

Ref Number	Group	Description	Impact	Source of Risk	Prior Assessment			Existing Controls	Effectiveness of Controls	Current Assessment			Further Mitigations	Risk Owner	Notes
					Likelihood	Consequence	Risk Rating			Likelihood	Consequence	Residual Risk			
FN11	Financial	Changes to Local Government Funding.	Reduction in spending power.	Local Government Funding Review has been delayed but is still almost certain to happen in the medium term. Further concern as to whether new homes bonus will be received in future years.	4 - Likely	4 - Critical	15	Medium Term Financial Strategy is in place. Commercialisation programme has continued to invest. Treasury management strategy adopted and in place. Commercialisation strategy has been reviewed.	Satisfactory	4 - Likely	3 - Major	12	Review diversified, increased sources of income and cost reduction. MTF5 updated and reported to Members. Lobby via LGA, District Councils Network and Society for Local Authority Chief Executives, or clarity of funding review outcome and improvements via LGA outcomes. Lobby DLUHC on funding review.	Head of Corporate Services	Reviewed Jan 2022
FN12	Financial	Loss of key income stream and subsequent budget implications. (For example Leisure Contract alterations and potential future loss of income on garden waste).	Reduction in overall income.	Under recovery of income by key partners (e.g. due to Covid-19 or changes in national strategy), resulting in either a reduction or loss of payment. Future risks to income due to garden waste income due to National Waste Strategy	5 - Almost Certain	3 - Major	15	Ongoing monitoring of financial performance of key contractors. Maintain good working relationships with partners. Early consideration of financial impact of the loss of recycling income. Revised budgets to take into account Leisure Concession reduction.	Satisfactory	4 - Likely	3 - Major	12	Consideration of new income streams, raised risk of income streams with members. Reset the relationship with our Leisure provider and other contracts.	Head of Corporate Services	Reviewed Jan 2022
FN13	Financial	Loss of New Homes Bonus from 23-24 onwards and subsequent budget implications as the council places reliance on the New Homes Bonus for its revenue budget.	Reduction in overall income.	The government has stated New Homes Bonus will cease	5 - Almost Certain	4 - Critical	20	Plan for reduced income, including service cost reductions. Use of commercial opportunities to reduce future budget gaps.	Satisfactory	4 - Likely	4 - Critical	16	Lobbying for improved arrangements. We are awaiting consultation on the new funding mechanisms. Cost reduction options Working with LGA and DLUHC. Series of workshops has taken place and options for savings and income generation to be presented to members is being worked up by officers.	Head of Corporate Services	Reviewed Jan 2022 - Risk reviewed and increased
FN14	Financial	Loss of Grant - Funding - Disabled Facilities Grant & Homelessness Prevention Grant	Ability to fund services to customers.	Central Government funding reductions.	3 - Possible	2 - Moderate	6	Will be taken into account as part of budget process, cost & service reductions may be considered.	Satisfactory	3 - Possible	2 - Moderate	6	Lobbying for improved arrangements	Head of Corporate Services	Reviewed Jan 2022 - Need to speak with
FN15	Financial	Demand for services increases	Potentially quality of services are reduced as the same resources are spread thinner to deal with the increased calls on service. Potential delays in service provision. Other KPIs not met. Potential risk to projects, as resources and staffing on projects are moved to deliver 'business as usual services' to meet the additional need and in so doing diverting resources needed for project work.	Population of Hart is increasing. Expectations on service delivery are increasing. Demographic changes (such as an ageing population and increasingly complex cases).	4 - Likely	4 - Critical	16	Effective budget setting process in place. Statutory and priority services are identified. Aim to encourage our residents to use the most cost effective ways to gain service delivery (e.g. via our website)	Substantial	5 - Almost Certain	2 - Moderate	10	Investigate options to reduce costs, look at alternative methods of service delivery. The Digital Strategy delivers against this ambition, seeking to streamline processes and enable residents to self serve via a newly launched website	All Heads of Service	Reviewed Jan 2022 - Risk reduced as a rising tide - so likely to occur
FN16	Financial	Financial impact to the council due to the ongoing volatility of the economy as we recover from COVID-19 could result in significant shortfalls in income and the ability of the council to effectively fund current services.	Reduced recovery of income, reduced levels of income, volatility of financial markets and delays in delivery of Commercial Strategy.	Covid Recovery	4 - Likely	3 - Major	12	Revised Budget agreed. Leisure Contracte negotiated. Cashflow being monitored. Regular reporting of financial position to management and members.	Satisfactory	4 - Likely	2 - Moderate	8	Stress testing of MTF5 and revised MTF5 presented to Members. Revised budget built on lower income levels and cloth cut accordingly. Commercial Strategy has been refreshed (July 2022) along with Treasury Management Strategy updated annually.	Head of Corporate Services	This risk was originally a Covid Risk 01 and has been reviewed in Feb 2022 and now categorised as a Financial Risk - risk is reduced/ the original FN08 has been replace
FN17	Financial	Unable to deliver the Tier 1 and Tier 2 savings plan. Unable to get agreement to Tier 3 savings in due course	Accelerated use of financial reserves, loss of reputation. In the longer term, potential risk of Section 114 notice	Many of the savings requirements are subject to formal employee consultations. Tier 1 and 2 savings plans already agreed and adopted. Tier 3 has yet to be agreed.	4 - Likely	3 - Major	12	This has been picked up as a project reported to programme board and progress is monitored on a monthly basis. Each service have their own savings in their service plan which will be scrutinised through the service panels.	Satisfactory	4 - Likely	2 - Moderate	8	Tier 1 and 2 savings plans have already been agreed and these savings objectives are being overseen by the Councils Corporate Project Board to ensure that projects are kept on track	Head of Corporate Services	
Gov1	Governance	Failure in compliance with the governance framework, resulting in poor decisions	Loss of reputation. Poor Decisions. Financial penalties	Non-compliance with constitution. Contact Standing Orders and Procurement rules, one of the statutory officers not being in post.	2 - Unlikely	3 - Major	6	Committee Structure in place. Scheme of Delegation in place. Recent toolkit training given to officers - such as Fraud Awareness, Procurement. Annual Governance statement in place. All Statutory Officers are in post. Shared Legal Services Team in place, compliance with the law, Member and Officer Codes of Conduct in place. Review of Local code of Corporate Governance book place in July 2021	Substantial	2 - Unlikely	2 - Moderate	4	Improved processes and more standardised approaches	Joint Chief Executives	
Gov2	Governance	Governance arrangements for outsourced and shared services are not always robust. Decisions are made outside of the council for services we provide. (Not doing what we should)	Poor performance for shared and outsourced services with no consequences.	Governance frameworks for shared or outsourced services are not always effective.	3 - Possible	3 - Major	9	Client monitoring roles in place. Level of risk to reducing as elements of services are removed from the SC's contract. Audit have recently undertaken an audit of Streets and Grounds Maintenance and a further audit is investigating the assurance around the arrangements for the waste contract to review governance arrangements. We have a range of meetings to ensure ongoing effectiveness of our joint arrangements including Councils - Service Improvement Group, Strategic Management Board, Joint Committee For R08C, Partnership Board, Joint Governance Group (for waste and streets and grounds maintenance) as well as individual performance meetings for customer services, learning etc.	Satisfactory	3 - Possible	2 - Moderate	6	Shared Services Review carried out in 2019 and action taken as a result e.g. the cessation of the Joint Community Safety Service. The Service Level Agreement and KPIs are currently being refreshed for the management and control of the Waste Management Contract. Funded to ensure they are relevant, current and appropriate to the new structures. A new Licensing agreement has recently been adopted. Reduced number of services are now part of the 5 Councils Contract.	Joint Chief Executives	Transitions will introduce whole new sets of risks to be managed within the transition process.
Gov3	Governance	Political uncertainties	Potential lack of clarity on direction sought by the Administration which may lead to slower decisions, no decisions or greater resources required to help inform those decisions.	Change of Political Administration. Political pressure, limited experience and knowledge	3 - Possible	2 - Moderate	6	Manage political relationships. Member inductions for new Members post the elections. Member Development Opportunities in place including FOI (GDPK / Fraud Awareness / Equality) Legislation (Safeguarding etc as well as briefings for each of the Services (Place, Community, Corporate and Environment and Technology)	Satisfactory	3 - Possible	2 - Moderate	6	Encourage political groups to manage their own training to ensure Cllrs are effective on day 1 and as part of this, encourage them to use training made available via the Local Government Association	Joint Chief Executives	Reviewed Jan 2022 - to be discussed PHDP
Emp1	Employee	Single Points of failure/Expertise.	Service continuity, delays in service provision to customers both external and internal.	Capacity and resilience issues. Cost and practicality limitations on multiple people and processes.	4 - Likely	3 - Major	12	Sharing Knowledge. Opportunities to leverage expertise from other councils. Robust policies/procedures and guidance notes in place for some areas.	Satisfactory	4 - Likely	2 - Moderate	8	Need to ensure controls in place are consistent. Consider the option of career graded progression within the organisation to develop home grown talent.	Joint Chief Executives	Reviewed Jan 2022 risk increased
Emp2	Employee	Capacity of the organisation to deliver the services expected by customers, whilst also delivering the objectives of the Council Corporate Plan, or Service Plan in a timely manner.	Adverse impact on service provision. Risk of error. Poor decisions. Customer dissatisfaction. Reputational risk	1. inability to appoint experienced staff into certain professional roles (this is a national issue with shortages in auditing, planning, environmental health etc. 2. the council has a financial deficit and tier 2 Savings will see a reduction in staff capacity.	4 - Likely	3 - Major	12	Robust policies/procedures and guidance notes in place for some areas.	Satisfactory	4 - Likely	3 - Major	12	Improve sharing of knowledge. Use temporary staff where available and appropriate. Consider the option of career graded progression within the organisation to develop home grown talent. Embed Organisational Development Plan. Tier 3 savings may provide an opportunity to refocus some of the Councils resources away from workload no longer prioritised, to work that more closely aligns to the Councils priorities.	Joint Chief Executives	Reviewed Jan 2022 - to be discussed PHDP
Emp3	Employee	Staff morale. Risk of poor staff retention as a result. Risk of higher rates of sickness as a result.	Risk on performance. Higher levels of vacancy rates. Increasing workloads for staff remaining (and commensurate impact on service quality/efficiency). Reduced level of Employee wellbeing. Increased cost of recruitment or the use of agency staff to cover vacancies	1. High levels of existing workload. 2. inability to balance workforce balance particularly with agile working the 'new normal'. 3. A feeling that they do not have the ability to influence decisions, or are that they are not being kept informed.	4 - Likely	3 - Major	12	Health & Wellbeing Officer is in place. The culture encourages open discussion on employment issues, soft opportunities such as volunteering being explored. A variety of social events available to all staff are now running. Survey to really understand how the implementation of good ideas when relevant and helpful. Recognise and reward success	Limited	4 - Likely	3 - Major	12	1. All staff have one to one's on a monthly basis with performance development reviews on a six monthly basis, with the ability to raise concerns regarding workload, at any of these (and other informal) meetings. 2. Agile Working Policy is in place and all Members of Staff have considered their work styles, which works best for them and their productivity and agreed an approach with their line managers. 3. We have All Staff Briefings on a monthly basis to keep all staff up to date on key matters across the organisation (these are recorded, so anyone unable to attend can watch later on). We also have fortnightly newsletters, for updates inbetween times. We encourage all staff to get involved in Service Plan creation, so that their influence decisions on key priorities in their area of expertise. In addition we have periodic anonymous staff surveys, which all staff encouraged to take part, so we can take the temperature of the organisation and make improvements where issues are found. 4. We also provided our Employee Assistance Programme, which provides a wide suite of support for our staff, from mental health wellbeing to helping with budgeting for the family. 5. We try to do away with the stigma around mental health, regularly discussing it and providing training and support.	Joint Chief Executives	Reviewed January 2022 - mitigations and further mitigations updated to reflect what has been implemented and what is being done to reverse this
Corp1	Corporate	5 Councils Risk - key strategic partners are subject to changing relationships e.g. Mendip District Council is being subsumed into Somerset Council and Havant and East Hampshire Strategic Partnership is coming to an end (East Hants receives services from 5 C's via Havant)	Potential changes to the contract, potential changes to the partners who are party to the contract, increased officer time and resources to manage leading to challenges in the way decisions are made in the future. Potential decision of other parties to leave the contract, impacting on those remaining	Increases costs to services, increased cost to manage the contract, increased officer time and resources to manage	3 - Possible	3 - Major	9	Governance framework is in place, which includes: The Inter Authority Agreement Joint Committee Strategic Board Operational Management Board Joint Client Team Hart Client Team Transition in progress to in-house service provision on services that were considered to be performing below expectations.	Satisfactory	3 - Possible	2 - Moderate	6	Letters have been formally written to both Mendip/Somerset and Havant to remind them and advise them of the provisions both of the Inter Authority Agreement and the Contract. The IAA provides protections for each Council against increases in cost deriving from decisions taken by other Councils (each must reimburse others for decisions not of their making). We await a response to these letters.	Joint Chief Executives	Reviewed 2022 changes to SC set up - risk reworked

Corp03	Corporate	Options to take services out of the 5 Councils Contract or other shared services. Financial impact of providing in-house and time scales required to establish and resource in-house services are high. Lack of capacity and project management resource to deliver transition.	Service continuity and business as usual.	Performance issues with some workstreams within the 5 Councils Contract.	4 - Likely	3 - Major	12	Regular Discussions with Mendip on Finance function separation and set up of new working relationship. Project Group set up for Exchange Services Transition from Capita to In-house. New in-house teams being established	Satisfactory	4 - Likely	2 - Moderate	8	Project Plan to be established Identify resource required to potentially bring services back in-house	Joint Chief Executives	On-going contractual negotiations with Capita are taking place. Reviewed Jan 2022.
Corp05	Corporate	Cyber Security risks are increasing as everybody makes more use of technology as a way of managing sensitive data and business critical functions. Organised crime and opportunists are continually looking for control weaknesses to use our sensitive data for a wide range of criminal activities or ransom.	Security of data Reputation risk Data Breach Non-compliance with GDPR Fraud and extortion risks	Failure of Staff and Councilors to use protection and controls to prevent breaches (e.g. using personal devices). Increased use of technology to manage and share data, exposes the council to cyber risks and threats.	4 - Likely	5 - Catastrophic	20	Cyber Security Training provided to all employees and members Network security controls Personnel management	Satisfactory	3 - Possible	4 - Critical	12	Increased briefing and training Disaster recovery exercises	Head of Corporate Services	Review January 2022
Corp06	Corporate	Data Management Risk. The council holds a significant amount of personal data which we need to protect, some of which is held by partner organisations such as Capita. Compliance with GDPR. Risk of data breach and data misuse.	Unauthorised release of data Non-compliance with GDPR Personal risk to vulnerable individuals	Inherent risk. Significant amount of data held on our systems Local (machine) storage of sensitive data 3rd party suppliers don't manage data effectively	3 - Possible	3 - Major	9	Data Management Plan has been put in place. Resource has been agreed to assist with data migration Data Protection Officer in place and active GDPR Training provided during 2019/20 to all employees and members. Oversight of 3rd parties Transfer of data from Fileservers to Sharepoint Older servers have been closed down	Satisfactory	3 - Possible	3 - Major	9	Audit for unauthorised data (especially in archives) - deletion of emails - transfer of share drive to sharepoint - Further use of properly products to manage personal data.	Joint Chief Executives	More specific actions with DPO.
Corp07	Corporate	Potential changes to Shared Waste Contract, introduces a range of new risks	Reduced performance Higher costs Data management issues	Potential changes to partnership, new contractors, different equipment and processes.	3 - Possible	3 - Major	9	Discussions with partners based on existing frame contracts.	Satisfactory	3 - Possible	3 - Major	9		Head of Corporate Services	
Climate01	Climate Change	Unable to deliver against the Climate Change Action Plan	Failure to achieve agreed carbon reduction targets	Lack of staff and financial resources. Difficulties in getting public buy in. Lack of bold and direction from the government	4 - Likely	2 - Moderate	8	New terms of reference for member working group agreed. Carbon pathway to be prepared. Additional resources to improve communication	Good	1 - Rare	2 - Moderate	2	Updated climate change action plan and map of resources requirements to be prepared.	Head of Environment and Technical Services	Reviewed Feb 2022 DP/PH
GGIn01	Phase 1 Green Grid East - Link to Hartland Park	Delivery of elements link is dependant on factors outside Harts control.	Link not completed	Land owners fail to agree to construction of route on their land.	3 - Possible	2 - Moderate	6	Programme of project delivery to be monitored by Corporate project board. Ongoing liaison with stakeholders.	Good	1 - Rare	2 - Moderate	2	HOS to oversee programme delivery.	Head of Environment and Technical Services	Reviewed Feb 2022 DP/PH