

RISK REGISTER 2021/22

Presented by the Corporate Director (S &L)

SUMMARY

At each Audit Committee, Members review the Risk Register for progress against existing actions and to ensure that the Risk Register remains relevant to deal with the corporate risks facing the organisation.

At the Audit Committee in June 2018 (Paper AUD/90/18) Members approved the updated risk management strategy and corporate risk register following the Risk Management Workshop held on the 7 June 2018. This Workshop analysed and reviewed the risk management strategy and corporate risk register in detail to ensure that this committee could proactively input into, manage and monitor the register going forward with up to date risks identified that are relevant to the Authority's business over the coming years.

The risk management strategy and corporate risk register assists Members in their consideration and approval of the Annual Governance Statement as a key part of the financial statements. A robust risk management framework and register is one key element of the Annual Governance Statement and a source of assurance for Members in approving this statement year on year as part of the published accounts.

RECOMMENDATION

Members Approve (1) the Corporate Risk Register included at Appendix A and the sub-registers at Appendices B and C of this report.

BACKGROUND

1 Risk management is one of the key internal controls for an organisation. Members need to ensure that a sound system of internal control is maintained and an annual review of the effectiveness of the system of internal control is conducted to provide sufficient, relevant and reliable assurance to enable them to authorise the signing of the Authority's Annual Governance Statement (AGS) (which is published with the financial statements).

2 Regulation 3 of the Accounts and Audit Regulations 2015 requires that:

"A relevant authority must ensure that it has a sound system of internal control which -

- (a) facilitates the effective exercise of its functions and the achievement of its aims and objectives;**
- (b) ensures that the financial and operational management of the authority is effective; and**
- (c) includes effective arrangements for the management of risk."**

In this context "relevant authority" is referring to the Lee Valley Regional Park Authority.

- 3 Each financial year the relevant authority must –**
 - (a) conduct a review of the effectiveness of the system of internal control required by regulation 3; and**
 - (b) prepare an annual governance statement - this statement must be published together with the statement of accounts and the narrative statement in accordance with Regulation 10.**
- 4 Assurance of the Authority's internal control system is derived through the work of the internal audit function (undertaken by Mazars for the Authority); and also through the monitoring of processes put in place by management and other external bodies including those around risk management and health & safety. This provides evidence which allows the Authority to form conclusions on the adequacy and effectiveness of the systems of internal control and also on the efficiency of operations.**
- 5 Risk management is not solely a focus on the finances of the Authority. The scope of internal control spans the whole range of the Authority's activities and includes those controls designed to ensure:**
 - the Authority's policies are put into practice;**
 - the organisation's values are met;**
 - laws and regulations are complied with;**
 - required processes are adhered to;**
 - financial statements and other published information are accurate and reliable; and**
 - human, financial and other resources are managed efficiently and effectively.**
- 6 The Authority approved a Risk Management Framework in April 2005 (Paper A/3798/05). The Risk Management Framework and more specifically, the Risk Register was developed by Members and senior officers under the guidance of the internal auditors through a number of workshops and meetings. Members have regularly reviewed the register at each Audit Committee, adding in their own comments and improvements.**
- 7 Since this time Members have consistently (and in depth) reviewed the Corporate Risk Register and revised the strategy, format and content. The strategy has been revised and updated twice since 2005 at the Audit Committee (May 2010, Paper AUD/06/10 and June 2012 Paper AUD/30/12). The strategy has been reviewed again by officers and Members as part of the risk management workshop and was formally approved by the Audit Committee in June 2018 (Paper AUD/90/18).**

REVIEW OF THE STRATEGIC RISK REGISTER

- 8 The current Strategic Risk Register is reviewed by officers and Members on an on-going basis and signed off at each Audit Committee.
- 9 Members last considered the risk register at the Audit Committee in February 2021 (Paper AUD/116/21).
- 10 Since the February Committee officers have incorporated approved Member revisions, reviewed the register, considered potential new risks and the scoring. This includes the risk sub register that was considered and agreed by the Leisure Services Contract (LSC) Working Group to give greater detail and management emphasis to managing the risks and actions in relation to the LSC Contract Retender (Strategic Risk SR9). This is attached as Appendix B to this report. Further impacts of the Covid-19 pandemic had been included within the current Risk Register but a sub risk register was populated to specifically review these impacts and has been updated to reflect changes to restrictions that have been in place. This is attached as Appendix C to this report.

The table below sets out the movement in managing the residual risks and sets out a summary of the total notional score.

Risk	Residual Risks 19 Sept 2019	Residual Risks 27 Feb 2020	Residual Risks 25 June 2020	Residual Risks 22 Oct 2020	Residual Risks 25 Feb 2021	Residual Risks 24 June 2021
	2	3	5	5	4	3
	9	7	7	7	10	10
	8	9	8	8	8	9
Total Risks	19	19	20	20	22	22
Notional Score	462	478	599	581	602	566

- 12 The key point to note since the last review of the register is the overall decrease in the corporate risk register residual notional score. Several of the original risks have shown a reduction and additional risks that had been added to the risk register as a result of the current Covid-19 situation have shown an improvement, with the reduction of restrictions imposed by the Government and the reopening of venues.
- 13 The operational and financial risks from the LSC Contract Retender (SR9) have decreased after the withdrawal of the legal challenge from Lee Valley Leisure Trust Ltd and satisfactory progress with Greenwich Leisure Ltd towards the contract initiation. This is also reflected within the LSC sub register where some of the individual risks are showing an improvement. Some uncertainty still exists however as a result of the Covid-19 situation which has resulted in a further delay, currently to April 2022, to the commencement of the LSC contract.
- 14 Decisions taken to mitigate these risks have been approved by full Authority and monitoring of these risks is taking place at each Executive Committee, Senior Management and officer level.
- 15 A verbal update will be presented at Committee to advise Members regarding progress of the LSC sub register. There are still continued financial and operational risks caused by the Covid-19 pandemic and its effects on the Authority's business and flow of income. Changes to the register are in red font

to indicate changes since the last Audit Committee risk register paper and the changes due to risks within SR9 and the sub-registers are also highlighted red.

ENVIRONMENTAL IMPLICATIONS

- 16 There are no environmental implications arising directly from the recommendations in this report.

EQUALITY IMPLICATIONS

- 17 There are no equality implications arising directly from the recommendations in this report.

FINANCIAL IMPLICATIONS

- 18 Revision of the Strategic Risk Register is a key element of this Authority's system of internal control that contributes to safeguarding the assets of the Authority and its reputation for sound financial management of public funds. This is reflected in the Authority's Annual Governance Statement published within the annual accounts and approved by this Committee.
- 19 Where actions require additional resources these will be identified and approved through the normal budget setting/service planning and management processes in accordance with Financial Regulations.

HUMAN RESOURCE IMPLICATIONS

- 20 The additional human resource implications arising directly from this report have been outlined within the sub risk register actions and can be met from existing employee resources.

LEGAL IMPLICATIONS

- 21 There are no legal implications arising directly from the recommendations in this report.

RISK MANAGEMENT IMPLICATIONS

- 22 These are dealt with through the main body of the report and through the revised register. Covid-19; Ice Centre; Picketts Lock development; LSC retender projects; and the implementation of the Land & Property Strategy are recognised as the highest corporate risks facing the organisation. Continuing mitigation against these identified risks is demonstrated by the proposed actions in the strategic register as set out in Appendix A to this report and primarily through implementing and delivering a Corporate Work Programme for 2021/22 followed by a revised approved Business Plan. In addition, the Authority will review the updated National Risk Register (2020) to consider any relevant implications that could impact on the business of the Authority as a whole.

Author: Vince Donaldson, 01992 709 816, vdonaldson@leevalleypark.org.uk

BACKGROUND REPORTS

Lee Valley Regional Park Authority Risk Management Strategy June 2018

PREVIOUS COMMITTEE REPORTS

Audit Committee	AUD/116/21	Risk Register 2020/21	25 February 2021
Audit Committee	AUD/113/20	Risk Register 2020/21	22 October 2020
Audit Committee	AUD/111/20	Risk Register 2020/21	25 June 2020
Executive Committee	E/674/20	Emergency Budget 2020/21	21 May 2020
Audit Committee	AUD/106/20	Risk Register 2019/20	27 February 2020
Audit Committee	AUD/104/19	Risk Register 2019/20	19 September 2019
Audit Committee	AUD/101/19	Risk Register 2019/20	20 June 2019
Audit Committee	AUD/97/19	Risk Register 2018/19	14 February 2019
Audit Committee	AUD/94/18	Risk Register 2018/19	20 September 2018
Audit Committee	AUD/90/18	Risk Register 2018/19	21 June 2018
Audit Risk Workshop			07 June 2018

APPENDICES ATTACHED

Appendix A	2020/21 Corporate Risk Register – Authority
Appendix B	2020/21 Sub Register LSC retender (SR9)
Appendix C	2020/21 Sub Register Covid 19 Pandemic
Appendix D	Risk Scoring Criteria (extract from the approved risk management strategy (June 2018))

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Item	Risk	Impact	Probability	Score	Category	Current Status	Responsible	Review Date	Notes
SR1.1	Failure to comply with the 1995 PRA Act and other statutory requirements.	Severe	High	6	6	1	6	1	On-going in most cases. Industry will be underpinning Commission working with PRA to consider further working and update the Regulatory Process to ensure staff are covered in a range of statutory requirements. Any changes will be covered in our annual business plan.
SR1.2	Failure to comply with health & safety legislation	Severe	High	6	6	2	6	2	Annual 1995 Act compliance plan will be updated to include health and safety. Health and safety will be a key focus of the 2022/23 business plan. A number of the provisions are to be reviewed in the coming year.
SR2.1	Agreeing to accept a partner's financial terms and conditions will place an unacceptable long term liability on the industry	Severe	High	6	6	3	6	3	Health and safety management system is being reviewed. A number of the provisions are to be reviewed in the coming year.
SR2.2	Contractors, covering health, or Third Party Operator not adequately agreed objectives/contract	Severe	High	6	6	4	6	4	Health and safety management system is being reviewed. A number of the provisions are to be reviewed in the coming year.
SR2.3	Management of facilities, contracts & others - reliability issues to a great extent and operational demands	Severe	High	6	6	5	6	5	Health and safety management system is being reviewed. A number of the provisions are to be reviewed in the coming year.
SR2.4	Contractor ability affected by normal maintenance or other operational conditions prevailing at the time	Severe	High	6	6	6	6	6	Health and safety management system is being reviewed. A number of the provisions are to be reviewed in the coming year.
SR3	The Authority fails to manage/retain staff at all levels at the appropriate culture	Severe	High	6	6	7	6	7	Health and safety management system is being reviewed. A number of the provisions are to be reviewed in the coming year.
SR4.1	Failure to meet the 1995 PRA Act and other statutory requirements.	Severe	High	6	6	8	6	8	Health and safety management system is being reviewed. A number of the provisions are to be reviewed in the coming year.
SR4.2	Financial risk of other globally increased insurance costs or losses which to force authority due to increased risks brought on by prevailing conditions	Severe	High	6	6	9	6	9	Health and safety management system is being reviewed. A number of the provisions are to be reviewed in the coming year.
SR5	Lack of a clear corporate objectives	Severe	High	6	6	10	6	10	Health and safety management system is being reviewed. A number of the provisions are to be reviewed in the coming year.
SR6.1	Impact on the Authority's powers to raise the levy due to a combination of factors as a result of external influences	Severe	High	6	6	11	6	11	Health and safety management system is being reviewed. A number of the provisions are to be reviewed in the coming year.

STRATEGIC RISK REGISTER AS AT 24 JUNE 2021

Item No.	Risk Description	Impact	Probability	Score	Current Status	Strategic Objectives	Key Performance Indicators	Responsible Parties	Key Actions	Timeline	Dependencies	Notes
186.1	... and ...	High	Medium	24	Yellow
187.1	...	Medium	Low	12	Green
187.2	...	Medium	Low	12	Green
188.1	...	High	Medium	24	Yellow
188.2	...	High	Medium	24	Yellow
189.1	...	Medium	Low	12	Green
189.2	...	Medium	Low	12	Green
190.1	...	High	Medium	24	Yellow
190.2	...	High	Medium	24	Yellow
191.1	...	High	Medium	24	Yellow
191.2	...	High	Medium	24	Yellow
192.1	...	High	Medium	24	Yellow
192.2	...	High	Medium	24	Yellow

Strategic Risk	Strategic Risk Description	Strategic Risk Category	Strategic Risk Rating	Strategic Risk Status	Strategic Risk Mitigation	Strategic Risk Owner	Strategic Risk Review	Strategic Risk Update	Strategic Risk Comment
M1.1.1	Failure to meet the 1.5% net zero target in the 2020s and 2030s (as set by the Paris Agreement) due to insufficient investment in low-carbon technologies.	Climate Change	High	High	<ul style="list-style-type: none"> Review the 1.5% net zero target in the 2020s and 2030s (as set by the Paris Agreement) and ensure it is consistent with the Paris Agreement. Review the 1.5% net zero target in the 2020s and 2030s (as set by the Paris Agreement) and ensure it is consistent with the Paris Agreement. Review the 1.5% net zero target in the 2020s and 2030s (as set by the Paris Agreement) and ensure it is consistent with the Paris Agreement. 	CEO	7	0	<p>Review the 1.5% net zero target in the 2020s and 2030s (as set by the Paris Agreement) and ensure it is consistent with the Paris Agreement.</p> <p>Review the 1.5% net zero target in the 2020s and 2030s (as set by the Paris Agreement) and ensure it is consistent with the Paris Agreement.</p> <p>Review the 1.5% net zero target in the 2020s and 2030s (as set by the Paris Agreement) and ensure it is consistent with the Paris Agreement.</p>
M1.1.2	Failure to meet the 1.5% net zero target in the 2020s and 2030s (as set by the Paris Agreement) due to insufficient investment in low-carbon technologies.	Climate Change	High	High	<ul style="list-style-type: none"> Review the 1.5% net zero target in the 2020s and 2030s (as set by the Paris Agreement) and ensure it is consistent with the Paris Agreement. Review the 1.5% net zero target in the 2020s and 2030s (as set by the Paris Agreement) and ensure it is consistent with the Paris Agreement. Review the 1.5% net zero target in the 2020s and 2030s (as set by the Paris Agreement) and ensure it is consistent with the Paris Agreement. 	CEO	7	0	<p>Review the 1.5% net zero target in the 2020s and 2030s (as set by the Paris Agreement) and ensure it is consistent with the Paris Agreement.</p> <p>Review the 1.5% net zero target in the 2020s and 2030s (as set by the Paris Agreement) and ensure it is consistent with the Paris Agreement.</p> <p>Review the 1.5% net zero target in the 2020s and 2030s (as set by the Paris Agreement) and ensure it is consistent with the Paris Agreement.</p>

Score 4-6: High Risk
 Score 3-4: Medium Risk
 Score 1-2: Low Risk

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LEISURE SERVICE CONTRACT SUB RISK REGISTER AS AT 24 JUNE 2021

SR	SR Description	SR Category	SR Status	SR Start Date	SR End Date	SR Duration	SR Frequency	SR Location	SR Impact	SR Risk Rating	SR Mitigation Strategy	SR Status	SR Start Date	SR End Date	SR Duration	SR Frequency	SR Location	SR Impact	SR Risk Rating	SR Mitigation Strategy
SRL1	Legal Failure to comply with Public Procurement Regulations	DCED	Open	7	9	69	5	1	5	5	Continue to receive external consultancy advice and report to Members	Open	7	9	69	5	1	5	5	Members received and approved report on final contract tender and approved highest tender
SRL2	Process delayed by legal challenges before November 1st 2019	DCED	Open	7	8	56	5	2	10	2	On going monitoring and assessment of Officer & Member commissioning groups. Report on outcome of tendering process	Open	7	8	56	5	2	10	2	Preferred Contractor selected and approved by Members. Legal challenge to procurement has been withdrawn. Final contract negotiations have started for the first time since April 2020. Contract date. Covid restrictions will prevent the contract starting on 1st April 2021 and a revised date of 1st October is the current proposed commencement date.
SRL3	Commercial New contractual arrangements not in place by 1 April 2020	DCED	Open	7	8	56	9	7	69	7	Ongoing resources review for contracts Work plan priority	Open	7	8	56	9	7	69	7	Final negotiations have prevented the contract starting on 1st April 2021 and a revised date of 1st October 2021 is the current proposed commencement date and officers will return to Members to date cover.
SRL4	Existing Service deteriorates during interim period causing failure to deliver on agreed objectives, contractual requirements or financial targets prior to commencement of new contract	HoF	Open	6	6	36	6	4	-24	4	Quarterly Contract Monitoring Contractor Service Risk 2019/20 Agreement	Open	6	6	36	6	4	-24	4	HoF LSC monitoring report to Executive 25/6/20. OI 2021/22 LSC monitoring report to Executive 24/6/20 and various working groups in place to ensure quality of the service remains at a high level.
SRL5	Management of Facilities Contracts & failure to maintain assets to a good H&S and operational standard	DCED	Open	9	4	36	5	3	15	3	Ongoing Monitoring Implement pre 2020 condition survey work	Open	9	4	36	5	3	15	3	New LSC commencement date has been delayed due to the COVID-19 restrictions and the target date for implementation is now April 1st 2022. Initial facilities management meetings have been postponed however GL monitoring will be addressed and if required contract award will be made by April 2021. With the contract awarded for April 2021, the target start date has been postponed until the period April 2021 - April 2022 will now be maintained by JAMES JAMES.
SRL6	Infrastructure Inadequate IT, Infrastructure/ Systems/Data for new LSC	HoF	Open	7	5	26	7	4	26	4	Reports to Exec Financial/Legal/Risk implications fully appraised. Financial Appraisal of relocation/updating of Authority IT assets (New Usage Counters Bidding IT Infrastructure Budget)	Open	7	5	26	7	4	26	4	New contractor should have resources and hardware available to transfer systems and software licenses. Contractor should not be relying on LSC's hardware. LSC hardware should not be required to transfer to contractor. Contractor will need to manage their own software licenses. Staff need them to be trained on new systems.
SRL7	Inadequate Support Services to mitigate legal challenge during procurement process and to ensure adequate resources for contract mobilisation	HoF	Open	7	8	56	6	1	6	6	Approved Process Authority Secondments resolved TUPE agreements staff transfers confirmed Staff re-allocations to JAMES JAMES Internal/External communications	Open	7	8	56	6	1	6	6	Resources to be reviewed.
SRL8	Inadequate resourcing levels during potential extended interim period.	DCED	Open	8	6	48	7	3	21	3	Review of Staffing Budgets Consideration to further secondments from incoming contractor (minimum of redeployment of staff where necessary).	Open	8	6	48	7	3	21	3	Consideration to ensuring sufficient resources of redeploying existing resources to ensure the Authority has sufficient resources to operate the LSC until the new contractor commences work.

LEISURE SERVICE CONTRACT SUB RISK REGISTER AS AT 24 JUNE 2021

SL No	Item	Priority	Impact	Weight	Score	Direction	Score	Direction	Score	Direction	Score	Direction	Score	Direction	Score	Direction	Score	Direction	Score	Direction	Score	Direction	Score	Direction	Score	Direction	Score	Direction	Score	Direction	Score	Direction	Score	Direction	Score	Direction	Score	Direction																						
SR4.1	Financial Mismanagement	9	6	54	9	6	54	✓	9	6	54	✓	9	6	54	✓	9	6	54	✓	9	6	54	✓	9	6	54	✓	9	6	54	✓	9	6	54	✓	9	6	54	✓	9	6	54	✓	9	6	54	✓	9	6	54	✓	9	6	54	✓				
SR5.1	Governance & Leadership	7	7	49	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>				
SR6.1	Regulation/Compliance	7	7	49	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>				
SR7.1	Business Continuity	7	7	49	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>	7	7	49	>				
SR8.1	Business Development	9	5	45	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>				
SR9.1	Business Development	9	5	45	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>	9	5	45	>

- Score 49-51 High Risk
- Score 39-42 Moderate Risk
- Score 3-35 Low Risk
- Progress in a positive direction i.e. reducing the risk.
- Progress in a negative direction i.e. increasing the risk.
- Progress stable/subject to actions or no risk is "tolerant"

SR#	Description of Risk	Severity	Frequency	Impact	Current Status	Key Findings	Responsible Party	Review Date	Overall Risk Level	Notes
SR6.1	Failure to comply with Covid-19 Health & Safety Legislation	High	1	1	Low	Health and safety management - 165 assessed proactively regularly reviewed in 2021. No issues raised up and coming in 2021. 100% compliance with Health & Safety legislation. No issues raised to meet legislative requirements. No issues raised to meet legislative requirements. No issues raised to meet legislative requirements.	COVID/MSM / Safety	2021-07-15	Low	COVID compliance tracked regularly with weekly reports. 100% compliance with Health & Safety legislation. No issues raised to meet legislative requirements. No issues raised to meet legislative requirements. No issues raised to meet legislative requirements.
SR6.2	Contractors, Suppliers (Public and otherwise) engaged in activities, operations, or other work that is prohibited by Covid-19 legislation	High	1	1	Low	Review of all current contracts entered into by the Authority. Contractors engaged in activities, operations, or other work that is prohibited by Covid-19 legislation. No issues raised to meet legislative requirements. No issues raised to meet legislative requirements. No issues raised to meet legislative requirements.	COVID/MSM	2021-07-15	Low	Due to the new COVID-19 restrictions, the commencement of the new UK contract has been delayed to the 1st July 2021. The new UK contract has been delayed to the 1st July 2021. The new UK contract has been delayed to the 1st July 2021.
SR6.3	Management of Facilities Contracts & failure to maintain assets to a good H&S and operational standard	High	1	1	Low	Facilities and support from APWD plus external contractors. Review of all current contracts entered into by the Authority. Contractors engaged in activities, operations, or other work that is prohibited by Covid-19 legislation. No issues raised to meet legislative requirements. No issues raised to meet legislative requirements. No issues raised to meet legislative requirements.	COVID/MSM	2021-07-15	Low	Check being undertaken by the staff and work parties to ensure all necessary checks completed with.
SR6.4	Incidents or IT infrastructure failures/outs support & due to staff shortages by ongoing process	High	1	1	Low	Reports to date - IT infrastructure support process. Review of all current contracts entered into by the Authority. Contractors engaged in activities, operations, or other work that is prohibited by Covid-19 legislation. No issues raised to meet legislative requirements. No issues raised to meet legislative requirements. No issues raised to meet legislative requirements.	COVID/MSM	2021-07-15	Low	Key IT assets & IT staff not on Furlough and IT recommended through IT of other staff retained every month to ensure business continuity.
SR6.5	The Authority have insufficient staff at all levels due to impact of 'Long Covid' resulting in staff being unable to perform duties as we have been sickness	High	1	1	Low	Review of business needs. Agreement on continuity requirements with H&S. Recruitment of Duties to upper echelons internal/external communications. Review of business needs. Agreement on continuity requirements with H&S. Recruitment of Duties to upper echelons internal/external communications.	COVID/MSM	2021-07-15	Low	Parish update submitted to end September 2021. Staff resources to work from home as required and management of staff resources to ensure business continuity. Staff resources to work from home as required and management of staff resources to ensure business continuity.
SR6.6	The Authority have insufficient staff at all levels due to impact of 'Long Covid' resulting in staff being unable to perform duties as we have been sickness	High	1	1	Low	Review of business needs. Agreement on continuity requirements with H&S. Recruitment of Duties to upper echelons internal/external communications. Review of business needs. Agreement on continuity requirements with H&S. Recruitment of Duties to upper echelons internal/external communications.	COVID/MSM	2021-07-15	Low	Any staff suffering from Long Covid would be supported by other staff resources to ensure business continuity. Any staff suffering from Long Covid would be supported by other staff resources to ensure business continuity.
SR6.7	Financial risks of over/under spend budget through non-adherence of Finance against due to changes in Covid-19 legislation. Finance resources to meet obligations with using limited reserves	High	1	1	Low	Emergency budget implementation reports. Emergency budget review 2021/22. Monthly/Quarterly reports. Review of business needs. Agreement on continuity requirements with H&S. Recruitment of Duties to upper echelons internal/external communications.	COVID/MSM	2021-07-15	Low	Emergency budget review 2021/22. Monthly/Quarterly reports. Review of business needs. Agreement on continuity requirements with H&S. Recruitment of Duties to upper echelons internal/external communications.
SR6.8	Impact on the Authority's powers to raise the Levy and incidence from all constituent councils with changes caused by Covid-19 pandemic on their budgets	High	1	1	Low	Management of Levy, with and digital updates. Monthly/Quarterly reports. Review of business needs. Agreement on continuity requirements with H&S. Recruitment of Duties to upper echelons internal/external communications.	COVID/MSM	2021-07-15	Low	The new business plan for 2021/22 is currently being developed. The new business plan for 2021/22 is currently being developed. The new business plan for 2021/22 is currently being developed.
SR6.9	Impact on Authority's reputation due to services failure caused by Covid-19 pandemic, damaged stakeholder and/or contractor relationships	High	1	1	Low	Management of Levy, with and digital updates. Monthly/Quarterly reports. Review of business needs. Agreement on continuity requirements with H&S. Recruitment of Duties to upper echelons internal/external communications.	COVID/MSM	2021-07-15	Low	Regular and extensive internal communications. Regular and extensive internal communications. Regular and extensive internal communications.

COVID-19 PANDEMIC SUB RISK REGISTER AS AT 24 JUNE 2021

ID	Risk	Area	Impact	Priority	Score	Phase	Start	End	Responsible	Notes	Update	Review
181.1	Failure to manage pandemic management processes in place with monitoring under alternative risk controls	COVID	Medium	High	7	48	7	9	7	<p>Personnel Planning Processes</p> <p>Emergency Financial Processes</p> <p>IT Operational Processes</p>	<p>181.1.1</p> <p>181.1.2</p> <p>181.1.3</p> <p>181.1.4</p> <p>181.1.5</p> <p>181.1.6</p> <p>181.1.7</p> <p>181.1.8</p> <p>181.1.9</p> <p>181.1.10</p> <p>181.1.11</p> <p>181.1.12</p> <p>181.1.13</p> <p>181.1.14</p> <p>181.1.15</p> <p>181.1.16</p> <p>181.1.17</p> <p>181.1.18</p> <p>181.1.19</p> <p>181.1.20</p> <p>181.1.21</p> <p>181.1.22</p> <p>181.1.23</p> <p>181.1.24</p> <p>181.1.25</p> <p>181.1.26</p> <p>181.1.27</p> <p>181.1.28</p> <p>181.1.29</p> <p>181.1.30</p> <p>181.1.31</p> <p>181.1.32</p> <p>181.1.33</p> <p>181.1.34</p> <p>181.1.35</p> <p>181.1.36</p> <p>181.1.37</p> <p>181.1.38</p> <p>181.1.39</p> <p>181.1.40</p> <p>181.1.41</p> <p>181.1.42</p> <p>181.1.43</p> <p>181.1.44</p> <p>181.1.45</p> <p>181.1.46</p> <p>181.1.47</p> <p>181.1.48</p> <p>181.1.49</p> <p>181.1.50</p> <p>181.1.51</p> <p>181.1.52</p> <p>181.1.53</p> <p>181.1.54</p> <p>181.1.55</p> <p>181.1.56</p> <p>181.1.57</p> <p>181.1.58</p> <p>181.1.59</p> <p>181.1.60</p> <p>181.1.61</p> <p>181.1.62</p> <p>181.1.63</p> <p>181.1.64</p> <p>181.1.65</p> <p>181.1.66</p> <p>181.1.67</p> <p>181.1.68</p> <p>181.1.69</p> <p>181.1.70</p> <p>181.1.71</p> <p>181.1.72</p> <p>181.1.73</p> <p>181.1.74</p> <p>181.1.75</p> <p>181.1.76</p> <p>181.1.77</p> <p>181.1.78</p> <p>181.1.79</p> <p>181.1.80</p> <p>181.1.81</p> <p>181.1.82</p> <p>181.1.83</p> <p>181.1.84</p> <p>181.1.85</p> <p>181.1.86</p> <p>181.1.87</p> <p>181.1.88</p> <p>181.1.89</p> <p>181.1.90</p> <p>181.1.91</p> <p>181.1.92</p> <p>181.1.93</p> <p>181.1.94</p> <p>181.1.95</p> <p>181.1.96</p> <p>181.1.97</p> <p>181.1.98</p> <p>181.1.99</p> <p>181.1.100</p>	<p>181.1.1</p> <p>181.1.2</p> <p>181.1.3</p> <p>181.1.4</p> <p>181.1.5</p> <p>181.1.6</p> <p>181.1.7</p> <p>181.1.8</p> <p>181.1.9</p> <p>181.1.10</p> <p>181.1.11</p> <p>181.1.12</p> <p>181.1.13</p> <p>181.1.14</p> <p>181.1.15</p> <p>181.1.16</p> <p>181.1.17</p> <p>181.1.18</p> <p>181.1.19</p> <p>181.1.20</p> <p>181.1.21</p> <p>181.1.22</p> <p>181.1.23</p> <p>181.1.24</p> <p>181.1.25</p> <p>181.1.26</p> <p>181.1.27</p> <p>181.1.28</p> <p>181.1.29</p> <p>181.1.30</p> <p>181.1.31</p> <p>181.1.32</p> <p>181.1.33</p> <p>181.1.34</p> <p>181.1.35</p> <p>181.1.36</p> <p>181.1.37</p> <p>181.1.38</p> <p>181.1.39</p> <p>181.1.40</p> <p>181.1.41</p> <p>181.1.42</p> <p>181.1.43</p> <p>181.1.44</p> <p>181.1.45</p> <p>181.1.46</p> <p>181.1.47</p> <p>181.1.48</p> <p>181.1.49</p> <p>181.1.50</p> <p>181.1.51</p> <p>181.1.52</p> <p>181.1.53</p> <p>181.1.54</p> <p>181.1.55</p> <p>181.1.56</p> <p>181.1.57</p> <p>181.1.58</p> <p>181.1.59</p> <p>181.1.60</p> <p>181.1.61</p> <p>181.1.62</p> <p>181.1.63</p> <p>181.1.64</p> <p>181.1.65</p> <p>181.1.66</p> <p>181.1.67</p> <p>181.1.68</p> <p>181.1.69</p> <p>181.1.70</p> <p>181.1.71</p> <p>181.1.72</p> <p>181.1.73</p> <p>181.1.74</p> <p>181.1.75</p> <p>181.1.76</p> <p>181.1.77</p> <p>181.1.78</p> <p>181.1.79</p> <p>181.1.80</p> <p>181.1.81</p> <p>181.1.82</p> <p>181.1.83</p> <p>181.1.84</p> <p>181.1.85</p> <p>181.1.86</p> <p>181.1.87</p> <p>181.1.88</p> <p>181.1.89</p> <p>181.1.90</p> <p>181.1.91</p> <p>181.1.92</p> <p>181.1.93</p> <p>181.1.94</p> <p>181.1.95</p> <p>181.1.96</p> <p>181.1.97</p> <p>181.1.98</p> <p>181.1.99</p> <p>181.1.100</p>
181.2	Failure to manage communications could be a risk to... (text partially obscured)	COVID	Medium	High	7	2	14	7	2	<p>181.2.1</p> <p>181.2.2</p> <p>181.2.3</p> <p>181.2.4</p> <p>181.2.5</p> <p>181.2.6</p> <p>181.2.7</p> <p>181.2.8</p> <p>181.2.9</p> <p>181.2.10</p> <p>181.2.11</p> <p>181.2.12</p> <p>181.2.13</p> <p>181.2.14</p> <p>181.2.15</p> <p>181.2.16</p> <p>181.2.17</p> <p>181.2.18</p> <p>181.2.19</p> <p>181.2.20</p> <p>181.2.21</p> <p>181.2.22</p> <p>181.2.23</p> <p>181.2.24</p> <p>181.2.25</p> <p>181.2.26</p> <p>181.2.27</p> <p>181.2.28</p> <p>181.2.29</p> <p>181.2.30</p> <p>181.2.31</p> <p>181.2.32</p> <p>181.2.33</p> <p>181.2.34</p> <p>181.2.35</p> <p>181.2.36</p> <p>181.2.37</p> <p>181.2.38</p> <p>181.2.39</p> <p>181.2.40</p> <p>181.2.41</p> <p>181.2.42</p> <p>181.2.43</p> <p>181.2.44</p> <p>181.2.45</p> <p>181.2.46</p> <p>181.2.47</p> <p>181.2.48</p> <p>181.2.49</p> <p>181.2.50</p> <p>181.2.51</p> <p>181.2.52</p> <p>181.2.53</p> <p>181.2.54</p> <p>181.2.55</p> <p>181.2.56</p> <p>181.2.57</p> <p>181.2.58</p> <p>181.2.59</p> <p>181.2.60</p> <p>181.2.61</p> <p>181.2.62</p> <p>181.2.63</p> <p>181.2.64</p> <p>181.2.65</p> <p>181.2.66</p> <p>181.2.67</p> <p>181.2.68</p> <p>181.2.69</p> <p>181.2.70</p> <p>181.2.71</p> <p>181.2.72</p> <p>181.2.73</p> <p>181.2.74</p> <p>181.2.75</p> <p>181.2.76</p> <p>181.2.77</p> <p>181.2.78</p> <p>181.2.79</p> <p>181.2.80</p> <p>181.2.81</p> <p>181.2.82</p> <p>181.2.83</p> <p>181.2.84</p> <p>181.2.85</p> <p>181.2.86</p> <p>181.2.87</p> <p>181.2.88</p> <p>181.2.89</p> <p>181.2.90</p> <p>181.2.91</p> <p>181.2.92</p> <p>181.2.93</p> <p>181.2.94</p> <p>181.2.95</p> <p>181.2.96</p> <p>181.2.97</p> <p>181.2.98</p> <p>181.2.99</p> <p>181.2.100</p>	<p>181.2.1</p> <p>181.2.2</p> <p>181.2.3</p> <p>181.2.4</p> <p>181.2.5</p> <p>181.2.6</p> <p>181.2.7</p> <p>181.2.8</p> <p>181.2.9</p> <p>181.2.10</p> <p>181.2.11</p> <p>181.2.12</p> <p>181.2.13</p> <p>181.2.14</p> <p>181.2.15</p> <p>181.2.16</p> <p>181.2.17</p> <p>181.2.18</p> <p>181.2.19</p> <p>181.2.20</p> <p>181.2.21</p> <p>181.2.22</p> <p>181.2.23</p> <p>181.2.24</p> <p>181.2.25</p> <p>181.2.26</p> <p>181.2.27</p> <p>181.2.28</p> <p>181.2.29</p> <p>181.2.30</p> <p>181.2.31</p> <p>181.2.32</p> <p>181.2.33</p> <p>181.2.34</p> <p>181.2.35</p> <p>181.2.36</p> <p>181.2.37</p> <p>181.2.38</p> <p>181.2.39</p> <p>181.2.40</p> <p>181.2.41</p> <p>181.2.42</p> <p>181.2.43</p> <p>181.2.44</p> <p>181.2.45</p> <p>181.2.46</p> <p>181.2.47</p> <p>181.2.48</p> <p>181.2.49</p> <p>181.2.50</p> <p>181.2.51</p> <p>181.2.52</p> <p>181.2.53</p> <p>181.2.54</p> <p>181.2.55</p> <p>181.2.56</p> <p>181.2.57</p> <p>181.2.58</p> <p>181.2.59</p> <p>181.2.60</p> <p>181.2.61</p> <p>181.2.62</p> <p>181.2.63</p> <p>181.2.64</p> <p>181.2.65</p> <p>181.2.66</p> <p>181.2.67</p> <p>181.2.68</p> <p>181.2.69</p> <p>181.2.70</p> <p>181.2.71</p> <p>181.2.72</p> <p>181.2.73</p> <p>181.2.74</p> <p>181.2.75</p> <p>181.2.76</p> <p>181.2.77</p> <p>181.2.78</p> <p>181.2.79</p> <p>181.2.80</p> <p>181.2.81</p> <p>181.2.82</p> <p>181.2.83</p> <p>181.2.84</p> <p>181.2.85</p> <p>181.2.86</p> <p>181.2.87</p> <p>181.2.88</p> <p>181.2.89</p> <p>181.2.90</p> <p>181.2.91</p> <p>181.2.92</p> <p>181.2.93</p> <p>181.2.94</p> <p>181.2.95</p> <p>181.2.96</p> <p>181.2.97</p> <p>181.2.98</p> <p>181.2.99</p> <p>181.2.100</p>	
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█ Zone 0-25 (High Risk)
█ Zone 26-50 (Moderate Risk)
█ Zone 51-75 (Low Risk)

▶ Program in a positive direction i.e. reducing the risk
◀ Program in negative direction i.e. increasing the risk
◀▶ Program stable subject to actions to reduce or increase risk

Risk Appetite

Risks are currently assessed using a 1-9 scale for both impact and likelihood. The Authority's risk appetite is then defined using the scoring matrix below.

Impact	9	9	18	27	36	45	54	63	72	81
	8	8	16	24	32	40	48	56	64	72
	7	7	14	21	28	35	42	49	56	63
	6	6	12	18	24	30	36	42	48	54
	5	5	10	15	20	25	30	35	40	45
	4	4	8	12	16	20	24	28	32	36
	3	3	6	9	12	15	18	21	24	27
	2	2	4	6	8	10	12	14	16	18
	1	1	2	3	4	5	6	7	8	9
		1	2	3	4	5	6	7	8	9
		Likelihood								

Those risks with a residual score in the green zone are generally considered to be managed to an acceptable level and hence limited or no further actions would be expected.

For those risks with a residual score in the amber zone, the exposure is considered to be partially acceptable. Further actions would be needed to lower this into the green zone, although a decision has to be made as to whether this is cost effective, given that resources are constrained.

Those risks with a residual score in the red zone are considered to have an exposure that is at an unacceptable level and hence further actions are needed to lower this.

On some occasions a decision may be made to accept a higher level of residual risk, although this will be subject to ongoing review and consideration at both Senior Management Team and Member level.

Scoring Criteria

Each risk is scored on the basis of the following criteria for impact and likelihood, both for inherent and residual risk. Whilst the assessment remains subjective, these criteria serve as a guide and are used to help ensure consistency in scoring across each of the risks identified.

	Impact	Likelihood
1	No impact	<1% likely to occur in next 12 months
2	Financial loss up to £1,000 or no impact outside single objective or no adverse publicity	1%-5% likely to occur in next 12 months
3	Financial loss between £1,000 and £10,000 or no impact outside single objective or no adverse publicity	5%-10% likely to occur in next 12 months
4	Financial loss between £10,000 and £25,000 or minor regulatory consequence or some impact on other objectives	10%-20% likely to occur in next 12 months
5	Financial loss between £25,000 and £50,000 or impact on other objectives or local adverse publicity or strong regulatory criticism	20%-30% likely to occur in next 12 months
6	Financial loss between £50,000 to £250,000 or impact on many other processes or local adverse publicity or regulatory sanctions (such as intervention, public interest reports)	30%-40% likely to occur in next 12 months
7	Financial loss between £250,000 to 500,000 or impact on strategic level objectives or national adverse publicity or strong regulatory sanctions	40%-60% likely to occur in next 12 months
8	Financial loss between £500,000 to £1 million or impact at strategic level or national adverse publicity or Central Government take over administration	60%-80% likely to occur in next 12 months
9	Financial loss above £1 million or major impact at strategic level or closure/transfer of business	>80% likely to occur in next 12 months