

MANAGED RISKS

(The following risks are actively being managed with action planned to develop the "Existing Risk Controls" to maintain the Target score. Target score has been achieved and is not anticipated to change as is considered the residual risk score at this point in time).

| Corporate plan link | Risk (C1) | Date risk identified | Factors | Consequences | Existing Risk Controls | June 2014 Risk Score | Sept 2014 Risk Score | Dec 2014 Risk Score | March 2015 Risk Score | June 2015 Risk Score |
|---------------------|--|----------------------|---|---|---|--|--|--|--|--|
| HO | LACK OF SOCIAL HOUSING WILL INCREASE PRESSURE ON TVBC HOUSING WAITING LIST | Nov-11 | Housing market conditions. Reduced/delayed capital receipts supporting Council's capital programme. Change to government policies. Welfare reforms. | Lack of appropriate and available affordable housing. Rise in homelessness, increase in use of B&B accommodation. | Housing Strategy developed to determine affordable housing priorities across the Borough. Flexible use of allocations within Hampshire Home Choice Allocations framework and restriction of vacancies to people with Test Valley connections and increased use of private sector tenancies may reduce impact of increasing homelessness. Report approved by Cabinet to investigate a range of different initiatives aimed at improving the supply of new affordable housing and making best use of the existing housing stock. Memorandum of Understanding for the HARA Partnership has been reviewed and extended until 2018 to enable the Partnership to benefit from the latest bidding round for funding from the Homes and Communities Agency. Cabinet agreed to make two temporary posts permanent on 17 December 2014. Both posts are focused on homelessness prevention and securing accommodation in the private sector | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |
| Type of risk | Risk Owner | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date | Required Action | June 2014 Target Score | Sept 2014 Target Score | Dec 2014 Target Score | March 2015 Target Score | June 2015 Target Score |
| Economic | B Cowcher | Y | Control | June-15 Sept 15 | Develop appropriate partnership working arrangements to deliver the Housing Strategy objectives. Investigate the list of potential initiatives approved by Members supporting the continued supply of new affordable housing and making best use of the existing housing stock. Continue to Monitor the impact of the new affordable Rents regime. Implement the revised Allocations Framework in light of the Localism Act and new statutory Code of Guidance. Make greater use of the private rented sector in accordance with the Localism Act 2011. We will continue investigating options that the Council might wish to consider in terms of investing in land and property acquisition which might have a beneficial impact on affordable housing supply. Close monitoring of homelessness caseload and the use of bed and breakfast required to ensure new staffing arrangements are delivering the required outcomes. (NB: The Housing Waiting list remains stable at the present time) | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |

| Corporate plan link | Risk (C2) | Date risk identified | Factors | Consequences | Existing Risk Controls | June 2014 Risk Score | Sept 2014 Risk Score | Dec 2014 Risk Score | March 2015 Risk Score | June 2015 Risk Score |
|---------------------|---|----------------------|--|--|---|--|--|--|--|--|
| EN/ EC/ HO/ CO | LOSS OR RELEASE OF PERSONAL DATA IN CONTRAVENTION OF THE DATA PROTECTION ACT 1998 | pre June 2011 | Lack of awareness of relevant legislation and local data security and data sharing policies. Increased public awareness of legislation. Nature of Political environment. | Fine imposed by Information Commissioner and bad publicity and reputational damage | Heads of Service aware of risks; the informal audit of how well training has bedded in was positive; services holding sensitive data are aware of the legislation and the risks; all services have appointed a DPA rep; reps attend 1/4ly forum; training on redaction has been given. Contractors and Suppliers who require access and/or need to remove data whether in hard copy format or from the contained secure network must agree and sign both the Council's 'Information Security Policy' and 'Data Sharing Code of Practice' terms and conditions before obtaining access. Guidance for Members from the ICO is contained in the Members' Handbook. Members have received training. Procedure note for dealing with breach published on intranet. Breach policy in place. Controlled (Swipe card) access to offices. | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical |
| Type of Risk | Risk Owner | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date | Required Action | June 2014 Target Score | Sept 2014 Target Score | Dec 2014 Target Score | March 2015 Target Score | June 2015 Target Score |
| Legislative | B Lynds | Y | Control | May-15 Dec 15 | Member training to be picked up as part of the induction. in-May-15. Staff E-learning is being developed. | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical |

| Corporate plan link | Risk (C3) | Date risk identified | Factors | Consequences | Existing Risk Controls | June 2014 Risk Score | Sept 2014 Risk Score | Dec 2014 Risk Score | March 2015 Risk Score | June 2015 Risk Score |
|-------------------------|---|----------------------|---|--|---|--|--|--|--|--|
| EN/ EC/ HO/ CO | FAILURE TO PREPARE AND AGREE UP TO DATE STRATEGIC AND LOCAL PLANNING DOCUMENTS | Sep-11 | Time frame for consultation on key documents informing the Local Plan. Impact of NPPF. Perspective of Government Inspector. Changes to government policy. | Unstructured and unstrategic development. Successful planning appeals having reputational and financial consequences | Revised Local Development Scheme approved by Council Jan 2014.Reg 19 consultation ends 7th March 2014 supported by updated evidence base submission to Sec of state summer 2014 | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical |
| Type of Risk | Risk Owner | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date | Required Action | June 2014 Target Score | Sept 2014 Target Score | Dec 2014 Target Score | March 2015 Target Score | June 2015 Target Score |
| Legislative/ regulatory | S Lees | Y | Control | June-15 Oct 15 Sept 15 | Further action depends on outcome of inspectors report. Local Development Scheme (timetable) to be provided to Members | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical | D2(A) Likelihood: Low Impact: critical |

| Corporate plan link | Risk (C4) | Date risk identified | Factors | Consequences | Existing Risk Controls | June 2014 Risk Score | Sept 2014 Risk Score | Dec 2014 Risk Score | March 2015 Risk Score | June 2015 Risk Score |
|---------------------|--|----------------------|--|--|---|--|--|--|--|--|
| EC/EN | COUNCIL UNABLE TO MANAGE ASSETS EFFECTIVELY | Nov-11 | Backlog of repairs. Limited resources being used for significant projects including office move. | In breach of legal obligations, physical harm to a person due to poor repair, financial penalties, lost rental income on investment properties. Impact on budgets due to costs of major repairs. | Additional Temporary Maintenance Staff recruited to assist in the delivery of the Asset Management and Maintenance Plans. Resource Plan in place for the delivery of these plans, along with Site Condition Survey Date for each premise and weekly delivery / planning review meetings commenced. Site Condition Surveys completed for all assets. Output from surveys collated into a new draft 5 year programme for delivery and funding (2016-2021) | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |
| Type of Risk | Risk Owner | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date | Required Action | June 2014 Target Score | Sept 2014 Target Score | Dec 2014 Target Score | March 2015 Target Score | June 2015 Target Score |
| Physical | S Ellis | Y | Control | May-15 Aug 15 Nov 15 | Recruitment of temporary building surveyor. Funding and rollout of 2016/21 AMP Plan. | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |

| Corporate plan link | Risk (C5) | Date risk identified | Factors | Consequences | Existing Risk Controls | June 2014 Risk Score | Sept 2014 Risk Score | Dec 2014 Risk Score | March 2015 Risk Score | June 2015 Risk Score |
|---------------------|--|----------------------|--|---|---|--|--|--|--|--|
| EN/ EC/ HO/ CO | FAILURE OF SERVICE AND CORPORATE BUSINESS CONTINUITY PLANS IN THE EVENT OF A SERIOUS INCIDENT | pre June 2011 | Lack of awareness of corporate priorities, critical services, contents of service and corporate BCPs and how to respond. | The Council would not be able to get its vital services up and running to meet the immediate needs of the community. The Council would be in breach of the Civil Contingencies Act. Bad publicity / loss of reputation/ loss of public confidence/financial consequences, potential hardship. | Internal Audit review of all BCP's completed and outcomes and Action Plan discussed with all Services. | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic |
| Type of Risk | Risk Owner | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date | Required Action | June 2014 Target Score | Sept 2014 Target Score | Dec 2014 Target Score | March 2015 Target Score | June 2015 Target Score |
| Legislative | M White/All HoS | Y | Control | Dec-14 Sept 15 Jan 16 | Follow up testing on a regular basis (at least annually). Service BCPs to be updated. Report to Management Team. Completion of the accommodation and IT Business Continuity Plan which will influence the re-write of the Service BCPs. Service BCPs to be revised and updated. | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic | E1(A) Likelihood; Very low; Impact: Catastrophic |

| Corporate plan link | Risk (C8) | Date risk identified | Factors | Consequences | Existing Risk Controls | June 2014 Risk Score | Sept 2014 Risk Score | Dec 2014 Risk Score | March 2015 Risk Score | June 2015 Risk Score |
|--------------------------|---|----------------------|--|---|---|--|--|--|--|--|
| EN/ EC/ HO/ CO | THE PUBLIC PROCUREMENT REGULATIONS 2006 MAY NOT BE BEING CONSISTENTLY APPLIED ACROSS ALL SERVICES WITHIN THE COUNCIL. GOODS, WORKS AND SERVICES ARE POORLY PROCURED AND DO NOT ACHIEVE BEST VALUE. CONTRACTS MAY BE POORLY MANAGED POST PROCUREMENT. | pre June 2011 | Lack of awareness and understanding of Procurement Regulations, Procurement Strategy and Contract Standing Orders. | Legal challenges from potential suppliers. Loss of reputation / bad publicity for the Council. Financial consequences (e.g. compensation claims, penalties etc). Poor value for money achieved. | Procurement Officer has been appointed and involved in significant procurements and has conducted training for middle managers. Guidance documents are available on the intranet. Procurement Strategy approved by Cabinet. Contract Standing Orders and Financial Procedure Rules were updated and approved by Full Council on 7th Nov, 2012. Communicated to all staff via the staff information bulletin. Procurement work plan for 2014/15 agreed by OMT and fulfilled with the exception of training on revised procurement regulations. | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant |
| Type of Risk | Risk Owner | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date | Required Action | June 2014 Target Score | Sept 2014 Target Score | Dec 2014 Target Score | March 2015 Target Score | June 2015 Target Score |
| Partnership/ Contractual | W Fullbrook | Y | Control | Mar-14 Mar 16 | Implement 2015/16 procurement work programme. To include provision of training to MMF, Heads of Service and Contracting Officers on the revised Public Procurement Regulations. | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant | D3(A) Likelihood; Low, Impact: Significant |

| Corporate plan link | Risk (C10) | Date risk identified | Factors | Consequences | Existing Risk Controls | June 2014 Risk Score | Sept 2014 Risk Score | Dec 2014 Risk Score | March 2015 Risk Score | June 2015 Risk Score |
|---------------------------|---|----------------------|--|--|---|--|--|--|--|--|
| EN/ EC/ HO/ CO | INAPPROPRIATE COMMENT/ BEHAVIOUR/ ACTIONS FROM STAFF | pre June 2011 | Levels of staff awareness of expectations regarding conduct. Efficiency pressures, stretched resources. Staff expectations. Nature of Political environment. | Loss of reputation / bad publicity for the Council. Financial consequences (e.g. compensation claims, penalties etc) | Customer Experience Training for relevant staff. Induction programme incorporates Values which are embedded in the Corporate Plan. Complaints monitored at Performance Boards. Enhanced role being developed for Complaints and Improvement Officer to enable Services to learn from issues highlighted by complaints and media monitoring. Appreciative and behavioural based appraisal rolled out for all staff. IT and social media policy in place. | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |
| Type of Risk | Risk Owner | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date | Required Action | June 2014 Target Score | Sept 2014 Target Score | Dec 2014 Target Score | March 2015 Target Score | June 2015 Target Score |
| Managerial / Professional | B Lynds | Y | Control | Aug-15 | Employee code of conduct to be reviewed and updated to tie in with New Member Code of Conduct to be introduced following Borough Council elections. It will then be communicated to all staff. | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |

| Corporate plan link | Risk (C13) | Date risk identified | Factors | Consequences | Existing Risk Controls | June 2014 Risk Score | Sept 2014 Risk Score | Dec 2014 Risk Score | March 2015 Risk Score | June 2015 Risk Score |
|---------------------|-----------------------------|----------------------|---|--|---|---|--|---|---|---|
| HO | RISE IN HOMELESSNESS | May-12 | Welfare Reform changes including Universal Credit direct payments, state of the economy, availability and affordability of private rented sector accommodation. Statutory function supported heavily by temporary staffing. | We overspend our budget and experience difficulty in achieving the Government's targets for households in bed and breakfast. Households experience hardship. | homelessness prevention work, working with private landlords, increase supply of temporary accommodation through short term lets, bolster funding for rent deposit scheme. Temporary Homelessness Prevention Officer and Private Sector Landlord Liaison Officer now made permanent. Close monitoring of trends on quarterly basis to detect significant changes as soon as possible. Arrangement with Aster for managing and increasing if necessary, the short term let portfolio has been renewed. Priority given to homeless applicants living in temporary private sector leased accommodation reviewed. Changes to Banding priorities within Allocation Policy implemented. Monthly checks of new cases where benefit restricted and advice given on housing options accordingly. | A2(R) Likelihood: Very high, Impact: Critical | A2(R) Likelihood: Very high, Impact: Critical | B2(R) Likelihood: High, Impact: Critical | B2(R) Likelihood: High, Impact: Critical | B2(R) Likelihood: High, Impact: Critical |
| Type of Risk | Risk Owner | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date | Required Action | June 2014 Target Score | Sept 2014 Target Score | Dec 2014 Target Score | March 2015 Target Score | June 2015 Target Score |
| Social & Economic | K Sutcliffe/ B Cowcher | Y | Control | June-15 Sept 15 | Homelessness caseload to continue to be closely monitored as well as the use of bed and breakfast accommodation to ensure new staffing arrangements are working effectively. Priority to continue to be given to increasing the supply of affordable housing and the availability of private rented accommodation. | A2(R) Likelihood: Very high, Impact: Critical | A2(R) Likelihood: Very high, Impact: Critical | B2(R) Likelihood: High, Impact: Critical | B2(R) Likelihood: High, Impact: Critical | B2(R) Likelihood: High, Impact: Critical |
| | | | | | | NB: The reduction in the risk score is due to a review of staffing levels resulting in the Temporary Homelessness Prevention Officer and Private Sector Landlord Liaison Officer posts being made permanent. This has helped to minimise the use of bed & breakfast . | | | | |

| Corporate plan link | Risk (C14) | Date risk identified | Factors | Consequences | Existing Risk Controls | June 2014 Risk Score | Sept 2014 Risk Score | Dec 2014 Risk Score | March 2015 Risk Score | June 2015 Risk Score |
|---|--|----------------------|--|--|--|---|---|---|---|---|
| HO/CO | TVBC IS UNABLE TO PREDICT THE SCALE OF THE IMPACT OF UNIVERSAL CREDIT AND THE RESOURCE IMPACT THIS WILL HAVE ON THE COUNCIL IN ASSISTING OUR MOST VULNERABLE RESIDENTS | Mar-14 | Introduction of Universal Credit | Customers - impact of 4 weekly payment switch, responsibility for paying rent, availability of IT access and support, availability of financial advice / guidance. TVBC - role unclear at this stage therefore level and type of support to be provided unknown, funding arrangement unknown, on-going requirement to provide support via discretionary housing payments. | The Council has established an Employment and Skills Zone Partnership with Jobcentre Plus, registered housing providers and relevant local voluntary organisations. The purpose is to coordinate employment, training and placement opportunities primarily for tenants and benefits recipients. Regular partnership meetings are being held. 2 Jobs fairs have been held at The Lights in 2014. The Council held a Welfare Reform Event on 24 January 2014. Members of the Test Valley Partnership and a representative from DWP met to identify areas of partnership working in preparation for the introduction of Universal Credit. An action plan is being developed. A pilot scheme to provide IT access and support via volunteers is being implemented in North Baddesley and Lockerley this is due to be extended to Nursling. Introduction of an electronic claim for Housing Benefit and Council Tax Support has been completed. | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant |
| Type of Risk | Risk Owner | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date | Required Action | June 2014 Target Score | Sept 2014 Target Score | Dec 2014 Target Score | March 2015 Target Score | June 2015 Target Score |
| Social and economic | B Cowcher-/J Broomfield | Y | Control | Dec 15 | Implementation of Skills Zone and partnership action plans Public Sector Landlords Forum - on-going dialogue and information exchange Consideration of further benefit e-forms to encourage job seekers to interact on-line in preparation for Universal Credit. A project meeting to be held with the DWP Partnership Manager 08/06/15 ahead of the planned implementation date for Universal Credit on 23/09/15. The initial stage of implementation will be for new claims for singleJobseekers only. | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant |
| NB: The risk score "Impact has reduced as implementation relates just to new claims for single jobseekers at this stage and will be re-assessed later in the project once larger numbers start to transfer. | | | | | | | | | | |

MANAGED RISKS

(The following risks are actively being managed with action planned to develop the "Existing Risk Controls" to **achieve** the Target score.

| Corporate plan link | Risk (C12) | Date risk identified | Factors | Consequences | Existing Risk Controls | June 2014 Risk Score | Sept 2014 Risk Score | Dec 2014 Risk Score | March 2015 Risk Score | June 2015 Risk Score |
|---------------------|------------------------------------|----------------------|--|---|---|---|---|---|---|---|
| EN/ EC/ HO/ CO | BREACH OF EQUALITY ACT 2010 | Sep-11 | Staff and Members unaware of Equalities legislation and its application. Nature of Political environment. Amendments to Equality Act | Council decisions are not properly assessed for their equality impact and as an employer doesn't take into account equalities legislation. Possible Judicial Review of Council decisions and costs awarded against the Council. | (1) Equalities training undertaken for all TVBC staff in 2010/11. (2) Equality impact assessment process in place for all decisions made by Cabinet (3) Equal opportunities policy in place. (4) Equalities training to be undertaken by all new recruits | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |
| Type of Risk | Risk Owner | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date | Required Action | June 2014 Target Score | Sept 2014 Target Score | Dec 2014 Target Score | March 2015 Target Score | June 2015 Target Score |
| Legislative | A Ferrier | Y | Control | Dec-15 | Equalities training will be included as part of the induction programme in late 2015 and undertaken by all Councillors. | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant |

ACCEPTED RISKS

(The target score has been achieved on the following risks and no further action is planned other than ongoing monitoring . Risks remain on the register as an aide memoire to ensure subject to ongoing review)

| Corporate plan link | Risk (C6) | Date risk identified | Factors | Consequences | Existing Risk Controls | June 2014 Risk Score | Sept 2014 Risk Score | Dec 2014 Risk Score | March 2015 Risk Score | June 2015 Risk Score |
|--------------------------|--|----------------------|---|--|---|--|--|--|--|--|
| EN/ EC/ HO/ CO | CUSTOMER SERVICE LEVELS AND STAFF ARE ADVERSELY AFFECTED BY PRESSURES ON ORGANISATIONAL RESOURCES | pre June 2011 | Efficiency savings. Public expectations. Organisational change. | Low staff morale, increased stress levels, reduction in quality of customer service, increase in customer complaints, bad publicity, increase in staff sickness levels, increased turnover in staff. | Regular, clear, open and honest communication with all staff and councillors. Constructive and meaningful collective consultation with Trade Unions and individually affected members of staff. Conducting organisational change processes in accordance with the Council's policies and values. Monitoring capacity issues across the organisation through Performance Boards. | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |
| Type of Risk | Risk Owner | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date | Required Action | June 2014 Target Score | Sept 2014 Target Score | Dec 2014 Target Score | March 2015 Target Score | June 2015 Target Score |
| Managerial/ Professional | R Tetstall | N | Accept | Ongoing | | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant | D3(A) Likelihood: Low, Impact: Significant |

| Corporate plan link | Risk (C7) | Date risk identified | Factors | Consequences | Existing Risk Controls | June 2014 Risk Score | Sept 2014 Risk Score | Dec 2014 Risk Score | March 2015 Risk Score | June 2015 Risk Score |
|---------------------|---|----------------------|---|--|--|--|--|--|--|--|
| EN/ EC/ HO/ CO | INAPPROPRIATE COMMENT/ BEHAVIOUR/ ACTIONS FROM COUNCILLORS | pre June 2011 | Localism Act has removed the national code of conduct leaving Councils to adopt their own. Lack of awareness of the new code of conduct. Nature of Political environment. | Loss of reputation / bad publicity for the Council/ financial consequences (e.g. compensation claims, penalties etc) | Member induction and other training; local code of conduct; Member/Officer protocol; Member declarations of interest; Head of Legal role, Code of conduct adopted and training of most members undertaken. FAQs have been prepared and issued. | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant |
| Type of Risk | Risk Owner | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date | Required Action | June 2014 Target Score | Sept 2014 Target Score | Dec 2014 Target Score | March 2015 Target Score | June 2015 Target Score |
| Political | B Lynds | N | Accept | Ongoing | | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant | C3(A) Likelihood: Significant, Impact: Significant |

| Corporate plan link | Risk (C9) | Date risk identified | Factors | Consequences | Existing Risk Controls | June 2014 Risk Score | Sept 2014 Risk Score | Dec 2014 Risk Score | March 2015 Risk Score | June 2015 Risk Score |
|---------------------|--|----------------------|--|--|---|---|---|---|---|---|
| EN/ EC/ HO/ CO | POLITICAL AND OTHER SHORT TERM PRESSURES MAY DRIVES "SHARED SERVICE" ARRANGEMENTS WHICH ARE NOT IN THE AUTHORITY'S BEST LONG TERM INTERESTS | Sep-11 | Economic pressures to achieve efficiency savings. | Such arrangements may not deliver value for money in the longer term and/or result in a reduced standard of service to the 'customer'. | Ensure <ul style="list-style-type: none"> that the full resource implications of entering into such an arrangement are explicitly assessed; that the future nature and standard of the service in question is clear and that the Council will retain sufficient control over these matters in the future; that such arrangements are not assessed only on a piecemeal basis but also for their cumulative implications for the Council as a whole. | E3(G) Likelihood: Very low, Impact: Significant | E3(G) Likelihood: Very low, Impact: Significant | E3(G) Likelihood: Very low, Impact: Significant | E3(G) Likelihood: Very low, Impact: Significant | E3(G) Likelihood: Very low, Impact: Significant |
| Type of Risk | Risk Owner | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date | Required Action | June 2014 Target Score | Sept 2014 Target Score | Dec 2014 Target Score | March 2015 Target Score | June 2015 Target Score |
| Political | R Tetstall | N | Accept | Ongoing | | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant |

| Corporate plan link | Risk (C11) | Date risk identified | Factors | Consequences | Existing Risk Controls | June 2014 Risk Score | Sept 2014 Risk Score | Dec 2014 Risk Score | March 2015 Risk Score | June 2015 Risk Score |
|---------------------|--|----------------------|---|--|---|--|--|--|--|--|
| EN/ EC/ HO/ CO | FAILURE TO RECOGNISE POSSIBLE ABUSE AND TO ADEQUATELY AND APPROPRIATELY RESPOND TO CONCERNS ABOUT SAFEGUARDING CHILDREN AND VULNERABLE ADULTS | pre June 2011 | Vulnerable service users. Staff and Member lack of awareness of confidence about how to respond. Recent legislative update regarding CRB. | Inability to demonstrate the policy and procedures to ensure we meet our statutory obligations to safeguard children and vulnerable adults. Failure to do so could result in investigation and penalties for the Council and a failure in safeguarding control for the child or vulnerable adult. Reputational damage. | Member of Hampshire Safeguarding Children Board. Local Children's Partnership Plans facilitate multi-agency working around safeguarding. Safeguarding Policy and Action Plan has been approved (for children and vulnerable adults). Support in place for staff or Members who have reported a concern. Events Guidelines, Photography guidance and Social networking guidance in place. Member training has been provided in 2014. | D2(A) Likelihood: Low, Impact: Critical | D2(A) Likelihood: Low, Impact: Critical | D2(A) Likelihood: Low, Impact: Critical | D2(A) Likelihood: Low, Impact: Critical | D2(A) Likelihood: Low, Impact: Critical |
| Type of Risk | Risk Owner | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date | Required Action | June 2014 Target Score | Sept 2014 Target Score | Dec 2014 Target Score | March 2015 Target Score | June 2015 Target Score |
| Social | D Tasker | N | Accept | Ongoing | Training to continue on a rolling programme and other safeguarding procedures are ongoing. | E2(A) Likelihood: Very Low, Impact: Critical | E2(A) Likelihood: Very Low, Impact: Critical | E2(A) Likelihood: Very Low, Impact: Critical | E2(A) Likelihood: Very Low, Impact: Critical | E2(A) Likelihood: Very Low, Impact: Critical |

| Corporate plan link | Risk (15) | Date risk identified | Factors | Consequences | Existing Risk Controls | June 2014 Risk Score | Sept 2014 Risk Score | Dec 2014 Risk Score | March 2015 Risk Score | June 2015 Risk Score |
|---------------------|--|----------------------|---|---|--|---|---|---|---|---|
| CO | ACCESS TO CENTRAL GOVERNMENT DATA SOURCES WITHDRAWN AS A RESULT OF NON COMPLIANCE WITH PUBLIC SERVICES NETWORK (PSN) NETWORK STANDARD | May-13 | Compliance to the PSN "Code of Connection" reassessed annually, and on-going IT changes must be made with compliance in mind. | Services lose access to centrally held data, e.g. Revenues to DWP data; Electoral Registration to IR Services; Senior officers to secure email. | IT Service prioritises and undertakes a comprehensive annual review of its security of data, and access methods to that data. This is assessed by CESG/GCHQ and their recommendations implemented where possible feasible and/or practical to do so. | E3(G) Likelihood: Very low, Impact: Significant | E3(G) Likelihood: Very low, Impact: Significant | E3(G) Likelihood: Very low, Impact: Significant | E3(G) Likelihood: Very low, Impact: Significant | E3(G) Likelihood: Very low, Impact: Significant |
| Type of Risk | Risk Owner | Further Action (Y/N) | Action type - Accept, Terminate, Control, Transfer | Action Target Date | Required Action | June 2014 Target Score | Sept 2014 Target Score | Dec 2014 Target Score | March 2015 Target Score | June 2015 Target Score |
| Technological | T Fawcett | N | Accept | Apr-16 | Continued implementation of 3rd party recommendations, review of existing and new policies and establish responses and implementations of new statutory requirements of the PSN Authority. Undertake CoCo submissions and evidencing as required by Cabinet Office | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant | E3(G) Likelihood: Very Low, Impact: Significant |