

COMMUNITY SERVICES (ENVIRONMENTAL PROTECTION) cont ...

Risk Number		Risk Description	2012-15 Service Plan			2013-16 Service Plan (draft)			Strategic Risk?	Comments
2012-15	2013-16		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
10	10	H & S or DTP action	IV	F	Yes	IV	F	Yes	No	Impact = no change Likelihood = no change
11	11	Decrease in recycling rate	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
12	12	Serious accident occurs due to vehicle movement at Batchworth Depot	IV	F	Yes	IV	F	Yes	No	Impact = no change Likelihood = no change
13	13	Collection staff become ill due to heat - increased sickness, costs	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
14	14	Serious accident occurs due to crews operating machinery in extreme conditions	III	F	No	III	F	No	No	Impact = no change Likelihood = no change
15	15	Increased complaints	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
16	16	Increased charges result in decreased take up of services and lower overall income	III	C	Yes	III	C	Yes	No	Impact = no change Likelihood = no change
17	17	Charges do not rise adequately to cover costs	II	B	Yes	II	B	Yes	No	Impact = no change Likelihood = no change
18	18	Customers contaminate recycling bins in attempt to dispose of more general waste	--	--	--	III	B	Yes	No	Impact = no change Likelihood = no change
19	19	Increased flytipping	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
20	20	Committed Sum insufficient to cover future maintenance costs	II	D	No	II	D	No	No	Impact = no change Likelihood = no change
21	21	TRDC compelled to not act in its own interest by majority of Partnership	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
22	22	Costs increase above budgets	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
23	23	Member of the public injured	III	F	No	III	F	No	No	Impact = no change Likelihood = no change
24	24	Current price structure inhibits incentives to recycle	II	D	No	II	D	No	No	Impact = no change Likelihood = no change
25	25	Service does not become popular and does not divert enough waste from landfill	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
26	26	Maintenance falls below required standard	III	E	Yes	III	E	Yes	No	Impact = no change Likelihood = no change
27	27	AFM withdrawn by HCC	III	F	No	III	F	No	No	Impact = no change Likelihood = no change

COMMUNITY SERVICES (ENVIRONMENTAL PROTECTION) cont ...

Risk Number		Risk Description	2012-15 Service Plan		
2012-15	2013-16		Impact	Likelihood	Treatment Plan?
28	28	Numbers of brown bins underestimated and therefore savings not achieved	II	B	No
29	29	Equality challenge on behalf of low income families	II	E	No
30	30	Crews unable to complete work	II	E	No
31	31	Crew member has accident carrying out HCCs work	II	D	No
32	32	HCC devolve complaints to TRDC	II	C	Yes
33	33	Council runs out of cemetery land in traditional section	III	E	Yes

2013-16 Service Plan (draft)		
Impact	Likelihood	Treatment Plan?
II	B	No
II	E	No
II	E	No
II	D	No
II	C	Yes
III	E	Yes

Strategic Risk?	Comments
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	Impact = no change Likelihood = no change

COMMUNITY SERVICES (HOUSING)

Risk Number		Risk Description	2012-15 Service Plan		
2012-15	2013-16		Impact	Likelihood	Treatment Plan?
1*		Insufficient staff	IV	D	Yes
2*		Total failure of ICT systems	IV	D	Yes
3*		Loss of accommodation	III	D	Yes
4*		Fraudulent activity	III	E	Yes

2013-16 Service Plan (draft)		
Impact	Likelihood	Treatment Plan?
IV	D	Yes
IV	D	Yes
III	D	Yes
III	E	Yes

Strategic Risk?	Comments
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

* from Housing Needs & Strategy Risk Register

COMMUNITY SERVICES (LEISURE)

Risk Number		Risk Description	2012-15 Service Plan		
2012-15	2013-16		Impact	Likelihood	Treatment Plan?
Common risks - shared across the whole department					
1	1	Insufficient staff	III	D	Yes
2	2	Total failure of ICT systems	IV	C	Yes
3	3	Loss of accommodation	IV	D	Yes
4	4	Fraudulent activity	IV	E	Yes
5	5	Temporary closure of venue or loss of service due to infectious disease	IV	D	Yes
6	6	Usage targets linked to Key Budget Indicators are not met	III	D	Yes
7	7	Major Capital Project overruns or has unforeseen costs (excluding WPLC)	IV	D	Yes
8	8	Loss of partner or agreed partnership funding (revenue or capital)	IV	D	Yes
Community Partnerships risks					
9	--	Failure to achieve Community Safety targets	III	E	Yes
10	--	Failure to achieve the priorities of the Community Strategy through the LSP	III	D	Yes
11	--	Community consultation work fails to improve contact with hard to reach groups resulting in lack of clear evidence base for strategic plan	II	E	No
12	--	The Council fails to maintain its Achieving status of the equality framework and risk legal challenge	III	E	Yes
13	--	Targets in the Strategic Plan are not performed managed and fail to be achieved	III	E	Yes
14	--	Failure to engage the community in the Strategic Plan	III	E	Yes
15	--	Failure to secure improvements to services	III	E	Yes
Venues & Grants risks					
16	9	Council liable for fatality at leisure venue	V	E	Yes
17	10	Serious accident to customer or member of staff	IV	E	Yes

2013-16 Service Plan (draft)		
Impact	Likelihood	Treatment Plan?
III	D	Yes
IV	C	Yes
IV	D	Yes
IV	E	Yes
IV	D	Yes
III	D	Yes
IV	D	Yes
IV	D	Yes
--	--	--
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--	--	--
--	--	--
V	E	Yes
IV	E	Yes

Strategic Risk?	Comments
Yes	Impact = no change Likelihood = no change
Yes	Impact = no change Likelihood = no change
Yes	Impact = no change Likelihood = no change
Yes	Impact = no change Likelihood = no change
Yes	Impact = no change Likelihood = no change
Yes	Impact = no change Likelihood = no change
Yes	Impact = no change Likelihood = no change
Yes	Transferred to Community Partnerships Risk Register
Yes	Transferred to Community Partnerships Risk Register
No	Transferred to Community Partnerships Risk Register
No	Transferred to Community Partnerships Risk Register
No	Transferred to Community Partnerships Risk Register
Yes	Transferred to Community Partnerships Risk Register
Yes	Transferred to Community Partnerships Risk Register
No	Impact = no change Likelihood = no change
No	Impact = no change Likelihood = no change

CUSTOMER SERVICES CENTRE

Risk Number		Risk Description	2012-15 Service Plan		
2012-15	2013-16		Impact	Likelihood	Treatment Plan?
1	1	Insufficient staff	IV	E	Yes
2	2	Total failure of ICT systems	III	E	Yes
3	3	Loss of accommodation	III	E	Yes
4	4	Fraudulent activity	II	E	No
5	5	Total failure of telephone systems	V	E	Yes
6	6	Increased number of customer contacts	IV	E	Yes
7	7	Robbery in TRH OSS	III	E	Yes
8	8	Physical assault on staff or visitors to TRH	III	E	Yes

2013-16 Service Plan (draft)		
Impact	Likelihood	Treatment Plan?
IV	E	Yes
III	E	Yes
III	E	Yes
II	E	No
V	E	Yes
IV	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	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	Impact = no change Likelihood = no change
No	Impact = no change Likelihood = no change

ECONOMIC AND SUSTAINABLE DEVELOPMENT (DEVELOPMENT PLANS)

Risk Number		Risk Description	2012-15 Service Plan		
2012-15	2013-16		Impact	Likelihood	Treatment Plan?
1	1	Insufficient staff	IV	E	Yes
2	2	Total failure of ICT systems	III	E	Yes
3	3	Loss of accommodation	III	D	Yes
4	4	Fraudulent activity	III	F	No
5	5	Failure/delay in delivering LDF/Local Plan	IV	E	Yes

2013-16 Service Plan (draft)		
Impact	Likelihood	Treatment Plan?
IV	E	Yes
III	E	Yes
III	D	Yes
III	F	No
IV	E	Yes

Strategic Risk?	Comments
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

ECONOMIC AND SUSTAINABLE DEVELOPMENT (HOUSING STRATEGY AND DEVELOPMENT)

Risk Number		Risk Description	2012-15 Service Plan		
2012-15	2013-16		Impact	Likelihood	Treatment Plan?
1*	1	Insufficient staff	IV	D	Yes
2*	2	Total failure of ICT systems	IV	D	Yes
3*	3	Loss of accommodation	III	D	Yes
4*	4	Fraudulent activity	III	E	Yes

2013-16 Service Plan (draft)		
Impact	Likelihood	Treatment Plan?
IV	D	Yes
IV	D	Yes
III	D	Yes
III	E	Yes

Strategic Risk?	Comments
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

* from Housing Needs and Strategy Risk Register

ECONOMIC AND SUSTAINABLE DEVELOPMENT (CLIMATE CHANGE AND SUSTAINABLE PROJECTS)

Risk Number		Risk Description	2012-15 Service Plan		
2012-15	2013-16		Impact	Likelihood	Treatment Plan?
1*	1	Insufficient staff	III	E	Yes
2*	2	Total failure of ICT systems	III	C	Yes
3*	3	Loss of accommodation	III	D	Yes
4*	4	Fraudulent activity	III	D	Yes
5*	5	Failure to make progress on the sustainability action plan	II	E	Yes
8*	6	Failure to reduce pockets of deprivation as a result of low take up on training schemes	II	D	No
9*	7	Failure to deliver sustainable transport initiatives	III	C	Yes

2013-16 Service Plan (draft)		
Impact	Likelihood	Treatment Plan?
III	C	Yes
IV	C	Yes
IV	C	Yes
III	D	Yes
III	D	Yes
III	D	Yes
III	D	Yes

Strategic Risk?	Comments
No	Impact = no change Likelihood = increased
No	Impact = increased Likelihood = no change
No	Impact = increased Likelihood = no change
No	Impact = no change Likelihood = no change
Yes	Impact = increased Likelihood = no change
No	Impact = increased Likelihood = no change
No	Impact = no change Likelihood = decreased

* from Sustainability Risk Register

PROPERTY AND MAJOR PROJECTS

Risk Number		Risk Description	2012-15 Service Plan			2013-16 Service Plan (draft)			Strategic Risk?	Comments
2012-15	2013-16		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1*	1	Insufficient staff	III	E	Yes	III	E	Yes	No	Impact = no change Likelihood = no change
2*	2	Total failure of ICT systems	III	C	Yes	III	C	Yes	No	Impact = no change Likelihood = no change
3*	3	Loss of accommodation	III	D	Yes	III	D	Yes	No	Impact = no change Likelihood = no change
4*	4	Fraudulent activity	III	D	Yes	III	D	Yes	No	Impact = no change Likelihood = no change
5*	5	Failure to make progress on the sustainability action plan	III	E	Yes	III	E	Yes	Yes	Impact = no change Likelihood = no change
10*	6	Failure to deliver all the actions in the Asset Management Plan	III	C	Yes	III	C	Yes	No	Impact = no change Likelihood = no change
11*	7	The appointed contractor (for the garage refurbishment programme) may cease to trade	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
12*	8	The contractor fails to deliver the requirements of the contract	II	D	No	II	D	No	No	Impact = no change Likelihood = no change
13*	9	The contractor is unable to progress the works resulting in a claim for loss and expense	III	D	Yes	III	D	Yes	No	Impact = no change Likelihood = no change

* from Sustainability Risk Register

REGULATORY SERVICES 1 (DEVELOPMENT MANAGEMENT, LICENSING, LAND & PROPERTY INFORMATION AND PARKING CONTRACT)

Risk Number		Risk Description	2012-15 Service Plan			2013-16 Service Plan (draft)			Strategic Risk?	Comments
2012-15	2013-16		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	1	Insufficient staff	III	E	Yes	II	E	No	No	Impact = decreased Likelihood = no change
2	2	Total failure of ICT systems	III	E	Yes	II	E	No	No	Impact = decreased Likelihood = no change
3	3	Loss of accommodation	III	E	Yes	II	E	No	No	Impact = decreased Likelihood = no change
4	4	Fraudulent activity	III	E	Yes	III	E	Yes	No	Impact = no change Likelihood = no change

REGULATORY SERVICES 1 (DEVELOPMENT MANAGEMENT, LICENSING, LAND & PROPERTY INFORMATION AND PARKING CONTRACT) cont ...

Risk Number		Risk Description	2012-15 Service Plan			2013-16 Service Plan (draft)			Strategic Risk?	Comments
2012-15	2013-16		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
5	5	Loss of paper planning paper records	III	E	Yes	III	E	Yes	No Impact = no change Likelihood = no change	
6*	6	Local Land Charges income may not be achieved	III	C	Yes	III	C	Yes	No Impact = no change Likelihood = no change	
7*	7	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	
7**	8	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	
6**	9	New street trading consents cause nuisance	II	D	No	II	D	No	No Impact = no change Likelihood = no change	

* from Sustainability Risk Register ** from Environmental Health Risk Register

REGULATORY SERVICES 2 (ENVIRONMENTAL HEALTH)

Risk Number		Risk Description	2012-15 Service Plan			2013-16 Service Plan (draft)			Strategic Risk?	Comments
2012-15	2013-16		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	II	E	Yes	II	E	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	
4	4	Fraudulent activity	IV	F	Yes	IV	F	Yes	No Impact = no change Likelihood = no change	
5	5	DEFRA challenge the Council's refusal to remove or revoke AQMAs where necessary	III	E	Yes	III	E	Yes	No Impact = no change Likelihood = no change	
6	6	A resident challenges the Council's refusal to remove or revoke AQMAs where necessary	III	E	Yes	III	E	Yes	No Impact = no change Likelihood = no change	
7	--	New street trading consents cause nuisance	II	D	No	--	--	--	No Transferred to Regulatory Services 1 Risk Register	
8	--	Possibility of complaints concerning unfair competition from shopkeepers in the event of trading consents being issued incorrectly	II	F	No	--	--	--	No Transferred to Regulatory Services 1 Risk Register	

SUSTAINABILITY

Risk Number		Risk Description	2012-15 Service Plan			2013-16 Service Plan (draft)			Strategic Risk?	Comments
2012-15	2013-16		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	--	Insufficient staff	III	E	Yes	--	--	--	No	Transferred to other Risk Registers
2	--	Total failure of ICT systems	III	C	Yes	--	--	--	No	Transferred to other Risk Registers
3	--	Loss of accommodation	III	D	Yes	--	--	--	No	Transferred to other Risk Registers
4	--	Fraudulent activity	III	D	Yes	--	--	--	No	Transferred to other Risk Registers
5	--	Failure to make progress on the sustainability action plan	II	E	No	--	--	--	Yes	Transferred to Economic and Sustainable Development Risk Register
6	--	Local Land Charges income may not be achieved	III	C	Yes	--	--	--	No	Transferred to Regulatory Services 1 Risk Register
7	--	Parking service fails to break even financially (including impact of new legislation)	III	C	Yes	--	--	--	No	Transferred to Regulatory Services 1 Risk Register
8	--	Failure to reduce pockets of deprivation as a result of low take up on training schemes	II	D	Yes	--	--	--	No	Transferred to Economic and Sustainable Development Risk Register
9	--	Failure to deliver sustainable transport initiatives	III	C	Yes	--	--	--	No	Transferred to Economic and Sustainable Development Risk Register
10	--	Failure to deliver all the actions in the Asset Management Plan	III	C	Yes	--	--	--	No	Transferred to Property and Major Projects Risk Register
11	--	The appointed contractor (for the garage refurbishment programme) may cease to trade	II	E	No	--	--	--	No	Transferred to Property and Major Projects Risk Register
12	--	The contractor fails to deliver the requirements of the contract	II	D	Yes	--	--	--	No	Transferred to Property and Major Projects Risk Register
13	--	The contractor is unable to progress the works resulting in a claim for loss and expense	III	D	Yes	--	--	--	No	Transferred to Property and Major Projects Risk Register

COMMUNITY PARTNERSHIPS

Risk Number		Risk Description	2012-15 Service Plan			2013-16 Service Plan (draft)			Strategic Risk?	Comments
2012-15	2013-16		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1*	1	Insufficient staff	III	D	Yes	II	E	No	No	Impact = decreased Likelihood = decreased
2*	2	Total failure of ICT systems	IV	C	Yes	III	E	Yes	No	Impact = decreased Likelihood = decreased
3*	3	Loss of accommodation	IV	D	Yes	III	E	Yes	No	Impact = decreased Likelihood = decreased
4*	4	Fraudulent activity	IV	E	Yes	IV	E	Yes	No	Impact = no change Likelihood = no change
8*	5	Loss of partner or agreed partnership funding (revenue or capital)	IV	D	Yes	IV	E	Yes	No	Impact = no change Likelihood = decreased
9*	6	Failure to achieve Community Safety targets	III	E	Yes	III	E	Yes	Yes	Impact = no change Likelihood = no change
10*	7	Failure to achieve the priorities of the Community Strategy through the LSP	III	D	Yes	III	D	Yes	Yes	Impact = no change Likelihood = no change
11*	8	Community consultation work fails to improve contact with hard to reach groups resulting in lack of clear evidence base for strategic plan	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
12*	9	The Council fails to maintain its legal duties for equality and risks legal challenge	III	E	Yes	III	E	Yes	No	Impact = no change Likelihood = no change
13*	10	Targets in the Strategic Plan are not performance managed and fail to be achieved	III	E	Yes	III	E	Yes	No	Impact = no change Likelihood = no change
14*	11	Failure to engage the community in the Strategic Plan	III	E	Yes	III	E	Yes	Yes	Impact = no change Likelihood = no change
15*	12	Failure to secure improvements to services	III	E	Yes	III	E	Yes	Yes	Impact = no change Likelihood = no change
23*	13	Failure of major Meals On Wheels provider	IV	E	Yes	IV	E	Yes	No	Impact = no change Likelihood = no change
24*	14	Grants budget oversubscribed leading to poor publicity	II	E	No	II	E	No	No	Impact = no change Likelihood = no change

* from Leisure and Community Services Risk Register

CORPORATE SERVICES

Risk Number		Risk Description	2012-15 Service Plan		
2012-15	2013-16		Impact	Likelihood	Treatment Plan?
Departmental risks					
1	1	Insufficient staff	III	D	Yes
2	2	Total failure of ICT systems	II	E	No
3	3	Loss of accommodation	III	E	Yes
4	4	Fraudulent activity	III	F	No
5	5	Failure to maintain sound procurement practices	III	E	Yes
6	6	Failure of Royal Mail to deliver or collect mail	III	F	No
7	7	Test reveals that the Business Continuity Plan is not workable	III	E	Yes
8	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	E	Yes
9	9	Non-compliance with Data Protection and Freedom of Information Acts	III	E	No
10	10	Failure to tell residents about improvements	III	E	Yes
Budgetary risks - reviewed monthly and published with budget monitoring reports					
11	11	Revenue balances insufficient to meet estimated pay award increases	IV	F	Yes
12	12	Revenue balances insufficient to meet estimate of employer's pension contribution	II	F	No
13	13	Revenue balances insufficient to meet other inflationary increase	III	D	Yes
14	14	Inaccurate cash flow forecasts resulting in significant variations in estimated interest income	IV	D	Yes
15	15	Inaccurate estimates of fees and charges income	V	E	Yes
16	16	Revenue balances insufficient to meet loss of partial exemption for VAT	III	E	Yes

2013-16 Service Plan (draft)		
Impact	Likelihood	Treatment Plan?
III	D	Yes
II	E	No
III	E	Yes
III	F	No
III	E	Yes
III	F	No
III	E	Yes
III	E	Yes
III	E	No
III	E	Yes
August 2012 risk ratings		
IV	F	Yes
II	F	No
III	D	Yes
IV	D	Yes
V	D	Yes
III	E	Yes

Strategic Risk?	Comments
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	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
Yes	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 = increased
No	Impact = no change Likelihood = no change

CORPORATE SERVICES cont ...

Risk Number		Risk Description	2012-15 Service Plan		
2012-15	2013-16		Impact	Likelihood	Treatment Plan?
Budgetary risks - reviewed monthly and published with budget monitoring reports					
17	17	Major emergency requires funds beyond Bellwin Scheme and causes serious drain on balances	V	F	Yes
19	19	The Council is faced with an increasing number of employment tribunals	II	C	Yes
20	20	Estimated savings from the cost reduction exercise (including shared services) are not achieved	V	E	Yes
21	21	The Council is faced with potential litigation and other employment related risks	III	D	Yes
22	22	The Council's government grant is adversely affected	III	C	Yes
23	23	The cost of administering Housing Benefit and Council Tax Benefit changes significantly	III	B	Yes

2013-16 Service Plan (draft)		
Impact	Likelihood	Treatment Plan?
August 2012 risk ratings		
V	F	Yes
II	C	Yes
V	E	Yes
III	D	Yes
III	C	Yes
III	E	Yes

Strategic Risk?	Comments
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	Impact = no change Likelihood = decreased

DEMOCRATIC SERVICES

Risk Number		Risk Description	2012-15 Service Plan		
2012-15	2013-16		Impact	Likelihood	Treatment Plan?
1	1	Insufficient staff	IV	D	Yes
2	2	Total failure of ICT systems	IV	D	Yes
3	3	Loss of accommodation	III	D	Yes
4	4	Fraudulent activity	III	E	Yes
5	5	Failure to provide Election	IV	D	Yes

2013-16 Service Plan (draft)		
Impact	Likelihood	Treatment Plan?
IV	D	Yes
IV	D	Yes
III	D	Yes
III	E	Yes
IV	D	Yes

Strategic Risk?	Comments
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

LEGAL PRACTICE

Risk Number		Risk Description	2012-15 Service Plan		
2012-15	2013-16		Impact	Likelihood	Treatment Plan?
1	1	Insufficient staff	III	E	Yes
2	2	Total failure of ICT systems	III	D	Yes
3	3	Loss of accommodation	III	D	Yes
4	4	Fraudulent activity	II	F	No

2013-16 Service Plan (draft)		
Impact	Likelihood	Treatment Plan?
III	E	Yes
III	D	Yes
III	D	Yes
II	F	No

Strategic Risk?	Comments
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

FINANCE (SHARED SERVICES)

Risk Number		Risk Description	2012-15 Service Plan		
2012-15	2013-16		Impact	Likelihood	Treatment Plan?
1	1	Insufficient staff	IV	D	Yes
2	2	Total failure of ICT systems	IV	D	Yes
3	3	Loss of accommodation	IV	F	Yes
4	4	Fraudulent activity	IV	D	Yes
5	5	Mortgagors fail	I	F	No
6	6	Progress against audit recommendations is not monitored, they are not implemented and internal controls are therefore weakened	IV	E	Yes
7	7	Failure to renew banking services contract	II	F	No
8	8	Fail to close accounts on time	IV	F	Yes

2013-16 Service Plan (draft)		
Impact	Likelihood	Treatment Plan?
IV	C	Yes
IV	D	Yes
IV	F	Yes
IV	D	Yes
I	F	No
IV	F	Yes
II	F	No
IV	F	Yes

Strategic Risk?	Comments
No	Impact = no change Likelihood = increased
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 = decreased
No	Impact = no change Likelihood = no change
No	Impact = no change Likelihood = no change

HUMAN RESOURCES (SHARED SERVICES)

Risk Number		Risk Description	2012-15 Service Plan			2013-16 Service Plan (draft)			Strategic Risk?	Comments
2012-15	2013-16		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	IV	E	Yes	IV	E	Yes	No	Impact = no change Likelihood = no change
3	3	Loss of accommodation	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
4	4	Fraudulent activity	III	F	No	III	F	No	No	Impact = no change Likelihood = no change
5	5	Change Management - Three Rivers pay not aligned resulting in equal pay claims at TRDC	IV	D	Yes	IV	D	Yes	No	Impact = no change Likelihood = no change
6	6	HRIS failure or similar civil disaster resulting in inability to utilise HRIS system	III	E	Yes	III	E	Yes	No	Impact = no change Likelihood = no change
7	7	Difficulty in recruiting key staff with necessary skills/experience	III	E	Yes	III	E	Yes	No	Impact = no change Likelihood = no change
8	8	Legislation - Failure to deliver on existing or future employment legislation	III	F	No	III	F	No	No	Impact = no change Likelihood = no change
9	9	Employment - Assault or injury to member of staff in the office, on-site or during a home visit, home working or 1:1 meetings with customers	III	F	No	III	F	No	No	Impact = no change Likelihood = no change
10	10	Physical loss of paper files on a large scale due to flood/fire or other catastrophic event in the Town Hall accommodation	III	F	No	III	F	No	No	Impact = no change Likelihood = no change
11	11	Employment - Strike/Dispute nationally	IV	E	Yes	IV	E	Yes	No	Impact = no change Likelihood = no change

ICT (SHARED SERVICES)

Risk Number		Risk Description	2012-15 Service Plan			2013-16 Service Plan (draft)			Strategic Risk?	Comments
2012-15	2013-16		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	1	Insufficient staff	III	D	Yes	III	C	Yes	No	Impact = no change Likelihood = increased
2	2	Total failure of ICT systems	III	E	No	II	E	No	No	Impact = decreased Likelihood = no change
3	3	Loss of accommodation	IV	F	Yes	III	E	Yes	No	Impact = decreased Likelihood = increased
4	4	Fraudulent activity	II	E	No	III	F	No	No	Impact = increased Likelihood = decreased
5	5	Failure to deliver the ICT Capital Programme	III	D	Yes	II	D	Yes	No	Impact = decreased Likelihood = no change
6	6	Loss of portable storage device containing sensitive data	III	D	Yes	III	D	Yes	No	Impact = no change Likelihood = no change
7	7	Virus introduced to the network via storage device	III	F	No	II	F	No	No	Impact = decreased Likelihood = no change
8	8	Software being removed from the corporate network	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
9	9	Disaster in Computer Centre	V	E	Yes	V	E	Yes	No	Impact = no change Likelihood = no change
10	10	Power Outage longer than 1 hour	III	C	Yes	III	E	Yes	No	Impact = no change Likelihood = decreased
11	11	Slow / unreliable network communication between TRDC and WBC	IV	E	Yes	III	F	No	No	Impact = decreased Likelihood = decreased
12	12	Insufficient handover between internal SSICT & any potential outsourcing provider	IV	C	Yes	III	F	No	No	Impact = decreased Likelihood = decreased
13	--	Failure to deliver infrastructure priority roadmap and subsequent remedial work.	IV	D	Yes	--	--	--	No	Risk closed

REVENUES & BENEFITS (SHARED SERVICES)

Risk Number		Risk Description	2012-15 Service Plan			2013-16 Service Plan (draft)			Strategic Risk?	Comments
2012-15	2013-16		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
1	1	Insufficient staff	I	E	No	I	E	No	No	Impact = no change Likelihood = no change
2	2	Total failure of ICT systems	II	D	No	II	D	No	No	Impact = no change Likelihood = no change
3	3	Loss of accommodation	II	D	No	II	E	No	No	Impact = no change Likelihood = decreased
4	4	Fraudulent activity	III	E	Yes	III	E	Yes	No	Impact = no change Likelihood = no change
5	5	Recession leads to greater take-up of benefits and added pressure on service	II	C	Yes	II	E	No	No	Impact = no change Likelihood = decreased
6	6	Recession leads to more non-payment of council tax and business rates	II	D	No	II	D	No	No	Impact = no change Likelihood = no change
7	7	Recession means it is more difficult to collect sundry debts and HB overpayments	II	D	No	I	D	No	No	Impact = decreased Likelihood = no change
8	8	Breach of Data Protection etc Acts	III	F	No	III	F	No	No	Impact = no change Likelihood = no change
9	9	Injury to staff or customer	III	F	No	III	F	No	No	Impact = no change Likelihood = no change
10	10	Benefits are not realised once shared services is implemented or realised later than planned	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
11	11	Operational performance drops during the transition period and early phase of implementation	II	B	Yes	II	B	Yes	No	Impact = no change Likelihood = no change
12	12	Harmonisation of operational policies to deliver business improvement is either not achieved to a sufficient level or takes longer than anticipated	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
13	13	Contracts with systems suppliers are not robust enough	I	E	No	I	E	No	No	Impact = no change Likelihood = no change
--	14	A reduction in the number of Benefit Assessors above that planned in advance of the full implementation of Universal Credit	--	--	--	III	E	Yes	No	New Risk