

## **RISK REGISTER 2020/21**

Presented by the Corporate Director

### **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 2020 (Paper AUD/106/20).
- 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. Some of the impacts of the Covid-19 pandemic have been included within the current Risk Register but a sub risk register has been populated to specifically review these impacts. 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 20 September 2018 | Residual Risks 14 February 2019 | Residual Risks 20 June 2019 | Residual Risks 19 September 2019 | Residual Risks 27 February 2020 | Residual Risks 25 June 2020 |
|---|----------------------------------|---------------------------------|-----------------------------|----------------------------------|---------------------------------|-----------------------------|
|  | 4                                | 3                               | 3                           | 2                                | 3                               | 5                           |
|  | 7                                | 9                               | 9                           | 9                                | 7                               | 7                           |
|  | 7                                | 7                               | 7                           | 8                                | 9                               | 8                           |
| <b>Total Risks</b>  | <b>18</b>                        | <b>19</b>                       | <b>19</b>                   | <b>19</b>                        | <b>19</b>                       | <b>20</b>                   |
| <b>Notional Score</b>   | <b>461</b>                       | <b>495</b>                      | <b>479</b>                  | <b>462</b>                       | <b>478</b>                      | <b>599</b>                  |

- 12 The key point to note since the last review of the register is the overall increase in the corporate risk register residual notional score. This is due to the increased financial and operational risks caused by the Covid-19 pandemic and its effects on the Authority's business and flow of income. The increased operational and financial risks from the LSC Contract Retender (SR9) are also still in place – which had moved from amber to red. This is also reflected within the sub register where some of the individual risks are showing a deterioration. 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. A verbal update will be presented at Committee to advise Members regarding progress.

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 highlighted red.

## **ENVIRONMENTAL IMPLICATIONS**

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

## **EQUALITY IMPLICATIONS**

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

## **FINANCIAL IMPLICATIONS**

- 15 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.
- 16 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.
- 17 Due to the impact of the Covid-19 pandemic, an emergency budget was approved by Members in May at Executive Committee (Paper E/674/20) following a briefing paper to full Authority on the budget implications in April. The impact of Covid-19 will have a long term effect on both the Authority and other businesses and will require close monitoring of the Authority's cash reserves over the coming year, as well as being an important factor in the 2021/22 budget/levy setting process and for the medium term financial plan.

## **HUMAN RESOURCE IMPLICATIONS**

- 18 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**

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

## **RISK MANAGEMENT IMPLICATIONS**

- 20 These are dealt with through the main body of the report and through the revised register. Covid-19; the Ice Centre; the Picketts Lock Development; the 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 the approved Business Plan.

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**BACKGROUND REPORTS**

Lee Valley Regional Park Authority Risk Management Strategy June 2018

**PREVIOUS COMMITTEE REPORTS**

|                     |            |                             |                   |
|---------------------|------------|-----------------------------|-------------------|
| Executive Committee | E/674/20   | Emergency Budget<br>2020/21 | 21 May 2020       |
| Audit Committee     | AUD/106/20 | Risk Register<br>2019/20    | 27 February 2020  |
| Audit Committee     | AUD/104/19 | Risk Register<br>2019/20    | 19 September 2019 |
| Audit Committee     | AUD/101/19 | Risk Register<br>2019/20    | 20 June 2019      |
| Audit Committee     | AUD/97/19  | Risk Register<br>2018/19    | 14 February 2019  |
| Audit Committee     | AUD/94/18  | Risk Register<br>2018/19    | 20 September 2018 |
| Audit Committee     | AUD/90/18  | Risk Register<br>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 tender (SR9)   |
| Appendix C | 2020/21 Sub Register Covid-19 Pandemic  |
| Appendix D | Risk Scoring Criteria (extract from the approved risk management strategy (June 2018)). |

STRATEGIC RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name   | Inherent Risk Score |        |            |             | Residual Risk Score |            |             |  | Further Actions Needed to reduce Risk   | Deadline for Completion Actions                              | Updated Comments 25/06/2020   | Updated Comments 27/02/2020   |  |
|---------|---|---------------------|--------|------------|-------------|---------------------|------------|-------------|--|---|--|---|---|--|
|         |   | Lead                | Impact | Likelihood | Total Score | Impact              | Likelihood | Total Score | Officer(s) Responsible   |   |  |   |   |  |
| SR1     | Legal<br>Failure to comply with the 1966 Park Act and other statutory requirements.   | DCEO                | 8      | 7          | 6           | 8                   | 1          | 6           | <br>Existing Controls<br>Provision of Legal Services<br>Member scrutiny through Authority & Committee meetings<br>Annual Governance statement<br>Park Act Awareness covered by inductions for new staff.<br>Health and Safety management<br>H&S manual (procedures) regularly reviewed by RDHS who monitor up and coming legislation.<br>H&S Policy Updated annually<br>Risk Reduction Plan complete.<br>External H&S Assessment 5 <sup>th</sup> Annual Report to Audit Committee  | EA -Annual Audit Letter<br>IA Audit Plan<br>SMT Weekly Meeting Minutes<br>M Exec Monthly Reports<br>RD/SMT 1/dly BSC 3 yr ext review<br>RD Annual Audits<br>M Year Report | Quarterly<br>DCEO  | Ongoing   | Ongoing   |  |
| SR2     | Contractual<br>Agreeing to accept a partners' financial terms and conditions that will place an unacceptable long term liability on the Authority<br><br>Contractors, Governing Bodies, or Third Party Operator not delivering agreed objectives/contract | HoF                 | 9      | 4          | 36          | 8                   | 2          | 16          | <br>Existing Controls<br>Reports to SMT and Members<br>Financial/legal/Risk Implications fully appraised.<br>Financial Appraisal of schemes in accordance with prudential code.<br>All contracts reviewed prior to commencement by a responsible officer.<br>Delivery monitored by Director/Head of Service and performance monitoring team<br>Quarterly Performance Reports to Executive & Scrutiny Committees<br>Advice and support APIMD plus external contractors.<br>Quality contractors employed for maintenance through procurement (Price Quality ratio applied) | M Exec Monthly LA agreement<br>M Exec Monthly M Scrutiny 1/dly  | Quarterly<br>DCEO/<br>HoF                                    | Ongoing   | Ongoing   |  |
|         | Failure to comply with Health & Safety legislation  | CD                  | 9      | 6          | 54          | 7                   | 2          | 14          | <br>Existing Controls<br>Health and Safety management<br>H&S manual (procedures) regularly reviewed by RDHS who monitor up and coming legislation.<br>H&S Policy Updated annually<br>Risk Reduction Plan complete.<br>External H&S Assessment 5 <sup>th</sup> Annual Report to Audit Committee   | Annual Internal Audit & H&S Audit Plans delivered.  | 31/03/2020<br>CD (S&LL)                                      | Annual Audits in progress and annual report to Members in June 2020 | Annual Audits in progress and annual report to members in June  |  |
|         | Management of Facilities Contracts & failure to maintain assets to a good H&S and operational standard  | DCS                 | 9      | 4          | 36          | 7                   | 3          | 21          | <br>Existing Controls<br>Advice and support APIMD plus external contractors.<br>Quality contractors employed for maintenance through procurement (Price Quality ratio applied)   | APIMD Annual Inspections<br>Ongoing Monitoring  | Annual Inspections & Review<br>MPG Work complete by 31.12.19 | APIMD   | Maintenance Performance Guide audits still being undertaken by Performance Team and then an actions planed up by APIMD team.<br>Processes in place for interim facilities management. | Maintenance Performance Guide audits still being undertaken by Performance Team and then an actions planed up by APIMD team. |

SITRATEGIC RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name  | Inherent Risk Score |            |             | Residual Risk Score |            |             | Further Actions Needed to reduce Risk                | Deadline for Completion Actions | Officers Responsible | Updated Comments 25/06/2020   | Updated Comments 27/02/2020 |
|---------|--|---------------------|------------|-------------|---------------------|------------|-------------|--|---------------------------------|----------------------|---|-----------------------------|
|         |  | Impact              | Likelihood | Total Score | Impact              | Likelihood | Total Score |  |                                 |                      |   |                             |
| SR 3    | Resources  |                     |            |             |                     |            |             |  |                                 |                      |   |                             |
|         | L.T. infrastructure does not meet future business need requirements. Authority requires funding for updating or improving I.T infrastructure                     | 9                   | 4          | 36          | 8                   | 3          | 24          | Support Services Review for new Contract post 2020   | 31/03/2020                      | CEO                  | Payroll implementation (already and completed by March, systems decomposing ongoing)  |                             |
|         | The Authority fails to recruit/retain staff at all levels of the appropriate calibre   | 8                   | 8          | 64          | 4                   | 4          | 16          | Ongoing Monitoring                                   | On-going                        | CEO/HoF              | Support Services (aka the HIRLO Strategy) drafted as part of 2020-25 business plan. New management structure approved by Executive on 27/06/2020.   |                             |
| SR 4    | Financial Management   |                     |            |             |                     |            |             |  |                                 |                      |   |                             |
|         | Financial Risks of over/under spent budget through non-achievement of income targets or inaccurate budget forecasting. Insufficient Resources to meet objectives | 9                   | 9          | 81          | 9                   | 8          | 72          | Ongoing budget monitoring & review MTFP in September | Executive Quarterly Monitoring  | HoF                  | Medium Term Financial Plan, key aspects of 2020 business plan all completed as part of Emergency Budget Paper in May. Extra risk on cash resources  |                             |
| SR5     | Governance & Leadership  |                     |            |             |                     |            |             |  |                                 |                      |   |                             |
|         | Lack of a clear corporate direction  | 9                   | 9          | 81          | 9                   | 2          | 18          | Set out 2020-2030 Business Plan                      | 23/01/2020                      | CEO                  | Medium Term Financial Plan, key aspects of 2020 business plan all completed as part of Emergency Budget and Levy Paper in May. Ongoing financial risks due to SR3 and subject to Executive & SMT Monitoring |                             |
|         | Challenge to Authority's powers to raise the Levy on all constituent councils  | 9                   | 9          | 81          | 9                   | 1          | 9           | Set out 2020-2030 Vision                             | Quarterly Monitoring 23/01/2020 | CEO                  |   | Ongoing                     |









STRATEGIC RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name   | Inherent Risk Score |            |             | Residual Risk Score |            |             | Further Actions Needed to reduce Risk  | Deadline for Completion Actions | Officer(s) Responsible | Updated Comments  | Updated Comments  |
|---------|---|---------------------|------------|-------------|---------------------|------------|-------------|--|---------------------------------|------------------------|---|---|
|         |   | Impact              | Likelihood | Total Score | Impact              | Likelihood | Total Score |  |                                 |                        |   |   |
| SR6     | Reputation/Communication<br>Impact on Authority's reputation due to service failure, damaged stakeholder and/or contractor relationships.   | 7                   | 5          | 35          | 6                   | 3          | 18          | Regular meetings with venue management team to ensure concerns and marketing are aligned with business objectives            | Quarterly Monitoring Report     | HoC                    | Comms planning completed for the in-housing of non-LSC venues and temporary in-housing of the six LSC venues. Plans involved and updated to take account of coronavirus pandemic, and the communications with key stakeholders during this period and into the future. Communications being reprinted during this time to support key business requirements and engaging venues - eg reopening of events including the ECA Canoe Malova European Championships cancelled. | Comms planning underway for 6 LSC and non-LSC venues. Reviews taking place of current Trust activities. Resources being deployed to manage new priorities from 1 April. Authority part of the Marketing Steering Group for ECA Canoe Malova European Championships. |
| SR7     | Business Continuity<br>Inadequate business continuity implementation at any (all) sites following natural disaster, IT failure including Cyber Terrorism, Flooding, Disease Outbreak (animals/humans), Terrorism. | 6                   | 5          | 30          | 5                   | 3          | 15          | Audit Recommendations implemented<br>Further training and testing.<br>Trust Risk Register - alignment to risk and continuity | Quarterly Monitoring            | CD                     | Process in place for 2019/20. Health Safety contract review was completed to ensure fit for purpose come April 1st and was reviewed to reflect the venue's coming back in house for an interim period.  | Process in place for 2019/20. Health Safety contract review was completed to ensure fit for purpose come April 1st but this is now being reviewed to reflect the venue's coming back in house.  |

STRATEGIC RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name  | Inherent Risk Score |            |             | Residual Risk Score |            |             | Further Actions Needed to reduce Risk   | Deadline for Completion Actions  | Officer(s) Responsible | Updated Comments   | Updated Comments   |
|---------|--|---------------------|------------|-------------|---------------------|------------|-------------|---|--|------------------------|--|--|
|         |  | Impact              | Likelihood | Total Score | Impact              | Likelihood | Total Score |   |  |                        |  |  |
|         | Inadequate pandemic management processes in place worldwide following major pandemic outbreak/ Potential second spike in Covid 19 and further lockdown   | 9                   | 7          | 63          | 9                   | 7          | 63          | H & S Recommendations, implemented Training and reviews of financial, legal, leadership protocols Update of communication processes Review of staffing structure to continue business | Executive Quarterly Monitoring   | CEO/ CO                | 25/06/2020   | 27/02/2020   |
|         | Existing Controls  |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | Source of Assurance  |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | EA Ext Audit   |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | IA Int Audit   |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | SMT Sr Mgmt Team   |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | RD H&S   |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | M Members  |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | BSC H&S  |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | LA Legal Advice  |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | AP/MD Asset Mgmt Team  |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | EC Ext Consult   |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | RD/SMT 1/4ly Reports   |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | RD Annual Review   |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | Pandemic Procedures  |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | IA Audit Plan  |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | SMT Weekly Meeting Minutes   |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | M Exec Monthly   |                     |            |             |                     |            |             |   |  |                        |  |  |
| SR8     | Environmental Management   |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | Failure to manage contamination could be a risk to users, this includes land and/or water contamination (also damage to reputation from failing to manage contamination)   | 9                   | 9          | 81          | 7                   | 2          | 14          | Tolerate monitoring   | Ongoing monitoring plus analysis when land sold/purchased or developed | DCEO                   | Ongoing monitoring in line with Land Contamination Strategy & Policy | Ongoing monitoring in line with Land Contamination Strategy & Policy |
|         | Existing Controls  |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | Site Investigations carried out prior to developments & land remediated. Site Investigations carried out on some other sites. Some sites monitored. Sites closed to public access where contamination is significant. Contaminated Land Policy Member Task & Finish group Completion of Contaminated Land Strategy & Policy Consultant Site Investigations work completed. |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | Source of Assurance  |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | M 1/4ly Authority Meetings   |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | M Working Groups   |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | M Exec Monthly   |                     |            |             |                     |            |             |   |  |                        |  |  |
|         | SMT Weekly Meeting Minutes   |                     |            |             |                     |            |             |   |  |                        |  |  |

STRATEGIC RISK REGISTER AS AT 25 JUNE 2020

| Risk ID    | Risk Name  | Inherent Risk Score |        |          | Residual Risk Score |        |          | Further Actions Needed to reduce Risk  | Deadline for Completion Actions  | Updated Comments  |
|------------|--|---------------------|--------|----------|---------------------|--------|----------|--|--|---|
|            |  | Lead                | Impact | Killhood | Lead                | Impact | Killhood |  |  |   |
| <b>SR8</b> | <b>Major Business Developments</b>   |                     |        |          |                     |        |          |  |  |   |
|            | Ice Centre<br>Failure in Strategic Risks 1-8 above in the development of the Ice Centre circa £30m project and Legal Challenge                                       | CEO                 | 9      | 8        | 9                   | 7      | 63       | <br>Total Score<br>Killhood<br>Impact   | <br>Total Score<br>Killhood<br>Impact   | The planning application was submitted in December 2019 and validated in January 2020. The consultation period is now underway and stage 3+ design started in March. The procurement of a contractor to build the venue commenced in April and planning due before completion in July 2020. |
|            | Picketts Lock Development<br>Failure in Strategic Risks 1-8 above in the development of the Picketts Lock circa £40m project and Legal Challenge                     | CEO                 | 8      | 8        | 8                   | 7      | 56       | <br>Total Score<br>Killhood<br>Impact   | <br>Total Score<br>Killhood<br>Impact   | The investigations completed. Further discussions with developer and London Borough of Enfield ongoing.   |
|            | Leisure Services Contract Retender<br>Failure in Strategic Risks 1-8 above in the retender of the Leisure Services Contract circa £20m and potential Legal Challenge | CEO                 | 9      | 5        | 9                   | 8      | 72       | <br>Total Score<br>Killhood<br>Impact | <br>Total Score<br>Killhood<br>Impact | Preferred Contractor selected and approved by Members.<br>Legal challenges to procurement subject to court decisions  |

STRATEGIC RISK REGISTER AS AT 26 JUNE 2020

| Risk ID | Risk Name   | Inherent Risk Score |        |            | Residual Risk Score |            |             | Further Actions Needed to reduce Risk | Deadline for Completion Actions | Officers Responsible | Updated Comments   | Updated Comments   |
|---------|---|---------------------|--------|------------|---------------------|------------|-------------|---------------------------------------|---------------------------------|----------------------|--|--|
|         |   | Lead                | Impact | Likelihood | Impact              | Likelihood | Total Score |                                       |                                 |                      |  |  |
| SIR10   | Implications of implementing Land & Property Strategy<br><br>Purchases- Opportunity Cost of Resources, Reducing Available Resources or increasing future liabilities  | DCEO                | 8      | 6          | 48                  | 7          | 2           | 14                                    | 31/03/2020                      | HoP                  | Property now purchased. No new purchases currently planned and future purchases will be put on hold until financial recovery allow     | Property now purchased. No new purchases currently planned.  |
|         |   |                     |        |            |                     |            |             |                                       |                                 |                      |  |  |
|         | Disposals - Legal challenge, Reputational Damage, reduced public access or biodiversity, Failure to deliver anticipated capital resources through land disposal due to the constraints imposed by the local borough/districts and other agencies, e.g. green belt/flood contaminated land | DCEO                | 8      | 7          | 56                  | 8          | 5           | 40                                    | 31/03/2020                      | HoP                  | All planned 2019/20 disposals completed.   | All planned 2019/20 disposals completed.   |
| SIR11   | Impact of Brexit on Authority<br><br>Failure in Strategic Risks 1-10 above due to changes in the Economic and Business climate brought about by changes following the departure from the European Union   | CEO                 | 7      | 9          | 63                  | 6          | 8           | 36                                    | Ongoing                         | DCEO/ HoP            | Potential risk needs ongoing monitoring particularly in relation to business and future strategic investments, and 3rd party contracts | Potential risk needs ongoing monitoring particularly in relation to business and future strategic investments, and 3rd party contracts |

588

Score 45-61 High Risk  
 Score 18-42 Moderate risk  
 Score 1- 16 Low risk

Progress in a positive direction is reducing the risk  
 Progress in a negative and risk is getting worse.  
 Progress static subject to actions or as risk is "tolerated"

LEISURE SERVICE CONTRACT SUB RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name  | Inherent Risk Score |        |            | Residual Risk Score |        |            | Further Actions Needed to reduce Risk | Deadline for Completion Actions | Officer(s) Responsible | Updated Comments 25/06/2020  | Comments 27/02/2019  |
|---------|--|---------------------|--------|------------|---------------------|--------|------------|---------------------------------------|---------------------------------|------------------------|--|--|
|         |  | Lead                | Impact | Likelihood | Total Score         | Impact | Likelihood |                                       |                                 |                        |  |  |
| SR1     | Legal<br>Failure to comply with Public Procurement Regulations | DCEO                | 7      | 9          | 63                  | 5      | 1          | 5                                     | Monthly                         | CD S&L                 | Members received and approved report on final assessed tenders and appointed highest scorer  | Members received and approved report on final assessed tenders and appointed highest scorer  |
|         | Process delayed by legal challenge before November 1st 2019    | DCEO                | 7      | 8          | 56                  | 9      | 8          | 72                                    | Weekly                          | CD S&L                 | Preferred Contractor selected and approved by Members. Legal challenge to procurement subject to court decisions or outcome of any mediation | Preferred Contractor selected and approved by Members. Legal challenge to procurement subject to court decisions or outcome of any mediation |





LEISURE SERVICE CONTRACT SUB RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name   | Inherent Risk Score |        |            | Residual Risk Score |        |            | Total Score | Treat/Generate/Transfer/Terminate (if Treat, further actions needed) | Further Actions Needed to reduce Risk                                     | Deadline for Completion Actions      | Officer(s) Responsible | Updated Comments 25/06/2020   | Comments 27/02/2019   |
|---------|---|---------------------|--------|------------|---------------------|--------|------------|-------------|--|---|--------------------------------------|------------------------|---|---|
|         |   | Lead                | Impact | Likelihood | Lead                | Impact | Likelihood |             |  |   |                                      |                        |   |   |
| SR2     | Contractual<br>New contractual arrangements not in place by 1 April 2020  | DCEO                | 7      | 8          | 56                  | 9      | 8          | 72          | Treat  | Ongoing resources review for contracts Work plan priority                 | Weekly                               | DCEO                   | Members approved the temporary transfer back in-house while legal challenge remains   | Members approved the temporary transfer back in-house while legal challenge remains                 |
|         | Existing Service deteriorates as current contract nears end causing failure to deliver on agreed objectives, contractual requirements or terminating contract prior to commencement of new contract | HoF                 | 6      | 6          | 36                  | 6      | 4          | 24          | Treat  | Quarterly Contract monitoring. Contractor Service Plan for 2019/20 Agreed | Executive Quarterly Monitoring       | HoF                    | Q1 LSC monitoring report to Executive 19/12/19. Q3 LSC monitoring report due to Executive 27/12/20. Q4 LSC monitoring report due to Executive 27/12/20. | Q2 LSC monitoring report to Executive 19/12/19. Q3 LSC monitoring report due to Executive 27/12/20. |
|         | Management of Facilities Contracts & failure to maintain assets to a good H&S and operational standard  | DCEO                | 9      | 4          | 36                  | 9      | 3          | 27          | Treat  | Ongoing Monitoring Implement pre 2020 condition survey work               | Annual/Monthly Inspections & Review. | HoA                    | Asset Management plan 2019/20 and 2020/21 to address condition survey   | Asset Management plan 2019/20 and 2020/21 to address condition survey                               |

LEISURE SERVICE CONTRACT SUB RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name   | Inherent Risk Score |        |            | Residual Risk Score |        |            | Total Score | Likelihood | Impact | Source of Assurance<br>EA Ext Audit<br>IA Int Audit<br>SMT Sr Mgmt Team<br>RD H&S<br>M Members<br>BSC H&S<br>LA Legal Advice<br>APMD Asset Mgmt Team<br>EC Ext Consult<br>PR Performance Review | Existing Controls | Treat, Transfer/Terminate/Tolerate (if further actions needed) | Further Actions Needed to reduce Risk  | Deadline for Completion Actions | Officer(s) Responsible | Updated Comments<br>25/06/2020        | Comments<br>27/02/2019                |
|---------|---|---------------------|--------|------------|---------------------|--------|------------|-------------|------------|--------|---|-------------------|--|--|---------------------------------|------------------------|---------------------------------------|---------------------------------------|
|         |   | Lead                | Impact | Likelihood | Lead                | Impact | Likelihood |             |            |        |   |                   |  |  |                                 |                        |                                       |                                       |
| SR 3    | Resources<br>Inadequate I.T. Infrastructure/<br>Systems/Data for new LSC..  | HoF                 | 7      | 5          | 35                  | 7      | 8          | 56          | 6          | 1      | 6   | 6                 | Treat  | Review for Procurement process Review for new Contract post 2020                                       | 31/03/2020                      | HoF/ HoIT              | Support Services Decoupling complete. | Support Services Decoupling complete. |
|         | Inadequate Support Services to mitigate legal challenge during procurement process and to ensure adequate resources for contract mobilisation | HoF                 | 7      | 8          | 56                  | 6      | 1          | 6           | 6          | 1      | 6   | 6                 | Tolerate   | Support Services Review implemented for the time between Nov 2018 to Oct 2019 then post April 1st 2020 | 31/10/2019                      | HoF                    | Support Services Decoupling complete. | Support Services Decoupling complete. |

LEISURE SERVICE CONTRACT SUB RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name   | Inherent Risk Score |        |            | Residual Risk Score |        |            | Tolerate/Transfer/Treat/Terminate (if Treat, further actions needed) | Further Actions Needed to reduce Risk  | Deadline for Completion Actions | Officer(s) Responsible | Updated Comments 25/06/2020  | Comments 27/02/2019 |
|---------|---|---------------------|--------|------------|---------------------|--------|------------|--|--|---------------------------------|------------------------|--|---------------------|
|         |   | Lead                | Impact | Likelihood | Total Score         | Impact | Likelihood |  |  |                                 |                        |  |                     |
| SR 4    | Financial Management<br>Financial Risks of contractor failure and Authority to assume control of venues   | HoF                 | 9      | 6          | 54                  | 9      | 6          | 72   | <br> | 31/08/2019                      | DCEO                   | <p>Members approved the temporary transfer back in-house while legal challenge remains</p> |                     |
| SR5     | Governance & Leadership<br>Contractor fails to provide the governance structures and leadership to deliver the statutory, financial and best practice requirements of the contract. | CEO                 | 7      | 7          | 49                  | 7      | 2          | 14   | <br> | 30/11/2018                      | CEO                    | <p>Preferred bidder selected and approved and meets requirements</p>                       |                     |



LEISURE SERVICE CONTRACT SUB RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name   | Inherent Risk Score | Residual Risk Score | Lead   | Impact | Likelihood | Total Score | Existing Controls   | Source of Assurance  | Impact | Likelihood | Total Score | ↑ ↓ ⇄ | Tolerate/Transfer/Treat/Terminate (if Treat, further actions needed) | Further Actions Needed to reduce Risk   | Deadline for Completion Actions | Officer(s) Responsible | Updated Comments 25/06/2020   | Comments 27/02/2019  |
|---------|---|---------------------|---------------------|--------|--------|------------|-------------|---|--|--------|------------|-------------|-------|--|---|---------------------------------|------------------------|---|--|
| SR6     | <p><b>Reputation/Communication</b></p> <p>Retendering of the contract requires engagement in the wider market including the existing contractor. Failure to deliver a fair and transparent process could damage the Authority's reputation in this and future tendering processes</p> | 7                   | 7                   | CD S&L | 7      | 7          | 49          | <p>External Consultants Employed (SLC) to support in-house legal specialists and Authority SMT</p> <p>Authority Governance structures</p> <p>Authority Legal Team</p> <p>PR Comms team</p> <p>Internal/External auditors</p>  | <p>EC Reports</p> <p>SMT Weekly Meeting Minutes</p> <p>M Exec Monthly</p> <p>M 1/4ly Authority Meetings</p> <p>M Working Groups</p> <p>IA Procurement process</p> <p>EA Annual Report re VFM</p> | 5      | 1          | 5           | ↕     | Tolerate   | <p>PR/Comms team to manage external communications</p> <p>Employment of Stakeholder engagement consultants</p>  | 31/05/2019                      | CD S&L                 | Complete  | Complete   |
| SR7     | <p><b>Business Continuity</b></p> <p>Inadequate business continuity implementation during procurement phase and during mobilisation of new contract.</p>  | 7                   | 7                   | CEO    | 7      | 7          | 49          | <p>Emergency Action Planning</p> <p>Disaster Recovery Plan</p> <p>Business Interruption Insurance Adequate</p> <p>Cover arrangements exist for Senior Management</p> <p>Site DRP &amp; Management Plans</p> <p>Joint Insurance</p> <p>Trusts/Funds General Reserves</p> <p>H&amp;S Audits</p> <p>Support Services Decoupling IT/ HR/Finance</p> | <p>EA - Annual Audit Letter</p> <p>IA Audit Plan and monitoring visits</p> <p>SMT Weekly Meeting Minutes</p> <p>M Exec Monthly</p>   | 7      | 4          | 28          | ↕     | Treat  | <p>Audit Recommendations implemented</p> <p>Further training and testing.</p> <p>Align Contractor Risk Register - to Authority risk register to ensure continuity</p> | Quarterly Monitoring            | CD S&L                 | <p>Authority contract mobilisation team in place work programmes and actions in progress. This is being adjusted based on the decision to bring the venues back in house for a period of time.</p> <p>Although venues back in house, all currently closed due to Covid-19 pandemic.</p> | <p>Authority contract mobilisation team in place work programmes and actions in progress. This is being adjusted based on the decision to bring the venues back in house for a period of time.</p> |

LEISURE SERVICE CONTRACT SUB RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name   | Inherent Risk Score |        |            | Residual Risk Score |        |            | Further Actions Needed to reduce Risk | Deadline for Completion Actions | Officer(s) Responsible | Updated Comments 25/06/2020  | Comments 27/02/2019  |
|---------|---|---------------------|--------|------------|---------------------|--------|------------|---------------------------------------|---------------------------------|------------------------|--|--|
|         |   | Lead                | Impact | Likelihood | Total Score         | Impact | Likelihood |                                       |                                 |                        |  |  |
| SR8     | Major Business Developments<br>Leisure Services Contract Retender Failure in Strategic Risks 1-7 above in the retender of the Leisure Services Contract | CEO                 | 9      | 5          | 45                  | 9      | 8          | 72                                    | Treat                           | CEO                    | Members approved the temporary transfer back in-house while legal challenge remains. | Members approved the temporary transfer back in-house while legal challenge remains. |
|         | Leisure Services Contract Retender Failure to appoint contractor for new Leisure Service Contract.  | CEO                 | 8      | 3          | 24                  | 9      | 8          | 72                                    | Treat                           | CEO                    | Members approved the temporary transfer back in-house while legal challenge remains. | Members approved the temporary transfer back in-house while legal challenge remains. |

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Score 45-81 High Risk  
Score 18-42 Moderate risk  
Score 1- 16 Low risk







Progress in a positive direction in reducing the risk  
Progress is negative and risk is getting worse.  
Progress static subject to actions or as risk is "tolerated"

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COVID-19 PANDEMIC SUB RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name  | Inherent Risk Score |        |            | Residual Risk Score |        |            | Total Score | Likelihood | Impact | Existing Controls  | Source of Assurance<br>EA Ext Audit<br>IA Int Audit<br>SMT Sr Mgmt Team<br>RD H&S<br>MI Members<br>BSC H&S<br>LA Legal Advice<br>APMD Asset Mgmt Team<br>EC Ext Consult<br>PR Performance Review | Tolerate/Transfer/Treat/Terminate<br>(If Treat, further actions needed) | Further Actions Needed to reduce Risk | Deadline for Completion Actions | Officer(s) Responsible   | Comments |
|---------|--|---------------------|--------|------------|---------------------|--------|------------|-------------|------------|--------|--|--|---|---------------------------------------|---------------------------------|--|----------|
|         |  | Lead                | Impact | Likelihood | Total Score         | Impact | Likelihood |             |            |        |  |  |   |                                       |                                 |  |          |
| SR1     | Legal<br>Failure to comply with Covid-19 Health & Safety legislation | CD                  | 9      | 6          | 54                  | 7      | 2          | 14          | High       | High   | <br><br><br> | Tolerate   | Pandemic Procedure & H&S Pandemic Risk Reduction Plans delivered.       | Executive Quarterly Monitoring        | CD                              | COVID -19 Oversight team meet twice a week throughout the pandemic, which has been in place since February 2020. Pandemic Procedure Audits in progress and annual H & S report to members in Jun |          |





COVID-19 PANDEMIC SUB RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name   | Inherent Risk Score |        |            | Residual Risk Score |  |                                      | Further Actions Needed to reduce Risk | Deadline for Completion Actions | Officers' Responsible | Comments  |  |                                |  |     |  |
|---------|---|---------------------|--------|------------|---------------------|--|--------------------------------------|---------------------------------------|---------------------------------|-----------------------|---|--|--------------------------------|--|-----|--|
|         |   | Lead                | Impact | Likelihood | Total Score         | Existing Controls  | Source of Assurance                  |                                       |                                 |                       |   | Impact   | Likelihood                     | Total Score  |     |  |
| SR2     | Contractual<br>Contractors, Governing Bodies not delivering agreed objectives/contract due to limitations imposed by Covid-19 legislation | HoF                 | 7      | 6          | 42                  | <br>Existing Controls<br>Review of all current contracts control processes by a responsible officer. Delivery monitored by Director/Head of Service and monitoring Quarterly Performance Reports to Executive & Scrutiny Committees | IM Exec Monthly<br>IM Scrutiny 1/4ty | 7                                     | 4                               | 28                    |    | Tolerate/Transfer/Retain/Eliminate<br>(If Treat, further actions needed) | Quarterly Contract monitoring. | Executive Quarterly Monitoring                                     | CD  | LSC Contract delay. GM contractor amending procedures to continue service. Covid-19 testing centre lease in place. |
|         | Management of Facilities Contracts & failure to maintain assets to a good H&S and operational standard                                    | CD                  | 9      | 5          | 45                  | <br>Existing Controls<br>Advice and support from APMD plus external contractors. Ensure that Contractors apply correct social distancing when attending facilities<br>Facilities to remain mothballed until allowed to re-open    | APMD Monthly Inspections             | 7                                     | 4                               | 28                    |  | Treat  | Ongoing Monitoring             | Monthly Inspections & Review. MPG's checked monthly for completion | HoA | Maintenance Performance Guide audits to be reviewed by APMD.   |

COVID-19 PANDEMIC SUB RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name   | Inherent Risk Score |        |            | Residual Risk Score |                   |   | Total Score   | Likelihood | Impact | Tolerate/Transfer/Treat/Terminate (if Treat, further actions needed) | Further Actions Needed to reduce Risk | Deadline for Completion Actions | Officer(s) Responsible | Comments 25/06/2020  |                |              |   |
|---------|---|---------------------|--------|------------|---------------------|-------------------|---|---|------------|--------|--|---------------------------------------|---------------------------------|------------------------|--|----------------|--------------|---|
|         |   | Lead                | Impact | Likelihood | Total Score         | Existing Controls | Source of Assurance   |   |            |        |  |                                       |                                 |                        |  | EA Exd Audit   | IA Int Audit | SMT Sr Mgmt Team  |
| SR 3    | Resources<br>Inadequate I.T. Infrastructure/ Systems/Data support due to staff shortages imposed by furlough process  | CD                  | 8      | 6          | 48                  |                   | <p>Existing Controls</p> <p>Reports to Exec Financial/legal/Risk implications fully appraised.<br/>Appraisal of limitations on remaining staff<br/>Existing IT Infrastructure support processes</p> | <p>Source of Assurance</p> <p>EA Exd Audit</p> <p>IA Int Audit</p> <p>SMT Sr Mgmt Team</p> <p>RD H&amp;S</p> <p>M Members</p> <p>BSC H&amp;S</p> <p>LA Legal Advice</p> <p>APMID Asset Mgmt Team</p> <p>EC Ext Consult</p> <p>PR Performance Review</p> | 7          | 5      | 35   |                                       |                                 | Treat                  | <p>Review for furlough process</p> <p>Review for changes in government legislation</p> | Monthly review | HoIT         | Authority reviewing furlough processes to enable continuity of IT support, factoring in requirement for home working of staff |
|         | The Authority have insufficient staff at all levels available to respond to business demands due to furloughing staff | CEO                 | 8      | 8          | 64                  |                   | <p>Existing Controls</p> <p>Review of business needs<br/>Agreement on continuity requirements with HoD's<br/>Devolvement of Duties to upper echelons<br/>Internal/External communications</p>       | <p>Source of Assurance</p> <p>EA Exd Audit</p> <p>IA Int Audit</p> <p>SMT Sr Mgmt Team</p> <p>RD H&amp;S</p> <p>M Members</p> <p>BSC H&amp;S</p> <p>LA Legal Advice</p> <p>APMID Asset Mgmt Team</p> <p>EC Ext Consult</p> <p>PR Performance Review</p> | 6          | 3      | 18   |                                       |                                 | Treat                  | Ongoing Monitoring<br>Review of business performance                                   | On-going       | CEO/<br>CD   | Authority reviewing furlough processes to enable business continuity is enabled and planning is in place as required.         |







COVID-19 PANDEMIC SUB RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name   | Inherent Risk Score |        |            | Residual Risk Score |            |             | Total Score | Likelihood | Impact | Existing Controls   | Sources of Assurance<br>EA Ext Audit<br>IA Int Audit<br>SMT Sr Mgmt Team<br>RD H&S<br>M Members<br>BSC H&S<br>LA Legal Advice<br>APMD Asset Mgmt Team<br>EC Ext Consult<br>PR Performance Review | Tolerate/Transfer/Treat/Terminate<br>(if Treat, further actions needed) | Further Actions Needed to reduce Risk  | Deadline for Completion<br>Actions | Officer(s) Responsible | Comments<br>25/06/2020   |
|---------|---|---------------------|--------|------------|---------------------|------------|-------------|-------------|------------|--------|---|--|---|--|------------------------------------|------------------------|--|
|         |   | Lead                | Impact | Likelihood | Impact              | Likelihood | Total Score |             |            |        |   |  |   |  |                                    |                        |  |
| SR 4    | Financial Management<br>Financial Risks of over/under spent budget through non-achievement of income targets due to closures imposed by Covid-19 pandemic. Insufficient Resources to meet objectives while using financial reserves | HoF                 | 9      | 9          | 81                  | 9          | 8           | 72          | 9          | 8      | Emergency Budget monitoring reports Authority monitoring Meetings completed<br>Emergency Budget Review 2020/21<br>Medium Term Financial Plan updated £3-4m Minimum Reserves Policy reviewed<br>Statutory Power to Levy<br>Emergency Budget Review 2020/21 | <br>                         | Treat   | Ongoing Monitoring   | Executive Quarterly Monitoring     | HoF                    | Medium Term Financial Plan, key aspects of 2025 business plan all considered as part of Emergency Budget in May. |
| SR5     | Governance & Leadership<br>Challenge to Authority's powers to raise the Levy on all constituent councils with changes caused by Covid-19 pandemic on their budgets  | CEO                 | 9      | 7          | 63                  | 9          | 1           | 9           | 9          | 1      | Stakeholder engagement<br>Clear Budget/Levy Direction<br>Review of Emergency Budget to reduce expenditure<br>Funded Financial Plan<br>Statutory Levy Raising Powers<br>Monitoring of Legislation  | <br>                     | Tolerate  | Set out 2020-2030 Vision<br>Communicate Emergency budget to stakeholders as required | Executive Quarterly Monitoring     | CEO                    | Ongoing  |

COVID-19 PANDEMIC SUB RISK REGISTER AS AT 25 JUNE 2020







| Risk ID | Risk Name   | Inherent Risk Score |        |            | Residual Risk Score |                   |                     | Total Score | Likelihood | Impact | Tolerate/Transfer/Treat/Terminate (if Treat, further actions needed) | Further Actions Needed to reduce Risk | Deadline for Completion Actions | Officer(s) Responsible | Comments   |
|---------|---|---------------------|--------|------------|---------------------|-------------------|---------------------|-------------|------------|--------|--|---------------------------------------|---------------------------------|------------------------|--|
|         |   | Lead                | Impact | Likelihood | Total Score         | Existing Controls | Source of Assurance |             |            |        |  |                                       |                                 |                        |  |
| SR6     | Reputation/Communication<br>Impact on Authority's reputation due to service failure caused by Covid-19 pandemic, damaged stakeholder and/or contractor relationships. | HoC                 | 8      | 6          | 48                  |                   |                     | 6           | 3          | 18     |  | Treat                                 |                                 | HoC                    | Comms planning had been completed for the in-housing of non LSC venues and temporary in-housing of the six LSC venues. These plans have been revised and updated to deal with Covid19 and its impact internally and externally, and work needed on reopening and relaunching with new emergency budgets. Communications being reprioritised during this time to support key business requirements and emerging issues. |
|         |   |                     |        |            |                     |                   |                     |             |            |        |  |                                       |                                 |                        |  |

COVID-19 PANDEMIC SUB RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name  | Inherent Risk Score |        |            | Residual Risk Score |  |   | Tolerate/Transfer/Treat/Terminate (if Treat, further actions needed) | Further Actions Needed to reduce Risk  | Deadline for Completion Actions | Officer(s) Responsible   | Comments 25/06/2020  |            |   |
|---------|--|---------------------|--------|------------|---------------------|--|---|--|--|---------------------------------|--|--|------------|---|
|         |  | Lead                | Impact | Likelihood | Total Score         | Source of Assurance  | Impact  |  |  |                                 |  |  | Likelihood | Total Score   |
| SR7     | Business Continuity<br>Inadequate pandemic management processes in place park wide following major international viral outbreak  | CEO                 | 9      | 7          | 49                  | <br>Existing Controls   | EA Ext Audit<br>IA Int Audit<br>SMT Sr Mgmt Team<br>RD H&S<br>IM Members<br>BSC H&S<br>LA Legal Advice<br>APMD Asset Mgmt Team<br>EC Ext Consult<br>PR Performance Review | 7<br>5<br>35   | <br>     | Treat                           | H & S Recommendations, Implemented Training and reviews of financial, legal, leadership protocols<br>Updates of communication processes<br>Review of staffing structure to continue business | Executive Quarterly Monitoring   | CEO<br>CD  | Pandemic procedure and processes to be reviewed and updated.<br>Separate Sub Risk Register Implemented. |
| SR8     | Environmental Management<br>Failure to manage contamination could be a risk to users, this includes land and/or water contamination (also damage to reputation from failing to manage contamination) | DCEO                | 9      | 9          | 81                  | <br>Existing Controls | IM 1/4ly Authority Meetings<br>IM Working Groups<br>IM Exec Monthly SMT Weekly Meeting Minutes  | 7<br>2<br>14   | <br> | Tolerate                        | Ongoing monitoring.  | Ongoing Monitoring plus analysis when land sold/purchased or developed | DCEO       | Ongoing monitoring in line with Land Contamination Strategy & Policy                                    |




COVID-19 PANDEMIC SUB RISK REGISTER AS AT 25 JUNE 2020

| Risk ID | Risk Name   | Inherent Risk Score |        |            |             | Residual Risk Score   |  |   |   | Total Score   | Likelihood | Impact   | Source of Assurance<br>EA Ext Audit<br>IA Int Audit<br>SMT Sr Mgmt Team<br>RD H&S<br>IM Members<br>BSC H&S<br>LA Legal Advice<br>APIMD Asset Mgmt Team<br>EC Ext Consult<br>PR Performance Review | Existing Controls | Tolerate/Transfer/reat/Terminate (if Treat, further actions needed)   | Further Actions Needed to reduce Risk | Deadline for Completion Actions | Officer(s) Responsible | Comments 25/06/2020 |
|---------|---|---------------------|--------|------------|-------------|---|--|---|---|---|------------|--|---|-------------------|---|---------------------------------------|---------------------------------|------------------------|---------------------|
|         |   | Lead                | Impact | Likelihood | Total Score | Lead  | Impact   | Likelihood  | Total Score   |   |            |  |   |                   |   |                                       |                                 |                        |                     |
| SR9     | <b>Major Business Developments</b><br>Picketts Lock Development<br>Failure in Strategic Risks 1-8 above in the development of the Picketts Lock project caused by impact of Covid-19 restrictions   | CEO                 | 8      | 8          | 64          |    | Legal Advice<br>HM Gov Restrictions managed<br>Prudential Code<br>Feasibility Studies<br>Existing PR/Comms<br>Feasibility budget<br>Working with LB Enfield<br>Planning Advice<br>Land & Property Member Group | EC Reports<br>SMT Weekly Meeting Minutes<br>IM Exec Monthly<br>IM 1/4ly Authority Meetings<br>IM Working Groups<br>IA Audit Plan<br>EA -Annual Audit Letter |  |  | Treat      | Moderation of Covid-19 restrictions<br>Planning Approval<br>Business Plan<br>Design Team Continued engagement with stakeholders, users and local community | Executive Quarterly Monitoring  | CEO/ CD           | Site Investigations completed.<br>Further discussions with developer and London Borough of Enfield ongoing.   |                                       |                                 |                        |                     |
|         | <b>Leisure Services Contract Retender</b><br>Failure in Strategic Risks 1-8 above in the retender of the Leisure Services Contract due to impact of Covid-19 restrictions and potential Legal Challenges from winning bidder on removal of restrictions | CEO                 | 9      | 7          | 63          |  | Legal Advice<br>Procurement Regulations<br>Medium Term Financial Plan<br>Existing PR/Comms<br>Market Engagement & Specification<br>Tender Exercise Completed   | EC Reports<br>SMT Weekly Meeting Minutes<br>IM Exec Monthly<br>IM 1/4ly Authority Meetings<br>IM Working Groups<br>IA Audit Plan<br>EA -Annual Audit Letter |  |  | Treat      | Tender Evaluation<br>Award of Contract<br>Agreements with winning contractor on contract commencement  | Executive Quarterly Monitoring  | CEO/ CD           | Preferred Contractor selected and approved by Members.<br>Legal challenge to procurement still subject to court decisions<br>Possible challenge from winning contractor on continuing closure of facilities due to Covid-19 |                                       |                                 |                        |                     |

639

327


  
 Progress in a positive direction i.e. reducing the risk  
 Progress is negative and risk is getting worse.  
 Progress static subject to actions or as risk is "tolerated"

Score 45-81 High Risk  
 Score 18-42 Moderate risk  
 Score 1- 16 Low risk

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## 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.

|          | <b>Impact</b>   | <b>Likelihood</b>                         |
|----------|---|---|
| <b>1</b> | No impact   | <1% likely to occur in next 12 months     |
| <b>2</b> | 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   |
| <b>3</b> | 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  |
| <b>4</b> | 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 |
| <b>5</b> | 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 |
| <b>6</b> | 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 |
| <b>7</b> | 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 |
| <b>8</b> | 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 |
| <b>9</b> | Financial loss above £1 million or major impact at strategic level or closure/transfer of business  | >80% likely to occur in next 12 months    |