Operational Risk Registers

Committee Services

Community Partnerships

Corporate Services

Customer Service Centre

Economic and Sustainable Development

Electoral Services

Environmental Protection

Finance

Housing Services

Legal Practice

Leisure and Landscapes

Property Services

Regulatory Services

Revenues and Benefits

Strategic Risk Register

Committee Services

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Apr-05	COM01	Principal Committee Manager	Operational	Insufficient staff	Significant service disruption could occur if there were insufficient staff.	2	3	6	Reciprocal arrangements with other Herts authorities to share services and staff; Use of agency staff; Priority services are identified in the BCP	Principal Committee Manager	2	2	4		Continue with existing controls	Principal Committee Manager	Ongoing	
Apr-05	COM02	Principal Committee Manager	Operational	Total failure of ICT systems	Most services could not continue without access to ICT systems	3	2	6	Priority services are identified in the BCP and DR Plan	Principal Committee Manager	2	2	4		Continue with existing controls	Principal Committee Manager	Ongoing	
Apr-05	COM03	Principal Committee Manager	Operational	Loss of accommodation	Services could operate from alternative locations.	2	3	6	Remote working possible for a short period; Priority services are identified in the BCP	Principal Committee Manager	2	2	4		Continue with existing controls	Principal Committee Manager	Ongoing	
Apr-11	COM04	Principal Committee Manager	Operational	Fraudulent activity	Fraud relating to income, expenditure or petty cash. Fraudulent purchasing of goods for personal use or sale via corporate credit card or petty cash, corrupt procurement through collusion with suppliers, or theft of stock	2	2	4	No money held in the section; Audit checks of mileage and subsistence claims	Principal Committee Manager	2	1	2		Continue with existing controls	Principal Committee Manager	Ongoing	

Community Partnerships

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Apr-05	CP01	Head of Community Partnerships	Operational	Insufficient staff	Increases in ASB casework cannot be supported without increased team capacity.	3	2	6	Growth bid being submitted to increase capacity of service; ASB triage system introduced to identify risk level of complaint and proportionate response level; Temporary secondment in place to support workload; Difficulty experienced in maintaining customer response times for low risk ASB cases; Difficulty in maintaining investigation of lower risk cases.	Head of Community Partnerships	2	2	4		Temporary secondment in place to support school PSPO enforcement Pilot. Permanent increase in staff will increase capacity to screen cases and provide better customer satisfaction whilst prioritising use of experienced staff for high risk court related cases.	Head of Community Partnerships	2019	Awaiting outcome of growth bid
Apr-05	CP02	Head of Community Partnerships	Operational	Total failure of ICT systems	Critical systems SafetyNet for ASB. Outlook and printers for all staff.	3	2	6	Access to alternative sites should TRDC hardware fail. Web access to Safetynet; ICT strategy group; ICT logs of failures escalated appropriately; Safetynet system is backed up on police servers each day; No data failures to date.	Head of Community Partnerships	2	2	4		Continue to implement fault logging with ICT.	Head of Community Partnerships	Ongoing	BCP priorities in place
Apr-05	CP03	Head of Community Partnerships	Operational	Loss of accommodation	Could impact on service to high risk families and vulnerable adults.	3	3	9	Asset management / Planned and Preventative Maintenance; Service continuity planning providing alternative sites of operation for Family Intervention Worker, Community Safety Intervention Officer, IDVA and Herts MIND Staff.	Head of Community Partnerships	2	2	4		Maintain agreement for staff to work at partner agency locations in case of loss of accommodation.	Head of Community Partnerships	Ongoing	BCP priorities in place
Apr-11	CP04	Head of Community Partnerships	Operational	Fraudulent activity	No income managed. Grants managed and some petty cash for family casework.	2	3	6	Existing corporate procedures; Internal audit.	Head of Community Partnerships	2	3	6		Check that copies maintained of all petty cash claims; Contract procedure rules to be completed by all relevant staff.	Head of Community Partnerships	Ongoing	
Apr-12	CP05	Head of Community Partnerships	Operational	Loss of partner or agreed partnership funding (revenue or capital)	Partnerships are under financial pressure.	3	3	9	Joint planning and liaison with partners to mitigate risk; Alternative incomes being identified and bids for partnership funding e.g. PCC, Housing Provider Grants etc.	Head of Community Partnerships	2	3	6		Engagement of county commissioning staff in joint planning; Maintain support to projects to identify funding sources; Review use of grants budget to replace Public Health District Offer funds; Mixture of partnerships funding from complimentary sources	Head of Community Partnerships	Ongoing	Review of team job descriptions to increase proactive search for funds planned by March 2019
	CP06	Head of Community Partnerships	Strategic	Community Safety actions fail to meet targets	See Strategic Risk Register													
	CP07	Head of Community Partnerships	Strategic	Failure to achieve the priorities of the Community Strategy through the LSP	See Strategic Risk Register													
	CP08	Head of Community Partnerships	Operational	Community consultation work fails to improve contact with hard to reach groups resulting in lack of clear evidence base for strategic plan.	Consultation being delivered on all key areas with additional funding from service departments.	3	2	6	Range of community consultation methodologies used. Online engagment tools being used to increase access to engagement methods. Profile data collected on all key surveys for relevant protected characteristics	Head of Community Partnerships	2	1	2		Continue with existing controls and publish demographics of consultation samples	Consultation Officer	Ongoing	

Apr-13	CP09	Head of Community Partnerships	Operational	The Council fails to maintain its legal duties for equality and risks legal challenge	Statutory duties are being met from current resources.	2	3	6	Community Partnerships produce annual equality information report and review corporate equality objetives. Corporate advice provided to service departments on equality relevance and impact assessments	Performance and Projects Manager	1	2	2	Continue with existing controls . Review national guidance via Herts LGBT Partnerships and Herts Policy & Partnership Network	Performance and Projects Manager	Ongoing	
	CP10	Head of Community Partnerships	Operational	Targets in the Strategic Plan are not performance managed and fail to be achieved.	Data continues to be captured and reported to Management Board and Members. Performance is improving.	2	2	4	Performance monitoring system in place; Quarterly reports to management board and 6 monthly reports to Members via MIB; Majority of corporate targets are on track. Or being over achieved; PDC system in place; Annual review of PI and procedure notes in place; Purchase additional temporary staff at times of peak demand on service performance management.	Head of Community Partnerships	1	2	2	Continue with existing controls	Performance and Projects Manager	Ongoing	
	CP11	Head of Community Partnerships	Strategic	Failure to engage the community in the Strategic Plan	See Strategic Risk Register												
	CP12	Head of Community Partnerships	Strategic	Failure to secure improvements to services	See Strategic Risk Register												
Apr-12	CP13	Head of Community Partnerships	Operational	Grants budget oversubscribed leading to poor publicity	Budget has been reduced to Service Level Agreements	3	2	6	Small grant applications stopped. Budget is used to commision services from the voluntary sector. Budget monitoring and planning in place	Head of Community Partnerships	1	1	1	Maintain budget monitoring	Head of Community Partnerships	Ongoing	Change to policy in October 2018
Apr-18	CP14	Head of Community Partnerships	Operational	The Council fails to maintain compliance with safeguarding children and adults at risk requirements.	Self-assessments and audits have shown the District to comply well to date.	3	2	6	Staff training matrix reviewed twice a year between HR O&D and Strategic Lead for safeguarding; All key procedures and policies reviewed on a regular basis, and in year reviews undertaken when new guidance or policies released by safeguarding boards; Annual training programme in place for safeguarding; Training programme in place for relevant casual staff who work with children, young people and vulnerable adults as part of induction; Safer recruitment practices in place; Annual update of safeguarding leaflet for all staff and members; Articles in All Aboard; Strategic lead for safeguarding undertakes audits with safeguarding boards and domestic abuse strategic board; Safeguarding action plan in place for delivery by designated safeguarding	Head of Community Partnerships	2	2	4	Maintain current control systems; Improvements identified for adult safeguarding training	Head of Community Partnerships	Ongoing	

Corporate Services

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Apr-05	CS01	EP&R Manager	Operational	Insufficient staff	Significant service disruption would occur if there were insufficient staff.	3	2	6	Good management of staff to ensure low turnover; staff training across service areas enables more cover; Priority services are identified in the Service Continuity Plan.	EP&R Manager	2	2	4		Continue with current controls	EP&R Manager	Continuous	
Apr-05	CS02	EP&R Manager	Operational	Total failure of ICT systems	Some services could continue without access to ICT systems for a short period.	4	3	12	Anti-virus software and tight security measures installed; Disaster Recovery Plan; Priority services are identified in the Service Continuity Plan	EP&R Manager	2	2	4		Continue with current controls	EP&R Manager	Continuous	
Apr-05	CS03	EP&R Manager	Operational	Loss of accommodation	Services could operate from alternative locations.	2	2	4	Remote access to ICT services in place	EP&R Manager	2	2	4		Continue with current controls	EP&R Manager	Continuous	
Apr-11	CS04	EP&R Manager	Operational	Fraudulent activity	Fraud relating to income, expenditure or petty cash. Fraudulent purchasing of goods for personal use or sale via corporate credit card or petty cash, corrupt procurement through collusion with suppliers, or	1	2	2	Procedures are in place and regularly reviewed and audited	EP&R Manager	1	2	2		Continue with current controls	EP&R Manager	Continuous	
Apr-05	CS05	EP&R Manager	Operational - Department	Tests reveal that the Business Continuit Plan is not workable	Business continuity arrangements are a legal requirement under the Civil Contingencies Act 2014	3	3	9	Service Continuity Plans and the corporate Business Continuity Plan are reviewed and updated annually; Table-top exercises are held to validate the plans	EP&R Manager	2	2	4		Continue with current controls	EP&R Manager	Continuous	
Apr-05	CS06	EP&R Manager	Operational	The Council fails to manage its principle risks and that the likelihood of them occurring increases or the impact cannot be reduced	Failure to manage risk could have a significant impact on services.	3	3	9	Risk Registers are contained in each Service Plan and are regularly reviewed; The Strategic Risk Register is reviewed regularly and reported to Policy and Resources Committee; The effectiveness of risk management and a review of operational risks is reported to Audit Committee annually	EP&R Manager	2	2	4		Implement revised Risk Management Strategy; Train staff	EP&R Manager	Jan-19	
Apr-05	CS07	EP&R Manager	Operational	Non-compliance with data protection and Freedom of Information legislation	Complaints from public/organisations and/or investigation from the Information Commissioner's Office	3	3	9	All staff attended GDPR/Data Protection training and new staff have training as part of their induction; FOI requests are co-ordinated centrally;	EP&R Manager	2	2	4		Continue with current controls; All new staff to receive GDPR/DP training; E-Learning module is mandatory	EP&R Manager	Continuous	
Apr-08	CS08	Senior Communications Officer	Strategic	Failure to tell residents about improvements	See Strategic Risk Register			0					0					

Customer Service Centre

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Apr-05	CSC01	CSC Manager	Operational	Insufficient staff	Could be covered initially with overtime and possibly hiring temp-staff.	3	3	9	CSC forward planning as part of annual Service Planning; Service Continuity Plan reviewed & up to date; Full time staff required to cover 4 different shifts on roster; Staff rosters reviewed weekly – part time staff rostered to meet peaks; Sickness controls in place – absence monitored/back to work meetings; Staff annual leave requests managed; Overtime offered during busy periods	CSC Manager	2	2	4		Continue with existing controls	CSC Manager	Ongoing	
Apr-05	CSC02	CSC Manager	Operational	Total failure of ICT systems	Services could not be provided without access to ICT systems	2	3	6	Anti-virus software and tight security measures installed; Disaster Recovery Plan; Priority services are identified in the Service Continuity Plan	CSC Manager	2	2	4		Continue with existing controls	CSC Manager	Ongoing	
Apr-05	CSC03	CSC Manager	Operational	Loss of accommodation	Services could operate from alternative accommodation, assuming there is access to ICT systems.	2	3	6	Service Continuity Plan reviewed & up to date	CSC Manager	2	2	4		Continue with existing controls	CSC Manager	Ongoing	
Apr-11	CSC04	CSC Manager	Operational	Fraudulent activity	Cash/cheques no longer taken in CSC	2	2	4	Cash/cheques no longer taken in CSC; Staff training and controls in place to reduce likelihood; Departmental controls in place	CSC Manager	1	2	2		Continue with existing controls	CSC Manager	Ongoing	
Apr-05	CSC05	CSC Manager	Operational	Total failure of Telephone systems.	Customers would not be able to access the Council by telephone	2	2	4	Service Continuity Plan reviewed & up to date; Back-up batteries for telephone system	CSC Manager	2	2	4		Continue with existing controls	CSC Manager	Ongoing	
Apr-11	CSC06	CSC Manager	Operational	Physical assault on staff or visitors to TRH	Staff training & controls in place to reduce likelihood. No incidents since OSS opened	3	2	6	Rickmansworth Police station on site since 2011; OSS staff area – physical barrier between staff & visitors; OSS staff area protected by code controlled door access; CCTV cameras in OSS/Reception & signs advising visitors of CCTV recordings; Panic alarms in OSS/Reception & staff protocols in place for reacting to alarm sounding; CSC staff receive training in dealing with robbery situations as part of induction	CSC Manager	2	2	4		Continue with existing controls	CSC Manager	Ongoing	

Economic and Sustainable Development

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Apr-05	ESD0101	Head of Planning Policy	Operational	Insufficient staff	Sufficient staffing capacity, skills and experience is critical to the delivery of the Service. These are regularly under review.	3	2	6	Cross training for planning applications and conservation advice; Priority services are identified in the Service Continuity Plan	Head of Planning Policy	2	2	4		Continue with exisiting controls	Head of Planning Policy	Ongoing	
Apr-05	ESD02	Head of Planning Policy	Operational	Total failure of ICT systems	Some services could continue without access to ICT systems for a short period	2	3	6	Anti-virus software and tight security measures installed; Disaster Recovery Plan; Priority services are identified in the Service Continuity Plan	Head of Planning Policy	2	1	2		Continue with exisiting controls	Head of Planning Policy	Ongoing	
Apr-05	ESD03	Head of Planning Policy	Operational	Loss of accommodation		2	3	6	Remote working possible for staff, electronic access to records available; Addressed in Service Continuity Plan.	Head of Planning Policy	2	1	2		Continue with exisiting controls	Head of Planning Policy	Ongoing	
Apr-11	ESD04	Head of Planning Policy	Operational	Fraudulent activity	No client money is held by the department	2	2	4	Purchase Orders and Invoices are all recorded by Financial Management system; No delegated decision-making exists - Policy decisions are all have to be ratified by Members/Committee and/or Director; Staff are aware of the money laundering regulations and annual training is part of the induction process.	Head of Planning Policy	1	2	2		Continue with exisiting controls	Head of Planning Policy	Ongoing	
Apr-05	ESD05	Head of Planning Policy	Operational	Failure/Delay in delivering Local Plan	Lack of /delay of Local Plan/ would have a significant impact on future planning, decision-making and delivery of strategic priorities; Staffing and funding continually under review to minimise risk.	2	2	4	Local Development Scheme sets out production of Local Plan documents on a three year basis and is revised when necessary; Keep up to date with potential changes in planning policy through RTPI, Planning Magazine etc	Head of Planning Policy	3	2	6		Continue with exisiting controls	Head of Planning Policy	Ongoing	
	ESD06	Head of Planning Policy	Strategic	Failure to make progress on sustainability.	See Strategic Risk Register													
Apr-18	ESD07	Head of Planning Policy	Operational	Failure to progress/manage and maintain Community Infrastructure Levy income and expenditure.	Would have a significant impact on the provision and delivery of strategic/local infrastructure required to support the District's growth. Failure in meeting statutory requirements could lead to legal action.	3	3	9	Full-time dedicated CIL Officer in place; CIL funds given to Parish Councils, where applicable; Annual report published	Head of Planning Policy	2	2	4		Continue with existing controls	Head of Planning Policy	Ongoing	

Electoral Services

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Apr-05	ES01	Elections Services Manager	Operational	Insufficient staff	Serious impact on performance of statutory duties at Elections	3	3	9	Good management ensures low turnover of staff; Priority services identified in BCP	Elections Services Manager	2	2	4		Continue with existing controls	Elections Services Manager	Ongoing	No change
Apr-05	ES02	Elections Services Manager	Operational	Total failure of ICT systems	Assessment based on assumed effective recovery arrangements in Business Continuity Plan	3	4	12	Anti-virus software and tight security measures installed; Disaster Recovery Plan; Priority services are identified in the Service Continuity Plan	Elections Services Manager	2	3	6		Continue with existing controls	Elections Services Manager	Ongoing	No change
Apr-05	ES03	Elections Services Manager	Operational	Loss of accommodation	There is a sparate risk register for Elections.	2	3	6	Preventative Maintenance and rolling repair programme; Disaster Recovery Plan; Fire controls and monitoring; Priority services are identified in the Service Continuity Plan	Elections Services Manager	1	3	3		Continue with existing controls	Elections Services Manager	Ongoing	No change
Apr-11	ES04	Elections Services Manager	Operational	Fraudulent activity (registration and elections)	Electoral fraud	2	3	6	Carry out Government checks on people registering to vote; Identity checks for postal votes; We send out letter to each property to check information provided	Elections Services Manager	2	1	2		Continue with existing controls	Elections Services Manager	Ongoing	No change
Apr-05	ES05	Elections Services Manager	Operational	Failure to provide statutory elections or referenda	Considered highly unlikely as Elections are given highest priority and statutory procedures are clear	2	3	6	Separate Risk Register run by project management team; Experienced staff; Monitored by Electoral Commission	Elections Services Manager	1	3	3		Continue with existing controls	Elections Services Manager	Ongoing	No change

Environmental Protection

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Apr-05	EP01	Waste and Environment Manager	Operational	Insufficient staff	If several key frontline staff were ill / injured for a period of time, the Council's agency costs could rise substantially	3	2	6	Use of three agencies; small pool of labour including Supervisors	Waste and Environment Manager	2	2	4		Continue with existing controls	Waste and Environment Manager	Ongoing	
Apr-05	EP02	Waste and Environment Manager	Operational	Total failure of ICT systems	Would affect office staff and missed bins etc, but operational staff could continue their work	2	3	6	Priority services identified in SCP; DR contract in place	Waste and Environment Manager	2	2	4		Continue with existing controls	Waste and Environment Manager	Ongoing	
Apr-05	EP03	Waste and Environment Manager	Operational	Loss of accommodation	Although it would be difficult for office based staff, the frontline service could still continue to operate.	2	2	4	Staff can work remotely; Alternative site identified for vehicles	Waste and Environment Manager	2	1	2		Continue with existing controls	Waste and Environment Manager	Ongoing	
Apr-11	EP04	Waste and Environment Manager	Operational	Fraudulent activity	Any fraudulent activity, including the collection of cash, is kept to a minimum by training and monitoring	2	2	4	Staff are trained; Receipt books used; Procedures in place.	Waste and Environment Manager	2	1	2		Continue with existing controls	Waste and Environment Manager	Ongoing	
	EP05	Waste and Environment Manager	Operational	Lose of one or more freighter (accident/fire/theft).	Cost of replacing fleet even if insured is high, as is the hire charge for prolonged time. However very unlikely for whole fleet to be lost.	1	3	3	Spare vehicles available; Hire of replacement vehicles if required	Waste and Environment Manager	1	2	2		Continue with existing controls	Waste and Environment Manager	Ongoing	
	EP06	Waste and Environment Manager	Operational	Long period of Extreme weather/snow	If extreme weather is prolonged then service could be disrupted for a long period of time. This is due to vehicles being very dangerous to drive on ice	2	3	6	Snow chains and socks are used for freighters and vans; Gritter used to assist freighters; Footgrips for workforce; HCC supply of salt stored at the depot	Waste and Environment Manager	2	2	4		Continue with existing controls	Waste and Environment Manager	Ongoing	
	EP07	Waste and Environment Manager	Operational	Fuel shortage	If there was a prolonged fuel shortage the Service continuity plan would be invoked, which would involve the dropping of some services on a temporary basis	1	3	3	Bunkererd fuel at depot should be sufficient for 2 to 3 weeks fuel; LRF Multi-agency arrangements for managing fuel disruption	Waste and Environment Manager	1	2	2		Continue with existing controls	Waste and Environment Manager	Ongoing	
	EP08	Waste and Environment Manager	Operational	H&S or DTP action	Health and Safety Executive or Dept of Transport action could prevent services operating.	1	3	3	Good training and procedures in place; Regular H&S audits	Waste and Environment Manager	1	3	3		Continue with existing controls	Waste and Environment Manager	Ongoing	
	EP09	Waste and Environment Manager	Operational	Increased fly tipping	Effective enforcement should keep fly tipping to a minimum	3	2	6	Training for dedicated staff; CCTV coverage in some areas; Monitoring of hot-spots; Range of Fixed Penalty Notices; Part of the Herts Flytipping Group	Waste and Environment Manager	3	2	6		Continue with existing controls	Waste and Environment Manager	Ongoing	
	EP10	Waste and Environment Manager	Operational	TRDC compelled not to act in its own interests by majority of Partnership	TRDC would always consider its own interests at any Herts Waste Partnership meeting	2	2	4	Herts Waste Partnership Agreement signed by all Councils; Regular meetings to agree priorities	Waste and Environment Manager	2	1	2		Continue with existing controls	Waste and Environment Manager	Ongoing	
	EP11	Waste and Environment Manager	Operational	Vehicle maintenance falls below required standard	Effective contract monitoring minimises the likelihood of this happening	3	3	9	Maintenance contract in place and monitored	Waste and Environment Manager	2	2	4		Tender process for new vehicle maintenance contract to be undertaken in 2019	Waste and Environment Manager	Dec-19	
	EP12	Waste and Environment Manager	Operational	AFM withdrawn by HCC	Would affect the budget. Linked into partnership agreement	3	3	9	Part of the Herts Waste Partnership Agreement	Waste and Environment Manager	3	3	9		Continue with existing controls	Waste and Environment Manager	Ongoing	
	EP13	Waste and Environment Manager	Operational	Costs rise for sale of recycling materials	Costs continue to fluctuate	3	3	9	Long-term contracts and HWP procurement ensuring economies of scale. Budget monitor process allows us to check this throughout the year	Waste and Environment Manager	3	3	9		Continue with existing controls	Waste and Environment Manager	Ongoing	
02/01/2019	EP14	Waste and Environment Manager	Operational	Garden waste charging may be scrapped.	The Resources and Waste Stategy (released Dec 18) mentions the possibility that charging for garden waste may be scrapped	2	3	6	This proposal would be subject to consultation and TRDC would respond accordingly.	Waste and Environment Manager	2	3	6		Continue with existing controls	Waste and Environment Manager	Ongoing	

02/01/2019	EP15	Waste and Environment Manager	Operational	Glass and paper recycling may need seperating	The Resources and Waste Stategy (released Dec 18) mentions possibility that glass and paper need to be kept separate which would require a service change	2	3	6	This proposal would be subject to consultation and TRDC would respond accordingly.	Waste and Environment Manager	2	3	6	Continue with existing controls	Waste and Environment Manager	Ongoing	
03/04/2019	EP16	Waste and Environment Manager	Operational	HCC changes tipping points (for garden and food waste)	HCC have redirected us for garden and food waste to tipping points that are further away which may affect completion of rounds	2	3	6	A round optimisation project has been carried out saying that it is possibole to complete rounds, however this data requires a review	Waste and Environment Manager	2	3	6	Review round optimisation data	Waste and Environment Manager	Ongoing	

Finance

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Apr-05	FN01	Head of Finance	Operational	Insufficient staff	The Finance Team relies on having suitably qualified staff at all levels in order to maintain the service	3	3	9	Finance Team currently almost fully staffed with permenant post holders. Effective succession planning. Ensure resilience within teams and functions	Head of Finance	2	2	4		Recruitment of two apprentice finance officers.Training needs analysis and provision.	Head of Finance / Section Heads		
Apr-05	FN02	Head of Finance	Operational	Total failure of ICT	Core Council financial activity is dependant on the availability of financial systems. Loss of accounts payable and income systems are critical for even short term periods, critically of the loss of the general ledger depends upon the point in the financial year and all loss of data is critical	3	3	9	Maintain most up to date versions of systems, ensure regular backups occur. Ensure systems are fully supported by suppliers	Head of Finance	2	3	6		Update to latest version of e-Financials	Financial and Accounting Section Head		
Apr-05	FN03	Head of Finance	Operational	Loss of accommodation	Inability to provide services due to access to accommodation being prevented	2	2	4	With increased working from home capability, this risk becomes less critical. Ensure Business Continuity Plan is kept up to date.	Head of Finance	1	1	1		Review Business Continuity Plan	Head of Finance / Section Heads		
Apr-11	FN04	Head of Finance	Operational	Fraudulent activity	The Council experiences loss of resources as a result of a mistake, misadministration or fraud	2	3	6	Effective financial procedure rules, internal audit review and fraud prevention. Reconcilliations carried out.	Head of Finance	2	2	4		Review Financial Procedure Rules. Improve effectiveness of reconcilliations.	Head of Finance / Section Heads		
Apr-05	FN05	Head of Finance	Operational	Progress against Audit recommendations are not implemented	If internal audit recommendations are not implemented, essential controls may be inadequate and improvements will not be made to internal control frameworks.	2	3	6	The implementation of all recommendations is regularly reviewed. High and medium priorities are monitored by the Council's Audit Committee with officers held to account.	Head of Finance	1	3	3		Audit Committee to monitor the implementation of all high and medium priority recommendations.	Head of Finance / Audit Committee		
Apr-05	FN06	Head of Finance	Operational	Failure to produce the Statement of Accounts on time	The draft annual statement of accounts is due by 31st May each year with the audited statements to be published by 31st July. The 31st July dealine was missed for Watford in 2017/18	4	3	12	Early planning to ensure deadline, within the Council's control, for draft accounts continues to be met and to allow working with auditors to help them complete audit work on time.	Head of Finance	2	3	6		Early agreement of Audit Plan with auditors, External Auditors to identify audit manager. Regular updates between Head of Finance and Audit partner and between Section Head and Audit Manager.	Head of Finance / Financial and Accounting Section Head		
Jul-14	FN07	Head of Finance	Strategic	The Medium term financial position worsens.	See Strategic Risk Register			0					0					

Housing Services

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Apr-05	HOU01	Head of Housing Services	Operational	Insufficient staff	Significant service disruption and failing of statutory duty would occur if there were insufficient staff.	3	2	6	Good management to ensure low staff turnover although acknowledgment that stressful service area; Use of agency staff if staff levels reduce; Priority services are identified in the Service Continuity Plan	Head of Housing Services	2	2	4		Continue with existing controls	Head of Housing Services	Ongoing	
Apr-05	HOU02	Head of Housing Services	Operational	Total failure of ICT systems	Some services could continue without access to ICT systems for a short period.	4	3	12	Anti-virus software and tight security measures installed; Disaster Recovery Plan; Priority services are identified in the Service Continuity Plan; Use of neighbouring Council office to access ICT as shared software. Housing system is web based so not reliant on Council systems.	Head of Housing Services	2	2	4		Continue with existing controls	Head of Housing Services	Ongoing	
Apr-05	HOU03	Head of Housing Services	Operational	Loss of accommodation	Some services could operate from alternative locations. Must be customer facing service for statutory duty.	2	3	6	Understanding with Watford Borough Council on use of their offices; Regular testing of safety measures within the building. Ability to work from home for some staff; Priority services are identified in the Service Continuity Plan.	Head of Housing Services	2	2	4		ICT implementation of Unifed Comms and additional devices for staff to enable more working from home.	Head of ICT	2019	
Apr-11	HOU04	Head of Housing Services	Operational	Fraudulent activity	Fraud relating to income, expenditure or petty cash. Fraudulent purchasing of goods for personal use or sale via corporate credit card or petty cash, corrupt procurement through collusion with suppliers, or theft of stock.	3	2	6	Approval processes in place for staff related activity; Audit function available on software system; Use of systems such as Land Registry, Experian and Facebook to check applicants information; Prosecution of public if fraud	Head of Housing Services	2	2	4		Temporary accommodation audit currently being completed	Head of Housing Services	Mar-19	
Apr-17	HOU05	Head of Housing Services	Operational	Loss or insufficient temporary accommodation	Might no be able to fulfil our statutory duty to provide temporary accommodation, currently insufficient accommodation.	4	2	8	Use of designated temporary accommodation; Spot purchase of temporary accommodation from variety of providers (if required); Block-booked temporary accommodation; Utilisation of empty properties as a result of redevelopment scheme (South Oxhey); Modular build of temporary accommodation underway; Planning permission granted for additional sites.	Head of Housing Services	2	2	4		Progression of modular builds for sites with planning permission	Head of Housing Services & Head of Property Services	2019	
Apr-17	HOU06	Head of Housing Services	Operational	Failure to provide out of hours emergency provision	Statutory duty to provide out of hours emergency provision. If not contracted out, it would be a requirement for staff to undertake this function at increased cost to the Council.	2	2	4	Service level agreement with Hertsmere Council to provide the service on behalf of the Council; Service continuity and business continuity plans for Hertsmere Council; Deal with any operational issues with Hertsmere Council	Head of Housing Services	2	2	4		Continue with existing controls	Head of Housing Services	Ongoing	
Apr-18	HOU07	Head of Housing Services	Operational	Legal challenge to contracting out of homeless reviews	Committee and Full Council authorisation to contract out reducing chance of legal challenge	2	3	6	Providers procured from a Framework agreement from Watford Council. Decisions are reviewed with the provider before issuing to customer	Head of Housing Services	2	1	2		Continue with existing controls	Housing Options Manager	Ongoing	

Legal Practice

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Apr-05	LEG01	Solicitor to the Council	Operational	Insufficient staff	Significant service disruption would occur if there were insufficient staff; There has been minimum changes in staff	3	2	6	Use of agency specialist staff; Reliance on other Herts LA for short term issues	Solicitor to the Council	2	1	2		Continue with existing controls	Solicitor to the Council	Ongoing	
Apr-05	LEG02	Solicitor to the Council	Operational	Total failure of ICT systems	Rely on business recovery plan	2	3	6	Priority services are identified in the BCP and DR Plan	Solicitor to the Council	2	2	4		Continue with existing controls	Solicitor to the Council	Ongoing	
Apr-05	LEG03	Solicitor to the Council	Operational	Loss of accommodation	Remote access working is possible; Reciprocal arrangements in place with WBC to use their premises	2	3	6	Priority services are identified in the BCP and DR Plan	Solicitor to the Council	2	2	4		Continue with existing controls	Solicitor to the Council	Ongoing	
Apr-11	LEG04	Solicitor to the Council	Operational	Fraudulent activity	Fraud relating to income, expenditure or petty cash. Fraudulent purchasing of goods for personal use or sale via corporate credit card or petty cash, corrupt procurement through collusion with suppliers, or theft of stock	2	3	6	Cheques are recorded and signed for and paid into the Council's corporate system; Staff are aware of the money laundering regulations and annual training is part of the induction process	Solicitor to the Council	1	2	2		Continue with existing controls	Solicitor to the Council	Ongoing	

Leisure & Landscapes

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Apr-05	LL01	Head of Commnity Services	Operational	Insufficient staff (including casual staff)	Staff needed to deliver the Leisure projects detailed within the service plan. Casual staff needed for a range of activities including Watersmeet, play schemes, Mill End Youth Club, play rangers	3	3	9	Workforce planning at service and team levels. Recruitment for casual staff programmed in for twice a year. 1:1 assess motivation and satisfaction with role. Procedures in place to recruit to posts if needed.	Head of Community Services	2	3	6		Review recruitment for casual staff annually	Play Development Officer	Sep-19	
Apr-05	LL02	Head of Commnity Services	Operational	Total failure of ICT systems	Key systems not supported and not being upgraded	3	3	9	Monitoring of service status by L&CS staff (Watersmeet/Leisure Development); ICT service status procedures	Head of Community Services	2	3	6		Continue with existing controls	Head of Community Services	On going	
Apr-05	LL03	Head of Commnity Services	Operational	Loss of accommodation	Includes loss of a major leisure venue, including closure due to bad weather, infectious diseases	3	3	9	Leisure Improvement capital works; Asset management/Planned and Preventative Maintenance; Legionella etc monitoring; Staff/client sickness monitoring Service continuity planning	Head of Community Services	2	3	6		Continue with existing controls	Head of Community Services	On going	
Apr-11	LL04	Head of Commnity Services	Operational	Fraudulent activity	Income handling within service reduced as most venues now managed by contractor. Watersmeet procedures continue to be monitored	3	3	9	Existing corporate procedures. Internal audit supervision of high risk activities (e.g. Watersmeet)		2	2	4		Investigate options for contactless payments at leisure activities in the community	Leisure Development Manager	Mar-19	
Apr-08	LL05	Head of Commnity Services	Operational	Usage targets linked to Key Budget Indicators are not met	Usage can vary and is prone to external market forces. Watersmeet relies on commercial trading and success of Pantomime	4	2	8	Contract monitoring and contract meetings; Performance and budget monitoring; Business Plans being produced by Leisure Management Contractor and Watersmeet.	Head of Community Services	2	2	4		Continue with existing controls	Head of Community Services	On going	
Apr-08	LL06	Head of Commnity Services	Operational	Major capital project overruns or has unforeseen cost	Few major projects anticipated. BLYM and redevelopment of The Centre are currently the two ongoing major capital projects	3	3	9	TRDC project team set up to monitor the major project work - including regular meetings, updates and reports. Any major variance would be reported to lead members through the committee process	Head of Community Services	2	3	6		Continue with existing controls	Head of Community Services	On going	
Apr-08	LL07	Head of Commnity Services	Operational	Loss of partner or agreed partnership funding (revenue or capital)	Partnerships continue to be under financial pressure	3	3	9	Joint planning and liaison with partners to mitigate risk	Leisure Development Manager	2	3	6		Continue with existing controls	Leisure Development Manager	On going - quarterly reviews	
Apr-08	LL08	Head of Commnity Services	Operational	Council liable for fatality or serious accident at leisure venue or activity	H&S procedures monitored, thorough risk assessments in place for all activities	3	4	12	Asset management procedures. Certification (e.g. electrical and insurance inspections), Contract monitoring procedures and meetings with Leisure Management Contractor; Health and Safety Checks at all activities and venues. Health and Safety Audits completed for each department. Staff trained to deal with accidents (first aid and paedeatric first aid) and effective reporting	Head of Community Services	2	3	6		Update first aid training for staff, risk assessments updated annually	Head of Community Services	Summer 2019	

Date	Ref	Owner	Type	Risk	Comment	L	I	Score	Controls	Owner	L	I	Score	Action	Responsible	Timescale
Apr-08	LL09	Head of Commnity Services	Operational	Failure involving major plant or equipment at leisure venue	Planned preventative programme and monitoring in place at Leisure Centres. Reliant on support from Asset Management. Concern over M&E at SJA Pool and potential loss of income claim from Leisure Contractor	3	3	9	Asset management procedures; Certification (e.g. electrical and insurance inspections); Contract monitoring procedures to ensure efficiency of contractor's planned and preventative maintenance; Capital budgets for replacement of equipment	Leisure Contracts Officer	2	3	6	Continue with existing controls	Leisure Contracts Officer	On going
Apr-08	LL10	Head of Commnity Services	Operational	Leisure Facilities Management: Operator fails to provide service as detailed within the Leisure Management Contract	Rating based on track record and contract monitoring procedures	3	3	9	Contract monitoring, reporting and meetings, all venues to undertake QUEST assessment bi-annually	Leisure Contracts Officer	2	2	4	Continue with existing controls	Leisure Contracts Officer	On going
Oct-12	LL11	Head of Commnity Services	Operational	New BLYM facility doesn't realise growth in participation	Reliance of volunteers. (Note, project still in early stages of construction)	3	2	6	Officers to ensure activity programme in place prior to capital build being completed. Regular reporting to Sport England and TRDC as part of funding conditions	Head of Community Services and Sports Development Officer	2	2	4	Sports Development Officer to meet with BLYM to discuss community activity programme and ensure a plan is in place	Sports Development Officer	Mar-19
Oct-11	LL13	Head of Commnity Services	Operational	The Council could fail to meet its legal obligations if it fails to Safeguard children and or adults at risk	Continues to be a high profile issue	4	4	16	Corporate safeguarding policy and procedures along with departmental specific policies; Staff are trained in Safeguarding, along with other courses such as Safer Recruitment and Common Assessment Frameworks; All staff working with vulnerable children and/or adults must have an enhanced Disclosure and Barring Service check		2	3	6	Renew safeguarding training for all staff (relevant roles and casual staff)	Leisure Development Manager	Jul-19
Oct-12	LL14	Head of Commnity Services	Operational	Service fails to appoint playscheme staff with relevant and appropriate training qualifications to meet Ofsted requirements for Under 8s playscheme	Service will be unable to cater for children aged under 8 years of age, which is half of the play scheme service	4	3	12	Planned recruitment weeks advertised throughout the year - recruitment advertisments sent to appropriate locations (e.g. colleges, schools etc.), safer recruitment processes followed. Play Development Officer level 3 qualified to cover any gaps in service.	Leisure Development Manager	2	2	4	Continue with existing controls	Leisure Development Manager	On going
Oct-12	LL15	Head of Commnity Services	Operational	Newly installed/refurbished play/skate/gym areas fail to pass post installation or operational and routine inspections	Play/skate/gym areas will remain closed until areas of failure remedied	4	3	12	Procurement process – all equipment to be installed must provide certification to prove it meets the requirement; All contractors awarded contract must provide business capability, including references, insurance, health and safety, design qualifications etc; Ongoing checks of the site during the project build process; Pre-inspection assessment carried out. Grounds staff qualified to conduct routine and operational inspections - all inspections are recorded electronically via The Play Inspection app.	Head of Community Services	2	2	4	Continue with existing controls	Head of Community Services	On going
Oct-15	LL16	Head of Commnity Services	Operational	Loss of S106 funding should projects not go ahead	Legal implications and loss of funding for local residents. Poor community perception	3	2	6	S106 funding monitored and projects allocated to each funding pot to be completed within the deadline of S106 agreement	Leisure Development Manager	1	1	1	Continue with existing controls	Leisure Development Manager	On going

Oct-15	LL17	Head of Commnity Services	Operational	Poor satisfaction by residents if agreed projects do not go ahead e.g. play area refurbishments	Negative impact on the Council – poor satisfaction levels by the community and loss of trust	4	3	12	Community engagement throughout the life cycle of the project; Officer engagement with planning officers to ensure requirements are being met; Engagement with appropriate Parish Council (if	Projects Development Officer	2	1	2	Continue with existing controls	Projects Development Officer	On going	
Apr-08	LL18	Head of Commnity Services	Operational	Tree failure causes damage to property rail accident/disaster, loss of life	Financial, legal and negative publicity implications on the Council	4	4	16	Proactive survey methods now in place which would minimise claims against the authority. Rolling programme of tree survey undertaken by Landscape Officers	Principal Landscape Officer	2	3	6	Continue with existing controls	Principal Landscape Officer	On going	
Apr-08	LL19	Head of Commnity Services	Operational	Successful appeal to the High Court or Lands Tribunal for refusal to permit works to trees or TPOs	Financial, legal and negative publicity implications on the Council	3	2	6	Adequate TPO procedures in place to protect TRDC. Procedure developed following advice from Barrister	Principal Landscape Officer	1	2	2	Continue with existing controls	Principal Landscape Officer	On going	

Property Services

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Apr-05	PR01	Head of Property Services	Operational	Insufficient staff	Significant service disruption would occur if there were insufficient staff.	4	3	12	Good management to ensure very low staff turnover; Staff training across service areas enables more cover; Priority services are identified in the Service Continuity Plan; Security and cleaning services are contracted out, so the risk sit with them.	Head of Property Services	2	2	4		Continue with exisiting controls	Head of Property Services	Ongoing	Likelihood residual score reduced to 2 now department is fully staffed. (02/09/19)
Apr-05	PR02	Head of Property Services	Operational	Total failure of ICT systems	Some services could continue without access to ICT systems for a short period.	4	3	12	Anti-virus software and tight security measures installed; Disaster Recovery Plan; Priority services are identified in the Service Continuity Plan	Head of Property Services	2	2	4		Continue with exisiting controls	Head of Property Services	Ongoing	
Apr-05	PR03	Head of Property Services	Operational	Loss of accommodation	Property Services could not operate without access to accommodation but other services could operate from alternative locations.	3	3	9	Preventative Maintenance and rolling repair programme; Disaster Recovery Plan; Fire controls and monitoring; Priority services are identified in the Service Continuity Plan	Head of Property Services	2	2	4		Continue with exisiting controls	Head of Property Services	Ongoing	
Apr-11	PR04	Head of Property Services	Operational	Fraudulent activity	Limited financial transactions	2	2	4	Procedures are in place and regularly audited	Head of Property Services	1	2	2		Continue with exisiting controls	Head of Property Services	Ongoing	
Apr-05	PR05	Facilities Manager	Operational	Failure of Royal Mail to deliver or collect mail	Failure of the Royal Mail service for a significant period of time would significantly disrupt services	2	2	4	Option of collecting mail from Sorting Office and/or delivering mail to local post office	Facilities Manager	1	2	2		Continue with exisiting controls	Facilities Manager	Ongoing	
	PR06		Strategic	Failure to deliver the South Oxhey Initiative Project	See Strategic Risk Register													

Regulatory Services

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Apr-05	REG01	Head of Regulatory Services	Operational	Insufficient staff	New and existing corporate projects cannot all be supported without increased staff resources	4	3	12	Cross departmental working; Service continuity plan to prioritise service delivery; Keep job descriptions and person specifications up to date to reflect the requirements of the posts; Monitor market forces for specialist pots and bid to compete where necessary; Staff training including HR programmes for Mental Health awareness	Head of Regulatory Services	3	2	6		Possibility of joint working or shared working arrangements with neighbouring authorities; Cross-training of staff where qualifications and requirements allow; Staff secondments with other departments	Head of Regulatory Services	Ongoing	
Apr-05	REG02	Head of Regulatory Services	Operational	Total failure of ICT systems	Delays in implementation of new software resulting in inefficiencies and affecting service levels	4	3	12	Corporate Business Continuity Plan, Service Continuity Plan and Disaster Recovery contract, logging of ICT service calls	Head of Regulatory Services	3	2	6		Continue with existing controls	Head of Regulatory Services	Ongoing	
Apr-05	REG03	Head of Regulatory Services	Operational	Loss of accommodation	Could impact on service provision	3	3	9	BCP and SCP are tested annually; Disaster Recovery contract includes alternative accommodation	Head of Regulatory Services	2	2	4		Continue with existing controls	Head of Regulatory Services	Ongoing	
Apr-11	REG04	Head of Regulatory Services	Operational	Fraudulent activity	Fraud by officers, relating either to income, expenditure or stock. Potential through misreporting of income	3	2	6	Risk limited to isolated areas of the service, with limited staff having an overview. Scrutiny from senior management and service transparency	Head of Regulatory Services	2	2	4		Continue with existing controls	Head of Regulatory Services	Ongoing	
Oct-15	REG05	Head of Regulatory Services	Operational	The parking programme may not be completed in full, due to resourcing and the consultative and iterative nature of the legal process for introducing parking restrictions and limited resources within the Council.	Number of competing priorities for the service. Commencement of parking enforcement service (April 2018) to new provider being embedded including shared Traffic Engineer	4	2	8	Annual agreement of Parking Programme priorities by Members, monitoring the Parking Programme, monitoring of budget and rephasing as appropriate, early consultation with Ward members and residents	Head of Regulatory Services/Senior Transport Planner	3	1	3		Continue with existing controls	Head of Regulatory Services/Senior Transport Planner	Ongoing	
Oct-16	REG06	Head of Regulatory Services	Operational	Increase in workloads/major planning applications submitted	Current indicators show continuation of high application numbers and continued complexity of major applications including those coming forward at pre application stage.	4	3	12	Monitoring of workloads and indications as to future submissions according to market signals; changes to policy background and information from developers as to upcoming projects; Review of resources and recruitment/training as appropriate to provide flexibility to deal with anticipated workload; Staff development to take on increased/additional responsibility.	Head of Regulatory Services	4	2	8		Review of DM structure to provide additional resilience in the service especially handling of major applications, early recruitment of staff if staff leaving.	Head of Regulatory Services	Ongoing	
Oct-15	REG07	Head of Regulatory Services	Operational	Local Planning Authority placed in special measures allowing applicants to submit applications directly to Secretary of State.	Planning application performance is currently significantly above thresholds for designation; New thresholds introduced for appeal decisions	3	3	9	Monitoring of workloads and capacity to deal with these; Communication with applicants to agree extensions to time limit in appropriate cases; Training for officers and Councillors as to determination of applications and justified reasons for refusal of permission.	Head of Regulatory Services	2	2	4		Continue with existing controls	Head of Regulatory Services	Ongoing	

Oct-15	REG08	Head of Regulatory Services	Operational	Disruption to services during transfer of part of Local Land Charges functions to Land Registry		3	4	12	Staff resilience; Deadline for transfer not yet known - expected prior to 2020; early identification of resource to cleanse the existing data; data cleansing incorporated into existing resource.	Head of Regulatory Services	4	2	8	Continue with existing controls	Head of Regulatory Services	Dec-20	
Oct-16	REG09	Head of Regulatory Services	Operational	Insufficient staff and inadequate skills set	New and existing departmental projects cannot all be supported, and service levels maintained, without increased and appropriately trained staff resources.	4	3	12	Praise and incentives to recruit and retain existing staff ie market factors, long service awards; Cross departmental working; Service continuity plan to prioritise service delivery; Keep job descriptions and person specifications up to date to reflect the requirements of the posts; Monitor market forces for specialist pots and bid to compete where necessary; Staff training including HR programmes for Mental Health awareness; Use of agency staff if required	Head of Regulatory Services	3	2	6	Early over recruitment in services where expected increase in workloads, consideration of reduction in entry level requirements for new roles, shared services with other Local Authorities to be investigated, effective management of staff with praise and reward (ie team building days), consider additional incentives to retain staff, formation of a Planning Academy with 'grow your own' planners	Head of Regulatory Services	Ongoing	
Oct-16	REG10	Head of Regulatory Services	Operational	Inaccuracy of appropriate data/records	Particularly affecting property information on Uniform and ArcMap software.	3	3	9	Staff training, liaison with IT and other departments	Head of Regulatory Services	3	2	6	Lack of corporate responsibility for maintenance of spatial data, review of corporate GIS capability/Officer ie in house with an existing Officer/CSC role, shared service with another local authority, early liaison and testing with service users of any IT	Head of Regulatory Services	Ongoing	
Oct-16	REG11	Head of Regulatory Services	Operational	Failure to agree measures to meet the parking deficit and future parking income forecasts	A Parking Services Review continues including formulation of a Parking Strategy	4	3	12	Identification of new parking measures, review of existing schemes, formulation of a parking Strategy, early involvement of Lead Member to discuss measures in advance of Committee, external consultants reviewing proposals, consideration of new costs as part of early review of measures, publicity of the new measures in advance of their implementation, wider review of displacement parking to be considered.	Head of Regulatory Services	3	3	9	Finance Officers and Members aware of the existing budget deficit and measures proposed to close the deficit, close monitoring of budgets, continued identificaiton of new schemes to generate increased revenue to cover service costs.	Head of Regulatory Services	Ongoing	
Oct-15	REG12	Head of Regulatory Services	Operational	Near term Air Quality Action Plans not progressed	Failure in obtaining grant funding for projects from DEFRA	3	2	6	Monitoring of funding; Management of situation by EH Commercial Manager	Commercial Standards Manager	2	2	4	Loss of EH staff including of Commercial Standards Manager; Ensure other EH Officers aware of this function/service and are trained as necessary; Review of plans and alternative method of providing them ie outsourcing to private sector/another local authority	Commercial Standards Manager	Ongoing	

Date	Ref	Owner	Type	Risk	Description	L	I	Score	Controls	Control Owner	L	I	Score	Actions	Action Owner	Status	
Oct-15	REG13	Head of Regulatory Services	Operational	Long term Air Quality Action Plans not progressed	To a large extent these are yet to be devised and TRDC await the next iteration of the national strategy to inform upon what might be attempted. Actions will rely upon DEFRA funding to proceed	3	2	6	Monitoring of the national situation and any requirements delegated to the local authority, monitoring of funding, management of situation by Commercial Standards Manager		3	1	3	Situation being monitored but there would be a concern if loss of EH staff including of Commercial Standards Manager; Ensure other EH Officers aware of this function/service and are trained as necessary; Review of plans and alternative method of providing them ie outsourcing to private sector/another local authority	Commercial Standards Manager	Ongoing	
Oct-18	REG14	Head of Regulatory Services	Operational	Local Authority placed in special measures for Gazetteer should we fall constantly below National Standard.	Performance is generally above threshold but some issues with areas of matching due to levels of resource and authority wide records.				Increased awareness by staff, staff training and resilience on the process, sharing of existing relevant Council records with the team to assist ie business rate data	Head of Regulatory Services/Senior Land and Property Officer	2	2	4	Continue with existing controls	Head of Regulatory Services	Ongoing	

Revenues & Benefits

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Apr-05	RB01	Head of R&B	Operational	Insufficient staff	Significant service disruption would occur if there were insufficient staff.	3	3	9	Good management of staff to ensure low turnover; staff training across service areas enables more cover; Priority services are identified in the Service Continuity Plan.	Head of Revenues & Benefits	2	3	6		Continue with current controls	Head of Revenues & Benefits	Ongoing	
Apr-05	RB02	Head of R&B	Operational	Total failure of ICT systems	None of the services could continue without access to ICT systems	3	4	12	Anti-virus software and tight security measures installed; Disaster Recovery Plan; Priority services are identified in the Service Continuity Plan	Head of Revenues & Benefits	2	3	6		Continue with current controls	Head of Revenues & Benefits	Ongoing	
Apr-05	RB03	Head of R&B	Operational	Loss of accommodation	Some services could operate from alternative locations.	2	3	6	Remote access to ICT services in place	Head of Revenues & Benefits	2	2	4		Continue with current controls	Head of Revenues & Benefits	Ongoing	
Apr-11	RB04	Head of R&B	Operational	Fraudulent activity	The Council experiences loss of resources as a result of a mistake, misadministration or fraud	2	3	6	Effective financial procedure rules, internal audit review and fraud prevention. Reconcilliations carried out.	Head of Revenues & Benefits	2	2	4		Continue with current controls	Head of Revenues & Benefits	Ongoing	

Strategic Risk Register

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Apr-08	ST01	Mgt Board	Strategic	Failure to secure improvements to services	Additional Public Perception Surveys introduced; Review of shared Revenues and Benefits service.	2	3	6	Service Planning framework; Benchmarking; Internal audits; Value for Money Strategy; Corporate Consultation Action Plan; Omnibus survey in place; Omnibus survey updated to track perceptions of changes to key services such as Refuse and Recycling.	Head of Community Partnerships	2	1	2		PIs to be reviewed by all Heads of Service; Income targets being monitored by Management Board	Head of Community Partnerships	Continuous	Impact and likelihood scores have not changed since last review; Omnibus survey in place to measure key corporate PIs; Failing services have been identified and additional performance support provided to them and these services are improving; Public perception of services has improved for Sports and Leisure (92% satisfaction), Parks and Open Spaces (92% satisfaction) and Doorstep recycling (85% satisfaction); Public perception has reduced in some areas but increased in others; There are no statistically significant changes with satisfaction for refuse collection (80% satisfaction) and keeping public land clear of litter (78% satisfaction); Across all key areas, including leisure, parks and refuse remains above 70% satisfaction; Overall satisfaction with the Council has remained at is 73%, which is significantly higher than the national average of 68%, the highest in the county.
Apr-08	ST02	Emergency Planning & Risk Manager	Strategic	Failure to tell residents about improvements	The Council's reputation might suffer if residents weren't informed of the Council's successes. The measure in place to inform residents of improvements reduces the likelihood of residents not being informed.	4	2	8	Three Rivers Times; Website; Social media; Welcome letter to new residents; Herts Omnibus survey identifies customer awareness and satisfaction; Pensioner's Forum; Youth Council.	Senior Communications Officer	2	2	4		Reviewing accessibility and publishing of Statutory Notices; Reviewing Communications Team roles and functions.	Senior Communications Officer	Continuous	Impact and likelihood scores have not changed since last review; Consulting residents on the future of Three Rivers Times.
Apr-08	ST03	Head of Planning Policy		Failure to make progress on sustainability	The "Better Neighbourhoods" aim of the Strategic Plan includes the objective "We want to maintain high quality neighbourhoods and reduce the eco-footprint of the district". The Council's reputation would suffer if sustainability targets were not achieved.	2	3	6	Action Plan for the development of Climate Change Strategy agreed; Annual progress reports to Management Board and Committee; Membership of the Herts Sustainability Forum with quarterly meetings; Awareness raising through Hertfordshire wide Green our Herts group; Information is provided via the Green our Herts website; Greenhouse Gas emissions data submitted annually to BEIS; Monitoring through Climate Change Strategy Action Plan and by internal Sustainable Officer Group; Home Energy Conservation Act (HECA) report submitted to BEIS biannually.	Sustainable Projects Officer	2	2	4		Continued development and promotion of the Green our Herts website; Continued monitoring of Greenhouse gas emissions and reporting to BEIS; Monitoring and reporting of actions through the Climate Change Strategy Action Plan; Produce updated HECA report by March 2019		Continuous	Impact and likelihood scores have not changed since last review; Addiitonal controls in the Action Plan to be completed during 2019/20
Apr-08	ST04	Head of Community Partnerships	Strategic	Failure to engage the community in the Strategic Plan	Evidence held on successful consultations and high customer satisfaction data	3	2	6	Corporate consultation data is analysed by race, gender, disability, age, area of residence and household income; Consultation best practice guidance updated for all services; Focus Groups held with hard to reach groups when evidence suggests differential impact; Consultation Action Plan has been developed; Priorities for engagement have been identified.	Head of Community Partnerships	2	2	4		Maintain implementation of corporate Consultation Action Plan	Head of Community Partnerships	Continuous	Impact and likelihood scores have not changed since last review; Consultation on potential income generation schemes delivered.

Date	Ref	Owner	Type	Risk	Description	I	L	Score	Controls	Lead	I	L	Score	Further Action	Lead	Timescale	Comments
Apr-08	ST05	Head of Community Partnerships	Strategic	Failure to achieve Community Safety targets	Strategy continues to meet majority of targets. Individual targets not met are being addressed by local action plans.	3	2	6	Quarterly performance reports to Community Safety Board and Co-ordination Group; 6 monthly reports to Members via MIB; Briefings with Leader and Lead Member; Participation in Families First, Adults with Complex Needs, Offender Management Group and ASB Action Group; Equality impact monitored; Strategy overall is on target; Where individual targets not met new action plans have been put in place and targets revised annually.	Head of Community Partnerships	1	2	2	Continue to develop joint funding bids for projects and bid to PCC funds for larger projects one a year; Community Safety Board to review funding position following decision of Poice & Crime Commissioner for 2017/18.		Continuous	Impact and likelihood scores have not changed since last review; PCC bids submitted with significant success and small grant bids being developed; Shared ASB management tool in place; Families First programme in place and Housing Challenge Worker funding secured for 3 years; Adults with Complex Needs pilot coming to an end and decommissioning plan is in place; New Community Support Service pilot for people with mental health difficulties jointly funded through partnership; Domestic Abuse Caseworker funding secured in partnership for 3 years; Cross border analyst post funded for 3 years in partnership; Scam project funded by PCC for 2017/18; There was a rise in a number of crime areas in the last year due to changes in recording systems - these have been reviewed for 2017/18.
Apr-09	ST06	Head of Community Partnerships	Strategic	Failure to achieve the priorities of the Community Strategy through the Local Strategic Partnership (LSP)	No further funding secured yet for LSP.	3	2	6	Themed updates provided to board on strategy priorities; Key performance indicators being tracked; Regular briefing with leader; Regular meetings of LSP Board; Review of funding streams; Review of Community Strategy.	Head of Community Partnerships	3	2	6	Assess new sources of potential shared funding for local priorities from outside sources; Maintain risk assessment of all proposals for funding and joint action, Assess impact of STP Prevention Plan on investments in projects.	Head of Community Partnerships	Continuous	Impact and likelihood scores have not changed since last review; Joint funding agreed for key projects; Limited funding available from some partner agencies; Community Strategy being reviewed by Board in light of new priorities of all partners; Partnership Board now continuing joint meetings with Community Safety Partnership Board.
Jul-14	ST07	Head of Property & Major Projects	Strategic	Failure to deliver the South Oxhey Initiative to desired outcomes and objectives	This is a key project. The business case was agreed by Executive Committee in January 2012. Phase 1 delivered.	3	3	9	Project management team appointed to advise Council; Project management processes in place and reviewed regularly; Policy and Resources Committee receive regular reports on progress of project.	Head of Property & Major Projects	3	3	9	See project specific risk register	Head of Property & Major Projects	Continuous	Impact and likelihood scores have not changed since last review; Project Board in place.
Jul-14	ST08	Director of Finance	Strategic	The Medium term financial position worsens.	In that the general fund balance falls below the minimum prudent threshold and capital funding is insufficient to meet the capital programme.	3	3	9	Regular budget monitoring reports to committees; Budgetary and Financial Risk Register reviewed and updated as part of the budget monitoring process; Early identification of budgetary pressure when reviewing the medium term financial plan during the budget setting process; Audited Statement of Accounts, including Annual Governance Statement.	Head of Finance	2	3	6	Service Reviews to identify efficiencies and additional income; Drive to increase Business Rate income; Drive to increase commercial income. Medium Term Financial planning.	Head of Finance	Continuous	