

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	
Nov-19	COM05	Principal	Operational	Loss of key staff	Loss of knowledge, miss key	2	2	4	Locum staff, share staff with	Principal	2	2	4		Continue with existing	Principal	ongoing	
Mar-20	COM06	Principal Committee Manager	operational	covid 19	loss of staff at work , illness, self isolating				work from home, use of VPN, 8x8, virtual meetings	Principal Committee manager	2	2	4		Continue wht existng controls			

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	Staffing has been increased; ASB triage system introduced to identify risk level of complaint and proportionate response level; Difficulty experienced in maintaining customer response times for low risk ASB cases; Difficulty in maintaining investigation of lower risk cases; difficulty in increased legal costs associated with casework.	Head of Community Partnerships	2	2	4		Maintain review of caseload and complexity of cases to assess future staffing needs. Zero hour contract in place for legal support on closure orders to reduce external costs. New casework management system growth bid put in place.	Head of Community Partnerships	Feb-21	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. Mobile and home working options available with new ICT kit	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. Develop Big Lottery Bid with	Head of Community Partnerships	Ongoing	Review of team job descriptions to increase proactive search for funds completed in 2019 and new structure in place to support fundraising.
	ST02	Head of Community Partnerships	Strategic	Failure to achieve Community Safety targets	See Strategic Risk Register													
	ST03	Head of Community Partnerships	Strategic	Failure to make progress on the Climate Change Strategy and action plan	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 Corporate Framework	Consultation being delivered on all key areas with additional funding from service departments.	3	2	6	Range of community consultation methodologies used. Online engagement 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 objectives. 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 Corporate Framework 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. Separate out KPIs from Service Pis for more accurate reporting and focus for Corporate Management Board	Performance and Projects Manager	Mar-20	
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 commission 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 leads, Strategic lead for safeguarding and HR; Centralised records kept with	Head of Community Partnerships	2	2	4	Maintain current control systems; Improvements identified for adult safeguarding training	Head of Community Partnerships	Ongoing	
Dec-19	CP15	Head of Community Partnerships	Operational	Loss of key staff and skills	Team restructure undertaken	3	2	6	Restructure completed with junior post to increase opportunity to replace key posts. Senior manager post also brought in to support	Head of Community Partnerships	2	2	4	Continue to develop staff through annual appraisal and project opportunities	Head of Community Partnerships	Ongoing	Risk identified from new single points of failure analysis
Dec-19	CP16	Head of Community Partnerships	Operational	Loss of ASB Data	ASB data is lost due to poor casework management system.	3	3	9	Implementation of new ASB casework system	Head of Community Partnerships	1	3	3	Implement and review system	Head of Community Partnerships	Ongoing	

Corporate Services

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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	No change
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	No change
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	No change
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 theft of stock	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	No change
Apr-05	CS05	EP&R Manager	Operational - Department	Tests reveal that the Business Continuity 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	Business continuity was tested throughout the Covid pandemic
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		Continue with current controls	EP&R Manager	Annual report	
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	Both were audited in 2021
Mar-20	CS09	EP&R Manager	Operational	Loss of key staff	Some services may not be able to be provided if there are long term vacancies	3	3	9	Agency staff could be used in some areas	EP&R Manager	2	2	4		Continue with existing controls	EP&R Manager	Continuous	Agency staff used in Comms team

## Customer Services 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 2 different shifts on roster; 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	Most 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, All CSC Staff have facility & equipment to work remotely;	2	3	6	Service Continuity Plan reviewed & up to date. All CSC Staff have facility & equipment to work remotely;	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	
Mar-20	CSC07	CSC Manager	Operational	Loss of key staff and management skills	Some services may not be able to be provided if staff are unable to attend work due to Coronaviurs outbreak	3	3	9	Provision of online services has reduced contact levels. All CSC Staff have facility & equipment to work remotely; Some CSC staff still may be required to deliver F2F	CSC Manager	2	2	4		Continue with existing controls	CSC Manager	Ongoing	New risk added 17/03/2020

Economic and Sustainable Development

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Apr-05	ESD01	Head of Planning Policy & Projects	Operational	Lack of suitably experienced staff	Sufficient staffing capacity, skills and experience is critical to the delivery of the Service. Difficulties recruiting and retaining suitably qualified Plannig Officers are currently being experienced across the County,	3	2	6	The Local Plan team is currently fully staffed but it is possible that there may be staff turn over. Should usual mechanisms of direct recruitment to fill vacant posts not prove successful, consideration will be given to the employment of temporary staff and /or consultants to take on specialist areas of work and extend the capacity of the Strategic Planning team. This option could be constrained by wider Council policies on vacancies and recruitment and available financial resources.n	Head of Planning Policy & Projects	2	2	4		Continue with existing controls	Head of Planning Policy & Projects	Ongoing	
Apr-05	ESD02	Head of Planning Policy & Projects	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 & Projects	2	1	2		Continue with existing controls	Head of Planning Policy & Projects	Ongoing	
Apr-05	ESD03	Head of Planning Policy & Projects	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 & Projects	2	1	2		Continue with existing controls	Head of Planning Policy & Projects	Ongoing	
Apr-11	ESD04	Head of Planning Policy & Projects	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 & Projects	1	2	2		Continue with existing controls	Head of Planning Policy & Projects	Ongoing	
Apr-18	ESD05	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 & Projects	2	2	4		Continue with existing controls	Head of Planning Policy & Projects	Ongoing	
Apr-05	ESD06	Head of Planning Policy & Projects	Operational	Delays to decision making process of 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 regularly (at least annually in accordance with regulations). Keep up to date with potential changes in planning policy through RTPI, Planning Magazine etc	Head of Planning Policy & Projects	3	2	6		Continue with existing controls	Head of Planning Policy & Projects	Ongoing	
Apr-18	ESD07	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 regularly (at least annually in accordance with regulations). Keep up to date with potential changes in planning policy through RTPI, Planning Magazine etc	Head of Planning Policy & Projects	3	2	6		Continue with existing controls	Head of Planning Policy & Projects	Ongoing	
Oct-19	ESD08	Head of Planning Policy & Projects		Changes in national policy & regulations which require a significant alteration to emerging Local Plan content.	There have been a number of recent changes to national planning policy (NPPF), changes to permitted development rights and amendments to planning regulations, all of which need to be reflected when preparing the new Local Plan to ensure it can be found 'sound'.	2	2	4	The programme set out in the LDS October 2019 takes account of the latest iteration of the National Planning Policy Framework (2019). If any further significant changes are introduced mid-way through the plan production process, depending on their implications for the plan, this might require amendment to the Local Plan and a further stage of consultation.	Head of Planning Policy & Projects	2	2	4		Continue with existing controls	Head of Planning Policy & Projects		
Oct-19	ESD09	Head of Planning Policy & Projects	Operational	Failure of external parties to meet project deadlines	There is sometimes a need, either as a result of insufficient internal officer capacity, or the need to bring in specialist skills, for some work relating to the Local Plan to be carried out by external consultancies or organisations (such as HCC)	2	2	4	Work quality and project work timetables will be controlled through normal procurement processes and contract conditions.	Head of Planning Policy & Projects	2	2	4		Continue with existing controls	Head of Planning Policy & Projects		
Oct-19	ESD10	Head of Planning Policy & Projects	Operational	Delays to decision making process	Delays may be experienced due to democratic process and/or timetabling of meetings, or the inability to agree an appropriate content of the Local Plan which can be found 'sound' by a Planning Inspector in due course.	2	2	4	Agreeing the timetable for the Local Plan process through continued close working and reflecting in future Local Development Scheme updates will enable meetings to be appropriately timetabled to allow timely decision making. 'Extraordinary' meeting of the Policy & Resources Committee and Full Council can be arranged in certain circumstances.	Head of Planning Policy & Projects	2	2	4		Continue with existing controls	Head of Planning Policy & Projects		

Oct-19	ESD11	Head of Planning Policy & Projects	Operational	Failure to agree critical cross boundary strategic planning issues with prescribed 'Duty to Co-operate'		2	3	6	Discussions regarding what comprises the key strategic planning issues for the area have already taken place between eh SW Herts LPAs. A comprehensive programme of Duty to Cooperate meetings have commenced to discuss issues with individual partners. Risks relating to how these issues will be addressed will be reduced through the production of a Statement of Common Ground. Regular meetings with other Duty to Co-operate bodies will help minimise any wider issues arising, or enable them to be addressed early in the plan making process.	Head of Planning Policy & Projects	2	3	6	Continue with existing controls	Head of Planning Policy & Projects		
Oct-19	ESD12	Head of Planning Policy & Projects	Operational	Capacity of Planning Inspectorate (PINS) and other statutory consultees	The capacity of the Planning Inspectorate and other statutory consultees to provide detailed planning advice has been reduced due to internal reorganisation. The risk is outside the Council's control	2	2	4	Public examinations could take longer than anticipated or be delayed against PINS indicative timetables. This will be mitigated through ensuring appropriate evidence is prepared and submitted and there is close liaison with the Programme Officer.	Head of Planning Policy & Projects	2	2	4	Continue with existing controls	Head of Planning Policy & Projects		
Oct-19	ESD13	Head of Planning Policy & Projects	Operational	Local Plan found 'unsound'	Local Plans must be underpinned by detailed evidence. This evidence will face detailed scrutiny from the Planning Inspectorate and other stakeholders during the Examination Process	3	3	9	Risk is reduced by ensuring that the Council's decision-making regarding the content of it's Local Plan are firmly based on the technical evidence which emerges. Appropriate joint-working arrangements with neighbouring authorities in line with the 'duty to co-operate' will continue to be essential. The soundness of the Local Plan will also continue to be guided by close liaison with the adjoining local planning authorities, statutory bodies, PINS, the availability of a robust evidence base and well-audited stakeholder and community engagement systems. Specialist external legal advice will be taken as and when necessary to help guide key decision-making.	Head of Planning Policy & Projects	2	3	6	Continue with existing controls	Head of Planning Policy & Projects		
Oct-19	ESD14 SWHerts JSP	Head of Planning Policy & Projects	Operational	Preparation of SW Herts Joint Strategic Plan fails to meet key project milestones.	Project has joint milestones for all participants	3	2	6	Delays to JSP mitigated by establishing sound governance arrangements and appointing a JSP Director to closely project manage the plan preparation process.	Head of Planning Policy & Projects	2	2	4	Continue with existing controls	Head of Planning Policy & Projects		
Oct-19	ESD15 SWHerts JSP	Head of Planning Policy & Projects	Operational	Delays to decision making process in SW Herts JSP	Delays may be experienced due to democratic process and/or timetabling of meetings, or the inability to agree an appropriate content of the plan which can be found 'sound' by a Planning Inspector in due course. In the case of the SW Herts JSP, this risk may be increased due to the need for agreement across several local planning authorities	3	2	6	Agreeing the timetable for the JSP process through continued close working and reflecting in future LDS updates will enable meetings to be appropriately timetabled to allow timely decision making. 'Special' meetings of Cabinet and Full Council can be arranged in certain circumstances.	Head of Planning Policy & Projects	2	2	4	Continue with existing controls	Head of Planning Policy & Projects		
Oct-19	ESD16 SWHerts JSP	Head of Planning Policy & Projects	Operational	Changes in national policy & regulations which require a significant alteration to emerging joint strategic plan	Change in Government with changes to national policy/legislation in relation to encouraging strategic planning approaches.	2	3	6	The SW Herts JSP Local Development Scheme will be prepared and amended as necessary to reflect any changes in national policy. Implementation of an active, tactical and on-going strategy of Government engagement; monitor legislation changes. Continued close liaison with MHCLG and Homes England at ministerial and officer level.	Head of Planning Policy & Projects	2	2	4	Continue with existing controls	Head of Planning Policy & Projects		
Oct-19	ESD17 SWHerts JSP	Head of Planning Policy & Projects	Operational	Changes in local politics of the participating authorities		2	2	4	Effective involvement of members from all participating authorities and strong leadership		2	2	4	Continue with existing controls	Head of Planning Policy & Projects		
Oct-19	ESD18 SW Herts JSP	Head of Planning Policy & Projects	Operational	Staff changes (SW HERTS JSP)	There have recently several officers moving on to new jobs which could delay the production of the joint plan	2	2	4	A knowledge bank will be shared across the five authorities to support the delivery of the SW Herts JSP and provide resource resilience	Head of Planning Policy & Projects	2	2	4	Continue with existing controls	Head of Planning Policy & Projects		
Oct-19	ESD19 SW Herts JSP	Head of Planning Policy & Projects	Operational	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.	Depending on the timing, could delay the JSP process. Depending on the timing, could delay the JSP process. Could impact on the deliverability and implementation of the preferred strategic growth options.	2	2	4	Regular and effective JMOB/SPMG meetings supplemented by on-going communication and collaborative liaison across all partnership authorities through focused workstreams. Strong communication will assist with the confidence, assurance and clarity of direction required for the programme to be successful. To reduce the risk of this occurring, the Statement of Common Ground(s) (SoCG) will establish the governance and ambitions for the JSP, the process for withdrawing from the agreement, the identification of the key cross boundary agreements as well as any issues.	Head of Planning Policy & Projects	2	2	4				



Electoral Services

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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

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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; National Fuel Plan	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 Strategy (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 Strategy (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 possible 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	
03/12/2019	E17	Waste and Environment Manager	Operational	Level of charges affects uptake of services	If charges are set too high there may be less uptake of service resulting in less income	2	2	4	Benchmarking	Waste and Environment Manager	2	2	4	Continue with existing controls	Waste and Environment Manager	Ongoing	
03/12/2019	E18	Waste and Environment Manager	Operational	Animal control; due to the increase in charges a number of people will operate unlicensed	Animal welfare will be jeopardised in these premises	3	2	6	Promote the requirement to be licensed. Actively seek and take enforcement action for all unlicensed operators	Waste and Environment Manager	2	2	4	Continue with existing controls	Waste and Environment Manager	Ongoing	
16/03/2020	E19	Waste and Environment Manager	Operational	(Office) Staff shortage due to the impact of coronavirus	Office staff needed to implement the Environmental Protection Service Plan	4	3	12	All officers within the department have ICT equipment, which enables them to work from home. All staff to ensure equipment works prior to any measures implemented from Central Government	Waste and Environment Manager	4	2	8	Continue with existing controls	Waste and Environment Manager	Ongoing	
16/03/2020	E20	Waste and Environment Manager	Operational	(Operational) Staff shortage due to the impact of coronavirus	Operational staff needed to run the refuse, recycling, street cleansing, grounds maintenance (including cemeteries).	4	4	16	The SCP would need to be implemented (and reviewed first to check it meets the needs of this situation)	Waste and Environment Manager	4	3	12	Continue with existing controls	Waste and Environment Manager	Ongoing	
13/10/2020	E21	Waste and Environment Manager	Operational	Impact of COVID affects income and expenditure	More people at home due to Covid will impact on waste streams. Could impact on AFM, recycling payments, trade waste etc	4	4	16	Maintain dialogue with Finance, HCC etc.	Waste and Environment Manager	4	4	16	Continue with existing controls	Waste and Environment Manager	Ongoing	



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; All staff have the ability to work remotely; Priority services are identified in the Service	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 all staff; Priority services are identified in the Service Continuity Plan.	Head of Housing Services	2	2	4		Continue with existing controls	Head of Housing Services	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. Fraudulent homelessness or register applications.	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 detected	Head of Housing Services	2	2	4		Temporary accommodation audit completed 2019	Head of Housing Services	Mar-19	
Apr-17	HOU05	Head of Housing Services	Operational	Loss or insufficient temporary accommodation	Might not 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 completed; Planning permission granted for additional sites.	Head of Housing Services	2	2	4		Progression of 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	
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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	3	9	Use of agency specialist staff; Reliance on other Herts LA for short term issues	Solicitor to the Council	3	2	6		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	
Nov-19	LEG05	Solicitor to the Council	Operational	Loss of key staff	Disruption if we lose a key member of staff -loss of expertise, knowledge, increased costs to the Council	2	2	4	use of locums, use of external Solicitors/Barristers to cover work	Solicitor to the Council	2	2	4		Continue with existing controls	Solicitor to the Council	Ongoing	

Leisure and 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 Community 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	On going	
Apr-05	LL02	Head of Community 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 Community 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 Community 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	On going	
Apr-08	LL05	Head of Community 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 Community 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 Community 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 Community 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 paediatric 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	On going	
Apr-08	LL09	Head of Community 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 Community 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 Community Services	Operational	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	Deed of variation on the contract to be agreed	3	3	9	Continue negotiations with operator.		2	3	6		Negotiations to be concluded by July 2022	Head of Community Services	Jul-22	

Oct-11	LL12	Head of Community 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	On going	
Oct-12	LL13	Head of Community 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 advertisements 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	LL14	Head of Community 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	LL15	Head of Community 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	LL16	Head of Community 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 applicable)	Projects Development Officer	2	1	2	Continue with existing controls	Projects Development Officer	On going	
Apr-08	LL17	Head of Community 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	LL18	Head of Community 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	
Oct-20	LL19	Head of Community Services	Operational	Usage targets linked to Key Budget Indicators are not met due to COVID -19	COVID-19 restrictions will have a major impact on the KPIs and Pis and income targets for the Leisure Management Contract, Watersmeet and Leisure Development		4	4	16	Leisure Management Contract - agreement with SLM to change the profit share mechanism to repay back the financial settlement package that was agreed for the period up to March 2021. Watersmeet - external grant from the Arts Council was secured to offset fixed building running costs, COVID-19 secure set up and a subsidised film programme from 1/10/20 - 31/3/21.	Head of Community Services, Watersmeet Venue Manager, Landscapes and Leisure Development Manager.	2	3	6	Continue with controls and review the ongoing situation.	Head of Community Services, Watersmeet Venue Manager, Landscapes and Leisure Development Manager.	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	Short term staff absence	Significant service disruption would occur if there were insufficient staff over a prolonged period.	4	3	12	Good management to ensure very low staff turnover; Staff training across service areas enables more cover and greater service resilience; 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 existing controls	Head of Property Services	Ongoing	Permanent staff appointments and the gradual reduction in contract staff will provide greater stability & certainty	
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 existing 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 existing controls	Head of Property Services	Ongoing	Greater resilience has been established in light of the service transformation work already undertaken and tested through the Covid response. There is now greater agility/flexibility for the Council to operate remotely	
Apr-11	PR04	Head of Property Services	Operational	Fraudulent activity	Limited financial transactions. Continue to operate the service in line with Council policies on Money Laundering & Anti-Fraud and Corruption Strategy	2	2	4	Procedures are in place and regularly audited	Head of Property Services	1	2	2		Continue with existing 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 existing controls	Facilities Manager	Ongoing		
Oct-21	PR06	Head of Property Services	Operational	Succession planning of Single Points of Failure roles identified	Loss of key individuals within the team either through long term ill-health or permanently through retirement/departure	2	3	6	Data capture & process mapping to ensure that key data sets/information is recorded and accessible. Knowledge of roles & responsibilities are shared amongst the Team	Head of Property Services	2	1	2		Ensure adoption and implementation of Property Management System and data capture. Develop and document process/procedure notes from distribution amongst the Team	Head of Property Services	Ongoing		
Oct-21	PR08	Head of Property Services	Operational	Failure to meet or satisfy statutory compliance obligations/legislative requirements in relation to health & safety matters (e.g. legionella, electrical, gas safety, asbestos management, fire risk, etc.)	Changes to legislation or a failure of components/assets that no longer meet minimum statutory compliance levels	1	5	5	Contracts for statutory compliance testing are up to date and non-compliance issues are actioned immediately. Service is actively horizon-scanning for emerging legislative issues and assets are well maintained.	Facilities Manager	1	2	2		Statutory compliance is pro-actively monitored by the service and independent contractors support identification and rectification of any identify compliance issues. Contract renewals/extensions are actioned in good time	Head of Property Services	Ongoing		
Jan-21	ST06	Director of Community and Environmental Services	Strategic	Failure to deliver the Property Investment Strategy	See Strategic Risk Register			0					0						

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	RS01	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		Continue with 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	Continued use of CSC staff on secondments from the CSC Academy
Apr-05	RSG02	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	Service Continuity Plan reviewed and updated
Apr-05	RS03	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	Service Continuity Plan reviewed and updated
Apr-11	RS04	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	RS05	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.	4	2	8	Annual agreement of Parking Programme priorities by Members, monitoring the Parking Programme, monitoring of budget and rephrasing 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	Additional staffing resource secured
Oct-16	RS06	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		Continue with existing controls	Head of Regulatory Services	Ongoing	
Oct-15	RS07	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	RS08	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	Ongoing	

Oct-16	RS09	Head of Regulatory Services	Operational	Insufficient staff and inadequate skills set and loss of key staff	New and existing departmental projects cannot all be supported, and service levels maintained, without increased and appropriately trained staff resources. Existing services cannot be maintained without experienced and knowledgeable staff.	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	October 2019 reviewed. DM restructure involving lowering job entry requirements for planners. New resource in Transport and Parking Projects. Improved processes and procedures in L&P to assist with succession planning. Continued encouragement to attend relevant training courses.
Oct-16	RS10	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	Early liaison and testing with service users of any IT upgrades	Head of Regulatory Services	Ongoing	1 year secondment for GIS Officer from September 2021
Oct-16	RS11	Head of Regulatory Services	Operational	Failure to agree measures to meet the parking deficit	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 identification of new schemes to generate increased revenue to cover service costs.	Head of Regulatory Services	Ongoing	
Oct-15	RS12	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 external service provider	Head of Regulatory Services	2	2	4	Review of air quality projects by EH (WBC)	Commercial Standards Manager	Ongoing	
Oct-15	RS13	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	Review of air quality projects by EH (WBC)	Commercial Standards Manager	Ongoing	
Oct-18	RS14	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.	3	2	6	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	
Oct-19	RS15	Head of Regulatory Services	Operational	Failure of the parking service provider, Hertsmere BC, to provide the service, including insufficient CEOs	Service is specified in the SLA and associated documents. There appears to be a general shortage of CEOs - temporary staff currently in TRDC roles.	3	3	9	KPIS are monitored. Regular review meetings are held. Quarterly reports are provided. CEO recruitment is a standing item at meetings.	Head of Regulatory Services	2	2	4	Continue with existing controls. Sharing' of CEOs between TRDC and HBC if required. Continue to review CEO recruitment.	Head of Regulatory Services	Ongoing	
Oct-19	RS16	Head of Regulatory Services	Operational	Failure of EH commercial service provider, Watford BC, to provide the service in a professional, efficient and timely manner	Service is specified in the Change of Control Notice and associated documents.	3	3	9	PIs are monitored, regular review meetings are held.		2	2	4	Continue with existing controls	Head of Regulatory Services	Ongoing	

Mar-20	RS17	Head of Regulatory Services	Operational	Failure to renegotiate/renew/seek alternative provider of contracts due to expire ie IT software, parking enforcement	Contracts held by Head of Regulatory Services include responsibility for corporate IT IDOX software plus service contract for parking enforcement service.	4	3	12	Contracts are monitored and reviewed and there is early investigation of options when contract is due to expire.	Head of Regulatory Services	3	3	9	Continue with existing controls	Head of Regulatory Services	Ongoing	
Oct-20	RS18	Head of Regulatory Services	Operational	Failure to renew SLA with Hertfordshire Building Control, which would result in TRDC no longer having a Building Control service	Service is a statutory requirement and is currently provided by Hertfordshire Building Control following completion of an SLA in 2016 by seven Local Authorities (increased to 8 in 2020).	2	3	6	Contract renewal will be investigated from one year prior to expiry. Whilst currently due to expire in August 2021, agreement is in place for this to be extended to August 2022. Once it is known that the SLA will not be renewed, will be necessary to recruit this department or procure an alternative delivery model	Head of Regulatory Services	2	4	8	Given the reason HBC deliver our service is in part due to the difficulty in recruiting and retaining Building Control Surveyors, should the SLA not be renewed we would likely need to procure an alternative delivery model for this statutory service.	Head of Regulatory Services	Ongoing	

Revenues and 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. Reconciliations carried out.	Head of Revenues & Benefits	2	2	4		Continue with current controls	Head of Revenues & Benefits	Ongoing	

Strategic Risk Register (December 2021)

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
Jan-21	ST01	Head of Planning Policy	Strategic	Failure to achieve the target of nett additional homes		4	3	12	Local Development Scheme. Local Plan Sub-Committee. To get the Local Plan adopted in 2023	Head of Planning Policy	3	3	9	⇒	Local Plan Sub-Committee, Policy and Resources Committee and full Council have to agree Regulation 18, 19 and submission of the Local Plan in accordance with the Local Development Scheme	Head of Planning Policy	Dec-23	Reg. 18 consultation undertaken and number of representations received means that Reg 19 stage likely to be delayed until Q4 of 2022. LDS will be updated once all responses have been considered by Officers and LPSC.
Apr-08	ST02	Head of Community Partnerships	Strategic	Failure to achieve Community Safety targets		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, South West Herts Youth Action Panel, Domestic Abuse Partnership Board 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 once a year; Community Safety Board to review funding position of successful project and alternative funding strategies to be explored	Head of Community Partnerships	Ongoing	Impact and likelihood scores have not changed since last review. Action Plan has been updated
Jan-21	ST03	Head of Community Partnerships	Strategic	Failure to make progress on the Climate Change Strategy and action plan		4	3	12	Permanent staff recruited and in post. Strategy and Action plan agreed.	Head of Community Partnerships	2	2	4	⇒	Ensure the action plan is delivered and monitored regularly. BI annual updates at LEC Committee. Grant opportunities sought to ensure funding and partnerships can deliver strategy.	Head of Community Partnerships	Ongoing	Impact and likelihood scores have not changed since last review. Risk Controls and Action Plan have been updated
Jan-21	ST04	Head of Planning Policy	Strategic	Failure to make progress on the development of an Economic Strategy		4	3	12	2 x Economic Development Officer posts agreed	Head of Planning Policy	3	2	6	⇒	Appointment of Economic Development Officers	Head of Planning Policy	Dec-21	Economic Development Officer post is still vacant and there is a question about whether a permanent role can still be sought (ARG funding requirements). Economic Development Consultant contracted until end of December 2021 when Economic Strategy Completed. Without a dedicated Economic Development Officer it is unclear how the action plan from the strategy can be implemented. Action Plan completion date extended to December 2021
Jan-21	ST06	Director of Community and Environmental Services	Strategic	Failure to deliver the Property Investment Strategy		3	3	9	Property Investment Board. Property Strategy approved.	Head of Property	2	3	6	⇒	Continue with PIB meetings	Head of Property	Ongoing	There have been no fundamental changes to the impact or likelihood of the risk since the last review. Continued monitoring and regular oversight from the PIB will ensure that this risk is managed adequately and within acceptable limits
Jul-14	ST07	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. <b>The financial impact of COVID-19 will place a burden on the Council's Revenue account through loss of income and additional expenditure</b>	4	4	16	Regular budget monitoring reports to committees; Budgetary and Financial Risk Register reviewed and updated as part of the budget monitoring process; identification of budgetary pressure when reviewing the medium term financial plan during the budget setting process; Audited Statement of Accounts, including Annual Governance Statement. Currently the 2019/20 annual accounts are awaiting sign off from the external auditors and 2020/21 annual accounts are well progressed.	Head of Finance	3	2	6	⇒	Regular budget monitoring reports to be taken to P&R. The monitoring reports include the latest forecast for income and expenditure, including the impact of COVID-19 and related government support. The finance team continue to work with external audit to conclude the audit of the 2019/20 accounts and work will commence on the 2020/21 audit in Autumn.	Head of Finance / Heads of Service	Ongoing	Impact and likelihood scores have not changed since last review
Nov-21	ST08	Executive Head of HR and Organisational Development	Strategic	Failure to retain or recruit well trained and experienced staff resulting in reduction of high quality services	Low morale, uncompetitive salary/terms and conditions. Bouyant local job market and competition from London authorities and other local organisations. Lack of career opportunities. Retirement and lack of succession planning	3	3	9	Monitoring of staff workloads, staff appraisals, staff satisfaction survey, benchmarking of salaries, consider market factor supplements. Each service area to develop succession planning	Executive Head of HR and OD / Heads of Service	3	3	9	NEW	Continue with existing risk controls	Executive Head of HR and OD / Heads of Service	Ongoing	New Risk
Nov-21	ST09	Group Head of Transformation (WBC)	Strategic	Loss of service to internal departments and therefore external customers and / or potential for financial or data fraud.	Lack of appropriate security controls, failure to report security breaches, lack of training for all staff to identify when a security incident has taken place, failure to remediate identified vulnerabilities, failure to patch systems appropriately, unsupported software in place	3	4	12	Systems regularly backed up. IT Health check conducted once a year and follow-up actions completed. All non-supported operating systems and third party software either removed or isolated from the network. Annual external audit focussing on Cybersecurity. Threat alerts and advice received from National Cyber Security Centre	Head of ICT	2	4	8	NEW	increased all backup frequencies across all major systems. Reviewing options to increase threat management on desktops	Head of ICT	Ongoing	New Risk

Risk Management scoring matrix

	LIKELIHOOD			
IMPACT	1 Remote (≤5%)	2 Unlikely (6-20%)	3 Likely (21-79%)	4 Very Likely (≥80%)
4 Catastrophic	4 LOW	8 HIGH	12 VERY HIGH	16 VERY HIGH
3 Critical	3 LOW	6 MEDIUM	9 HIGH	12 VERY HIGH
2 Significant	2 LOW	4 LOW	6 MEDIUM	8 HIGH
1 Marginal	1 LOW	2 LOW	3 LOW	4 LOW

Impact Classification	Service disruption	Financial loss	Reputation	Failure to meet legal obligation	People
4 Catastrophic Impact	Total loss of service	>£500k	Adverse national media coverage / many complaints	Litigation, claim or fine >£500k	Fatality of one or more clients or staff
3 Critical Impact	Significant service disruption	£100k - £500k	Adverse local media coverage / several complaints	Litigation, claim or fine £100k - £500k	Serious injury, permanent disablement of one or more clients or staff
2 Significant Impact	Service disruption	£25k - £100k	Local public interest / some complaints	Litigation, claim or fine £25k - £100k	Major injury to an individual
1 Marginal Impact	Minor service disruption	<£25k	Isolated complaints	Litigation, claim or fine <£25k	Minor injury to less than 5 people