

Corporate Risk Register April 2024

Tendring District Council

INTRODUCTION

The management of Risk is a key element to any organisation 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 | |
|--------------|---|---------------|
| Green | Failure to deliver key services | Pages 7-10 |
| Blue | Failure to deliver key projects | Pages 11-16 |
| Brown | Reputational Damage | Pages 17-20 |
| Pink | Ineffective workforce management and planning | Pages 21-22 |
| Orange | Failure to deliver a balanced and sustainable budget | Page 23 |
| Grey | Ineffective management of information | Pages 24-25 |
| Yellow | Failure to adopt a sound Local Plan | Page 26 |
| Light Orange | Failure of income streams to meet Councils Financial requirements and obligations to other bodies | Page 27 -28 |
| Purple | Failure in emergency and business continuity planning | Pages 29 - 30 |

| Failure to deliver key services. | RISK 1a - Failure to effectively manage assets - failure to achieve value or benefit from property transactions. | | | | | | |
|--|---|---|---------------------------------------|---------|--|----------------------|----------------|
| | Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
| | | | Probability | Impact | | | |
| | September 2021 | 9 | 3 | 3 | Unchanged  | 4 LOW | September 2024 |
| | March 2022 | 9 | Sizable | Sizable | | | |
| | September 22 | 9 | | | | | |
| | July 23 | 9 | | | | | |
| | April 24 | 9 | | | | | |
| | Current Action Status/ Control Strategy | <p>Asset Management Plan, Strategy and associated delivery plan and ensuring together with an effective and flexible property dealing policy adopted by full council in May 2017. New office practice documents completed concurrently.</p> <p>Review of the Asset Management Plan procedures and policies is due. Any and review of the action plan needs to be considered in relation to the priorities of the administration.</p> | | | | | |
| | Responsible Officer - Andy White | | | | | | |
| Responsible Cabinet member(s) – Councillor Peter Kotz. Assets Portfolio Holder | | | | | | | |
| Scrutiny Committee(s) – Resources and Services | | | | | | | |

| Failure to deliver key services. | RISK 1b – Catastrophic IT network failure | | | | | | |
|--|--|--|---------------------------------------|----------|--|----------------------|----------------|
| | Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
| | | | Probability | Impact | | | |
| | September 2021 | 10 | 2 | 5 | Unchanged  | 5 LOW | September 2024 |
| | March 2022 | 10 | Moderate | Critical | | | |
| | September 2022 | 10 | | | | | |
| | July 2023 | 10 | | | | | |
| | April 2024 | 10 | | | | | |
| | Current Action Status/ Control Strategy | <p>Physical Infrastructure Controls - we have invested significantly over the past 7 years through our council digital transformation programmes and associated office transformation works to re-design and replace key physical network components to create an affordable level of resilience and redundancy within our office locations. <u>However</u>, infrastructure hardware is now 6-8 years old and reaching end-of-life in turn increasing the likelihood of localised failure(s).</p> <p>Cloud Infrastructure Controls – provides significant resilience and speedier ‘disaster recovery’ capability is provided by our ‘Public Cloud’ Microsoft Azure platform providing resilient service through two ‘mirrored’ data centres delivering 95% of our applications. Key business continuity is provided our remote working capabilities. Ongoing work to replace ‘legacy’ systems. Our goal is to become a ‘Cloud Only’ technology user for business continuity/ resilience reasons.</p> <p>Monitoring & Response Controls - real-time enhanced 24/7 Network visibility, monitoring, reporting and alarms together with a 24/7 Security Operations Centre (SOC) provided by a 3rd party give us ‘real time’ network performance visibility and is allowing us to react swiftly and pro-actively to issues.</p> <p>Residual Risk - Catastrophic IT network failure risk is now likely to result from:</p> <ol style="list-style-type: none"> 1) National UK or regional network data infrastructure failure(s) UK or regional power issue(s). 2) A successful cyber-attack targeting our physical or Cloud network infrastructure. 3) Localised issues caused by aging network hardware failure | | | | | |
| | Responsible Officer - John Higgins | | | | | | |
| Responsible Cabinet member(s) - Corporate Finance and Governance PFH | | | | | | | |
| Scrutiny Committee(s) - Resources and Services | | | | | | | |

CORPORATE RISK REGISTER – April 2024

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 inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
|-----------------|---------------------|---------------------------------------|----------|-------------------|----------------------|----------------|
| | | Probability | Impact | | | |
| September 2021 | 15 | 3 | 5 | | 10 | September 2024 |
| March 2022 | 15 | Sizable | Critical | | Medium | |
| September 2022 | 15 | | | | | |
| July 2023 | 15 | | | | | |
| April 2024 | 15 | | | | | |

Current Action Status/ Control Strategy

Tendring 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.

The Data Controller, the council has a legislative duty to evidence and ensure that official council information is managed in full compliance with legislation, namely that data is stored: lawfully, fairly and transparently, adequate and relevant and limited to what is necessary, accurate and where necessary kept up to date, kept for no longer than is necessary in a form which permits identification of data subjects, ensuring 'integrity and confidentiality' protecting against unauthorised or unlawful processing and against accidental loss/ destruction/ damage through using appropriate security.

- Following Full Council decisions 2nd March and then following the local elections and roll-out of new laptops to new Councillors all Council access to services is via managed-devices only (security posture-control) which has significantly strengthened information governance. Similarly, nearly all Councillors (see note) have managed-mobile phones.
- The Council still periodically experiences information breaches requiring investigation/ resolution. These are due to human error which is remediated through training and process review/ tightening.


~~* Updated information governance/ cyber security mandatory training for Councillors will be rolled-out this quarter.~~


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.


| Failure to deliver key services | RISK 1d - Ineffective Cyber Security Physical and Application (software) Based Protection Management - Failure to adopt, implement and deliver effective Cyber Security protective arrangements leading to a catastrophic or significant IT cyber security breach or loss of personal, sensitive, or vulnerable persons' data or inability to provide IT services and applications supporting Council services (or significant operational difficulties arising from). | | | | | | |
|--|--|---------------------|---------------------------------------|----------|--|------------------------------|----------------|
| | Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
| | | | Probability | Impact | | | |
| | Sept 2021 | 20 | 4 | 5 | Unchanged  | 15 HIGH | September 2024 |
| | March 2022 | 20 | Major | Critical | | | |
| | September 23 | 20 | | | | | |
| | July 2023 | 20 | | | | | |
| April 2024 | 20 | | | | | | |
| Current Action Status/ Control Strategy | <p>Tending 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. Cyber-security is an essential part of our induction training. In addition, phishing awareness campaigns are also ongoing.</p> <p>With council cyber-attacks growing exponentially in both volume and complexity the council must consider that it is not <u>IF</u> but <u>WHEN</u> a successful cyber-attack is made and we continue to plan, train and exercise accordingly.</p> <p>Having implemented an 'immutable backup' regime we have data restoration capabilities from locked-down safe sources. That said, in a restoration scenario we will lose any recent made data changes so an element of recovery will still be necessary.</p> <p><i>Following Full Council decision of 2nd March 2023 and Councillors adopting identical working practices to Officers of managed-devices by all Councillors we have implemented adoption of managed-devices by all and cyber-security posture control council-wide -has achieved <u>This is a significant</u> step-change in minimising the number of attack vectors' (pathways) that a hacker can use to attack and attempt to exploit vulnerabilities to gain access to networks/ computers/ digital devices/ information/ data. We will continue to move towards a Zero trust Network Architecture (ZTNA) as a direction of travel over the next twelve months. ZTNA means that in addition to monitoring infrastructure hardware for security vulnerabilities, every user device connecting to services is routinely checked for access rights and vulnerabilities (in the background).</i></p> <p><i>NOTE: With a general election taking place during 2024 the National Cyber security Centre has highlighted the likelihood of increased hostile cyber-attacks both on public sector services and directly on political and senior individuals calling for additional cyber vigilance and attentiveness across both local authority and personal IT use</i></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 projects | 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. The cliffs are prone to stability issues because of steep slopes in many areas, historical structures, and past shortage of funds for maintenance. 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 inherent risk score breakdown | | Direction of risk | Residual Risk rating | Review date |
| | | | Probability | Impact | | | |
| | September 2021 | 15 | 3 | 5 | Unchanged  | 15 High | September 2024 |
| | March 2022 | 15 | Sizable | Critical | | | |
| | September 2023 | 15 | | | | | |
| | July 2023 | 15 | | | | | |
| | April 2024 | 15 | | | | | |
| | Current Action Status/ Control Strategy | Conducting annual inspections of coast protection structures and responding swiftly to public reporting of minor 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. At present there are identified areas of current cliff instability where funding to conduct necessary major projects would need to be identified. | | | | | |
| | Responsible Officer: Andy White | | | | | | |
| Responsible Cabinet member(s) - <i>Councillor M Bush. Portfolio Holder for Environment.</i> | | | | | | | |
| Scrutiny Committee(s) - Resources and Services | | | | | | | |

| Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
|--|---|---------------------------------------|--------|-------------------|----------------------|-------------|
| | | Probability | Impact | | | |
| | | September 2021 | 12 | | | |
| March 2022 | 12 | Sizable | Major | | | |
| September 2022 | 12 | | | | | |
| July 2023 | 12 | | | | | |
| April 2024 | 12 | | | | | |
| Current Action Status/ Control Strategy | <p>Clearly defined Terms of Reference agreed between partners & 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> <p>Community Asset Mapping has taken place with the Northeast Essex Alliance, this provides a useful tool to identify where to focus resources to strengthen and build more resilient communities. The reputational, financial risk of engaging in partnership relationships (e.g. NEEB, Joint Use Agreements) is addressed through robust agreements, to ensure risk to the Council is minimised.</p> <p>The Council is now working within the new health structure and has representatives that attend the Integrated Care Partnership Board and the Alliance Board, following the termination of CCGs in July 2022.</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


| Failure to deliver key projects. | RISK 2c - Building Council Homes - Continuing uncertainty over Business plan capacity due to lack of clarity from the government. | | | | | | |
|--|--|---|---------------------------------------|----------|--|----------------------------|----------------|
| | Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
| | | | Probability | Impact | | | |
| | September 2021 | 8 | 2 | 4 | Unchanged  | 4 LOW | September 2024 |
| | March 2022 | 8 | Moderate | Major | | | |
| | September 2022 | 8 | | | | | |
| | July 2023 | 8 | | | | | |
| | April 2024 | 8 | | | | | |
| | Current Action Status/ Control Strategy | <p>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.</p> <p>The Government has signalled a potential continuation and 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.</p> <p><i>Notwithstanding the overall funding position the new regulatory regime, prevalence of claims, revised Decent Homes Standards Customer Service Standards and energy efficiency needs means that we need to refocus resources onto the upgrading of existing stock. Opportunities for smaller scale construction and acquisition will be considered on merit within the business plan but the principal focus will turn to the existing stock.</i></p> | | | | | |
| | Responsible Officer – D Williams | | | | | | |
| Responsible Cabinet member(s) - Housing PFH | | | | | | | |
| Scrutiny Committee(s) – Resources and Services | | | | | | | |


| Failure to deliver key projects. | 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. | | | | | | |
|--|---|---------------------|---------------------------------------|----------|--|----------------------|----------------|
| | Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
| | | | Probability | Impact | | | |
| | September 2021 | 15 | 1 | 2 | Unchanged  | 2 LOW | September 2024 |
| | March 2022 | 15 | Minor | Moderate | | | |
| | September 2022 | 15 | | | | | |
| | July 2023 | 2 | | | | | |
| | April 2024 | 2 | | | | | |
| Current Action Status/ Control Strategy | <p>Completion of physical works relating to this project are now completed, therefore the inherent risk and residual risk have been reduced to reflect this.</p> <p>Resources used for this project are now concentrating on council property repairs and maintenance activities.</p> <p style="color: red;">Discuss removal of this item</p> | | | | | | |
| Responsible Officer – Andy White | | | | | | | |
| Responsible Cabinet member(s) – Cllr Peter Kotz - Corporate Finance and Governance PFH | | | | | | | |
| Scrutiny Committee(s) – Resources and Services | | | | | | | |


| Failure to deliver key projects. | 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 inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
| | | | Probability | Impact | | | |
| | September 2021 | 8 | 2 | 4 | Unchanged  | 8 | September 2024 |
| | March 2022 | 8 | Moderate | Major | | | |
| | September 2022 | 8 | | | | | |
| | July 2023 | 8 | | | | | |
| | April 2024 | 8 | | | | | |
| | Current Action Status/ Control Strategy | <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><i>The Clacton based post is now on the Council establishment which reduces the risk to families. An Additional Family Solutions post based in Harwich and working peripatetically more widely across the district is being funded for 21 months using partnership funding to help address health inequalities.</i></p> | | | | | |
| | Responsible Officer - Anastasia Simpson | | | | | | |
| Responsible Cabinet member(s) - Partnership PFH | | | | | | | |
| Scrutiny Committee(s) - Community Leadership | | | | | | | |


| Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
|---|--|---------------------------------------|----------|-------------------|----------------------|-------------|
| | | Probability | Impact | | | |
| | | September 2021 | 12 | | | |
| March 2022 | 12 | Major | Sizeable | | | |
| September 2022 | 12 | | | | | |
| July 2023 | 12 | | | | | |
| April 2024 | 12 | | | | | |
| Current Action Status/ Control Strategy | <p>Garden Community formally allocated for development in the jointly adopted Local Plan for North Essex following independent examination by a government-appointed Planning Inspector. Planning permission granted by Essex County Council for A120/A133 link road – a key piece of infrastructure that will unlock land for development. Housing Infrastructure Funding (HIF) in place to deliver the link road and a Rapid Transit System (RTS); however, a review of costs mean that developer funding will be required to complete the link road.</p> <p>The lead developer has control over most of the land and is keen to collaborate positively with the Council to deliver the development following a 'planning-led' process rather than through a Development Corporation approach. Memorandum of Understanding in place with the lead developers Latimer to fund completion of the link road. Joint Committee has been formed between Tendring, Colchester and Essex to ensure a coordinated approach to decision making with an initial focus on agreeing a planning framework and looking forward to the determination of planning applications. Membership of the Joint Committee is not proposed to change following the May 2023 local elections, <i>but the direction of travel has not changed.</i></p> <p>A development plan document is being created through partnership between Tendring, Colchester and Essex to set out more detailed framework for the layout and delivery of the proposed garden community. This has already been the subject of an initial round of public consultation, and, at the time of writing, the 'submission version' of the plan was out to two rounds of public consultation and has been with the intention to submitted to the Secretary of State following consultation to begin the process of independent examination. Planning Inspector has been appointed to conduct the examination, which is anticipated to take place in May 2024, subject to formal confirmation.</p> <p>A dedicated planning team is being formed between Tendring, Colchester and Essex to resource the planning process going forward. A dedicated planning team is being formed between Tendring, Colchester and Essex to resource the planning process going forward with the Planning Manager already in place and a contribution towards additional resources being discussed have been agreed with the lead developers through a Planning Performance Agreement (PPA).</p> | | | | | |
| Responsible Officer: Gary Guiver | | | | | | |
| Responsible Cabinet member(s) – <i>Planning and Housing Portfolio Holder</i> Environment Portfolio Holder | | | | | | |

Failure to deliver key projects.

| | | | | | | |
|---|--|---|--|---------------|--|-----------------------------|
| Reputational damage | 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 adverse implications on its ethical governance arrangements, together with an increase in Council resources to assess and investigate complaints. | | | | | |
| | Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating |
| | | | Probability | Impact | | |
| | September 2021 | 12 | 3 | 4 | Unchanged  | 4 LOW |
| | March 2022 | 12 | Sizable | Major | | |
| | September 2022 | 12 | | | | |
| | July 2023 | 12 | | | | |
| | April 2024 | 12 | | | | |
| | Current Action Status/ Control Strategy | <p><i>Regular reports to Standards Committee and discussions with Group Leaders and providing regular refresher training for Members on the Code of Conduct requirements.</i></p> <p><i>Regular reports to Standards Committee and discussions with Group Leaders and providing advice on request either to Councillors on an individual basis, or to groups on the Code of Conduct requirements. Damage to the District Council's reputation can be minimised both by the seeking of advice at an early stage, and then following that advice. Due to the new Code of Conduct being implemented with effect from May 2023 all District Councillors provided were provided with training on the Code of Conduct as part of their induction programme.</i></p> <p><i>There has been an increase in complaints requiring investigation at district level and dealing with declarations of interests, one matter is due to go to a hearing in late Spring, which could have an impact on the Council's reputation, due to the source of the complaint from a national body.</i></p> <p><i>Town Council matters which have at their heart a need for relationship building and despite differences agreeing to work together for the good of the Town area remain a concern. Training was organised by the District Council for Town and Parish Councillors too following the elections, but further sessions are required, to prevent complaints being received and consequently reducing the level of District Council resources being diverted to responding to the same, which are time consuming and costly.</i></p> | | | | |
| | 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. | | | | | | |

| Reputational damage | RISK 3b - Failure to comply with legislative requirements - Risk of judicial reviews court claims for damages or injunctions being sought against the Council, causing delay in service delivery and financial loss to defend actions. | | | | | | |
|--|---|---|---------------------------------------|--------|--|----------------------------|----------------|
| | Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
| | | | Probability | Impact | | | |
| | Sept 2021 | 16 | 4 | 4 | Unchanged  | 2 LOW | September 2024 |
| | March 2022 | 16 | Major | Major | | | |
| | Sept022 | 16 | | | | | |
| | July 2023 | 16 | | | | | |
| | April 2024 | 16 | | | | | |
| | Current Action Status/ Control Strategy | <p>Ensuring that communication between the Directors and Service Managers with the Legal Team is kept up to date with regards to resourcing priorities and project planning. <i>In addition, Directors and /or Service Managers are encouraged to raise with the Legal Team any matters or areas of work that may be causing any concern or might become an issue. Assistant Director Governance and Head of Legal Services to be kept informed of new developments through regular discussions to be held between Services, Management Team, and Cabinet agendas.</i></p> <p><i>Services are also encouraged to keep under review their practices and procedures in accordance with the legislation, specifically that relevant to their areas, including their policies and record keeping, to prevent an increase in Section 5 Reports.</i></p> <p><i>The reason for the change in the direction of risk is due to the probability increasing from low to high as a result of cases including for example housing disrepair, planning challenges and costs appeals.</i></p> <p><i>In addition, it is noted that the Council does not currently fully comply with the accessibility requirements on our website or the intranet. Works are currently underway to update the website, but it is not known whether these changes will meet legislative requirements.</i></p> <p>Briefing Notes to Management Team to be prepared by Legal Services, where cases are on the increase or themes emerge.</p> | | | | | |
| | Responsible Officer - Lisa Hastings | | | | | | |
| Responsible Cabinet member(s) - Leader and Finance and Governance Portfolio Holder | | | | | | | |
| Scrutiny Committee(s) - Resources and Services | | | | | | | |

| Reputational damage | RISK 3c - Health and Safety - Failure to have effective Health and Safety processes in place exposing public. <i>members</i> and staff to increased risk of injury or illness. | | | | | | |
|---|---|---|---------------------------------------|----------|--|--------------------------------|----------------|
| | Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
| | | | Probability | Impact | | | |
| | September 2021 | 20 | 4 | 5 | Unchanged  | 10 MEDIUM | September 2024 |
| | March 2022 | 20 | Major | Critical | | | |
| | September 2022 | 20 | | | | | |
| | July 2023 | 20 | | | | | |
| | April 2024 | 20 | | | | | |
| | Current Action Status/ Control Strategy | Identifying an officer with overall responsibility for ensuring that effective Health and Safety processes in place. <i>Administrative officer now passed NEBOSH certificate in Health and Safety which provides additional support to the team covering sickness and annual leave period.</i> Providing regular Health and Safety updates to Management Team | | | | | |
| | Responsible Officer: Richard Barrett/Clare Lewis | | | | | | |
| Responsible Cabinet member(s) Corporate Finance and Governance PFH / HR and Council Tax Committee | | | | | | | |
| Scrutiny Committee(s) n/a | | | | | | | |

| Reputational damage | RISK 3d - Fraud and Corruption - Failure to deliver effective counter fraud activities. | | | | | | |
|--|--|---|---------------------------------------|----------|--|----------------------------|----------------|
| | Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
| | | | Probability | Impact | | | |
| | September 2021 | 15 | 5 | 3 | Unchanged  | 10 MEDIUM | September 2024 |
| | March 2022 | 15 | Critical | Sizeable | | | |
| | September 2022 | 15 | | | | | |
| | July 2023 | 15 | | | | | |
| | April 2024 | 15 | | | | | |
| | Current Action Status/ Control Strategy | <p>Established Fraud and Compliance Team undertaking counter fraud role, new compliance officer appointed in March 2023. Team now complete and both compliance officers passed their probation and are working on various projects.</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> <p>Anti-Fraud and Corruption Strategy reviewed and reported to the Audit Committee annually.</p> <p>Ongoing fraud awareness training being conducted for all TDC employees, associates, and Members. Now part of the council's induction process.</p> | | | | | |
| | Responsible Officer: - Richard Barrett/Clare Lewis | | | | | | |
| Responsible Cabinet member(s) - Corporate Finance and Governance PFH | | | | | | | |
| Scrutiny Committee(s) - Resources and Services / Audit | | | | | | | |

RISK 4a - Loss of Key Staff - 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 inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
|-----------------|---------------------|---------------------------------------|------------|--------------------|-------------------------|----------------|
| | | Probability | Impact | | | |
| September 2021 | 12 | 4 Major | 4 Major | Unchanged ↔ | 12 MEDIUM | September 2024 |
| March 2022 | 12 | | | | | |
| September 2022 | 16 | | | | | |
| July 2023 | 16 | | | | | |
| April 2024 | 16 | | | | | |

Current Action Status/ Control Strategy

Effective HR processes in place to identify early signs of workforce issues. Skills focus and flexible approach across the Council. “Grow our Own” strategy and Apprentice Sponsorship (s) are in place. Ongoing development and investment into ‘Career Track’ help to upskill existing staff and attract talent.

Utilisation of ECC recruitment arm to advertise specialist roles, ensuring a much wider reach of candidates. Encouragement of secondment opportunities both internally and externally (with other authorities) to support service delivery in specialist areas. Council involvement in cross-Essex professional development programmes (such as Essex Leaders) to strengthen the authority’s leadership.


The Assistant Director change management programme seeks to ensure the Council provides a robust career progression programme for its staff from entry level to senior management. Where there is an urgent need, agency staff can be engaged, however, this will come at additional cost and may be less effective in some specialist areas.

Responsible Officer - Management Team (Anastasia Simpson/Katie Wilkins)

Responsible Cabinet member(s) - HR and Council Tax Committee


Scrutiny Committee(s) N/A


CORPORATE RISK REGISTER – April 2024

| RISK 4b - Lack of capacity to deliver core services - not retaining / having access to staff capacity to deliver services and priorities. | | | | | | |
|--|--|--|---------------|--|-----------------------------|--------------------|
| Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
| | | Probability | Impact | | | |
| September 2021 | 12 | 4 | 4 | Unchanged  | 12 MEDIUM | September 2024 |
| March 2022 | 12 | Major | Major | | | |
| September 2022 | 16 | | | | | |
| July 2023 | 16 | | | | | |
| April 2024 | 16 | | | | | |
| Current Action Status/ Control Strategy | <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. Effective succession planning information sharing through Management Team.</p> <p>Bi-yearly workforce reporting to MT/Human Resources & Council Tax Committee, includes current vacancy information, Age Profile, Gender Pay Gap, and Sickness Absence data.</p> <p>The Council worked with the East of England Local Government Association last year to carry out an independent review of its pay structure. This led to some options to support best use of the NJC pay spine in alignment with the employment market. These included, salary and benefits benchmarking, improved marketing of vacancies and employment offer and expanding our well-established “grow our own” ethos. These options are currently being considered as part of the Assistant Director change programme.</p> <p>Alternative approaches for selection process are being introduced to respond to rapid changes in job market and streamline the process. Increased flexible working arrangements, including increased options for remote working have widened candidate pool and geographic area from which candidates are now drawn.</p> <p><u>Considerations (applicable to 4a & 4b):</u></p> <p>Staff costs are a significant proportion of the Council's general budget and therefore, any financial pressures may result in decreased ability to maintain capacity. In that situation, priority for staffing resources will be given in accordance with the corporate plan and associated priorities.</p> <p>Staff costs are subject to National Pay Award. Current financial pressures e.g., inflation/minimum wage are seeing increasing pressure on the National Employers to raise the annual Pay Award, resulting in increased costs to the Council.</p> <p>While being part of National Employers brings many benefits, it does reduce the Council's ability to influence the Pay Award. Furthermore, national bargaining also carries the risk of localised industrial action. Finally, National Terms of Employment, also mean that the Council has limited flexibility to improve remuneration to attract and retain candidates in a competitive employment market.</p> | | | | | |
| Responsible Officer - Management Team (Anastasia Simpson/Katie Wilkins) | | | | | | |
| Responsible Cabinet member(s) - Human Resources Committee and Council Tax Committee | | | | | | |

Ineffective workforce management and planning


CORPORATE RISK REGISTER – April 2024

| Failure to deliver a balanced and sustainable budget. | 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 inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
| | | | Probability | Impact | | | |
| | September 2021 | 20 | 4 | 5 | Unchanged  | 15 HIGH | September 2024 |
| | March 2022 | 20 | Major | Critical | | | |
| | September 2022 | 20 | | | | | |
| | July 2023 | 20 | | | | | |
| | April 2024 | 20 | | | | | |
| | Current Action Status/ Control Strategy | <p>Long Term Financial Plan updated on an ongoing basis.</p> <ul style="list-style-type: none"> • 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. Key financial items discussed at dedicated / regular meetings of Management Team • Responding to and implementing recommendations and advice issued by the Council's External Auditor. <p>A framework in which to deliver required savings is currently being developed with the aim of capturing key financial information to support the associated decision-making process alongside the corporate plan / priorities process. This will also sit alongside a review of cost pressures across three key strands as set out in the report to full Council of the 13 Feb 2024 investment plan approach and the use of key zero based budgeting principles in developing the forecast looking ahead to 2024/25 and beyond.</p> <p>A review of the length of the financial planning cycle is subject to review during 2024/25. However, in the event that the long-term approach is unable to support the delivery of the intended outcomes, then the Council can revert to the more traditional / short term approach to setting the budget.</p> | | | | | |
| | Responsible Officer: Richard Barrett | | | | | | |
| Responsible Cabinet member(s) - Finance and Governance PFH | | | | | | | |
| Scrutiny Committee(s) – Resources and Services | | | | | | | |

| Ineffective management of information | RISK 6a - Loss of sensitive and/or personal data through malicious actions loss theft and/or hacking. | | | | | | |
|--|---|---|---------------------------------------|------------|--|----------------------|----------------|
| | Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
| | | | Probability | Impact | | | |
| | September 2021 | 20 | 5 Critical | 4 Major | Unchanged  | 16 HIGH | September 2024 |
| | March 2022 | 20 | | | | | |
| | September 2022 | 20 | | | | | |
| | July 2023 | 20 | | | | | |
| | April 2024 | 20 | | | | | |
| | Current Action Status/ Control Strategy | <p>Multi-firewall network segregation implemented with role-based access to systems necessary for work. Governance procedures/ policies/ responsibilities quarterly reviewed by the Information Governance Policy Unit. All remote working is protectively '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. 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-date all information breaches have been down to human-error. We have robust security breach reporting arrangements, and each such breach is investigated and lessons-learned in terms of reducing the operating risk or providing additional staff training etc.</p> <p>Procedures are in place to manage agreements where appropriate, where partner organisations are managing data on behalf of the Council. Consultation with the Council's Data Protection Officer should be undertaken prior to agreements being formed. This will ensure risk to the organisation is managed effectively.</p> <p><i>Councillors adopting identical working practices to Officers - adoption of managed-devices by all and cyber-security posture control council-wide – has achieved <u>step-change</u> in minimising the number of attack vectors' (pathways) that a hacker can use to attack and attempt to exploit vulnerabilities to gain access to networks/ computers/ digital devices/ information/ data. These actions would have significantly reduced the likelihood of data loss however the election year increases our risk (see note below).</i></p> <p>NOTE: With a general election taking place during 2024 the National Cyber Security Centre has highlighted the likelihood of increased hostile cyber-attacks both on public sector services and directly on political and senior individuals calling for additional cyber vigilance and attentiveness <u>across both local authority and personal IT use</u>. Additional awareness training to be provided during 24/25. Additional education staff and members in relation to these matters.</p> | | | | | |
| | Responsible Officer - John Higgins – Senior Information Risk Owner (SIRO)/Judy Barker – Council's named Data Protection Officer | | | | | | |
| Responsible Cabinet member(s) - Finance and Governance PFH | | | | | | | |
| Scrutiny Committee(s) - Resources and Services Committee | | | | | | | |

CORPORATE RISK REGISTER – April 2024

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 inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
|-----------------|---------------------|---------------------------------------|----------|--|----------------------------|----------------|
| | | Probability | Impact | | | |
| September 2021 | 20 | 3 | 4 | Unchanged  | 5 LOW | September 2024 |
| March 2022 | 12 | Sizable | Major | | | |
| September 2022 | 12 | | | | | |
| July 2023 | 12 | | | | | |
| April 2024 | 12 | | | | | |

Current Action Status/ Control Strategy

~~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.~~
~~PSN re-certification was last achieved 23 November 2019. Both the Public Services network (PSN) itself and the PSN IT Security Health Check regime is nearing the end of its lifecycle.~~

~~In February 2023 Cabinet Office have contacted all local authorities requesting they renew their certification with PSN for 2023/24 so the threat of disconnection from central government (which facilitates Housing Benefits) remains current. We are in the process of organising a 2023 PSN IT Health Check by 3rd specialist third party as part of our re-certification submission.~~

The Public Services Network (PSN) is a vital connection to central government and the Department of Works and Pensions (DWP) to administer housing benefit etc. 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.

Our PSN certification was previously achieved 23 November 2019. The PSN re-certification regime was suspended during COVID and unexpectedly recommenced in early 2023. We been regained our PSN Certification status 2 April 2024 for the next twelve months.

Both the Public Services network (PSN) itself and the PSN IT Security Health Check regime is nearing the end of its lifecycle BUT is entirely reliant upon DWP timescales. Members should however be aware that the Cyber Assessment Framework (CAF) regime – previously only a requirement applied to critical national infrastructure – has been rolled-out across central government departments and the Department for Levelling Up Housing and Communities (DLUHC) is pressing for a mandatory annual local government CAF regime. The Council's cyber-security position is robust, and a new CAF process is not something to be feared as it formalises annual cyber-security review and self-analysis around areas of improvement which is simply good practice. During 2022/23 the Council voluntarily undertook a CAF self-assessment and has plans to do so again during 2024.

Responsible Officer: John Higgins


Responsible Cabinet member(s) - Finance and Governance PFH


Scrutiny Committee(s) - Resources and Services Committee

Ineffective management of information


| Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
|---|--|---------------------------------------|--------|-------------------|----------------------|-------------|
| | | Probability | Impact | | | |
| | | September 2021 | 12 | | | |
| March 2022 | 12 | Sizable | Major | | | |
| September 2022 | 12 | | | | | |
| July 2023 | 12 | | | | | |
| April 2024 | 12 | | | | | |
| Current Action Status/ Control Strategy | <p><i>Local plan adopted in January 2022 current residual risk is therefore reduced to a minimal. The risk to the council of not meeting this will increase when the Local plan is reviewed in 2025.</i></p> <p><i>Local Plan review commenced with agreement of the Planning Policy and Local Plan Committee in December 2023. The review will be focussed on updating the existing Local Plan rather than re-writing it from scratch in line with a series of guiding principles that have been agreed by the Committee.</i></p> <p><i>The Council is targeting the submission of an updated Local Plan to the Secretary of State before June 2025, before major changes to the government procedure for Local Plans take effect. This will follow three rounds of public consultation – Issues and Options (Spring 2024), Preferred Options (Autumn 2024) and Submission Draft (Spring 2025).</i></p> <p><i>The greatest risk to the Local Plan process, as it stands, would be failure to submit to the Secretary of State before June 2025. The factors most likely to impact upon the timetable will be the public response to consultation and delays in the completion of any new evidence required to support the review of the Local Plan.</i></p> | | | | | |
| Responsible Officer: Gary Guiver | | | | | | |
| Responsible Cabinet member(s) – Leader— Planning and Housing Portfolio Holder | | | | | | |
| Scrutiny Committee(s) – Planning Resource and Services O/S | | | | | | |


Failure to adopt a sound Local Plan

| Failure of income streams to meet Councils financial requirements and obligations to other bodies. | RISK 8a – Failure to collect levels of income required from Council Tax to fund the Council's financial requirements. | | | | | | |
|--|--|---|---------------------------------------|---------------|--|-------------------------|----------------|
| | Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
| | | | Probability | Impact | | | |
| | September 2021 | 20 | 4 Major | 5 Critical | Unchanged  | 10 MEDIUM | September 2024 |
| | March 2022 | 20 | | | | | |
| | September 2022 | 20 | | | | | |
| | July 2023 | 20 | | | | | |
| | April 2024 | 20 | | | | | |
| | Current Action Status/ Control Strategy | Regular budget monitoring including reports to Cabinet, which will also set out options to respond to any adverse issues, as necessary. | | | | | |
| | 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 inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
|--|---|---------------------------------------|----------|--|----------------------|----------------|
| | | Probability | Impact | | | |
| September 2021 | 20 | 4 | 5 | Unchanged  | 10 MEDIUM | September 2024 |
| March 2022 | 20 | Major | Critical | | | |
| September 2022 | 20 | | | | | |
| July 2023 | 20 | | | | | |
| April 2024 | 20 | | | | | |
| Current Action Status/ Control Strategy | Regular budget monitoring including reports to Cabinet, which will also set out options to respond to any adverse issues, as necessary. | | | | | |
| Responsible Officer: Richard Barrett | | | | | | |
| Responsible Cabinet member(s) - Corporate Finance and Governance PFH | | | | | | |
| Scrutiny Committee(s) - Resources and Services | | | | | | |

Failure of income streams to meet Councils financial requirements and obligations to other bodies.

| Failure in emergency and Business Continuity Planning | RISK 9a - Ineffective Emergency Planning - The Council fails to effectively respond to an emergency and the community is adversely affected | | | | | | |
|--|--|--|---------------------------------------|--------|--|----------------------------|----------------|
| | Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
| | | | Probability | Impact | | | |
| | September 2021 | 12 | 3 | 4 | Unchanged  | 4 LOW | September 2024 |
| | March 2022 | 12 | Sizable | Major | | | |
| | September 2022 | 12 | | | | | |
| | July 2023 | 12 | | | | | |
| | April 2024 | 12 | | | | | |
| | Current Action Status/ Control Strategy | <p>To continue to develop and regularly test of various aspects of the Council's Emergency Plan including working with multi-agency partner organisations and parish and town councils. This includes significant planning for and delivery of exercises, <i>complimented by a range of training</i> to help maintain the Council's preparedness.</p> <p>The Council continues to experience a number of events. Systems, structures, and processes are in place to respond to any Emergency Planning event; however, this does require considerable capacity across the Council. <i>Post COVID, with increased staff working from home, this has made internal staff liaison and recruiting of volunteers for rest centres and District Emergency Response Centre (DERC) difficult, particularly with new employees. This is being resolved by additional training being carried out and doing a campaign with the Councils communications team.</i></p> <p>In a major event Vulnerable Intelligent Persons Emergency Response can be used to identify vulnerable people who may need support. <i>However, this does not have ECC social care data or NHS health data and so will have limitations on the accuracy of information provided.</i></p> | | | | | |
| | Responsible Officer – John Fox/Catherine Boyer-Besant | | | | | | |
| Responsible Cabinet member(s) - Partnerships PFH | | | | | | | |
| Scrutiny Committee(s) - Community Leadership | | | | | | | |

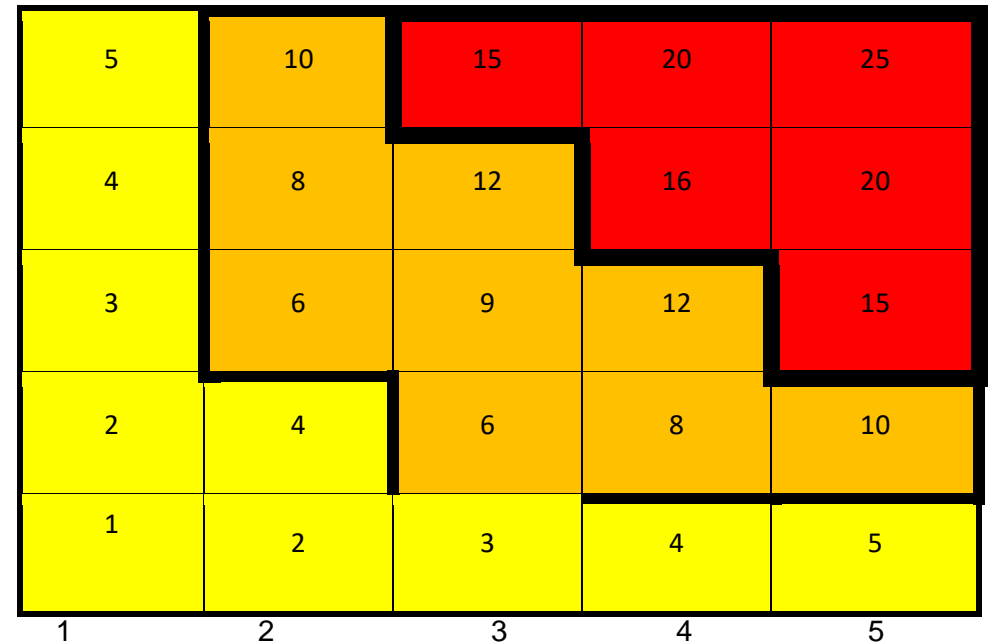
| Failure in emergency and Business Continuity Planning | RISK 9b - Ineffective Business Continuity Planning - The Council fails to effectively respond to an emergency / adverse event with an adverse impact on the delivery of services. | | | | | | |
|--|--|---|---------------------------------------|----------|--|-------------------------------|----------------|
| | Assessment date | Inherent risk score | Present inherent risk score breakdown | | Direction of Risk | Residual Risk rating | Review date |
| | | | Probability | Impact | | | |
| | September 2021 | 10 | 2 | 4 | Unchanged  | 8 Medium | September 2024 |
| | March 2022 | 8 | Moderate | Major | | | |
| | September 2022 | 8 | | | | | |
| | July 2023 | 8 | | | | | |
| | April 2024 | 8 | | | | | |
| | Current Action Status/ Control Strategy | <p>Responsibility for Business Continuity now resides within the Digital Services and Assurance team with the Assurance and Resilience manager continuing to provide support to services to ensure that their plans remain current. A current review of all Business Continuity Plans is underway.</p> <p>Our new public cloud-based infrastructure provides significantly improved resilience in information storage, applications, and reduced reliance upon office premises through flexible / remote working.</p> <p>Use of IT to record and support the development of service risk assessments and business continuity impact assessments – was expected to be implemented during 2022 but has been delayed. Specialist certificated training has been conducted for key staff and will be finalised in 24/25. The Council has plans in place to adopt a new corporate Business Continuity Plan (BCP) which will cascade down the service Business Impact Assessments (BIAs).</p> | | | | | |
| | Responsible Officer - John Higgins/Clare Lewis | | | | | | |
| 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 | Critical | 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 | Major | 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 | Sizeable | 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 minor for as a whole |
| 2 | Moderate | Loss above £5K below £25K | Delays in effective service delivery | Minor injury - no professional medical treatment | Slight reputation damage |
| 1 | Minor | 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