

COMMUNITY PARTNERSHIPS

| Risk Number   |         | Risk Description   | 2014-17 Service Plan |            |                 |
|---|---------|--|----------------------|------------|-----------------|
| 2014-17   | 2015-18 |  | Impact               | Likelihood | Treatment Plan? |
| <b>Common Risks - shared across the whole section</b> |         |  |                      |            |                 |
| 1   | 1       | Insufficient staff   | II                   | E          | No              |
| 2   | 2       | Total failure of ICT systems   | III                  | E          | Yes             |
| 3   | 3       | Loss of accommodation  | III                  | E          | Yes             |
| 4   | 4       | Fraudulent activity  | IV                   | E          | Yes             |
| 5   | 5       | Loss of partner or agreed partnership funding (revenue or capital)   | IV                   | E          | Yes             |
| <b>Community Partnerships Risks</b>                   |         |  |                      |            |                 |
| 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             |
| 14  | 13      | Grants budget oversubscribed leading to poor publicity   | II                   | E          | No              |

| 2015-18 Service Plan |            |                 |
|----------------------|------------|-----------------|
| Impact               | Likelihood | Treatment Plan? |
| II                   | E          | No              |
| III                  | E          | Yes             |
| III                  | E          | Yes             |
| IV                   | E          | Yes             |
| IV                   | E          | Yes             |
| III                  | F          | Yes             |
| III                  | D          | Yes             |
| II                   | E          | No              |
| III                  | F          | No              |
| III                  | F          | No              |
| III                  | E          | Yes             |
| III                  | F          | Yes             |
| II                   | E          | No              |

| Strategic Risk? | Comments                                     |
|-----------------|--|
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| Yes             | Impact = no change<br>Likelihood = decreased |
| Yes             | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = decreased |
| No              | Impact = no change<br>Likelihood = decreased |
| Yes             | Impact = no change<br>Likelihood = no change |
| Yes             | Impact = no change<br>Likelihood = decreased |
| No              | Impact = no change<br>Likelihood = no change |

**CORPORATE SERVICES**

| Risk Number               |         | Risk Description   | 2014-17 Service Plan |            |                 |
|---------------------------|---------|--|----------------------|------------|-----------------|
| 2014-17                   | 2015-18 |  | Impact               | Likelihood | Treatment Plan? |
| <b>Departmental risks</b> |         |  |                      |            |                 |
| 1                         | 1       | Insufficient staff   | III                  | D          | Yes             |
| 2                         | 2       | Total failure of ICT systems   | III                  | E          | Yes             |
| 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          | Yes             |
| 10                        | 10      | Failure to tell residents about improvements   | III                  | E          | Yes             |

| 2015-18 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                  | E          | Yes             |
| III                  | E          | Yes             |
| III                  | E          | Yes             |
| III                  | E          | Yes             |

| Strategic Risk? | Comments                                     |
|-----------------|--|
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| Yes             | Impact = no change<br>Likelihood = no change |

## ELECTIONS

| Risk Number |         | Risk Description                  | 2014-17 Service Plan |            |                 |
|-------------|---------|-----------------------------------|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |                                   | 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                   | E          | Yes             |

| 2015-18 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<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |

## COMMITTEE SERVICES

| Risk Number |         | Risk Description             | 2014-17 Service Plan |            |                 |
|-------------|---------|------------------------------|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |                              | 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             |

| 2015-18 Service Plan |            |                 |
|----------------------|------------|-----------------|
| Impact               | Likelihood | Treatment Plan? |
| IV                   | D          | Yes             |
| IV                   | D          | Yes             |
| III                  | E          | Yes             |
| III                  | E          | Yes             |

| Strategic Risk? | Comments                                     |
|-----------------|--|
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = decreased |
| No              | Impact = no change<br>Likelihood = no change |

**LEGAL PRACTICE**

| Risk Number |         | Risk Description             | 2014-17 Service Plan |            |                 |
|-------------|---------|------------------------------|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |                              | 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          | II                   | F          | No              |

| 2015-18 Service Plan |            |                 |
|----------------------|------------|-----------------|
| Impact               | Likelihood | Treatment Plan? |
| II                   | E          | Yes             |
| II                   | E          | Yes             |
| II                   | E          | Yes             |
| II                   | F          | No              |

| Strategic Risk? | Comments                                     |
|-----------------|--|
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |

**COMMUNITY SERVICES (ENVIRONMENTAL PROTECTION & ENVIRONMENTAL HEALTH (RESIDENTIAL))**

| Risk Number |         | Risk Description                           | 2014-17 Service Plan |            |                 |
|-------------|---------|--|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |  | 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                        | II                   | E          | No              |
| 5           | 5       | One vehicle lost (accident / fire / theft) | II                   | C          | Yes             |
| 6           | 6       | Whole fleet lost (accident / fire / theft) | IV                   | F          | Yes             |
| 7           | 7       | Long period of extreme weather / snow      | III                  | E          | Yes             |
| 8           | 8       | Increase in parking problems               | II                   | C          | Yes             |
| 9           | 9       | Fuel shortage                              | III                  | E          | Yes             |

| 2015-18 Service Plan |            |                 |
|----------------------|------------|-----------------|
| Impact               | Likelihood | Treatment Plan? |
| III                  | E          | Yes             |
| II                   | E          | No              |
| II                   | E          | No              |
| II                   | E          | No              |
| II                   | E          | No              |
| IV                   | F          | Yes             |
| III                  | E          | Yes             |
| II                   | C          | Yes             |
| III                  | E          | Yes             |

| Strategic Risk? | Comments                                     |
|-----------------|--|
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = decreased |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |



**COMMUNITY SERVICES (ENVIRONMENTAL PROTECTION & ENVIRONMENTAL HEALTH (RESIDENTIAL)) cont ...**

| Risk Number |         | Risk Description  | 2014-17 Service Plan |            |                 | 2015-18 Service Plan |            |                 | Strategic Risk? | Comments                                     |
|-------------|---------|---|----------------------|------------|-----------------|----------------------|------------|-----------------|-----------------|--|
| 2014-17     | 2015-18 |   | Impact               | Likelihood | Treatment Plan? | Impact               | Likelihood | Treatment Plan? |                 |  |
| 26          | 26      | Maintenance falls below required standard                               | III                  | E          | Yes             | III                  | E          | Yes             | No              | Impact = no change<br>Likelihood = no change |
| 27          | 27      | AFM withdrawn by HCC  | III                  | F          | No              | III                  | F          | No              | No              | Impact = no change<br>Likelihood = no change |
| 28          | 28      | Numbers of brown bins underestimated and therefore savings not achieved | II                   | B          | Yes             | II                   | B          | Yes             | No              | Impact = no change<br>Likelihood = no change |
| 29          | 29      | Equality challenge on behalf of low income families                     | II                   | E          | No              | II                   | E          | No              | No              | Impact = no change<br>Likelihood = no change |
| 30          | 30      | Crews unable to complete work   | II                   | E          | No              | II                   | E          | No              | No              | Impact = no change<br>Likelihood = no change |
| 31          | 31      | Crew member has accident carrying out HCCs work                         | II                   | D          | No              | II                   | D          | No              | No              | Impact = no change<br>Likelihood = no change |
| 32          | 32      | HCC devolve complaints to TRDC  | II                   | C          | Yes             | II                   | C          | Yes             | No              | Impact = no change<br>Likelihood = no change |
| 33          | 33      | Council runs out of cemetery land in traditional section                | III                  | C          | Yes             | III                  | C          | Yes             | No              | Impact = no change<br>Likelihood = no change |
| 34          | 34      | Revenue for sale of materials decreases thereby not covering costs      | III                  | D          | Yes             | III                  | D          | Yes             | No              | Impact = no change<br>Likelihood = no change |
| 35          | 35      | Precedent is set additional causing budget growth.                      | III                  | C          | Yes             | III                  | C          | Yes             | No              | Impact = no change<br>Likelihood = no change |
| 36          | 36      | Complaints about lack of facilities                                     | III                  | E          | Yes             | III                  | E          | Yes             | No              | Impact = no change<br>Likelihood = no change |
| 37          | 37      | TRDC unable to remove cardboard from composting stream                  | III                  | C          | Yes             | III                  | C          | Yes             | No              | Impact = no change<br>Likelihood = no change |
| 38          | 38      | Public satisfaction decreases   | III                  | D          | Yes             | III                  | D          | Yes             | No              | Impact = no change<br>Likelihood = no change |
| 39          | 39      | Crews unable to complete work   | III                  | E          | Yes             | III                  | E          | Yes             | No              | Impact = no change<br>Likelihood = no change |
| 40          | 40      | Insufficient grit for prolonged period of time                          | III                  | C          | Yes             | III                  | C          | Yes             | No              | Impact = no change<br>Likelihood = no change |
| 41          | 41      | Crew Member has accident carrying out HCCS work                         | III                  | E          | Yes             | III                  | E          | Yes             | No              | Impact = no change<br>Likelihood = no change |

**COMMUNITY SERVICES (ENVIRONMENTAL PROTECTION & ENVIRONMENTAL HEALTH (RESIDENTIAL)) cont ...**

| Risk Number |         | Risk Description  | 2014-17 Service Plan |            |                 |
|-------------|---------|---|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |   | Impact               | Likelihood | Treatment Plan? |
| 42          | 42      | Contract is under resourced, leading to additional expenditure                                    | III                  | D          | Yes             |
| 43          | 43      | Residents choose not to use caddies   | III                  | D          | Yes             |
| 44          | 44      | Price of co-mingled recyclate decreases, making scheme costly                                     | III                  | D          | Yes             |
| 45          | --      | Unable to procure contract for the disposal of garden waste                                       | III                  | D          | Yes             |
| 46          | --      | Unable to remove food waste from existing brown bin resulting in a more expensive disposal route. | III                  | D          | Yes             |

| 2015-18 Service Plan |            |                 |
|----------------------|------------|-----------------|
| Impact               | Likelihood | Treatment Plan? |
| III                  | D          | Yes             |
| III                  | D          | Yes             |
| III                  | D          | Yes             |
| --                   | --         | --              |
| --                   | --         | --              |

| Strategic Risk? | Comments                                     |
|-----------------|--|
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| --              | Risk Closed                                  |
| --              | Risk Closed                                  |

**COMMUNITY SERVICES (HOUSING)**

| Risk Number |         | Risk Description   | 2014-17 Service Plan |            |                 |
|-------------|---------|--|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |  | Impact               | Likelihood | Treatment Plan? |
| 1           | 1       | Insufficient staff                                       | III                  | D          | Yes             |
| 2           | 2       | Total failure of ICT systems                             | III                  | D          | Yes             |
| 3           | 3       | Loss of accommodation                                    | III                  | D          | Yes             |
| 4           | 4       | Fraudulent activity                                      | IV                   | E          | Yes             |
| --          | 5       | Loss of temporary accommodation provider (Lincoln Drive) | --                   | --         | --              |

| 2015-18 Service Plan |            |                 |
|----------------------|------------|-----------------|
| Impact               | Likelihood | Treatment Plan? |
| IV                   | E          | Yes             |
| III                  | D          | Yes             |
| III                  | E          | Yes             |
| III                  | E          | Yes             |
| IV                   | D          | Yes             |

| Strategic Risk? | Comments                                     |
|-----------------|--|
| No              | Impact = increased<br>Likelihood = increased |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = decreased |
| No              | Impact = decreased<br>Likelihood = no change |
| No              | New Risk                                     |





**COMMUNITY SERVICES (LEISURE & LANDSCAPE) cont ...**

| Risk Number                       |         | Risk Description  | 2014-17 Service Plan |            |                 |
|-----------------------------------|---------|---|----------------------|------------|-----------------|
| 2014-17                           | 2015-18 |   | Impact               | Likelihood | Treatment Plan? |
| <b>Leisure Development risks</b>  |         |   |                      |            |                 |
| 16                                | 16      | The Council could fail to meet its legal obligations under the Children's Act if it fails to Safeguard  | V                    | D          | Yes             |
| 17                                | 17      | A child/children could be exposed to some form of abuse if the Council fails to Safeguard   | V                    | E          | Yes             |
| 18                                | 18      | Service fails to appoint playscheme staff with relevant and appropriate training qualifications to meet Ofsted requirements for Under 8s playscheme | IV                   | D          | Yes             |
| 19                                | 19      | Newly installed/refurbished play/skate/gym areas fail to pass post installation inspection  | III                  | E          | Yes             |
| --                                | 20      | Loss of S106 funding should projects not go ahead   | --                   | --         | --              |
| --                                | 21      | Poor satisfaction by residents if agreed projects do not go ahead e.g. play area refurbishments   | --                   | --         | --              |
| --                                | 22      | Accidents / Injuries to members of the public / employees should staff not complete appropriate health and safety checks on all projects            | --                   | --         | --              |
| <b>Tree &amp; Landscape risks</b> |         |   |                      |            |                 |
| 20                                | 23      | Tree failure causes damage to property, rail accident/disaster, loss of life  | V                    | C          | Yes             |
| 21                                | 24      | Successful appeal to the High Court against new TPO   | III                  | F          | No              |
| 22                                | 25      | Successful appeal to Lands Tribunal for compensation for refusal to permit works to trees   | III                  | F          | No              |

| 2015-18 Service Plan |            |                 |
|----------------------|------------|-----------------|
| Impact               | Likelihood | Treatment Plan? |
| V                    | D          | Yes             |
| V                    | E          | Yes             |
| IV                   | D          | Yes             |
| III                  | E          | Yes             |
| III                  | C          | Yes             |
| II                   | D          | No              |
| III                  | E          | Yes             |
| V                    | C          | Yes             |
| III                  | F          | No              |
| III                  | F          | No              |

| Strategic Risk? | Comments                                     |
|-----------------|--|
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | New Risk                                     |
| No              | New Risk                                     |
| No              | New Risk                                     |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |

**CUSTOMER SERVICES CENTRE**

| Risk Number |         | Risk Description                             | 2014-17 Service Plan |            |                 |
|-------------|---------|--|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |  | 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             |

| 2015-18 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<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |

**ECONOMIC AND SUSTAINABLE DEVELOPMENT (DEVELOPMENT PLANS)**

| Risk Number |         | Risk Description                           | 2014-17 Service Plan |            |                 |
|-------------|---------|--|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |  | 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             |

| 2015-18 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<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |

**ECONOMIC AND SUSTAINABLE DEVELOPMENT (AFFORDABLE HOUSING DEVELOPMENT)**

| Risk Number |         | Risk Description             | 2014-17 Service Plan |            |                 |
|-------------|---------|------------------------------|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |                              | 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              |

| 2015-18 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<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |

**ECONOMIC AND SUSTAINABLE DEVELOPMENT (CLIMATE CHANGE AND SUSTAINABLE PROJECTS)**

| Risk Number |         | Risk Description  | 2014-17 Service Plan |            |                 |
|-------------|---------|---|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |   | 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              |
| 5           | 5       | Failure to make progress on the sustainability action plan                              | IV                   | E          | Yes             |
| 6           | --      | Failure to reduce pockets of deprivation as a result of low take up on training schemes | II                   | E          | No              |

| 2015-18 Service Plan |            |                 |
|----------------------|------------|-----------------|
| Impact               | Likelihood | Treatment Plan? |
| II                   | E          | No              |
| II                   | E          | No              |
| II                   | E          | No              |
| III                  | F          | No              |
| IV                   | E          | Yes             |
| --                   | --         | --              |

| Strategic Risk? | Comments                                     |
|-----------------|--|
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| Yes             | Impact = no change<br>Likelihood = no change |
| --              | Risk Closed                                  |

## REGULATORY SERVICES

| Risk Number |         | Risk Description   | 2014-17 Service Plan |            |                 |
|-------------|---------|--|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |  | 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  | II                   | E          | No              |
| 4           | 4       | Fraudulent activity  | III                  | E          | Yes             |
| 5           | 5       | National litigation case for Land Charges searches                               | III                  | D          | Yes             |
| 6           | --      | DEFRA challenge the Council's refusal to remove or revoke AQMA's where necessary | III                  | E          | Yes             |
| 7           | --      | Resident challenges the Council's refusal to remove or revoke AQMAs              | III                  | E          | Yes             |

| 2015-18 Service Plan |            |                 |
|----------------------|------------|-----------------|
| Impact               | Likelihood | Treatment Plan? |
| III                  | E          | Yes             |
| III                  | E          | Yes             |
| III                  | E          | No              |
| III                  | E          | Yes             |
| III                  | D          | Yes             |
| --                   | --         | --              |
| --                   | --         | --              |

| Strategic Risk? | Comments                                     |
|-----------------|--|
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = increased<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| --              | Risk Closed                                  |
| --              | Risk Closed                                  |

## MAJOR PROJECTS

| Risk Number |         | Risk Description   | 2014-17 Service Plan |            |                 |
|-------------|---------|--|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |  | 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       | Fraudulent activity  | III                  | E          | Yes             |
| 5           | 5       | Failure to deliver the South Oxhey Initiative Project to desired outcomes and objectives | IV                   | D          | Yes             |
| 6           | 6       | Failure to deliver Capital Programme to desired outcomes and objectives                  | IV                   | D          | Yes             |

| 2015-18 Service Plan |            |                 |
|----------------------|------------|-----------------|
| Impact               | Likelihood | Treatment Plan? |
| IV                   | D          | Yes             |
| III                  | D          | Yes             |
| III                  | D          | Yes             |
| III                  | E          | Yes             |
| IV                   | D          | Yes             |
| IV                   | D          | Yes             |

| Strategic Risk? | Comments                                     |
|-----------------|--|
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| Yes             | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |

**FINANCE (SHARED SERVICES)**

| Risk Number |         | Risk Description  | 2014-17 Service Plan |            |                 |
|-------------|---------|---|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |   | 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           | 5       | Progress against audit recommendations is not monitored, they are not implemented and internal controls are therefore weakened  | III                  | F          | Yes             |
| 6           | 6       | Fail to close accounts on time  | III                  | F          | Yes             |
| --          | 7       | The medium term financial position worsens. In particular that the General Fund balance falls below the minimum prudent threshold and capital funding is insufficient to meet the capital programme | --                   | --         | --              |
| 11          | 8       | Revenue balances insufficient to meet estimated pay award increases   | III                  | D          | Yes             |
| 13          | 9       | Revenue balances insufficient to meet other inflationary increase   | II                   | D          | No              |
| 14          | 10      | Inaccurate cash flow forecasts resulting in significant variations in estimated interest income   | II                   | E          | No              |
| 15          | 11      | Inaccurate estimates of fees and charges income   | V                    | E          | Yes             |
| 16          | 12      | Revenue balances insufficient to meet loss of partial exemption for VAT   | III                  | E          | Yes             |
| 20          | 13      | The estimated cost reductions and additional income gains are not achieved  | IV                   | E          | Yes             |
| 21          | 14      | The Council is faced with potential litigation and other employment related risks   | III                  | E          | Yes             |

| 2015-18 Service Plan |            |                 |
|----------------------|------------|-----------------|
| Impact               | Likelihood | Treatment Plan? |
| III                  | E          | Yes             |
| III                  | E          | Yes             |
| III                  | F          | No              |
| IV                   | E          | Yes             |
| III                  | F          | Yes             |
| IV                   | E          | Yes             |
| IV                   | D          | Yes             |
| II                   | D          | No              |
| II                   | D          | No              |
| II                   | D          | No              |
| V                    | E          | Yes             |
| II                   | E          | No              |
| IV                   | E          | Yes             |
| III                  | E          | Yes             |

| Strategic Risk? | Comments                                     |
|-----------------|--|
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = increased<br>Likelihood = increased |
| Yes             | New Risk                                     |
| No              | Impact = decreased<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = increased |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = decreased<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |

**FINANCE (SHARED SERVICES) cont ...**

| Risk Number |         | Risk Description                                      | 2014-17 Service Plan |            |                 |
|-------------|---------|---|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |   | Impact               | Likelihood | Treatment Plan? |
| 22          | 15      | The Council's government grant is adversely affected  | V                    | C          | Yes             |
| 23          | 16      | Localising support for Council Tax                    | II                   | E          | Yes             |
| 24          | 17      | Right to Buy receipts and VAT Shelter receipts reduce | IV                   | E          | Yes             |
| 25          | 18      | Fluctuations in Business Rates retention              | IV                   | E          | Yes             |

| 2015-18 Service Plan |            |                 |
|----------------------|------------|-----------------|
| Impact               | Likelihood | Treatment Plan? |
| V                    | C          | Yes             |
| II                   | E          | Yes             |
| IV                   | E          | Yes             |
| IV                   | C          | Yes             |

| Strategic Risk? | Comments                                     |
|-----------------|--|
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = increased |

**REVENUES & BENEFITS (SHARED SERVICES)**

| Risk Number |         | Risk Description   | 2014-17 Service Plan |            |                 |
|-------------|---------|--|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |  | 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           | --      | Recession leads to greater take-up of benefits and added pressure on service     | II                   | E          | No              |
| 6           | 5       | Recession leads to more non-payment of council tax and business rates            | II                   | D          | No              |
| 7           | 6       | Recession means it is more difficult to collect sundry debts and HB overpayments | I                    | D          | No              |
| 8           | 7       | Breach of Data Protection etc Acts   | III                  | F          | No              |
| 9           | 8       | Injury to staff or customer  | III                  | F          | No              |

| 2015-18 Service Plan |            |                 |
|----------------------|------------|-----------------|
| Impact               | Likelihood | Treatment Plan? |
| I                    | E          | No              |
| II                   | D          | No              |
| II                   | E          | No              |
| III                  | E          | Yes             |
| --                   | --         | --              |
| II                   | D          | No              |
| I                    | D          | No              |
| III                  | F          | No              |
| III                  | F          | No              |

| Strategic Risk? | Comments                                     |
|-----------------|--|
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Risk Closed                                  |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |
| No              | Impact = no change<br>Likelihood = no change |

**REVENUES & BENEFITS (SHARED SERVICES) cont ...**

| Risk Number |         | Risk Description  | 2014-17 Service Plan |            |                 |
|-------------|---------|---|----------------------|------------|-----------------|
| 2014-17     | 2015-18 |   | Impact               | Likelihood | Treatment Plan? |
| 10          | --      | Benefits are not realised once shared services is implemented or realised later than planned  | II                   | E          | No              |
| 11          | --      | Operational performance drops during the transition period and early phase of implementation  | II                   | E          | Yes             |
| 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          | 9       | Contracts with systems suppliers are not robust enough  | I                    | E          | No              |
| 14          | --      | A reduction in the number of Benefit Assessors above that planned in advance of the full implementation of Universal Credit                         | III                  | E          | Yes             |

| 2015-18 Service Plan |            |                 |
|----------------------|------------|-----------------|
| Impact               | Likelihood | Treatment Plan? |
| --                   | --         | --              |
| --                   | --         | --              |
| --                   | --         | --              |
| I                    | E          | No              |
| --                   | --         | --              |

| Strategic Risk? | Comments                                     |
|-----------------|--|
| No              | Risk Closed                                  |
| No              | Risk Closed                                  |
| No              | Risk Closed                                  |
| --              | Impact = no change<br>Likelihood = no change |
| --              | Risk Closed                                  |