

APPENDIX A - CORPORATE RISK REGISTER

| General Updates (As advised by Managers) | RISK REFERENCE & DESCRIPTION | CORPORATE PRIORITY | RAG & RISK RATING SCORE | CONTROL ACTIONS <i>*See Key</i> <i>These are specific actions to reduce the likelihood of a risk event or occurrence.</i> | MITIGATING ACTIONS <i>** See key</i> <i>These are specific actions to reduce the impact of a risk event should it occur.</i> |
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| <p>1a. Benwell Phase 1 completed and 100% occupied (September 2021), and West Wing Occupied (Jan 22).</p> <p>Annual Housing Delivery Test Action Plan went to E&S committee on 9 November 2021 setting out how the Council is looking to increase housing delivery. It was also considered by Planning Committee on 5 January 2022.</p> <p>The Pre-Submission</p> | <p>1.(a) HOUSING – DEVELOPMENT & TARGETS</p> <p>(i) Failing to deliver housing development targets could lead to a loss of Spelthorne’s overall control as the Local Planning Authority, resulting in key decision making undertaken by other organisations.</p> <p>(ii) The Council is not able to deliver the Local Plan by the required timeframes, increasing the risk of unsuitable planning applications being submitted. Where planning applications have been refused but subsequently approved on appeal, this also has financial implications arising from developer claims to the Council.</p> <p>(iii) Delays in completing property development schemes, with significant repercussions for delivery</p> | <p>Supporting Communities</p> <p>Affordable Housing</p> <p>Service Delivery</p> | <p>RED Refer to the Risk Matrix</p> | <p>Housing Delivery Programme.</p> <p>Exploring other development opportunities within the borough.</p> <p>Strategy for the revised Local Plan (agreed by the E&S committee on 13 July 2021 plus a revised timetable to adoption of summer 2023).</p> <p>Further reporting to Council in May regarding the Local Plan.</p> <p>Weekly progress reporting of Property Development projects to officer Development</p> | <p>Annual Housing Delivery Test Action Plan.</p> <p>Annual Planning Performance report to E & S committee in March 2022.</p> <p>Financial monitoring and reporting, quantifying the impact of the moratorium and other delayed property schemes, as well as outlining mitigating actions moving forward.</p> |

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| <p>Publication Version of the Local Plan and Draft Staines Development Framework Publication were agreed by Full Council May 2022.</p> <p>Within the annual planning performance report, it highlights the risk around the number of overturns of major applications which are then allowed on appeal. If the 10% figure is breached, then the Council would</p> | <p>of housing schemes and targets (both affordable housing and general housing). Key development schemes within Staines-upon-Thames have been held up by the Moratorium, presenting increased delivery costs because of construction inflation. Non-development costs (approx. 1.2m over last year up to March 2022) have resulted in significant adverse financial impact for the Council. Increased rates from the PWLB and rising inflationary pressures will affect the viability of each project going forward, which could further impact delivery of housing targets.</p> <p>(iv)Delays in political decision making have an adverse impact on both timeliness and direction of Development schemes. Expanding the specification of properties generates more costs to Development schemes</p> | | | <p>Investment Group (DIG). Bi-monthly Assets Portfolio Working Group (with Chair and Vice of both CPCR and Development Sub-Committee) meetings are being held.</p> <p>Viability assessments of development schemes are required to take on board the increased cost of PWLB loan rates and further inflationary pressures to determine ongoing financial viability.</p> <p>Regular advisory reports to Members/Committees to inform decision</p> | |

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| exceed the government 'designation' threshold. | and consequently impacts the financial viability of schemes. (v) Inadequate strategic direction for Knowle Green Estates (KGE) in the provision of the Council's Housing delivery programme presents risks of failing to meet wider housing needs within the borough (beyond affordable housing), impacting effective delivery of housing development targets. | | | making, setting out development options and associated implications for the Council and local communities. Paper reported to March 2022 CPRC setting out options for repatriating surplus funds from KGE over the long term. | |
| 1b Single person homeless facility with 27 beds and 4 move on units delivered in October 2021 with residents moved in January 2022. Facility managed by Thames | 1.(b) HOUSING – AFFORDABLE (i)Lack of affordable housing supply increases homelessness (ii)Housing provision (types of units) does not meet local resident needs or address client special needs for accommodation | Affordable Housing Supporting Communities Service Delivery | RED Refer to the Risk Matrix | Housing Delivery Programme. Affordable Housing provision extends beyond those development schemes acquired by Spelthorne Borough Council (direct delivery). Collaborative working with Registered Social | Government funding to assist vulnerable families in rent arrears and who are at threat of eviction. Collaborative initiatives with Surrey County Council (e.g., Drug and alcohol abuse) |

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| <p>Metropolitan Housing.</p> <p>Under the ARAP scheme two Afghan families have been found accommodation (private sector landlords) on a medium-term basis and receiving support.</p> <p>Community Wellbeing approved a revised Tenancy Strategy</p> | <p>(iii) The Domestic Abuse Act presents additional pressures and demand as there is a requirement for victims of domestic abuse to be prioritised and rehoused in secure accommodation (parameters of what constitutes domestic abuse expanded under latest legislation)</p> <p>(iv)The conflict in Ukraine and refugee situation presents additional pressures in ensuring that fundamental needs are met in supporting new communities .</p> <p>(iv) Managing demand for social housing is extremely challenging given that anyone with a local connection can apply for housing to any Council.</p> <p>(v) Cost of Living crisis may lead to more homelessness cases and increased demand for social housing</p> | | | <p>Landlords and Partners to pursue delivery of affordable housing need; S106 agreements with Developers.</p> <p>Homelessness Reduction Act – proactive measures taken to address risk of homelessness.</p> <p>Measures to support Rough Sleepers, Afghan and Ukrainian refugee families under the government funded relocation and assistance scheme. Dedicated support workers.</p> | <p>Monitoring of Housing Register levels (currently approx. 3,000 households on the register).</p> <p>Review of allocation policy completed and approved by Community Wellbeing Committee in June 2022, with a view to adding greater efficiency to the housing register process and assigning social housing.</p> <p>Counter Fraud data matching initiative being pursued with A2D, with the objective of identifying potential social housing fraud occurrences, to free up</p> |

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| | <p>The above risks and evolving individual circumstances lead to increased costs and pressure on the Council's Housing Service in responding to homelessness and growing numbers on the Housing register, impacting delivery of affordable housing provision across the borough. If fundamental housing needs are not met/maintained this may have a negative impact on the health and wellbeing of individuals/families.</p> | | | <p>Housing and Homelessness Strategies. Quarterly monitoring of Strategic Action Plan. Regular review by officer Strategic Housing Group.</p> <p>Surrey reciprocal arrangement to re-house applicants across boroughs where local connection confirmed.</p> <p>£35m property acquisition scheme via KGE - Knowle Green Estates to purchase and manage readymade properties approved by Full Council in February</p> | <p>social housing for those in genuine need.</p> |

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| | | | | 2022, forming part of the capital programme. A process flowchart has been prepared, incorporating due diligence at key stages. Approval of new Property Acquisition Project Manager with a view to them supporting the scheme through relevant skillset. | |
| <p>2. Funding secured (£100,000) from DWP for a Youth Hub for 18 – 24-year-olds to assist with job employability. Hub began operating</p> | <p>2. ECONOMY</p> <p>Evolving national economic position and ongoing recovery from previous pandemic lockdowns continue to have an impact on economic wellbeing locally, nationally and globally. The risk implications and threats to the Council are:</p> | <p>Supporting Communities</p> <p>Recovery from Covid</p> | <p>Red</p> <p>Refer to the Risk Matrix</p> | <p>Periodical review and reporting of the Economic Development strategy. To ensure continued relevance, this strategy is undergoing a complete refresh (to cover 2022 -2027) and referred to as the</p> | <p>Government assisted energy rebate scheme to support increased energy costs /bills.</p> |

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| <p>from Sunbury Business Incubator in January 2022. Officially launched 4 March 2022.</p> | <ul style="list-style-type: none"> • Residual risk to be accepted - whilst Council actions aim to support and influence sustained economic recovery, these alone cannot control outcomes due to the ramifications of the macroeconomic environment and geo political situation. • Challenges in the recovery of the aviation sector is significant for Spelthorne's local economy and communities due to its proximity to Heathrow as a major employer in the area. • Significant longer term reduction in income (fees and charges, such as Parking and retail letting of the Elmsleigh Centre) with decreased footfall in the town centres and uncertainty around future consumer activity patterns. | | | <p>Economic Prosperity strategy.</p> <p>Additional Restriction Grant (ARG) fund spent by 31.3.22 to facilitate and support businesses in recovery of the local economy. Dedicated ED committee to consider Economic Development matters and receive reports on progress – role includes scrutiny of budgets and grant spend.</p> <p>Fortnightly monitoring of Business Rates and Council Tax collection rates as part of monitoring the effect</p> | |

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| | <p>This will continue to impact the Council's finances.</p> <ul style="list-style-type: none"> • An increased level of business failures impacts economic prosperity of the borough and effects collection rates for business rate income, with reduced levels impacting finances and services available. • On emerging from the pandemic, consumer led demand placed increased pressure on supply chains, leading to inflation, rising prices and increased living costs, with energy, fuel, food and household costs in particular continuing to rise at an alarming rate. The escalating inflationary pressures and Cost of Living crisis adversely impact | | | <p>of current pressures such as the Cost-of-Living crisis on the collection fund.</p> | |

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| | <p>businesses, economic activity, Council services and residents.</p> <ul style="list-style-type: none"> The current economic environment may increase occurrences of anti-social behaviour, theft and fraud. | | | | |
| <p>Refreshed Capital Strategy considered at 7 February 2022 CPR Committee.</p> <p>LGA Finance Peer Review undertaken in late 2020 with action plan put in place to address recommendations.</p> | <p>3. FINANCIAL RESILIENCE AND COMMERCIAL ASSETS</p> <p>Evolving externalities arising since the aftermath of the pandemic have increased the Council's exposure to financial risk, with possible implications for the investment portfolio, including loss of anticipated rental income from commercial assets and poor investment returns. This may impact on the financial position, leading to the Council becoming financially unsustainable with associated reputational damage.</p> | Recovery from Covid | Amber Refer to the Risk Matrix | <p>Investment performance is monitored bi-monthly at weekly Assets Portfolio Working Group, and a quarterly performance report is produced for the Investment Portfolio. Fortnightly Asset Portfolio Working meetings are taking place to monitor income (investment portfolio doing very well - 99.98% collection rate last year 21/22 despite the</p> | <p>The Council is continuing to increase its sinking funds which increased from £26m to £34m at the end of 2021-22.</p> <p>Ten year worst and expected case sinking fund scenario projections are reviewed on a fortnightly basis and will be shortly extended to a 20-year time frame.</p> <p>A review of sinking fund methodology and</p> |

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| | | | | <p>impacts of the pandemic). 95% of overall investment portfolio let.</p> <p>Due Diligence measures continue for tenant management.</p> <p>Development Sub-Committee approved a methodology for Business Plans for Investment Assets. Detailed business plans are under development for each investment asset.</p> <p>Capital Strategy includes key performance indicators with a particular focus</p> | <p>strategy is planned for summer 2022.</p> |

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| | | | | <p>on the investment portfolio.</p> <p>The Asset Management plan (reviewed annually) sets out key control measures.</p> <p>Development Sub Committee of Corporate Policy and Resources receives regular monitoring reports for scrutiny.</p> <p>Annual Performance Report.</p> <p>CIPFA FM Code self-assessment and Member reporting.</p> <p>Periodical monitoring and review of progress in addressing LGA Finance Peer review recommendations.</p> | |

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| <p>4. Update on Finance Peer Review Action Plan and CIPFA Financial Management Self-Assessment is periodically reported to the Audit Committee.</p> | <p>4. FINANCIAL RESILIENCE AND SUPPORTING COMMUNITIES</p> <p>(i) Increased financial pressures faced by the Council arising from the continued inflationary pressures on fuel, gas and electricity, staff pay pressures, slowing down of the housing delivery programme, increased PWLB Loan rates and other external factors are collectively causing a significant increase in revenue costs and capital expenditure. This will have a significant impact on the Council's balanced budget for 2022/23 and the planned budget deficits from 2023/24 to 2025/26.</p> <p>(ii) Combined with reduced fee income and collection rates for Business Rates and Council Tax (exacerbated further by the Cost of Living crisis) this could have an adverse impact on the Council's</p> | <p>Supporting Communities</p> <p>Recovery from Covid</p> <p>Service Delivery</p> | <p>Red Refer to the Risk Matrix</p> | <p>Medium term financial strategy refreshed as part of the Budget process for 2022-23. CPRC put forward proposals for a balanced budget for 22-23 (and years 23-24 to 25-26 also balanced). Full Council approved budget on 24.2.22 . Fully refreshed Reserves Strategy</p> <p>Financial impact assessment modelling.</p> | <p>Inflationary pressure contingency reserve being proposed to assist with the predicted budget deficit, and subject to Council approval.</p> <p>Governance reporting. A report going to Corporate Policy and Resources Committee on 11 July 2022 setting out the financial impact of current pressures on the Councils' budget for 2022/23, 2023/24 and beyond, including material adjustments to the planned deficit. Proposals put forward for making efficiency savings to further safeguard the authority</p> |

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| | ability to deliver services as well as creating greater demands on community services, leading to a negative impact on the Borough's residents and communities (economic, social, physical, and mental wellbeing). Ongoing financial pressures could lead to the Council becoming financially unsustainable. | | | | against this significant risk/issue. |
| 5. On track (at March 2022) with meeting Prudential indicators and fair favourably on investments compared to other Council's. | 5. TREASURY MANAGEMENT If the Council receives a reduced return on long term investments and/or investments become insecure in the current / future economic climate, then this will have an adverse impact on the Council's financial position, weakening financial resilience | Recovery from Covid Service Delivery | Amber Refer to the Risk Matrix | Treasury Management Strategy for 2022-23 approved by Members. Application of updated CIPFA Code of Practice and Prudential and Treasury Management Codes. Performance measurement and reporting. | Fixed interest rate on most debt and for investments an interest equalisation reserve is in place. Refer also to mitigating actions under section 4 above. |

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| | | | | Aim to select counter parties of the highest credit quality. Credit ratings monitored. Council's investments managed internally in consultation with specialist advisors Arlingclose. Explore options for diversifying the portfolio. | |
| <p>6. Council commitment - declared Climate Change Emergency in October 2020.</p> <p>Council's 2020-21 Budget includes £747k specifically ring-fenced for</p> | <p>6. SUSTAINABILITY & CLIMATE CHANGE</p> <p>Climate change represents a significant global threat driving social and economic disruption with far ranging consequences for socioeconomic stability. Climate change and extreme weather events impact on health and safety, food systems, supply chains &</p> | Environment and Climate Change | Red Refer to the Risk Matrix | In view of Government targets for reducing carbon emissions / greenhouse gases to tackle climate change, the Environment and Sustainability Committee will continue to explore ways to meet a carbon neutral target by 2050 | Recently installed solar panels at the Nursery as a renewable source of energy. Exploring options for improving energy efficiency of Nursery and Council offices. |

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| <p>Green Initiatives. Environment and Sustainability Committee of January 2022 agreed framework for prioritising bids to the Green Initiatives provision.</p> <p>Officers are working in the spirit of ethical and social responsibility to reduce the Council's carbon footprint. Reduced carbon emissions by 40% since 2012.</p> | <p>procurement, economic productivity, and losses. Due to climate change, there is a specific risk to the Borough of Spelthorne in terms of more extreme heat and increased flooding, besides the more global threats such as severe storms (threat to loss of life and limb) impacting locally. If the Council is not pursuing measures or seeking positive opportunities to mitigate and adapt to climate change, it could result in criticism/bad press/public demonstration and additional organisational pressures may result in a loss of focus around climate change and green initiatives. A lack of preparedness for the impacts of climate change may lead to Council Services no longer being sustainable or in a suitable position to operate in the future.</p> | | | <p>or earlier and to make recommendations on</p> <p>(i) How to apply the £747k fund</p> <p>(ii) Promote climate change as an issue that needs to permeate all Council areas to ensure we reduce our carbon footprint and adapt to climate change.</p> <p>Examples of measures taken so far: Sustainability Strategy; Energy & Water Efficiency Policy; Currently developing climate change strategy and actions. Professional group membership to share best practice and</p> | |

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| | | | | <p>knowledge such as Surrey Energy & Sustainability Partnership (SESP) and Association of Lead Energy Officers (ALEO). Implementing energy efficiency measures in Council owned buildings.</p> <p>Increasing renewables capacity.</p> <p>Officers working with relevant Committees and Treasury Management advisers on how we can transition investment portfolio to a more sustainable basis.</p> <p>In September 2022 undertaking staff training on climate change.</p> | |

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| <p>7. With additional projects with tight deadlines, workload pressures have been intense. (Examples - Staines Health and Wellbeing Centre, Cultural Development Fund, supporting refugees, delivering Whitehouse Hostel and Harper House, producing viability proposals, implementing scheme to pay out Household Support Fund</p> | <p>7. CORPORATE CAPACITY, RESOURCES , RECRUITMENT AND RETENTION</p> <p>(i)Overstretched capacity exacerbated by the additional workload, new Committee system of governance and demands arising from pandemic recovery (as well as the departure of several experienced staff) could lead to increased staff fatigue / burnout / sickness levels arising. This may impact further on employee stress levels and mental / physical wellbeing, which may also lead to reductions in expected service delivery.</p> <p>(ii)Residual risk refers to the risk that remains after control processes and measures to eliminate some or all the inherent risks have been made. It could be deemed that due to the</p> | ALL PRIORITIES | Amber Refer to the Risk Matrix | <p>Capacity management - Management to address workload issues across teams , with continued prioritisation of tasks.</p> <p>Responsibility to remain alert to stress related risks of demanding workload. The need to treat colleagues respectfully has been recognised and communicated.</p> <p>Corporate values under the acronym PROVIDE form part of the Corporate Plan. Over time it is the intention for the Council’s values to</p> | <p>Staff can access welfare information on Intranet. Support is available for mental and emotional wellbeing including mental health first aiders and Care First. This scheme has been promoted through regular staff communications.</p> <p>Monitoring of sickness absence providing corporate view of stress issues.</p> |

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| <p>grants and Energy Rebate schemes,</p> <p>It is proving more difficult to recruit into technical roles, as well as some non-technical posts. For several posts recently advertised there are few or no suitable candidates applying. (This could impact on resourcing and further stretch staff already under considerable workload pressures).</p> | <p>nature of the risk set out at 7i above with reference to causes and consequences, as well as the continuation of intense work pressures, some residual risk may continue. In acknowledging this, the Council may wish to either:</p> <p>-Do nothing on the basis that the controls have proven effective enough to reduce the risk to an acceptable level, OR</p> <p>-Increase or modify controls to reduce the risk to a level that is regarded acceptable, OR</p> <p>-Evaluate the cost of revised control and mitigation measures vs benefits and whether this is deemed necessary to bring the risk to an acceptable level</p> <p>(iii) Unsuccessful recruitment and ongoing unfilled vacancies lead to a reduced level of technical skills and relevant expertise operating across</p> | | | <p>become further embedded into behaviours, policy and processes (including recruitment)</p> <p>Annual staff survey recently commissioned (May 2022) which is designed to ascertain employee views on several themes including workplace culture, values, recruitment and retention. Feedback from the survey will be analysed with a view to making any necessary improvements and changes.</p> | |

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| <p>The Group Head of Commissioning & Transformation and the HR Manager attended the Audit Committee on 24 March 2022 to discuss the position and reinforced to Members the current challenges across the recruitment market nationally, as well as the skill shortages within the local government market. Since COVID, it has become apparent that some long-standing employees have</p> | <p>Services. Staff shortages further exacerbate workload pressures across teams. The consequences of this risk are set out earlier at 7i.</p> <p>(iv) Ineffective or inappropriate recruitment could result in appointments that fail to effectively meet business need leading to reduced service quality.</p> | | | <p>Growth bids for additional resourcing have formed part of annual budget process (moratorium restrictions being implemented going forward), with 17 FTE approved for 2022/23.</p> <p>Several recruitment and retention measures have been underway for some time, with examples below:</p> <p>(i) A Recruitment and Retention Policy and Market Supplement Scheme to offer financial enhancements for</p> | |

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| <p>chosen to retire earlier than they may have otherwise done, and this is beyond the control of the Authority.</p> | | | | <p>hard to fill posts which are agreed by MAT.</p> <p>(ii)An apprenticeship training programme to upskill existing staff and offer development opportunities to new hires.</p> <p>(iii)An Employee Assistance Programme scheme and Mental Health First Aider Scheme to assist with staff wellbeing</p> <p>(iv)Implementation of hybrid working in response to staff feedback) and ensuring that staff are fully equipped to work from home.</p> <p>(iv)Flexi time working arrangements</p> | |

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| General Updates (As advised by Managers) | RISK REFERENCE & DESCRIPTION | CORPORATE PRIORITY | RAG & RISK RATING SCORE | CONTROL ACTIONS <i>*See Key</i> <i>These are specific actions to reduce the likelihood of a risk event or occurrence.</i> | MITIGATING ACTIONS <i>** See key</i> <i>These are specific actions to reduce the impact of a risk event should it occur.</i> |
|--|------------------------------|-----------------------|----------------------------------|--|--|
| | | | | <p>(v)An exit interview scheme that encourages leavers to engage, providing an opportunity for SBC to learn, improve and apply where appropriate for the future.</p> <p>(vi)A 2% pay increase approved for 22/23 (24.2.22) plus an extra 0.5% for staff on Grades 1 to 5. Awaiting the outcome of the national pay settlement and any further action.</p> <p>(vii)Members of South East Employers newly formed Reward and Recognition Network to share best practice and to learn from any</p> | |

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|--|------------------------------|-----------------------|----------------------------------|---|--|
| | | | | initiatives taking place elsewhere (this is a work in progress) (viii) Collaborative working and Partnerships being explored with a view to enhancing organisational and service resilience, promoting career opportunities and staff retention measures. Working group in place. | |

Risk Scoring Matrix

This is the matrix that is used across the Council

APPENDIX A - CORPORATE RISK REGISTER

Red risks require prompt, planned management action

Amber risks require planned management action

Green risks are accepted risks

| | | | | | |
|---------------|-----------------------------|-------------------|---------------------|-------------------|---------------------------|
| Impact | 4 (Catastrophic) | | | 2, 6 | |
| | 3 (Major) | | | 3; 5 | 1 (a); 1 (b); 4; 7 |
| | 2 (Medium) | | | | |
| | 1 (Trivial) | | | | |
| | | 1 (Rare) | 2 (Unlikely) | 3 (Likely) | 4 (Almost certain) |
| | | Likelihood | | | |

How risks are scored:

APPENDIX A - CORPORATE RISK REGISTER

We score risks, with their current controls in place, for likelihood and impact as shown below:

| Score | Impact | Likelihood (over 4 years or timescale deemed appropriate) |
|-------|--------------|---|
| 1 | Trivial | Rare (once) |
| 2 | Medium | Unlikely (a few times / less than annual) |
| 3 | Major | Likely (several times / more than annual) |
| 4 | Catastrophic | Almost certain (many times a year) |

Impact can be measured in many ways and will be specific to what you are assessing, but the most common are on objectives, finance, and reputation.

KEY

- *Controls and Mitigation* - Any action taken to manage risk and increase the likelihood that established objectives will be achieved.
- **Control Actions* - These are specific actions to reduce the likelihood of a risk event or occurrence.
- ***Mitigating Actions*- These are specific actions to reduce the impact of a risk event should it occur.