increase Likelihood = decrease	
10	7	Increase in parking problems	II	B	Yes	II	C	Yes	No Impact = no change Likelihood = decrease	
16	8	Fuel strike / price increase	III	B	Yes	III	E	Yes	No Impact = no change Likelihood = decrease	
20	9	H & S or DTP action	III	E	Yes	IV	F	Yes	No Impact = increase Likelihood = decrease	
22	10	Decrease in Recycling Rate	I	E	No	II	D	No	No Impact = increase Likelihood = increase	
29	11	Serious accident occurs due to vehicle movement at Batchworth Depot	IV	C	Yes	V	F	Yes	No Impact = increase Likelihood = decrease	
31	12	Collection staff become ill due to heat - increased sickness, costs	II	C	Yes	II	E	Yes	No Impact = no change Likelihood = decrease	
32	13	Serious accident occurs due to crews operating machinery in extreme conditions	IV	E	Yes	II	E	Yes	No Impact = decrease Likelihood = no change	
33	14	Increased complaints	III	B	Yes	II	E	No	No Impact = decrease Likelihood = decrease	
38	15	Increased charges result in decreased take up of services and lower overall income	II	F	No	II	D	No	No Impact = no change Likelihood = increase	
39	16	Charges do not rise adequately to cover costs	II	A	Yes	II	B	Yes	No Impact = no change Likelihood = decrease	

ENVIRONMENTAL PROTECTION (cont...)

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
56	17	Customers contaminate recycling bins in attempt to obtain cheaper waste disposal	II	C	Yes	II	E	No	No	Impact = no change Likelihood = decrease
57	18	Increased flytipping	I	E	No	II	E	No	No	Impact = increase Likelihood = no change
58	19	Commuted Sum insufficient to cover future maintenance costs	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
59	20	TRDC compelled to not act in its own interest by majority of Partnership	II	F	No	II	E	No	No	Impact = no change Likelihood = increase
--	21	Costs increase above budgets	--	--	--	II	E	No	No	New risk identified
--	22	Member of the public injured	--	--	--	III	F	No	No	New risk identified
54	23	Current price structure inhibits incentives to recycle	II	D	No	II	F	No	No	Impact = no change Likelihood = decrease
55	24	Service becomes popular but does not divert enough waste from landfill	II	D	No	II	E	No	No	Impact = no change Likelihood = decrease
--	25	Vehicle purchased unfit for use	--	--	--	III	F	No	No	New risk identified
--	26	Maintenance falls below required standard	--	--	--	III	E	Yes	No	New risk identified
6	--	Vandalism of vehicle	I	D	No	--	--	--	No	Risk removed - covered by 4 (2010-13)
7	--	Bomb in bin	V	F	Yes	--	--	--	No	Risk removed - covered by 4 (2010-13)
8	--	Flooding of depot	I	D	No	--	--	--	No	Risk removed - covered by 3 (2010-13)
11	--	Environmental Maintenance contractor goes bust	II	E	No	--	--	--	No	Risk closed
12	--	Trade waste providers cease operation	II	F	No	--	--	--	No	Risk removed
13	--	Temporary disposal point closure	I	C	No	--	--	--	No	Risk removed

ENVIRONMENTAL PROTECTION (cont...)

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
14	--	Permanent loss of disposal point	II	F	No	--	--	--	No	Risk removed
15	--	Clinical waste vehicle accident	II	D	No	--	--	--	No	Risk removed - covered by 4 (2010-13)
17	--	Drop in scrap values	II	C	Yes	--	--	--	No	Risk removed
18	--	Sudden changes in legislation	II	D	No	--	--	--	No	Risk removed
19	--	Local Government reorganisation	II	D	No	--	--	--	No	Risk removed
21	--	Breakdown in clinical waste service	II	D	No	--	--	--	No	Risk removed
23	--	Calendars not delivered	II	D	No	--	--	--	No	Risk removed
24	--	Crews unable to complete catch up	II	D	No	--	--	--	No	Risk removed
25	--	Offenders do not pay FPNs resulting in too many prosecutions with inadequate resources	II	F	No	--	--	--	No	Risk removed
26	--	Enforcement does not reduce flytipping/graffiti therefore not cost effective	II	E	No	--	--	--	No	Risk removed
27	--	Enforcement impinges too heavily on staff's existing duties	II	C	Yes	--	--	--	No	Risk removed
28	--	Prosecutions not cost effective resulting in cost to Authority	III	F	No	--	--	--	No	Risk removed
30	--	Increased complaints from residents due to early collections	I	D	No	--	--	--	No	Risk removed - covered by 14 (2010-13)
34	--	Early collections commence but high number of missed bins due to late publicity	I	D	No	--	--	--	No	Risk removed
35	--	Christmas collection takes longer, with all residents being affected, therefore higher complaints	II	B	Yes	--	--	--	No	Risk removed - covered by 14 (2010-13)

ENVIRONMENTAL PROTECTION (cont...)

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
36	--	Increased complaints from residents due to removal of facilities	I	D	No	--	--	--	No	Risk removed - covered by 14 (2010-13)
37	--	Contamination levels do not increase	II	E	No	--	--	--	No	Risk removed
40	--	Charges remain too low to incentivise impact on LATS requirements	III	B	Yes	--	--	--	No	Risk removed
41	--	Adverse publicity following perceived drop in service	II	D	No	--	--	--	No	Risk removed
42	--	Subsidised funding withdrawn for home composters	II	F	No	--	--	--	No	Risk removed
43	--	Uncertainties not resolved by end of review	II	C	Yes	--	--	--	No	Risk removed
44	--	Extremely high increase in cost of Environmental Maintenance Contract	III	C	Yes	--	--	--	No	Risk closed
45	--	Combining contracts restricts tenderers	II	E	No	--	--	--	No	Risk closed
46	--	Poor take up from businesses	II	E	No	--	--	--	No	Risk removed
47	--	Inadequate staff resources to carry out the work	II	B	Yes	--	--	--	No	Risk removed
48	--	Technology fails	I	E	No	--	--	--	No	Risk removed
49	--	Staff fail to use system to full potential	II	E	No	--	--	--	No	Risk removed
50	--	TR 412 target missed	III	B	Yes	--	--	--	No	Risk removed
51	--	No improvement in customer satisfaction	III	C	Yes	--	--	--	No	Risk removed
52	--	Much higher volume of material collected and therefore higher collection costs	II	E	No	--	--	--	No	Risk removed

ENVIRONMENTAL PROTECTION (cont...)

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
53	--	Service not viable / cost neutral	II	E	No	--	--	--	No	Risk removed
60	--	Proposed facilities do not comply with DDA	II	E	No	--	--	--	No	Risk removed
61	--	Contract prices rise dramatically due to additional works	III	E	Yes	--	--	--	No	Risk closed
62	--	TRGM fails to secure the Environmental Maintenance contract in-house but retains Grounds Maintenance	I	D	No	--	--	--	No	Risk closed
63	--	TRGM does not win either contract	III	D	Yes	--	--	--	No	Risk closed
64	--	TRGM wins Environmental Maintenance but loses Grounds Maintenance	II	E	No	--	--	--	No	Risk closed
65	--	Delay in obtaining vehicles by start date due to supply chain problems	II	F	No	--	--	--	No	Risk closed
66	--	In-house bids successful but costs to Council increase	II	D	No	--	--	--	No	Risk closed
67	--	In-house bid fails and £500k capital budget is unspent	II	D	No	--	--	--	No	Risk closed

HOUSING NEEDS AND STRATEGY

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	1	Insufficient staff	IV	D	Yes	IV	D	Yes	No	Impact = no change Likelihood = no change
2	2	Total failure of ICT systems	III	D	Yes	IV	D	Yes	No	Impact = increase Likelihood = no change
3	3	Loss of accommodation	III	D	Yes	III	D	Yes	No	Impact = no change Likelihood = no change
4	--	Poor relationship with LSVT Association (Thrive Homes)	IV	D	Yes	--	--	--	No	Risk removed
5	--	Failure to control bed and breakfast use	III	E	Yes	--	--	--	No	Risk removed
6	--	Supporting People Commissioning Body - Partnership - may be dissolved and this will ultimately affect TRDC funding for SP services	III	F	No	--	--	--	No	Risk removed
7	--	London Commuter Belt Housing Sub Region	III	F	No	--	--	--	No	Risk removed

LEISURE AND COMMUNITY SERVICES

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	1	Insufficient staff	III	D	Yes	III	D	Yes	No	Impact = no change Likelihood = no change
2	2	Total failure of ICT systems	II	D	No	II	E	No	No	Impact = no change Likelihood = decrease
3	3	Loss of accommodation	III	D	Yes	IV	D	Yes	No	Impact = increase Likelihood = no change
4	4	Failure/accident involving major plant or equipment at leisure venue	III	D	Yes	IV	E	Yes	No	Impact = increase Likelihood = decrease
--	5	Council liable for fatality at leisure venue	--	--	--	IV	E	Yes	No	New risk identified
7	6	Temporary closure of venue or loss of service due to infectious disease	II	E	No	IV	D	Yes	No	Impact = increase Likelihood = increase
10	7	Serious accident to customer or member of staff	IV	E	Yes	IV	E	Yes	No	Impact = no change Likelihood = no change
12	8	Failure to achieve Community Safety targets	III	E	Yes	III	E	Yes	Yes	Impact = no change Likelihood = no change
13	9	Usage targets linked to Key Budget Indicators are not met	III	C	Yes	III	C	Yes	No	Impact = no change Likelihood = no change
5	10	Major Capital Project overruns or has unforeseen costs (excluding WPLC)	IV	E	Yes	IV	E	Yes	No	Impact = no change Likelihood = no change
19	11	District Children's Trust Partnership fails to improve outcomes for children and young people	III	D	Yes	III	D	Yes	No	Impact = no change Likelihood = no change
21	12	Failure to engage the community in the Strategic Plan	II	E	No	II	E	No	Yes	Impact = no change Likelihood = no change
22	13	Failure to achieve our access / equality targets	III	D	Yes	II	E	No	Yes	Impact = decrease Likelihood = decrease
26	14	Herts Environmental Forum does not meet aims of the local bio-diversity plan	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
--	15	Tree failure causes damage to property, rail accident/disaster, loss of life	--	--	--	V	C	Yes	No	New risk identified

8	16	Successful appeal to the High Court against new TPO	III	F	No
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III	F	No
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No	Impact = no change Likelihood = no change
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RISK REGISTERS - NOVEMBER 2009

APPENDIX B

LEISURE AND COMMUNITY SERVICES (cont...)

Risk Number		Risk Description	2009-12 Service Plan		
2009-12	2010-13		Impact	Likelihood	Treatment Plan?
9	17	Successful appeal to Lands Tribunal for compensation for refusal to permit works to trees	III	F	No
16	18	WPLC: Loss of key project personnel	III	D	Yes
--	19	WPLC: Project fails to deliver expected outcomes or has major latent defects	--	--	--
23	20	LFM: Operator fails to provide adequate service	IV	E	Yes
24	21	LFM: Operator collapses due to loss of Hertsmere BC contract	IV	E	Yes
31	22	National free swim attendances exceed targets and hence costs	II	C	Yes
32	23	Government funding for free swimming withdrawn after pilot ends in 2011/12, causing pressure on Council to mainstream service	III	B	Yes
25	24	Failure of major Meals On Wheels provider	IV	E	Yes
--	25	Grants budget oversubscribed leading to poor publicity	--	--	--
--	26	The Council could fail to meet its legal obligations under the Children's Act if it fails to Safeguard	--	--	--
--	27	A child/children could be exposed to some form of abuse if the Council fails to Safeguard	--	--	--
20	28	Failure to achieve the priorities of the Community Strategy through the LSP	III	E	Yes
--	29	Failure to secure improvements to services	III	E	Yes
6	--	Lack of prioritisation of workloads and new projects emerging through the year	II	D	No
11	--	Loss of access to water for operation of services due to drought	IV	D	Yes

2010-13 Service Plan		
Impact	Likelihood	Treatment Plan?
III	F	No
III	D	Yes
V	D	Yes
IV	E	Yes
IV	E	Yes
II	C	Yes
III	B	Yes
IV	E	Yes
II	D	No
V	D	Yes
V	E	Yes
III	E	Yes
III	E	Yes
--	--	--
--	--	--

Strategic Risk?	Comments
No	Impact = no change Likelihood = no change
No	Impact = no change Likelihood = no change
No	New risk identified
No	Impact = no change Likelihood = no change
No	Impact = no change Likelihood = no change
No	Impact = no change Likelihood = no change
No	Impact = no change Likelihood = no change
No	Impact = no change Likelihood = no change
No	New risk identified
No	New risk identified
No	New risk identified
Yes	Impact = no change Likelihood = no change
Yes	Impact = no change Likelihood = no change
No	Risk removed
No	Risk removed

LEISURE AND COMMUNITY SERVICES (cont...)

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
14	--	WPLC refurbishment: Project over-runs budget	IV	B	Yes	--	--	--	No	Risk removed - covered by 19 (2010-13)
15	--	WPLC refurbishment: Project is delivered late	III	A	Yes	--	--	--	No	Risk removed - covered by 19 (2010-13)
17	--	WPLC refurbishment: Project does not deliver the required outputs	III	E	Yes	--	--	--	No	Risk removed - covered by 19 (2010-13)
18	--	WPLC refurbishment: Contractor fails	III	E	Yes	--	--	--	No	Risk removed - covered by 19 (2010-13)
27	--	Tree or part tree failure causing damage to property	III	C	Yes	--	--	--	No	Risk removed - covered by 15 (2010-13)
28	--	Tree or part tree failure causing loss of life	IV	C	Yes	--	--	--	No	Risk removed - covered by 15 (2010-13)
29	--	Tree or part tree failure causing disruption to rail service resulting in a claim from rail operator	III	C	Yes	--	--	--	No	Risk removed - covered by 15 (2010-13)
30	--	Tree or part tree failure causing rail accident/disaster	V	C	Yes	--	--	--	No	Risk removed - covered by 15 (2010-13)

SUSTAINABILITY

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	1	Insufficient staff	III	C	Yes	III	C	Yes	No	Impact = no change Likelihood = no change
2	2	Total failure of ICT systems	III	D	Yes	IV	C	Yes	No	Impact = increase Likelihood = increase
3	3	Loss of accommodation	III	D	Yes	IV	C	Yes	No	Impact = increase Likelihood = increase
8	4	Failure to make progress on the sustainability action plan	IV	E	Yes	III	D	Yes	Yes	Impact = decrease Likelihood = increase
4	5	Local Land Charges income may not be achieved	IV	B	Yes	III	C	Yes	No	Impact = decrease Likelihood = decrease
5	6	Parking service fails to break even financially (including impact of new legislation)	III	C	Yes	III	C	Yes	No	Impact = no change Likelihood = no change
6	7	Failure to reduce pockets of deprivation as a result of low take up on training schemes	II	C	Yes	III	D	Yes	No	Impact = increase Likelihood = decrease
7	8	Failure to deliver sustainable transport initiatives	III	C	Yes	III	D	Yes	No	Impact = no change Likelihood = decrease
--	9	Failure to deliver all the actions in the Asset Management Plan	--	--	--	III	D	Yes	No	New risk identified
--	10	Garage refurbishments - The appointed contractor(s) may cease to trade	--	--	--	IV	D	Yes	No	New risk identified
--	11	Garage refurbishments - The contractor fails to deliver the requirements of the contract	--	--	--	III	D	Yes	No	New risk identified
--	12	Garage refurbishments - The contractor is unable to progress the works resulting in a claim for loss and expense	--	--	--	III	D	Yes	No	New risk identified

CUSTOMER SERVICES CENTRE

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	1	Insufficient staff	IV	E	Yes	IV	E	Yes	No Impact = no change Likelihood = no change	
2	2	Total failure of ICT systems	III	E	Yes	III	E	Yes	No Impact = no change Likelihood = no change	
4	3	Loss of accommodation	III	E	Yes	III	E	Yes	No Impact = no change Likelihood = no change	
3	4	Total failure of telephone systems	V	E	Yes	V	E	Yes	No Impact = no change Likelihood = no change	
5	5	Increased number of customer contacts	IV	E	Yes	IV	E	Yes	No Impact = no change Likelihood = no change	

DEMOCRATIC SERVICES

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	1	Insufficient staff	IV	D	Yes	IV	D	Yes	No	Impact = no change Likelihood = no change
2	2	Total failure of ICT systems	III	E	Yes	IV	D	Yes	No	Impact = increase Likelihood = increase
3	3	Loss of accommodation	III	E	Yes	III	D	Yes	No	Impact = no change Likelihood = increase
--	4	Failure to provide Election	--	--	--	IV	D	Yes	No	New risk identified
4	--	Uncertainty regarding date of election	II	D	No	--	--	--	No	Risks removed - covered by 4 (2010-13) A separate Elections Risk Register is maintained
5	--	Death of Candidate	II	E	No	--	--	--	No	
6	--	Adjournment of Poll	III	F	No	--	--	--	No	
7	--	Error or omission on the part of (Acting) Returning Officer	IV	F	Yes	--	--	--	No	
8	--	Loss of Polling Station	II	E	No	--	--	--	No	
9	--	Incapacity of (Acting) Returning Officer	II	F	No	--	--	--	No	
10	--	Failure by contractor (eg Printer, Royal Mail)	III	F	No	--	--	--	No	
11	--	Failure on issue of postal vote	III	E	Yes	--	--	--	No	
12	--	Failure to verify/reconcile at count	III	F	No	--	--	--	No	
13	--	Re-count	I	D	No	--	--	--	No	

LEGAL PRACTICE

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	1	Insufficient staff	III	D	Yes	III	E	Yes	No	Impact = no change Likelihood = decrease
2	2	Total failure of ICT systems	III	D	Yes	III	D	Yes	No	Impact = no change Likelihood = no change
3	3	Loss of accommodation	III	E	Yes	III	E	Yes	No	Impact = no change Likelihood = no change

CORPORATE SERVICES

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1 *	1	Insufficient staff	III	D	Yes	III	D	Yes	No	Impact = no change Likelihood = no change
2 *	2	Total failure of ICT systems	III	E	Yes	II	E	No	No	Impact = decrease Likelihood = no change
3 *	3	Loss of accommodation	III	E	Yes	III	E	Yes	No	Impact = no change Likelihood = no change
5 *	4	Failure to tell residents about improvements	III	D	Yes	III	D	Yes	Yes	Impact = no change Likelihood = no change
6 *	5	Failure to maintain sound procurement practices	IV	E	Yes	III	E	Yes	No	Impact = decrease Likelihood = no change
7 *	6	Failure of Royal Mail to deliver or collect mail	III	F	No	III	F	No	No	Impact = no change Likelihood = no change
9 *	7	Test reveals that the Business Continuity Plan is not workable	III	D	Yes	III	D	Yes	No	Impact = no change Likelihood = no change
10 *	8	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	Impact = no change Likelihood = no change
11 *	9	Non-compliance with Data Protection and Freedom of Information Acts	II	D	No	III	F	No	No	Impact = increase Likelihood = decrease
5 **	10	Failure to achieve level 3 in 'Use of Resources'	I	C	No	II	E	No	No	Impact = increase Likelihood = decrease
7 **	11	Revenue balances insufficient to meet estimated pay award increases	II	F	No	I	F	No	No	Impact = decrease Likelihood = no change
8 **	12	Revenue balances insufficient to meet estimate of employer's pension contribution	II	E	No	I	F	No	No	Impact = decrease Likelihood = decrease
9 **	13	Revenue balances insufficient to meet other inflationary increase	II	F	No	I	F	No	No	Impact = decrease Likelihood = no change
10 **	14	Inaccurate cash flow forecasts resulting in significant variations in estimated interest income	III	D	Yes	III	D	Yes	No	Impact = no change Likelihood = no change
11 **	15	Inaccurate estimates of fees and charges income	III	B	Yes	III	B	Yes	No	Impact = no change Likelihood = no change

CORPORATE SERVICES (cont...)

Risk Number		Risk Description	2009-12 Service Plan			2010-13 Service Plan			Strategic Risk?	Comments
2009-12	2010-13		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
12 **	16	Revenue balances insufficient to meet loss of partial exemption for VAT	III	E	Yes	III	E	Yes	No	Impact = no change Likelihood = no change
13 **	17	Major emergency requires funds beyond Bellwin Scheme and causes serious drain on balances	II	E	Yes	IV	F	Yes	No	Impact = increase Likelihood = decrease
14 **	18	Balances affected by inaccurate estimate of the cost of Concessionary Fares scheme	III	D	Yes	II	E	No	No	Impact = decrease Likelihood = decrease
15 **	19	The Council is faced with an increasing number of employment tribunals	II	C	Yes	II	C	Yes	No	Impact = no change Likelihood = no change
16 **	20	Estimated savings from shared services are not achieved	III	E	Yes	III	D	Yes	No	Impact = no change Likelihood = increase
17 **	21	The Council is faced with potential litigation and other employment related risks	III	E	Yes	IV	D	Yes	No	Impact = increase Likelihood = increase
18 **	22	Adverse variation in the investment interest rate	III	D	Yes	IV	C	Yes	No	Impact = increase Likelihood = increase
--	23	The Council's government grant is adversely affected	--	--	--	II	C	Yes	No	New risk identified
4 *	--	Failure to secure improvements to services	III	E	Yes	--	--	--	Yes	Transferred to Leisure & Community Services
8 *	--	Failure to communicate effectively with the public / stakeholders	IV	D	Yes	--	--	--	No	Risk removed - covered in 4 (2010-13)

Key:

n * = Performance Management and Scrutiny Service Plan 2009-12

n ** = Client-side Shared Services Service Plan 2009-12