

COMMUNITY PARTNERSHIPS

Risk Number		Risk Description	2013-16 Service Plan		
2013-16	2014-17		Impact	Likelihood	Treatment Plan?
Common Risks - shared across the whole section					
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	Loss of partner or agreed partnership funding (revenue or capital)	IV	D	Yes
Community Partnerships Risks					
6	6	Failure to achieve Community Safety targets	III	E	Yes
7	7	Failure to achieve the priorities of the Community Strategy through the LSP	III	D	Yes
8	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
9	9	The Council fails to maintain its legal duties for equality and risks legal challenge	III	E	Yes
10	10	Targets in the Strategic Plan are not performance managed and fail to be achieved	III	E	Yes
11	11	Failure to engage the community in the Strategic Plan	III	E	Yes
12	12	Failure to secure improvements to services	III	E	Yes
13	13	Failure of major Meals On Wheels provider	IV	E	Yes
14	14	Grants budget oversubscribed leading to poor publicity	II	E	No

2014-17 Service Plan		
Impact	Likelihood	Treatment Plan?
II	E	No
III	E	Yes
III	E	Yes
IV	E	Yes
IV	E	Yes
III	E	Yes
III	D	Yes
II	E	No
III	E	Yes
III	E	Yes
III	E	Yes
III	E	Yes
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II	E	No

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

CORPORATE SERVICES

Risk Number		Risk Description	2013-16 Service Plan		
2013-16	2014-17		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

2014-17 Service Plan		
Impact	Likelihood	Treatment Plan?
III	D	Yes
III	E	No
III	E	Yes
III	F	No
III	E	Yes
III	F	No
III	F	Yes
III	E	Yes
III	E	No
III	E	Yes
January 2014 risk ratings		
III	D	Yes
--	--	--
II	D	Yes
II	E	Yes

Strategic Risk?	Comments
No	Impact = no change Likelihood = no change
No	Impact = increased 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
No	Impact = no change Likelihood = no change
No	Impact = no change Likelihood = no change
Yes	Impact = no change Likelihood = no change
No	Impact = decreased Likelihood = increased
--	Risk now included in 11 above
No	Impact = decreased Likelihood = no change
No	Impact = decreased Likelihood = decreased

CORPORATE SERVICES cont ...

Risk Number		Risk Description	2013-16 Service Plan		
2013-16	2014-17		Impact	Likelihood	Treatment Plan?
Budgetary risks - reviewed monthly and published with budget monitoring reports					
15	15	Inaccurate estimates of fees and charges income	V	D	Yes
16	16	Revenue balances insufficient to meet loss of partial exemption for VAT	III	E	Yes
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	The estimated cost reductions and additional income gains 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	Localising support for Council Tax	III	E	Yes
--	24	Right to Buy receipts and VAT Shelter receipts reduce	--	--	--
--	25	Fluctuations in Business Rates retention	--	--	--

2014-17 Service Plan		
Impact	Likelihood	Treatment Plan?
January 2014 risk ratings		
V	E	Yes
III	E	Yes
--	--	--
--	--	--
IV	E	Yes
III	E	Yes
V	C	Yes
II	E	Yes
IV	E	Yes
IV	E	Yes

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

DEMOCRATIC SERVICES

Risk Number		Risk Description	2013-16 Service Plan		
2013-16	2014-17		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 Local Election	IV	D	Yes

2014-17 Service Plan		
Impact	Likelihood	Treatment Plan?
IV	D	Yes
IV	D	Yes
III	D	Yes
III	E	Yes
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 = decreased

LEGAL PRACTICE

Risk Number		Risk Description	2013-16 Service Plan		
2013-16	2014-17		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

2014-17 Service Plan		
Impact	Likelihood	Treatment Plan?
II	E	Yes
II	E	Yes
II	E	Yes
II	F	No

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

COMMUNITY SERVICES (ENVIRONMENTAL PROTECTION) cont ...

Risk Number		Risk Description	2013-16 Service Plan			2014-17 Service Plan			Strategic Risk?	Comments
2013-16	2014-17		Impact	Likelihood	Treatment Plan?	Impact	Likelihood	Treatment Plan?		
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	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
28	28	Numbers of brown bins underestimated and therefore savings not achieved	II	B	No	II	B	No	No	Impact = no change Likelihood = no change
29	29	Equality challenge on behalf of low income families	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
30	30	Crews unable to complete work	II	E	No	II	E	No	No	Impact = no change Likelihood = no change
31	31	Crew member has accident carrying out HCCs work	II	D	No	II	D	No	No	Impact = no change Likelihood = no change
32	32	HCC devolve complaints to TRDC	II	C	Yes	II	C	Yes	No	Impact = no change Likelihood = no change

CUSTOMER SERVICES CENTRE

Risk Number		Risk Description	2013-16 Service Plan		
2013-16	2014-17		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

2014-17 Service Plan		
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

ECONOMIC AND SUSTAINABLE DEVELOPMENT (DEVELOPMENT PLANS)

Risk Number		Risk Description	2013-16 Service Plan		
2013-16	2014-17		Impact	Likelihood	Treatment Plan?
1	1	Insufficient staff	III	E	Yes
2	2	Total failure of ICT systems	II	E	No
3	3	Loss of accommodation	II	E	No
4	4	Fraudulent activity	III	F	No
5	5	Failure/delay in delivering LDF/Local Plan	III	E	Yes

2014-17 Service Plan		
Impact	Likelihood	Treatment Plan?
III	E	Yes
II	E	No
II	E	No
III	F	No
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

ECONOMIC AND SUSTAINABLE DEVELOPMENT (AFFORDABLE HOUSING DEVELOPMENT)

Risk Number		Risk Description	2013-16 Service Plan		
2013-16	2014-17		Impact	Likelihood	Treatment Plan?
1	1	Insufficient staff	II	E	No
2	2	Total failure of ICT systems	II	E	No
3	3	Loss of accommodation	II	E	No
4	4	Fraudulent activity	III	F	No

2014-17 Service Plan		
Impact	Likelihood	Treatment Plan?
II	E	No
II	E	No
II	E	No
III	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

ECONOMIC AND SUSTAINABLE DEVELOPMENT (CLIMATE CHANGE AND SUSTAINABLE PROJECTS)

Risk Number		Risk Description	2013-16 Service Plan		
2013-16	2014-17		Impact	Likelihood	Treatment Plan?
1	1	Insufficient staff	II	E	Yes
2	2	Total failure of ICT systems	II	E	Yes
3	3	Loss of accommodation	II	E	Yes
4	4	Fraudulent activity	III	F	Yes
5	5	Failure to make progress on the sustainability action plan	IV	E	Yes
6	6	Failure to reduce pockets of deprivation as a result of low take up on training schemes	II	E	Yes

2014-17 Service Plan		
Impact	Likelihood	Treatment Plan?
II	E	No
II	E	No
II	E	No
III	F	No
IV	E	Yes
II	E	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
Yes	Impact = no change Likelihood = no change
No	Impact = no change Likelihood = no change

REGULATORY SERVICES

Risk Number		Risk Description	2013-16 Service Plan		
2013-16	2014-17		Impact	Likelihood	Treatment Plan?
1	1	Insufficient staff	II	E	No
2	2	Total failure of ICT systems	II	E	No
3	3	Loss of accommodation	II	E	No
4	4	Fraudulent activity	III	E	Yes
5	--	Loss of paper planning records	III	E	Yes
6	5	National litigation case for Land Charges searches	III	C	Yes
7	--	Parking service fails to break even financially (including impact of new legislation)	III	C	Yes
8	--	Possibility of complaints concerning unfair competition from shopkeepers in the event of trading consents being issued incorrectly	II	F	No
9	6	DEFRA challenge the Council's refusal to remove or revoke AQMA's where necessary	III	E	Yes
10	7	Resident challenges the Council's refusal to remove or revoke AQMAS	III	E	Yes

2014-17 Service Plan		
Impact	Likelihood	Treatment Plan?
III	E	Yes
III	E	Yes
II	E	No
III	E	Yes
--	--	--
III	D	Yes
III	E	Yes
III	E	Yes

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

FINANCE (SHARED SERVICES)

Risk Number		Risk Description	2013-16 Service Plan		
2013-16	2014-17		Impact	Likelihood	Treatment Plan?
1	1	Insufficient staff	III	E	Yes
2	2	Total failure of ICT systems	III	E	Yes
3	3	Loss of accommodation	III	F	No
4	4	Fraudulent activity	IV	E	Yes
5	--	Mortgagors fail	I	F	No
6	5	Progress against audit recommendations is not monitored, they are not implemented and internal controls are therefore weakened	III	F	Yes
7	--	Failure to renew banking services contract	II	F	No
8	6	Fail to close accounts on time	IV	F	Yes

2014-17 Service Plan		
Impact	Likelihood	Treatment Plan?
III	E	Yes
III	E	Yes
III	F	No
IV	E	Yes
--	--	--
III	F	Yes
--	--	--
III	F	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
--	Risk Closed
No	Impact = no change Likelihood = no change
--	Risk Closed
No	Impact = no change Likelihood = no change

REVENUES & BENEFITS (SHARED SERVICES)

Risk Number		Risk Description	2013-16 Service Plan		
2013-16	2014-17		Impact	Likelihood	Treatment Plan?
1	1	Insufficient staff	I	E	No
2	2	Total failure of ICT systems	II	D	No
3	3	Loss of accommodation	II	E	No
4	4	Fraudulent activity	III	E	Yes
5	5	Recession leads to greater take-up of benefits and added pressure on service	II	E	No
6	6	Recession leads to more non-payment of council tax and business rates	II	D	No
7	7	Recession means it is more difficult to collect sundry debts and HB overpayments	I	D	No
8	8	Breach of Data Protection etc Acts	III	F	No
9	9	Injury to staff or customer	III	F	No
10	10	Benefits are not realised once shared services is implemented or realised later than planned	II	E	No
11	11	Operational performance drops during the transition period and early phase of implementation	II	B	Yes
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
13	13	Contracts with systems suppliers are not robust enough	I	E	No
14	14	A reduction in the number of Benefit Assessors above that planned in advance of the full implementation of Universal Credit	III	E	Yes

2014-17 Service Plan		
Impact	Likelihood	Treatment Plan?
I	E	No
II	D	No
II	E	No
III	E	Yes
II	E	No
II	D	No
I	D	No
III	F	No
III	F	No
II	E	No
II	E	Yes
II	E	No
I	E	No
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 = decreased
No	Impact = no change Likelihood = no change
No	Impact = no change Likelihood = decreased
No	Impact = no change Likelihood = no change
No	Impact = decreased 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
No	Impact = no change Likelihood = no change