

Strategic Risk Register

Date risk added to register	Risk ref	Risk owner	Category	Risk description	Comment	Likelihood score (inherent)	Impact score (inherent)	Inherent risk score	Risk controls	Risk control owners	Likelihood score (residual)	Impact score (residual)	Residual risk score	Risk direction	Action plan	Action plan owners	Action plan completion dates	Comments on last risk review
Jan-21	ST01	Head of Planning Policy	Strategic	Failure to achieve the target of net additional homes	The 2024 update to the NPPF sets out that the aim of the Local Plan should be to meet an areas identified housing need. This should be informed by a local housing needs assessment, conducted using the standard method set out in national planning practice guidance to determine the minimum number of homes needed. As such, the Local Plan will need to be justified by robust evidence to clearly demonstrate why the standard method target cannot be met in full, and this will be closely scrutinised by the Inspector at examination.	4	4	16	Adopt new local plan as soon as possible with site allocations to meet housing targets.	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-24	Reg. 18 consultation undertaken and number of representations received together with resourcing issues over the last year meant that Reg 19 stage has been delayed until Q4 of 2023. LDS has been updated to reflect the new Local Plan timetable.
Jul-14	ST07	Director of Finance	Strategic	The Medium term financial position worsens.	The Council has set its budget for 2025/26 and beyond. The budget is balanced for 2025/26 but the Medium Term Financial Plan is showing a total gap of £1.7M for years 2&3. This is due to taking a view of the impact of the Government's 'Fair Funding' reform and the business rate reset. Early forecast by LGFutures and Pixel show varying impacts on Three Rivers but taking a prudent view balances will allow a measured approach to savings. The Local Government Finance Settlement including actual figures is not due until just before Christmas.	3	3	9	The Council maintains a healthy level of balances and continues to actively monitor its budgets, taking action in year where necessary. Currently the Council is benefitting from a high level of interest income due to higher than anticipated interest rates and high levels of cash balances.	Head of Finance	3	2	6	➡	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 which includes a risk assessment for the prudent level of general balances and an assessment of financial resilience with reference to the CIPFA Financial resilience index.	Head of Finance / Heads of Service	Continuous	No changes since last review
Nov-21	ST08	Executive Head of HR and Organisational Development (WBC)	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 succeseion planning	4	3	12	Monitoring of staff workloads, staff appraisals, staff satisfaction survey, benchmarking of salaries, consider market factor supplements. Each service area to develop succession planning. Increased risk due to local government reorganisation (cross reference with ST11 below)	Executive Head of HR and OD / Heads of Service	3	3	9	➡	Continue with existing risk controls and build on recent work on values and behaviours. The corporate culture ensures that staff are supported through the LGR process	Executive Head of HR and OD / Heads of Service	Ongoing	We will continue to monitor this risk. It has also been incorporated in all HR Business Partner's PDRs as a way of monitoring and managing the risk at a local level. Residual risk score has not changed since last review.
Nov-21	ST09	Associate Director of ICT and Shared Services (WBC)	Strategic	Loss of ict 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. Active member of South East Government Warning, Advisory and Reporting Point (SEGWARDP)	Associate Director of ICT and Shared Services	2	4	8	➡	Increased all backup frequencies across all major systems. Threat management on desktops mitigated by implementation of Qualys as at December 2023	Head of ICT	Ongoing	<ul style="list-style-type: none">- ICT Information security group meets monthly- Regular phishing campaigns carried out organisation-wide- Cybersecurity awareness training (Phishing, Social Engineering) in mandatory training- ICT Healthcheck completed by MTI Oct 2025- PSN compliance from Cabinet Office- Desktop refresh completed improving firmware resilience & including hardened image- Windows 10 removed from estate replaced by Windows 11 on all workstations- Office 2016 removed from estate- Windows updates - Servers patched quarterly, end user devices patched monthly- Working abroad controls in place - access restricted if abroad without a service request approved by line manager and also by ICT where the visited territories are considered safe.- Mobile Device Mgt via MS Intune - BYOD restricted to devices with Intune- Desktop vulnerabilities managed via Qualys and falling significantly- BullWall Ransomware product renewed to end of 2027- Mimecast email and web filtering- Incoming connections filtered by geolocation where necessary- Microsoft Entra (365) with MFA in place
Jan-24	ST10	Associate Director for Environment	Strategic	Failure to deliver net-zero carbon commitments	Failure to achieve net zero for Council operations by 2030, resulting in escalating energy costs, reputational risk, and lack of contribution the net commitment of the Climate Change Act 2008.Whilst progress is made on buildings, there are huge barriers in some areas:-Lack of viable business case for the switch to Air Source Heat Pump (ASHP) means new gas boilers will be installed at William Penn. The uncertainty over LGR and the huge cost of transitioning the fleet and installation of associated infrastructure, means fleet decarbonisation will not complete by 2030. Average maximum temperatures in the Southeast of England have increased by 1.5°C between 1961–1990 and 2015–2024. Some climate change effects are already locked in, so temperatures are likely to keep rising. Increased temperatures and frequency of extreme weather events pose serious risks to residents, infrastructure, food, water, and local wildlife. Failure to implement the actions of the resilience register means greater risk to delivery of council services and resident health and wellbeing.	4	4	16	To achieve net zero by 2030 for scope 1 council operations (gas, diesel/petrol), emissions will need to be offset as they are unlikely to be mitigated by 2030. An energy offsetting plan will be produced by March 2027, and all new biodiversity projects, which could be suitable, will be accounted for as offsets. To reduce district emissions and encourage the transition to electric a Local Energy Plan will be completed by March 2026. It will be shared with UK Power Networks and Regional Energy Strategic Planners to inform local, regional and national infrastructure requirements. It will include actions to speed up the transition to ASHP, increase uptake of renewables and pursue opportunities for heat networks. Maintain and ensure the resilience risk register actions are implemented to minimise impact of the changing climate to council services and for residents of Three Rivers.	Climate Change and Sustainability Strategy Officer	3	3	9	➡	Ensure the action plan is delivered and monitored bi-annually at the CGL Committee. The resilience risk register and associated actions are reviewed and monitored annually. Continue to seek grant opportunities. Work with natural infrastructure to ensure offsets are recorded effectively	Climate Change and Sustainability Strategy Officer	Ongoing	Residual risk score has not changed since last review
Mar-25	ST11	Director of Finance	Strategic	Local Government Reorganisation	The Government has announced its intention that remaining two-tier areas will have unitary government by April 2028. This may impact on budget decisions and loss of key personnel	4	3	12	Maintain current budget discipline. Ensure reserves remain at sustainable levels. Work across the County to understand the potential implications.	Head of Finance	4	2	8	➡	Three Rivers is actively working with the other Borough/Districts and the County to understand the potential implications of local government reorganisation.	Chief Executive/ Director of Finance	Continuous	New Risk
Oct-25	ST12	Head of Planning Policy	Strategic	Failure to protect the Green Belt	The Council recognises the importance of the Green Belt and the detrimental impact building on it would have, without necessary controls. Any planning applications refused on green belt grounds may go to appeal which will incur costs to the Council and still may be ruled in favour of the applicant.	4	4	16	The Council has carried out four reviews of the Green Belt to identify areas that could be classified as potential Grey Belt, and to highlight areas of Green Belt considered of fundamental importance. The fourth review identified areas where development would fundamentally undermine the importance of the Green Belt. These reviews will guide decisions on site allocations in the Local Plan and support planning application assessments.	Head of Planning Policy	3	3	9	➡	The Council will continue to prioritise brownfield development.	Head of Planning Policy	Continuous	New Risk

Risk Management scoring matrix

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

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