

# Corporate Risk Register October 2020

# Tendring District Council

## INTRODUCTION

The management of Risk is a key element to any organisation in order to protect its resources (human & physical), finances and reputation. By undertaking regular, stringent and structured analysis of the risks faced by the organisation senior managers are able to take strategic decisions to mitigate against such risks whilst still being able to take the necessary decisions for a progressive council.

This document explains the methodology used to analyse and identify the risks which are considered to be of a sufficient level to be monitored corporately. The process of identifying risks is a linear examination at service, departmental and subsequently corporate level. It is only by undertaking a thorough and detailed risk assessment that this can be achieved.

Each risk is assessed for the likelihood of the risk occurring, as well as the potential impact of such an occurrence. The combination of these two factors gives an initial risk rating. Each risk is then 'managed' by the implementation of control measures. It is then re-assessed to give a residual risk rating.

Only risks which would have a significant corporate-level impact upon the ability of the Council to undertake its normal service delivery, finances, safety, or reputation are reported at this level.

## DEFINITIONS

**Risk:** A risk is an event or action which may adversely affect the Council. It can arise from the possibility of not realising opportunities as well as from a threat materialising. Risk management is embedded across the organisation and forms part of each directorate's everyday function. They follow the format '[x...] leading to [y...] resulting in [z]'. Please note that as we increase our partnership and multi-agency work, risks become increasingly complex as controls may become out of our direct control.

**Inherent risk:** This is the level of risk that is present before controls have been applied. Measured by evaluating the impact and probability of the risk to calculate an Inherent Risk Rating.

**Residual risk:** This is the level of risk remaining after application of controls. The Residual Risk Rating is calculated on the same basis as for inherent risk, but factoring in any changes in impact and probability arising from the controls in place to mitigate the inherent risk.

**Control:** Controls are a key mechanism for managing risk and are put in place to provide reasonable assurance. Examples of controls can include policies and procedures adopted, progression of ongoing actions, or implementation of recommendations resulting from internal audits.

**Warning indicators:** These are the mechanisms or issues that will highlight that the risk is not being mitigated by the controls identified, or to the extent expected. These can be internal or external to the organisation.

## RISK RATING CATEGORIES

20

### High Risks (Rating of 15-25)

- Risks at this level will be considered to be above the Council's risk tolerance level. These risks require immediate attention and, as a high priority, a plan needs to be put together to provide sufficient mitigation resulting in a lower rating for the residual risk, wherever possible.
- Management Team should regularly review any risks in the Corporate Risk Register where the mitigated level remains above the risk tolerance level.

- Where a risk in a Departmental Risk Register scores at this level, consideration will be given to any corporate impact, and whether there is a need for the risk to be considered in the Corporate Risk Register.


12  **Medium Risks (Rating of 6-12)**

- Controls should be put in place to mitigate the risk, wherever possible, especially where the risk is close to the risk tolerance level, or is increasing over time. However where the options for mitigation would not provide value for money, the risk may be tolerated.


4  **Low Risks (Rating of 1-5)**

- No action required to mitigate these risks.

Risk colour	Risk Headings	
	Failure to deliver key services	Pages 8-10
	Failure to deliver key projects	Pages 11-16
	Reputational Damage	Pages 17-20
	Ineffective workforce management and planning	Pages 21-22
	Failure to deliver a balanced and sustainable budget	Page 23
	Ineffective management of information	Pages 24-26
	Failure to adopt a sound Local Plan	Page 27
	Failure of income streams to meet Councils Financial requirements and obligations to other bodies.	Page 28-29
	Failure in emergency and business continuity planning	Pages 30-31

<b>RISK 1a - Failure to effectively manage assets</b>						
<b>Assessment date</b>	<b>Inherent risk score</b>	<b>Present score breakdown</b>		<b>Direction of Risk</b>	<b>Residual Risk rating</b>	<b>Review date</b>
		<b>Probability</b>	<b>Impact</b>			
July 2018	9	<b>3</b>	<b>3</b>	Unchanged 	<b>4</b> <b>LOW</b>	January 2021
January 2019	9	Medium	Sizable			
June 2019	9					
January 2020	9					
October 2020	9					
<b>Current Action Status/ Control Strategy</b>	<p>Implementing and developing an Asset Strategy and associated delivery plan and ensuring an effective and flexible property dealing policy.</p> <p>Adopted by full council in May 2017 new office practice completed</p> <p>NOTE - The transformation project has its own separate risk assessment which is being managed by the Transformation Project Team and therefore not need to form part of this document.</p>					
Responsible Officer - Andy White						
Responsible Cabinet member(s) – Corporate Finance and Governance PFH						
Scrutiny Committee(s) – Resources and Services						


**Failure to deliver key services**

<b>RISK 1b – Catastrophic IT network failure</b>						
Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	15	2	5	Reduced 	<b>5</b> <b>Low</b>	January 2021
January 2019	15	High	Critical			
June 2019	15					
January 2020	15					
October 2020	10					
<b>Current Action Status/ Control Strategy</b>	<p>Significant Transformation network investment being undertaken during 2018/20 including; re-design, renewed cabling, existing equipment re-use, significant shift to WiFi working/ flexibility, additional resilience, removal of all single points of failure within our control, dual firewalls, dual 1Gbt/sec data links. Our investments also include real-time enhanced 24/7 Network visibility, monitoring, reporting and alarms together with a 24/7 Security Operations Centre (SOC) provided by a 3<sup>rd</sup> party. The new network support and maintenance contract with an external company from August 2018 alongside their greatly enhanced network monitoring/ reporting proposals is giving much greater ‘real time’ network performance visibility and is allowing us to react swiftly and pro-actively to issues.</p> <p>Resilience built into other IT Investment Strategies including ‘mirrored’ data storage at two national Microsoft Azure platform data centres delivering 85% of our hybrid Private/ Public Applications - all resulting in significantly increased resilience and much speedier ‘disaster recovery’ capability.</p> <p>Any catastrophic IT network failure is now less likely to result from either a national UK network infrastructure issue or a successful cyber security attack.</p>					
Responsible Officer - John Higgins						
Responsible Cabinet member(s) - Corporate Finance and Governance PFH						
Scrutiny Committee(s) - Resources and Services						

Failure to deliver key services



**RISK 1c - Ineffective communication / management of information** - Failure to adopt implement and foster effective communication and information systems with an adverse impact on the ability to deliver services or relationship with key stakeholders.


Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	15	<b>3</b>	<b>5</b>	Unchanged  	<b>10</b>  <b>Medium</b>	January 2021
January 2019	15	Medium	Critical			
June 2019	15					
January 2020	15					
October 2020	15					
<b>Current Action Status/ Control Strategy</b>	<p>Tending District Council has robust Information Governance policies and practices based upon shared Essex-wide 'best practice' Information Governance policies. We undertake quarterly information governance monitoring through our Information Governance Policy Unit (strategic) and the Information Security Management Group (operational). Our processes are annually audited to ensure they remain fit for purpose.</p> <p>Whilst our information governance continues to strengthen, the Information Commissioner's Office (ICO) continues to 'raise the bar' on compliance matters. We are currently reviewing how Councillors access, utilise and manage personal and sensitive information and we must work to introduce changes to Councillor working practices to strengthen this aspect of Council information governance during 2020 or risk being found potentially in breach of General Data Protection Regulation legislation by the ICO.</p> <p>Ongoing vigilance with regard to Information Governance resources and training and budget to minimise the risk of an information breach or failure to comply with legislation as this work area volume increases significantly. We monitor / investigate each security breach report to continue to harden our robust information governance arrangements and to raise staff awareness.</p>					
Responsible Officer - John Higgins - Senior Information Risk Officer (SIRO) Judy Barker – Data Protection Officer (DPO)						
Responsible Cabinet member(s) - Corporate Finance and Governance PFH						
Scrutiny Committee(s) - Resources and Services Committee						

Failure to deliver key services


Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
		July 2018	20			
January 2019	20	High	Critical			
June 2019	20					
January 2020	20					
October 2020	20					
<b>Current Action Status/ Control Strategy</b>		<p>Tendring District Council has robust cyber-security including; physical devices (Firewalls), network segregation, protective software applications to protect the Council from the daily occurrences of external Cyber-attack. In recognising the need to raise staff awareness/ vigilance and cyber security knowledge the Council was the first in Essex to roll-out cyber security training to staff and members in partnership with the Essex Police Cyber Crime Unit in 2017 and repeated in 2019. Training videos are available for staff and members to complete and cyber-security is part of our induction training. Our cyber-security is independently tested during our annual Public Services Network (PSN) connectivity 'IT Health Check'.</p> <p>In November 2019 we completed a Local Government Association cyber-security self-assessment and achieved a robust Amber-green (score 65-79%) - but with areas of improvement identified. We are working on the improvement areas highlighted. Our rating placed Tendring District Council in the top-quartile compared with our Essex Online Partnership (EOLP) peer group.</p> <p>Our Cloud migration strategy has enabled us to implement additional Cloud cyber-security functionality during 2020 and we continue to enhance our monitoring/ visibility of real-time network and user activities through tools provided through our external partner. We purchase 'best of breed' cyber security and anti-malware detection application(s) and key individuals have completed NCSC approved cyber security training during 2020 and it is proposed to review our IT structure during 2020/21 to ensure the correct level of resource is dedicated to cyber security defence and staff awareness training. We will achieve full compliance with National Cyber Security Centre (NCSC) Cyber Essentials certification in the next few months.</p> <p>Our final data defence is that of officer and councillor vigilance, timely reporting of suspicions or incidents and robust daily backup and physical storage of this backed up data for use in a significant or cyber breach situation.</p>				
Responsible Officer - John Higgins						
Responsible Cabinet member(s) - Corporate Finance and Governance PFH						
Scrutiny Committee(s) - Resources and Services Committee						

Failure to deliver key services

**RISK 2a - Coastal Defence** - The Council has a coastline of 60km and maintains the sea defence structures along 18.5km of this frontage. These defences protect the towns of Harwich, Dovercourt, and Walton on the Naze, Frinton on Sea, Holland on Sea, Clacton and Brightlingsea. Unforeseen expenditure may be required on sea defences; which if left to deteriorate could cause catastrophic cliff failure and impact safety of residents/visitors nearby. The East Coast of the UK is vulnerable to a phenomenon called a North Sea Tidal Surge.


Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	5	<b>3</b>	<b>5</b>	Unchanged  	<b>5</b>  <b>LOW</b>	January 2021
January 2019	15	Medium	Critical			
June 2019	15					
January 2020	15					
October 2021	15					
<b>Current Action Status/ Control Strategy</b>	Carrying out annual inspections of coast protection structures and responding swiftly to public reporting of faults. An annual maintenance programme for the coastal frontage is set each year with an appropriate budget to cover the works. Each year sections of the sea defences are improved as part of a rolling programme of special maintenance schemes funded from the Council's Revenue Budgets. Works undertaken range from day to day maintenance of promenades and seawalls to schemes costing millions of pounds. Larger capital schemes attracting grant in aid are produced to comply with Defra guidelines and their High Level Targets for coast protection.					
Responsible Officer: Damian Williams						
Responsible Cabinet member(s) - Leisure and Tourism PFH						
Scrutiny Committee(s) - Resources and Services						

**RISK 2b - Community Leadership Projects** - Potential for impact to the reputation of the Council and impact on Communities, through failure to deliver key projects with partners


Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	12	<b>3</b>	<b>4</b>	Unchanged 	<b>8</b> <b>MEDIUM</b>	January 2021
January 2019	12	Medium	Major			
June 2019	12					
January 2020	12					
October 2020	12					
<b>Current Action Status/ Control Strategy</b>	<p>Clearly defined Terms of Reference agreed between partners &amp; TDC. Action plans agreed as appropriate for each project and reviewed on a regular basis.</p> <p>Action plan delivery (regular monitoring and feedback to Community Leadership Committee, Portfolio Holder and external partners)</p>					
Responsible Officer - Anastasia Simpson / John Fox/ Rebecca Morton						
Responsible Cabinet member(s) - Partnerships PFH						
Scrutiny Committee(s) - Community Leadership						

Failure to deliver key projects


**RISK 2c - Building Council Homes** - Continuing uncertainty over Business plan capacity due lack of clarity from the government

Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	8	<b>2</b>	<b>4</b>	Unchanged 	<b>4</b>  <b>LOW</b>	January 2021
January 2019	8	Low	Major			
June 2019	8					
January 2020	8					
October 2020	8					
<b>Current Action Status/ Control Strategy</b>	Government has removed the HRA borrowing cap but prudential borrowing rules still apply. Modelling has been undertaken within the business plan and we are comfortable that 200 new homes could be built over the next 8 – 10 years dependent upon build costs and land availability. The change in government is a concern as the former government had signalled a change of policy direction in terms of the funding for RTB in the PRP sector but the new government has signalled a continuation and potential extension of the PRP RTB pilot but has given no firm commitment as to how it will be funded. This is a concern as it could signal a revival of the forced sale of high value assets policy which had been suspended. This would have a significant and detrimental impact on our business plan and capacity to build.					
Responsible Officer - Paul Price						
Responsible Cabinet member(s) - Housing PFH						
Scrutiny Committee(s) – Resources and Services						


Failure to deliver key projects

<b>RISK 2d - Ineffective delivery of Transforming Tending project - Failure to provide effective change management and the coordination of corporate resources with an adverse impact on organisational focus and delivery</b>						
Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	15	<b>3</b>	<b>5</b>	Unchanged  	<b>3</b>  <b>LOW</b>	January 2021
January 2019	15	Medium	Critical			
June 2019	15					
January 2020	15					
October 2020	15					
<b>Current Action Status/ Control Strategy</b>	<p>Through the provision of effective organisational leadership through culture, change management, vision, values, communication and encouraging innovation and empowering staff.</p> <p>Physical, technological and organisational changes are under way. Project Board monitors on an ongoing basis. Formal project stage review to be completed at completion of physical works estimated Autumn 2020.</p>					
Responsible Officer – Andy White						
Responsible Cabinet member(s) - Corporate Finance and Governance FH						
Scrutiny Committee(s) – Resources and Services						

**RISK 2e - Essex Family / Family Solutions** - A TDC appointed Family Support Worker working within Tendring Family Solutions Team. Risks of the project include potential breaches of data protection, Council reputation and professional liability (working with vulnerable families)


Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	10	<b>2</b>	<b>4</b>	Unchanged 	<b>8</b> <b>MEDIUM</b>	January 2021
January 2019	8	Low	Major			
June 2019	8					
January 2020	8					
October 2020	8					
<b>Current Action Status/ Control Strategy</b>	<p>Matrix management arrangements in place between TDC and ECC with clear workload management. The TDC FSW will be subject to the same control environment as other team members within Family Solutions. TDC has increased management capacity to oversee the FSW position.</p> <p>Funding has now been secured to move the post onto the Council establishment, which mitigates risks.</p>					
Responsible Officer - Anastasia Simpson						
Responsible Cabinet member(s) - Partnership PFH						
Scrutiny Committee(s) - Community Leadership						

**Failure to deliver key projects**

<b>RISK 2f - Garden Communities - The project fails to come to fruition due to land control / Local Plan issues</b>						
Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	12	4	3	Unchanged  	<b>1</b>  <b>LOW</b>	January 2021
January 2019	12	High	Sizeable			
June 2019	12					
January 2020	12					
October 2020	12					
<b>Current Action Status/ Control Strategy</b>		Breakpoints exist which enable termination of the project if a scenario develops which provides unacceptable commercial viability.				
Responsible Officer: Paul Price						
Responsible Cabinet member(s) - Leader						
Scrutiny Committee(s) - Resources and Services						




**RISK 3a - Member Conduct** - The Localism Act 2011 places a statutory duty upon Councils to promote and maintain high standards of conduct amongst its own Elected Members and any co-opted Members. Upheld Code of Conduct complaints risk damaging the Council's reputation and adverse implications on its ethical governance arrangements.


Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	12	<b>3</b>	<b>4</b>	Unchanged  	<b>4</b>  <b>LOW</b>	January 2021
January 2019	12	Medium	Major			
June 2019	12					
January 2020	12					
October 2020	12					
<b>Current Action Status/ Control Strategy</b>		Regular reports to Standards Committee and discussions with Group Leaders.				
Responsible Officer: Management Team (Lisa Hastings, Monitoring Officer)						
Responsible Cabinet member(s) - Code of Conduct matters are reported to the Standards Committee, as a Non-Executive function.						
Scrutiny Committee(s) – N/A						


Reputational damage

**RISK 3b - Failure to comply with legislative requirements** - Risk of judicial reviews or injunctions being sought against the Council, causing delay in service delivery and financial loss to defend actions.


Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	16	<b>4</b>	<b>4</b>	Unchanged 	<b>2</b> <b>LOW</b>	January 2021
January 2019	16	High	Major			
June 2019	16					
January 2020	16					
October 2020	16					
<b>Current Action Status/ Control Strategy</b>	Ensuring that communication between the Directors and Service Managers with the Legal Team is kept up to date with regards to priorities and project planning. Regular discussions to be held between Services. Assistant Director - Governance to be kept informed of new developments through Management Team and Cabinet agendas.					
Responsible Officer - Lisa Hastings						
Responsible Cabinet member(s) - Corporate Finance and Governance Portfolio Holder						
Scrutiny Committee(s) - Resources and Services						


Reputational damage

<b>Reputational damage</b>	<b>RISK 3c - Health and Safety</b> - Failure to have effective Health and Safety processes in place exposing public and staff to increased risk of injury or illness.						
	Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
			Probability	Impact			
	July 2018	20	<b>4</b>	<b>5</b>	Unchanged  	<b>10</b>  <b>MEDIUM</b>	January 2021
	January 2019	20	High	Critical			
	June 2019	20					
	January 2020	20					
	October 2020	20					
	<b>Current Action Status/ Control Strategy</b>	Identifying an officer with overall responsibility for ensuring that effective health and safety processes in place.  Providing regular Health and Safety updates to Management Team  Risk Assessment review being undertaken.					
	Responsible Officer: Richard Barrett						
Responsible Cabinet member(s) Corporate Finance and Governance PFH / HR and Council Tax Committee							
Scrutiny Committee(s) n/a							

<b>RISK 3d - Fraud and Corruption - Failure to deliver effective counter fraud activities</b>						
Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	15	<b>5</b>	<b>3</b>	Unchanged 	<b>10</b> <b>MEDIUM</b>	January 2021
January 2019	15	High	Sizeable			
June 2019	15					
January 2020	15					
October 2020	15					
<b>Current Action Status/ Control Strategy</b>	<p>Established Fraud and Compliance Team undertaking counter fraud role</p> <p>Internal Audit Team providing advice / recommendations to improve control environment and mitigate exposure to fraud risks</p> <p>Rules and procedures as laid down in the Constitution</p>					
Responsible Officer: - Richard Barrett						
Responsible Cabinet member(s) - Corporate Finance and Governance PFH						
Scrutiny Committee(s) - Resources and Services / Audit						


Reputational damage

<b>RISK 4a - Loss of Key Staff</b> - Loss of key staff either through service changes or natural turnover impacting on delivery and /or reputational risk e.g. managing elections						
Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	12	<b>3</b>	<b>4</b>	Unchanged 	<b>12</b> <b>MEDIUM</b>	January 2021
January 2019	12	Medium	Major			
June 2019	12					
January 2020	12					
October 2020	12					
<b>Current Action Status/ Control Strategy</b>	Effective HR processes in place to identify early signs of workforce issues (including age profile). Skills focus and flexible approach across Council. “Grow your own approach to talent management”					
Responsible Officer - Management Team (Anastasia Simpson)						
Responsible Cabinet member(s) - HR and Council Tax Committee						
Scrutiny Committee(s) N/A						

Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	12	<b>3</b>	<b>4</b>	Unchanged 	<b>12</b> <b>MEDIUM</b>	January 2021
January 2019	12	Medium	Major			
June 2019	12					
January 2020	12					
October 2020	12					
<b>Current Action Status/ Control Strategy</b>	<p>Identification of areas of key person dependency, skills and competency matching and corporate approach to the delivery of key services and projects through secondments / cross service working.</p> <p>Effective succession planning.</p>					
Responsible Officer - Management Team (Anastasia Simpson)						
Responsible Cabinet member(s) - Human Resources Committee and Council Tax Committee						
Scrutiny Committee(s) – N/A						

Ineffective workforce management and planning

**RISK 5A - Financial Strategy** - The impact of achieving a balanced budget in an ever-tightening financial environment on service delivery objectives.

Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	20	<b>4</b>	<b>5</b>	Unchanged  	<b>15</b>  <b>HIGH</b>	January 2021
January 2019	20	High	Critical			
June 2019	20					
January 2020	20					
October 2020	20					

**Current Action Status/ Control Strategy**

Long Term Financial Plan updated on an ongoing basis.


- Financial Strategy / Forecast Preparation including identifying and capturing significant risks such as changes to government funding, and the identification of savings which will require some challenging decisions.
- Robust and timely Budget Monitoring Processes.
- Engagement with key stakeholders, members and senior management as early as possible.
- Responding to and implementing recommendations and advice issued by the Council's External Auditor.
- Material savings options to be individually risk assessed

If the event that the long term approach does not deliver the intended outcomes then the Council can revert to the more traditional / short term approach to setting the budget.

Responsible Officer: Richard Barrett

Responsible Cabinet member(s) - Corporate Finance and Governance PFH


Scrutiny Committee(s) – Resources and Services

<b>RISK 6a - Loss of sensitive and/or personal data through malicious actions loss theft and/or hacking.</b>						
Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	20	5	4	Increased 	<b>10</b> <b>MEDIUM</b>	January 2021
January 2019	20	High	Major			
June 2019	20					
January 2020	20					
October 2020	20					
<b>Current Action Status/ Control Strategy</b>	<p>IT Health check (simulated vulnerability attacks) and resolution/ mitigation regime achieving compliance with central government National Security Cyber Centre (NCSC) security guidelines audited annually. Multi-firewall network segregation implemented with role-based access to systems necessary for work. Governance procedures/ policies/ responsibilities comments including quarterly review of all reported security breaches and strategic and operational issues takes place through the Information Governance Policy Unit. Staff remote working is 'tunnelled' utilising Microsoft VPN technology.</p> <p>All officer mobile devices (laptops, tablet and phones) are encrypted with complex passwords and are managed using Microsoft Mobile device Management (MDM) to further protect data.</p> <p>Enhanced monitoring of the Council's internal network data flows focusses on early detection/ isolation of cyber-attack. The Council maintains an ongoing campaign to educate staff and members as to a range of cyber-attacks/ techniques.</p> <p>To better protect/ enhance our cyber security Councillors have been provided with council-managed IT equipment with robust cyber security protection (as per officers).</p> <p>A review of how Councillors access, utilise and manage personal and sensitive information remains on-going with the outcome requiring the necessary arrangements are put in place to remove the risk of a fine etc. if there is a breach and subsequent review by the ICO.</p>					
Responsible Officer - John Higgins – Senior Information Risk Owner (SIRO) Judy Barker – Council's named Data Protection Officer						
Responsible Cabinet member(s) - Corporate Finance and Governance PFH						
Scrutiny Committee(s) - Resources and Services Committee						


Ineffective management of information




**RISK 6b- Disconnection from PSN Network** - Failure to achieve PSN recertification resulting in disconnection from PSN services, e.g. DWP, IER etc. and urgent alternative arrangements to continue providing statutory service

Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	20	<b>4</b>	<b>5</b>	Unchanged 	<b>5</b> <b>LOW</b>	January 2021
January 2019	20	High	Critical			
June 2019	20					
January 2020	20					
October 2020	20					
<b>Current Action Status/ Control Strategy</b>	<p>This risk constitutes an annual cycle of IT security Health Check using a registered consultant, remediation/ resolution of any security issues identified then completion and submission of compliance documentation to central government national Cyber Security Centre (NCSC) for PSN recertification.</p> <p>✓ PSN re-certification achieved 23 November 2019</p> <p>Note: The Council remains at risk from any new NCSC edicts and ongoing further Whitehall hardening of security regulations. This can only be remediated through monitoring latest available guidance and/ or responding to NCSC challenges during the annual PSN process itself.</p> <p>PSN/ CESHG communications, outcome of IT Health checks, monitoring/ discussion with IT Support partner(s).</p>					
Responsible Officer: John Higgins						
Responsible Cabinet member(s) - Corporate Finance and Governance PFH						
Scrutiny Committee(s) - Resources and Services Committee						


Ineffective management of information


<b>Failure to adopt a sound Local Plan</b>	<b>RISK 7a - Local Plan - Failure to achieve a positive result from the Examination in Public into the Local Plan submitted in October 2017.</b>						
	Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
			Probability	Impact			
	July 2018	12	<b>4</b>	<b>4</b>	Unchanged  	<b>12</b>  <b>MEDIUM</b>	January 2021
	January 2019	12	High	Major			
	June 2019	12					
	January 2020	12					
	October 2020	12					
	<b>Current Action Status/ Control Strategy</b>	Officers worked closely with the other North Essex Authorities, other partners and have taken advice as necessary to submit a robust Local Plan to prepare for the examination in public.					
	Responsible Officer: Gary Guiver						
Responsible Cabinet member(s) – Leader							
Scrutiny Committee(s) – Planning							

Failure of income streams to meet Council's financial requirements and obligations to other bodies


<b>RISK 8a - Failure to collect levels of income required from Council Tax in order to fund the Council's financial requirements.</b>						
Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	20	4 High	5 Critical	Unchanged  	10  <b>MEDIUM</b>	January 2021
January 2019	20					
June 2019	20					
January 2020	20					
October 2020	20					
<b>Current Action Status/ Control Strategy</b>	Regular budget monitoring including reports to Cabinet.					
Responsible Officer: Richard Barrett						
Responsible Cabinet member(s) - Corporate Finance and Governance PFH						
Scrutiny Committee(s) - Resources and Services						

**RISK - 8b** - Failure to collect levels of income required from Non Domestic Rates in order to meet the shares between the Government, Essex County Council, Essex Fire Authority and Tendring District Council.

Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	20	<b>4</b>	<b>5</b>	Unchanged  	<b>10</b>  <b>MEDIUM</b>	January 2021
January 2019	20	High	Critical			
June 2019	20					
January 2020	20					
October 2020	20					
<b>Current Action Status/ Control Strategy</b>	Regular budget monitoring including reports to Cabinet.					
Responsible Officer: Richard Barrett						
Responsible Cabinet member(s) - Corporate Finance and Governance PFH						
Scrutiny Committee(s) - Resources and Services						

Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	12	<b>3</b>	<b>4</b>	Unchanged 	<b>4</b>  <b>LOW</b>	January 2021
January 2019	12	Medium	Major			
June 2019	12					
January 2020	12					
October 2020	12					
<b>Current Action Status/ Control Strategy</b>		<p>Continued develop and regularly test of different aspects of the Council's Emergency Plan including working with multi-agency partner organisation.</p> <p>Following a Corporate IT &amp; Resilience Service re-structure, resources have increased by 1 fte in Emergency Planning in 2018 adding additional resilience and commencing succession planning. This individual continues to developing well but we must not be complacent about his continued development and succession plans.</p> <p>During 2019 the Council has increased the number of First Call Officers (FCOs) and introduced a 24/7/365 call-out, paid rota cover.</p> <p>During 2019, in partnership with Harwich Haven Authority (HHA) the Council jointly delivered a major live emergency planning exercise (ex Adler 4) which tested a range of aspects of the Council's Emergency Plan alongside our multi-agency partners. Although it is a much smaller exercise Adler 5 is taking place during September 2020</p>				
Responsible Officer - John Higgins						
Responsible Cabinet member(s) - Partnerships PFH						
Scrutiny Committee(s) - Community Leadership						

**RISK 9b - Ineffective Business Continuity Planning** - The Council fails to effectively respond to an emergency / adverse event with an adverse impact on the delivery of services.

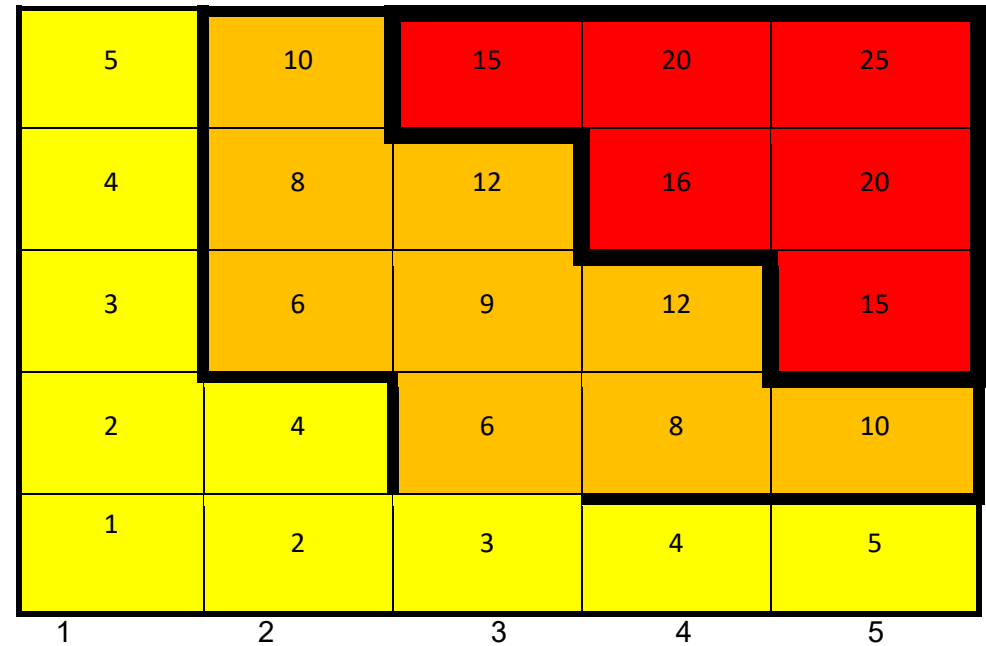
Assessment date	Inherent risk score	Present score breakdown		Direction of Risk	Residual Risk rating	Review date
		Probability	Impact			
July 2018	15	<b>3</b>	<b>5</b>	Unchanged  	<b>6</b>  <b>MEDIUM</b>	January 2021
January 2019	15	Medium	Critical			
June 2019	15					
January 2020	15					
October 2020	15					
<b>Current Action Status/ Control Strategy</b>	<p>Ongoing development and testing of Business Continuity plans by services.</p> <p>Significant digital investment and improved resilience in information storage, applications, Cloud migration, and reduced reliance upon office premises through flexible / remote working have all reduced this ongoing operational risk.</p>					
Responsible Officer - John Higgins						
Responsible Cabinet member(s) - Partnerships PFH						
Scrutiny Committee(s) - Community Leadership						

## APPENDIX – METHODOLOGY FOR CALCULATING RISK

## RISK RATING ELEMENTS - IMPACT

Risk level	Impact				
	Level	Financial	Service Delivery	Safety	Reputation
5	<b>Critical</b>	Loss of more than £1m	Effective service delivery is unachievable.	Fatality (Single or Multiple)	Reputation damage is severe and widespread i.e Regulatory body intervention
4	<b>Major</b>	Loss above 250K but below £1m	Effective service delivery is severely disrupted in one or more areas	Multiple serious injuries requiring professional medical treatment	Reputation damage occurs with key partners.
3	<b>Sizeable</b>	Loss above £25K below £250K	Effective service delivery is disrupted in specific areas of the Council.	Injury to an individual(s) requiring professional medical treatment	Reputation damage is localised and/or relatively minor for the Council as a whole
2	<b>Moderate</b>	Loss above £5K below £25K	Delays in effective service delivery	Minor injury - no professional medical treatment	Slight reputation damage
1	<b>Minor</b>	Loss of up to £5K	Minor disruption to effective service delivery i.e. Staff in unplanned absence for up to one week	No treatment required	Reputation damage only on personal level

Timescale ----- Probability	Up to 6 months	To 12 months	To 24 months	To 60 months	60+ months
Over 80%	5	4	3	2	1
65%-80%	4	4	3	2	1
50 – 64%	3	3	3	2	1
30 – 49%	2	2	2	2	1
Under 30%	1	1	1	1	1



Probability

Impact x Probability = Overall Risk Rating

RISK CALCULATION MATRIX

RISK RATING ELEMENTS – PROBABILITY