

## Appendix 1 - Corporate Risk Register – December 2021

Priority	Risk	Risk No. *	Q2 21/22 Likeli-hood	Q2 21/22 Impact	Q3 21/22 Likeli-hood	Q3 21/22 Impact	Current position	Residual Exposure	Status	Lead Director/ Risk Owner
Being ruthlessly financially efficient	Commercial, contract management and procurement risks, rules, outcomes, social value, management of spend and contractor performance management.	1 (3)	3	4	3	4	Work continues in support of the Ruthlessly Financially Efficient Action Plan. Atebios (Cardiff City Council) carried out a Peer review of the Council's operating model for Commissioning and Procurement and recommended that the Procurement function is centralised. Actions are now being taken to centralise the Service. The Corporate Procurement Team are reviewing contract expenditure and sample checks on goods receipting is taking place. The Contracts Assurance Board meets weekly, compliance with governance, legislation, the Council's Social Value Policy and RFE are reviewed.	M	Stable	Rhian Davies
Being ruthlessly financially efficient	Failure to maintain services to residents in the event of significant events/incidents where business resilience risks (systems, processes, resources, IT) may be compromised.	2 (5)	n/a	n/a	2	4	The Council must remain vigilant and ensure business continuity plans are robust, particularly in the event of contractor failure or Public Health issue. All Service departments are required to review, and refresh plans periodically, including in respect of the Coronavirus pandemic and threat of an act of terrorism in London. Where services have updated continuity plans, they will be reviewed by the Emergency Planning Team. The recent alerts from the Cabinet Office and Public Health England result in the risk levels increasing.	L	Stable	Sharon Lea
Being ruthlessly financially efficient	Failure to maintain services to residents in the event of IT systems being compromised and affecting service resilience.	3 (5)	4	4	4	4	The Council continues to monitor and mitigate external risks which may affect its IT systems, including attempts to breach our network through cyber-attacks, on-going security patching, the robustness of our supplier chain and overall disaster recovery provision. A report on cyber security arrangements was provided to the Committee in June 2021 and a report on ransomware to SLT in November 2021. Digital services are facilitating Ransomware mitigation workshops October-December 2021 with service leads to provide advice and prompt consideration of alternative options actions to take in the event of IT systems being unavailable. This will both inform Digital Services' disaster recovery plans and assist services to update business continuity plans where appropriate.	H	Stable	Rhian Davies
Being ruthlessly financially efficient	Information management and digital continuity, regulations, legislation and compliance.	4 (6)	3	4	3	4	The nature of the Council's business activities means that there are ongoing information governance risks, including cyber security risks and IT network security, which continue to require careful management. These risks are managed through a range of organisational measures including Information Management (IM) & Information security (IS) mandatory training, maintenance of policies, guidance documents, standards, and codes of practice. The Council deploys technical measures to protect its network and infrastructure, including technical controls to prevent malware attacks, account compromises and risks associated with data transfers. The Council continues to monitor the regulatory environment to ensure continued compliance with information governance obligations.	M	Stable	Rhian Davies
Creating a compassionate council	Managing statutory duties, equalities, human rights, duty of care regulations, highways. * Health and Safety moved to new Risk 32	5 (7)	3	3	3	3	The Chief Executive chairs the Statutory Accountabilities Board, whose membership includes the Director of Resources, Director of Children's Services, Director of Social Care and Director of Public Health. The remit of the Board is to review and consider the Council's compliance with its statutory duties.  The potential for ongoing changes in the regulatory environment post-Brexit are kept under review, with reporting taking place to SLT and Finance PAC.	M	Reduced	ALL SLT MEMBERS
Creating a compassionate council	i) Standards and delivery of care, protection of children and adults and associated data quality and information risks. ii) Reliance on external assurance providers and providers to identify and communicate issues arising from inspections e.g., Ofsted and Care Quality Commission	6 (8)	3	3	3	4	The last Ofsted inspection of Children's Services were judged as 'Good' across all four areas. Post Ofsted inspection action planning continues and performance improvement activity is integral and BAU.  As a result of the impact of COVID the LA has experienced a significant drop in performance against statutory deadlines in completing Education Health and Care Plans, this is reported annually via the SEN2 data return. This drop in performance is being addressed through a focussed programme of activity which will see a return to pre-Covid performance for 2022- 2023. There is a risk that this drop in performance could trigger an early Local Area SEND Inspection.  Children's Placements receive regular intelligence directly from Ofsted and or regional partners on concerns and or judgements following regulatory inspections. This information is routinely cross checked against children we may have in Placement with external providers, and actions plans put in place where necessary to address and or mitigation concerns. The Placements team was disaggregated and brought back in house.  The Council is partly reliant on the performance of external bodies, undertaking reviews of establishments and that all issues are communicated to them for action in a timely manner. An external inspection regime RAG rating monitor is included in the quarterly dashboard to SLT Assurance.	M	Increased	Jacqui McShannon/ Lisa Redfern

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All Council Values	Decision making and maintaining reputation and service standards. Good Governance, conduct, external inspections.	7 (11)	1	4	1	4	<p><i>Governance and decision-making framework:</i> The Constitution and associated documents, including codes of conduct, are subject to regular review and approval by Members. SLT review corporate policies and strategies.</p> <p><i>Staff training and induction:</i> Corporate induction training is provided to new starters, staff and for managers. Decision making training is being refreshed, Transformation, talent and inclusion maintain and provide a range of training activities covering HR policies. A range of training on other council policies is provided, including: Health and Safety, information security and data protection, fraud and corruption.</p> <p><i>Organisational performance and programme management:</i> A quarterly performance dashboard monitor is prepared and presented to SLT Assurance and Members. A Programme Management Office and PMO framework are in place. The PMO provide monitoring and support to major programmes access the council and report to SLT. The Commercial Assurance Board undertake monitoring and endorsement authorisation of directly awarded contracts, and review compliance with governance and decision-making thresholds for procurement decisions.</p>	L	Stable	Rhian Davies
Being ruthlessly financially efficient	Failure to identify and address internal and external fraud.	8 (12)	3	4	3	4	Policies are reviewed annually at Audit and Pensions Committee. Refreshed Fraud Response Plan, Anti-Money Laundering and Bribery Policies have been reviewed and were presented to the Audit Committee in June 2021. The Council's Anti-Fraud and Corruption Strategy spans 2020-2023 and contains an action plan to provide SLT with a tool to ensure progress and transparency regarding counter-fraud activities. Performance is reported to both the Audit and Pensions Committee and SLT to demonstrate how counter fraud work aligns with the Strategy and contributes to the Council's overall fraud resilience. Fraud Awareness training is available on the Learning Platform to all staff and a bespoke course was assigned to staff in the Social Care department. The Corporate Anti-Fraud Service has been available to support services impacted by COVID-19.	M	Stable	David Hughes
Taking Pride in Hammersmith & Fulham, Doing things with, not to residents	Failure to ensure compliance with the statutory duties to undertake inspection regimes covering management of asbestos, electrical testing, fire risk, plant and equipment, water testing/Legionella.	9 (14)	3	5	3	5	<p>Overall compliance reporting of 73 buildings that Property and FM directly provides FM support to as well as a summary of its 6 legally required statutory compliance modules consisting of Fire Management; Electrical; Mechanical; Lift and Lifting Equipment; Occupational Health and Environmental and Energy Management covering in total of 35 workstreams carried out and managed by Property and FM.</p> <p>Housing stock remains compliant across key areas - gas, electrical safety, water, gas, asbestos etc – monthly rolling monitoring programme in place. Monthly Contract meetings remain in place with all contractors and reported to senior management teams. Annual review of repairs contract in train. United Living, repair contractor for largest lot, exited on 31 Oct 2021 and reserve contractor, Morgan Sindall in place. Working with Erith, asbestos removal contractor, for mutual exit, performance issues being monitored. Risk based assessment in place for 27 buildings over 18+ metres with combustible spandrels/infill panels. Data on DELTA for MHCLG. Works scoped and phase 1 in progress. Compliance based capital works, including fire door upgrades, sprinkler installation, dry riser installation etc continue. FRA works (7,000+) via DLO continue with estimated two-year completion date. Programme of lone working training &amp; devices continues to be rolled out to officers.</p>	M	Stable	Jonathan Pickstone
Taking Pride in Hammersmith & Fulham, Doing things with, not to residents	Co-ordination and response to calls on the Council for Mutual Aid in a crisis and emergency planning response	10 (15)	3	5	4	5	The UK Terror Threat Level has recently been raised to SEVERE meaning an attack is highly likely. This followed a terrorist attack outside a hospital in Liverpool and concerns about MP Safety following the murder of David Amess. Flooding remains a concern and the issue which may most likely result in mutual aid requests. A successful multi-agency MTFA exercise was recently held and another exercise is being planned to cover flooding.	M	Increased	Sharon Lea
All Council Values	Framework and resourcing of change programmes e.g., Civic Campus, Hello Hybrid Future, new systems, not sufficient to ensure programmes are delivered.	11 (16)	2	4	2	4	Stable. Mechanisms in place to manage change through SLT, programme/ project governance and teams, the PMO/BI and project methodology. Collectively aim to ensure all major programmes do change well and managers support people well through change.	L	Stable	Emily Hill
All Council Values	Unable to retain talented people in key posts at LBHF.	12 (17)	2	4	2	4	The People Strategy implementation including the 'H&F Way' culture change movement and the Race Equality staff working groups are addressing the issues that most concern our workforce to improve our employer reputation and ability to retain talent. The People and Talent Team (in TTI) are leading on work to improve our Employer brand and Employer Value Proposition (pay and benefits). The Council is committed to staff wellbeing, learning and development and has delivered online wellbeing and learning and development events throughout the pandemic including World class managers, the H&F Academy (earn while you learn apprenticeships), Wellbeing Wednesdays, mental health first aiders, recruitment for hiring managers and a suite of manager essentials courses. Get Ahead and Apprenticeship schemes are making a difference. Workforce dashboards and KPIs are closely	L	Stable	Rhian Davies

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							monitored. Attrition has fallen from 16% to 14% (rolling 12-month turnover) and RMB continues to closely monitor all recruitment requests and approvals. However, there are areas which remain difficult to recruit including: occupational therapists, planners, revenues and benefits, procurement, business intelligence, policy, some environmental services and social workers,			
Doing things with, not to residents	An event which triggers the Fulham Mortuary being designated as a disaster Mortuary	13 (19)	2	4	2	4	Designated Disaster Mortuary Plan has been reviewed and updated. Participated in the virtual H&F Borough Resilience Forum Terrorist Attack Exercise on 15 November 2021. In preparation for winter, all contracts have been reviewed, staffing rota agreed and sufficient body storage in place to cope with increased activity.	L	Stable	Rhian Davies
Doing things with, not to residents	Failure to deliver the Civic Campus Programme.	14 (21)	3	4	3	4	Governance arrangements are in place and now well established, assurance is provided through the Civic Campus Programme Delivery Board and the overall programme status highlight report is noted as green. Key programme milestones, workstream progress, budgets and risks and issues are reported to the Board and to SLT Programme meetings. The Town Hall Extension achieved vacant possession and was handed over.  The status remains the same this quarter although progress is being made which should reduce the likelihood of this risk going into the next quarter. Agreement has been reached with Ardmore in relation to the increased cost to complete construction. The additional investment required was approved at Cabinet on 11 October 2021 and the key decision report which recommends entering into a Deed of Variation with Ardmore has been signed off by the Cabinet Member. The deed will be executed, subject to concluding a mitigation strategy for the energy centre delay (see Risk 28).	L	Stable	Jonathan Pickstone
Creating a compassionate council	Increase in the number of looked after children in the last 3 years creates budget pressures which are not able to be met to deliver the required services.	15 (22)	5	4	2	4	Over recent years the Children's Services department has experienced increasing demand for its services which has put significant strain on the limited resources available. Referrals and placements for looked after children and care leavers have increased along with significant rises in the demand, complexity and statutory responsibilities for young people with special education needs (SEN). The 2021/22 budget seeks to fund these additional pressures enabling a high-quality service to be maintained whilst also contributing to the requirement for efficiencies in a way that protects young people and improves outcomes.  Children's Services are in the process of refreshing the Placements Sufficiency Strategy which seeks to articulate gaps in local and or suitable placement provision. At present all Looked after Children and Care Leavers are in suitable placements and the current placement budget is forecasting an underspend for year-end. Late entrants to care and or breakdown in family placements is a volatile area with two pathways in that are beyond our control, UASC and Remands through court into our care. These can lead to higher cost, more intensive placements and as such requires ongoing monitoring between Placements and Finance. Due to effective assessment planning and review and rigorous oversight from our resource panel, at present this risk is considered low.  Children's Services have been working hard to ensure all budgets are closely managed ensuring greater oversight.	L	Reduced	Jacqui McShannon
Creating a compassionate council	High needs budget pressure continues, impacting on provision of services for vulnerable young residents.	16 (23)	3	4	3	4	In accordance with the RFE Priority, a High Needs Block (HNB) programme is in place with a focus on better outcomes for children. Monitoring is undertaken by the HNB Board, chaired by the Director of Children's Services and attended by key officers including the Director of Education, Director of Finance and PMO. Programme reports as amber hence the same assessment in this quarter. DSG monitor at monthly SLT Finance item on the PMO Dashboard and the position is reported to the Schools Forum. Following a successful negotiation, the council received additional high needs block Safety Valve funding in 2020/21 as part of an agreed action plan with DfE. Quarterly monitoring is undertaken with the DfE as a condition of future years' funding. The risk factors, in part, are the extension of statutory responsibilities to the full 0 to 25 age range, rising demand for Education, Health and Care Plans and the impact of Covid.	M	Stable	Emily Hill
Doing things with, not to residents	Digital Accessibility, public sector websites and apps will have to meet minimum accessibility standards. Just as all government buildings must legally be accessible to all who wish to access them, so too must their digital gateways.	17 (27)	2	3	2	3	A cross departmental taskforce has improved the accessibility of the council's website and other digital services, this was audited and signed off by the Cabinet Office. The Taskforce continues to meet monthly and is addressing the training required to ensure consistency across all departments. Every digital service the council builds or buys, and every piece of content produced must now meet accessibility standards. The communications team will also be working with the co-production and housing resident involvement teams to create a citizens' panel the council can use for accessibility and user testing. <b>RISK TO BE CLOSED</b>	L	Reduced	Rhian Davies



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All Council Values	Management of complaints, requests for information, members enquiries	18 (29)	3	4	3	4	Performance is stable overall excluding one service area where improvement plan is in place. Whilst there are still performance concerns, they are mainly in the area of complaints and relating to particular service areas rather than across the board. Regular reporting and controls are in place and action being taken to address areas of concern. LGSCO is satisfied with improvement trajectory and actions being taken. Main ongoing risk is with regard to Housing Ombudsman in relation to Repairs complaints.	H	Stable	Sharon Lea
Being ruthlessly financially efficient	Financial Management - in year budget 2021/2022 and Medium-Term Planning.	19 (split from 30)	n/a	n/a	3	4	Month 4 position, reports an in-year underspend of £2.3m following application of £4.8m of Covid-19 funding. Covid-19 continues to have an impact on income and expenditure and future funding for Covid-19 is uncertainty. The Council is experiencing increased demand and costs, particularly in Social Care and concern remains that pent-up demand for services will result in additional cost pressures later in the year. In addition, significant risks of cost increases as a result of inflationary pressures in short and medium term. Whilst the Spending Review 2021 covered a 3-year period it is unclear whether the Provisional Local Government Settlement (expected December 2021) will reflect this and a number of local government funding reforms remain unclear. The continued financial uncertainty regarding government funding of local government beyond 2021/22 creates a significant challenge in terms of budget setting and medium-term financial planning and is a risk driver. Key risks relate to Social Care – separately identified below.	M	Revised	Emily Hill
Creating a compassionate council	Financial Management - in year budget 2021/2022 and Medium-Term Planning: Social Care	20 (30)	4	4	4	4	<p>The Social Care budget forecast at month 4 is £1.4m overspend however this is after the application of £1.3m Covid-19 funding and there is significant uncertainty the on-going impact of Covid-19. This includes: 1) the impact of the Hospital discharges placed by the NHS and requiring reassessment of care which is and likely to lead to further additional costs in social care; 2) the impact on the care market providers for on-going additional costs from Covid-19; 3)the impact to achieve the full delivery of savings; and 4) market instability following Covid-19.</p> <p>Robust mitigation and tight financial controls are in place to reduce the in-year overspend. There is uncertainty and risk around the continuation of any Covid-19 funding and long term funding solutions for increased demand and complexity of demand in Social Care. Announced Social Care funding is expected only to meet the costs of new government proposals, rather than underlying pressures, and there are concerns that the funding may not be sufficient to fund the new requirements.</p>	H	Stable	Lisa Redfern
All Council values	Corporate management of Health and Safety	21 (32)	3	4	3	4	The health and safety board continues to meet every 8 weeks. Corporate health and safety report no HSE enforcement this quarter and for the previous quarter. 26 entries are currently on the Operational (Health and Safety) Risk Register. KPIs for 2021 / 2022, agreed by APSC in June 2021 are on target: Fire safety policy review (to reflect new legislation); Coronavirus ongoing monitoring and provision of information to worker via IPC awareness (also see risk 37); review of H&S training; improvements to driver safety management; risk profiling to realign council to new ways of working; reduction of work-related stress; training and assessment for the home working environment. A deep-dive audit of water hygiene compliance in all council buildings has been completed in all areas except schools, which will be completed by end of this financial year. A rise in assaults and threats on staff is noted this quarter and a safer workforce task and finish group has been instructed by the CEO to review personal safety and lone working	M	Stable	Jonathan Pickstone
Taking Pride in Hammersmith & Fulham, Doing things with, not to residents	Impact on the local economy and businesses from the closure of Hammersmith Bridge to pedestrians, road and river traffic.	22 (33)	3	4	3	4	<p>Controls in place include:</p> <p><b>CCSO</b> (Group of experts from LBHF officers/Xanta/Motts/WSP) Review monitoring data from the bridge on a continuous basis and continues to meet every two weeks.</p> <p><b>Opening</b> Bridge reopened on 17<sup>th</sup> July after stress reports found that the temperature system and stress was being managed to such an extent that the risk was significantly reduced. Bridge opened up to pedestrians and cyclists. River traffic allowed to operate again under the bridge.</p> <p><b>Sensors</b> 350 sensors on the bridge monitoring 24/7 with alerts of any changes to officers by text and emails.</p> <p><b>Temperature Control System</b> – Operational managing chain temperatures to reduce stress on the structure. Sensors alert of any temperature issues outside permitted levels. Monitored 24/7.</p> <p><b>Stabilisation</b> - Mott MacDonalds option has been selected. Design works underway and report authorising £6 million works has been approved and published.</p>	M	Stable	Sharon Lea
Doing things with, not to residents	Failure to progress safety improvement works on the Charecroft Estate.	23 (35)	2	4	2	4	As set out in the HRA 12 Year Asset Management Capital Strategy to Cabinet in Sept 2021, Charecroft Phase 1 is nearing completion: 98% fire Doors/Compartmentation complete. Lifts in two blocks complete and other started. Door Entry, LED Lighting and CCTV planned. Evac alarm approved to enable phased evacuation, Kier to install. Phase 2 works: Replacement windows and infill panels, Roofing, External/structural repairs and Sprinkler systems. Bailey Garner commissioned to oversee delivery.	L	Stable	Jonathan Pickstone

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Being ruthlessly financially efficient	Failure to transfer the Pension Administration function to a new provider and ensure appropriate records are maintained and payments made.	24 (36)	2	4	2	4	An external review of the performance of our pension admin provider, Surrey County Council, led to a number of mitigating actions including – the creation of an in-house H&F pensions team and the appointment of a H&F Strategic Pensions Manager, the establishment of a pensions taskforce to oversee the change programme to move from Surrey CC to LPPA in Jan 2022, procurement of an external provider to support with correcting data gaps and a focus on improving performance standards. Regular updates are provided to the Pensions Fund Committee and the Pensions Board. The risk rating has therefore decreased but is monitored on a monthly basis by the Pensions Taskforce.	M	Reduced	Rhian Davies
Creating a compassionate council	Coronavirus – spread of infectious disease, particularly affecting vulnerable groups of residents and workforce/ contractors providing front line services.	25 (37)	4	4	4	4	We are now 18 months into the pandemic, and have high and rising rates of Covid, at last count the 8 <sup>th</sup> highest in London on 22.11.21. The risks are dependent on how many eligible staff vaccinated in phase 3 (Flu +booster) and the emergence of any new variants which are not responsive to the vaccine. Successful testing strategy in place, vaccinations and phase 3 boosters and flu campaign are a priority alongside continued vigilance, hands face & space. We are ready for Plan B should it be activated- face coverings mandated indoors, covid passports and working from home unless frontline staff.  Risk through the winter of Flu, RSV, Norovirus- IPC is key to reduction of spread. Staff training being rolled out level1 & 2 IPC-started in November 2021.	H	Stable	Linda Jackson/ Dr Niki Lang
Rising to the challenge of the climate and ecological emergency	Failure on the part of the Council to mobilise its response to the Climate Change emergency.	26 (38)	3	4	2	3	The Climate Emergency Unit is now in place, with initial posts recruited to. A climate strategy for a net zero borough by 2030 has been approved and adopted by Cabinet. The resident-led commission has now been replaced with a new Climate Strategy Implementation Group to increase scrutiny and deliver actions at pace. A detailed audit of the Council's carbon footprint is now an annual activity to track progress against our action plan and to provide a robust evidence base for costing and prioritising organisational carbon reduction activity. Quick win workstreams to influence emissions through policy have been progressed, including emissions-based policies on parking, council fleet, energy procurement, and wider procurement. Engagement has begun with local businesses and organisations to develop an H&F Climate Alliance, and H&F has been a leader in designing and implementing the UN's climate education programme. Recent flooding has expedited the need for a climate adaptation plan to prepare residents, businesses and the council for more extreme weather including heavy rainfall and heatwaves. Individuals, households and infrastructure will need to adapt and prepare for more of occurrences and the council has an important supporting role.	H	Reduced	Sharon Lea
Taking Pride in Hammersmith & Fulham, Doing things with, not to residents	Housing repairs performance - contractor failure (administration) given that there are a number of contractors providing repairs and maintenance.  Repair system and contractor management not delivering performance are required levels.	27 (39)	3	4	3	4	There are robust contract provision for poor performing contractors. There is a regular monitoring of contractors' performance and financial health. There is a clear mechanism for recovery of costs in relation to contractor failure. We continue to build the in-house DLO capability and capacity with a focus on planned preventative maintenance. Although these measures would mitigate the disruption in the short term would be significant if a contractor went into administration.  Four principles agreed (stabilise contract, isolate disrepair & stage 2, ownership, resident engagement). United Living exited. Reserve contractor mobilised. Service improvement plans, new KPIs, and additional resource for contractors and client agreed. Data insight and analytics. Audit to review systems thinking processes. PPM programme with DLO. £600 million investment over 12-year capital strategy.	H	Stable	Jonathan Pickstone
Doing things with, not to residents	Civic Campus Energy centre may not be ready in time for handover and occupation in April 2023 which may impact the exit from decant accommodation	28 (New)	n/a	n/a	4	4	The energy strategy is being negotiated as part of the Deed of Variation referred to in Risk 14. Utility diversions are currently delaying construction progress on new build Block B, where the Town Hall energy centre will be housed. Mitigation strategies are already being discussed including negotiations to minimise delays as much as possible; the use of an onsite temporary package plant until the energy centre is delivered; whether energy can be pulled from surrounding sub stations to meet Town Hall requirements in the meantime. Depending on outcomes to these discussions, a clearer way forward will be known next quarter but initially setting this as "high".	H	NEW	Jonathan Pickstone

\* Previous Risk numbers shown in brackets (as per September 2021 report)

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### Key

16-25	Red	High risk, immediate management action is required.
11-15	Amber	Medium risk, review controls for appropriateness and effectiveness
1-10	Green	Low risk, monitor and if escalates quickly check controls
	Blue	Opportunity risk

*Likelihood and Impact Based on a 1 to 5 scale with 1 Very Low and 5 Very High, the Score then is automatically calculated by multiplying them together.*

### Help

Risk Description	Risk described in a language that articulates clearly what could go wrong or what opportunity could be achieved.
Residual Exposure	Extent of the risk once the controls are currently in place. This is known as the residual risk and is calculated by multiplying impact of risk and likelihood of occurrence.
Existing Controls	Not all risks can be managed, but those that can are managed using a variety of controls.
	The art of risk management is to apply controls that are effective and efficient in reducing the exposure.
Risk Owner	This is the person or team best positioned to manage the identified risk