

SUMMARY RISK REGISTERS 2022-2025

Committee Services

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
CO01 Insufficient Staff.	2	2	4
CO02 Total failure of ICT systems	2	2	4
CO03 Loss of accommodation	2	2	4
CO04 Fraudulent activity	2	1	2
CO05 Loss of key staff	2	2	4
CO06 Covid 19	2	2	4

Community Partnerships

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
CP01 Insufficient Staff	2	2	4
CP02 Total failure of ICT systems	2	2	4
CP03 Loss of accommodation	2	2	4
CP04 Fraudulent activity	2	3	6
CP05 Loss of partner or agreed partnership funding (revenue or capital)	2	3	6
ST02 Failure to achieve Community Safety targets	1	2	2
ST03 Failure to make progress on the Climate Change Strategy and action plan	2	2	4
CP 08 Community consultation work fails to improve contact with hard to reach groups resulting in lack of clear evidence base for Corporate Framework	2	1	2
CP09 The Council fails to maintain its legal duties for equality and risks legal challenge	1	2	2
CP10 Targets in the Corporate Framework are not performance managed and fail to be achieved	1	2	2
CP13 Grants budget oversubscribed leading to poor publicity	1	1	1
CP14 The Council fails to maintain compliance with safeguarding children and adults at risk requirements	2	2	4
CP15 Loss of key staff and skills	2	2	4
CP16 Loss of ASB casework data	1	3	3

Corporate Services

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
CS01 Insufficient staff	2	2	4
CS02 Total failure of ICT systems	2	2	4
CS03 Loss of accommodation	2	2	4
CS04 Fraudulent activity	1	2	2
CS05 Tests reveal that the Business Continuity Plan is not workable	2	2	4
CS06 The Council fails to manage its principle risks and that the likelihood of them occurring increases or the impact cannot be reduced	2	2	4
CS07 Non-compliance with data protection and Freedom of Information legislation	2	2	4
CS08 Loss of key staff	2	2	4

Customer Service Centre

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
CSC01 Insufficient staff	2	2	4
CSC02 Total failure of ICT systems	2	2	4
CSC03 Loss of accommodation	2	2	4
CSC04 Fraudulent activity	1	2	2
CSC05 Total failure of telephone system	2	2	4
CSC06 Physical assault on staff or visitors to TRH	2	2	4
CSC07 Loss of key staff and management skills	2	2	4

Economic and Sustainable Development

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
ES01 Lack of suitably experienced staff	2	2	4
ES02 Total failure of ICT systems	2	1	2
ES03 Loss of accommodation	2	1	2
ES04 Fraudulent activity	1	2	2
ES05 Failure to progress/manage and maintain Community Infrastructure Levy income and expenditure.	2	2	4
ES06 Delays to decision making process of Local Plan	2	2	4
ES07 Failure/Delay in delivering Local Plan	3	2	6
ES08 Changes in National Policy & regulations which require a significant alteration to emerging Local Plan	2	2	4
ES09 Failure of external parties to meet project deadlines	2	2	4

ES10 Delays to decision making process	2	2	4
ES11 Failure to agree critical cross boundary strategic planning issues with prescribed 'Duty to Co-operate'	2	3	6
ES12 Capacity of Planning Inspectorate (PINS) and other statutory consultees	2	2	4
ES13 Local Plan found 'unsound'	2	3	6
ES14 Preparation of SW Herts Joint Strategic Plan fails to meet key project milestones.	2	2	4
ES15 Delays to decision making process in SW Herts JSP	2	2	4
ES16 Changes in national policy & regulations which require a significant alteration to emerging joint strategic plan	2	2	4
ES17 Changes in local politics of the participating authorities (SW Herts JSP)	2	2	4
ES18 Staff changes (SW Herts JSP)	2	2	4
ES19 Potential political change/issues within the partnership that could lead to a withdrawal or variation in support to the Programme from one of the partners.	2	2	4
ES20 SW Herts JSP not agreed by Districts, fail at examination or there is significant slippage in the timescales that are beyond the tolerance of the programme.	2	2	4
ST01 Failure to achieve the target of nett additional homes	3	3	9
ST04 Failure to make progress on the development of an Economic Strategy	3	2	6

Elections

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
EL01 Insufficient staff	2	2	4
EL02 Total failure of ICT systems	2	3	6
EL03 Loss of accommodation	1	3	3
EL04 Fraudulent activity	2	1	2
EL05 Failure to provide statutory elections or referenda	1	3	3

Environmental Protection

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
EP01 Insufficient staff	2	2	4
EP02 Total failure of ICT systems	2	2	4
EP03 Loss of accommodation	2	1	2
EP04 Fraudulent activity	2	1	2
EP05 Loss of one or more freighter (accident/fire/theft).	1	2	2
EP06 Long period of extreme weather/snow	2	2	4

EP07 Fuel shortage	1	2	2
EP08 Health and Safety or DTP action	1	3	3
EP09 Increased fly tipping	3	2	6
EP10 TRDC compelled not to act in its own interests by majority of Partnership	2	1	2
EP11 Vehicle maintenance falls below required standard	2	2	4
EP12 AFM withdrawn by HCC	3	3	9
EP13 Costs rise for sale of recycling materials	3	3	9
EP14 Garden waste charging may be scrapped.	2	3	6
EP15 Glass and paper recycling may need separating	2	3	6
EP16 HCC changes tipping points (for garden and food waste)	2	3	6
EP17 Level of charges affects update on services	2	2	4
EP18 Animal control; due to the increase in charges a number of people will operate unlicensed	2	2	4
EP19 (Office) Staff shortage due to the impact of coronavirus	4	2	8
EP20 (Operational) Staff shortage due to the impact of coronavirus	4	3	12
EP21 Impact of COVID affects income and expenditure	4	4	16

Finance

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
ST07 The Medium term financial position worsens.	3	2	6
FI02 Revenue balances insufficient to meet estimate pay award increases	2	1	2
FI03 Revenue balances insufficient to meet other inflationary increases	1	2	2
FI04 Interest rates resulting in significant variations in estimated interest income	3	2	6
FI05 Inaccurate estimates of fees and charges income	2	2	4
FI06 The estimated cost reductions and additional income gains are not achieved	2	2	4
FI07 Revenue balances insufficient to meet loss of partial exemption for VAT	1	4	4
FI08 The Council is faced with potential litigation and other employment related risks	1	3	3
FI09 Fluctuations in Business Rates Retention	3	3	9
FI10 Failure to deliver the South Oxhey Initiative to desired outcomes and objectives resulting in a delay in the capital receipt	2	2	4

FI11 Failure of ICT systems	1	2	2
FI12 Property Investment	1	3	3
FI13 Commercial Investment	2	2	4
FI14 Loss of key personnel	1	3	3

Housing Services

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
HO01 Insufficient staff	2	2	4
HO02 Total failure of ICT systems	2	2	4
HO03 Loss of accommodation	2	2	4
HO04 Fraudulent activity	2	2	4
HO05 Loss or insufficient temporary accommodation	2	2	4
HO06 Failure to provide out of hours emergency provision	2	2	4
HO07 Legal challenge to contracting out of homeless reviews	2	1	2

Legal Practice

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
LE01 Insufficient staff	3	2	6
LE02 Total failure of ICT systems	2	2	4
LE03 Loss of accommodation	2	2	4
LE04 Fraudulent activity	1	2	2
LE05 Loss of key staff	2	2	4

Leisure and Landscapes

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
LL01 Insufficient staff (including casual staff)	2	3	6
LL02 Total failure of ICT systems	2	3	6
LL03 Loss of accommodation	2	3	6
LL04 Fraudulent activity	2	2	4
LL05 Usage targets linked to Key Budget Indicators are not met	2	2	4
LL06 Major capital project overruns or has unforeseen cost	2	3	6
LL07 Loss of partner or agreed partnership funding (revenue or capital) - Unable to deliver projects	2	3	6
LL08 Council liable for fatality or serious accident at leisure venue or activity - Fatality / serious accident or injury	2	3	6

LL09 Failure involving major plant or equipment at leisure venue	2	3	6
LL10 Leisure Facilities Management: Operator fails to provide service as detailed within the Leisure Management Contract	2	2	4
LL11 Leisure Facilities Management: Operator fails to pay back the Council following the deeds of variation for 2020/21 and 21/22 by the end of the contract	2	3	6
LL12 The Council could fail to meet its legal obligations if it fails to Safeguard children and or adults at risk	2	3	6
LL13 Service fails to appoint play scheme staff with relevant and appropriate training qualifications to meet Ofsted requirements for Under 8s play scheme - Service will be unable to cater for children aged under 8 years of age, which is half of the play scheme service. This includes the appointment of the Play Development Officer	2	2	4
LL14 Newly installed/ refurbished play areas fail to pass post installation or routine inspections	2	2	4
LL15 Loss of S106 funding should projects not go ahead - Legal implications and loss of funding for local residents. Poor community perception	1	1	1
LL16 Poor satisfaction by residents if agreed projects do not go ahead e.g. play area refurbishments	2	1	2
LL17 Tree failure causes damage to property rail accident/disaster, loss of life	2	3	6
LL18 Successful appeal to the High Court or Lands Tribunal for refusal to permit works to trees or TPOs	1	2	2
LL19 Usage targets and income targets are not met due to the impact of COVID-19	2	3	9

Property Services

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
PR01 Insufficient staff	2	2	4
PR02 Total failure of ICT systems	2	2	4
PR03 Loss of accommodation	2	2	4
PR04 Fraudulent activity	1	2	2
PR05 Failure of Royal Mail to deliver or collect mail	1	2	2
PR06 Succession Planning of Single Points of Failure roles identified	2	1	2
PR07 Failure to meet or satisfy compliance obligations/legislative requirements in relation to health & safety matters (e.g. legionella, electrical, gas safety, asbestos management, fire risk, etc.)	1	2	2

ST06 Failure to deliver the Property Investment Strategy	2	3	6
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Regulatory Services

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
RS01 Insufficient staff	3	2	6
RS02 Total failure of ICT systems	3	2	6
RS03 Loss of accommodation	2	2	4
RS04 Fraudulent activity	2	2	4
RS05 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.	3	1	3
RS06 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	2	8
RS07 Local Planning Authority placed in special measures allowing applicants to submit applications directly to Secretary of State	2	2	4
RS08 Disruption to services during transfer of part of Local Land Charges functions to Land Registry	4	2	8
RS09 Insufficient staff and inadequate skills set and loss of key staff	3	2	6
RS10 Inaccuracy of appropriate data/records - Particularly affecting property information on Uniform and ArcMap software.	3	2	6
RS11 Failure to agree measures to meet the parking deficit	3	3	9
RS12 Near term Air Quality Action Plans not progressed	2	2	4
RS13 Long term Air Quality Action Plans not progressed	3	1	3
RS14 Local Authority placed in special measures for Gazetteer should we fall constantly below National Standard	2	2	4
RS15 Failure of the parking service provider, Hertsmere BC, to provide the service, including insufficient CEOs	2	2	4
RS16 Failure of EH commercial service provider, Watford BC, to provide the service in a professional, efficient and timely manner	2	2	4
RS17 Failure to renegotiate/renew/seek alternative provider of contracts due to expire ie IT software, parking enforcement	3	3	9
RS18 Failure to renew SLA with Hertfordshire Building Control	2	4	8

Revenues and Benefits

Risk Description	Residual Likelihood Score	Residual Impact Score	Residual Risk Score
RB01 Insufficient staff	2	3	6
RB02 Total failure of ICT systems	2	3	6
RB03 Loss of accommodation	2	2	4
RB04 Fraudulent activity	2	2	4

Very Likely ----- Likelihood ----- Remote	Low 4	High 8	Very High 12	Very High 16
	Low 3	Medium 6	High 9	Very High 12
	Low 2	Low 4	Medium 6	High 8
	Low 1	Low 2	Low 3	Low 4
Impact Low -----> Unacceptable				

Impact Score	Likelihood Score
4 (Catastrophic)	4 (Very Likely (≥80%))
3 (Critical)	3 (Likely (21-79%))
2 (Significant)	2 (Unlikely (6-20%))
1 (Marginal)	1 (Remote (≤5%))