

Risk Assessment Model

The risk assessment model was approved by Corporate Governance Panel in March 2005.

The model requires potential risks to be evaluated against a set of pre-determined criteria for likelihood/frequency and impact. Individual risk levels can then be determined by plotting the risks onto a risk matrix.

Likelihood / Frequency

	Alternatively this could be expressed as likely to happen within the next:	When considering Health & Safety related risks, the likelihood should be expressed as being likely to happen within the next:
5 = Highly Likely	Month	Week
4 = Likely	Year	6 months
3 = Occasional	3 years	Year
2 = Unlikely	10 years	5 years
1 = Improbable	20 years	10 years

Impact

Risks will be evaluated against the following scale. If a risk meets conditions for more than one category, a judgement will need to be made as to which level is the most appropriate. For example, if a particular health and safety risk was significant, could result in minor short-term adverse publicity in the local media but had only a trivial financial impact, it might still be categorised as significant.

1 = trivial event or loss, which is likely to:

- cause minor disruption to service delivery on one or two consecutive days, not noticeable to customers
- affect the financial performance / outturn of one service in the current financial year by £10,000 or less
- be managed with no reporting in the local media
- * a Health & Safety concern with no or very minor / insignificant injury
- cause localised (one or two streets) environmental or social impact

2 = minor event or loss, which is likely to:

- cause minor, noticeable disruption to service delivery on one or two consecutive days
- affect the financial performance / outturn of one service in the current financial year by more than £10,000 but less than £50,000.
- result in minor short-term (up to a fortnight) adverse publicity in the local media
- * a Health & Safety concern that results in a minor injury, but with no sickness absence
- have a short term effect on the environment i.e. noise, fumes, odour, dust emissions etc., but with no lasting detrimental impact

3 = significant event or loss, which is likely to:

- cause disruption for between one and four weeks to the delivery of a specific service which can be managed under normal circumstances
- affect service delivery in the longer term

- affect financial performance / outturn in the current financial year or future financial years by £50,000 or more but less than £100,000.
- result in significant adverse publicity in the national or local media
- * a Health & Safety concern that results in moderate injury and lost time, and/or requires the H&S Executive to be notified
- has a short term local effect on the environment, or a social impact, that requires remedial action.

4 = major event or loss, which is likely to:

- have an immediate impact on the majority of services provided or a specific service within one area, so that it requires Director involvement.
- affect financial performance / outturn in the current financial year or future financial year by £100,000 or more but less than £250,000.
- raise concerns about the corporate governance of the authority and / or the achievement of the Corporate Plan
- cause sustained adverse publicity in the national media
- significantly affect the local reputation of the Council both in the long and short term
- * a Health & Safety concern that results in a major injury and lost time, and/or requires the H&S Executive to be notified and operations stopped
- have a long term detrimental environmental or social impact e.g. chronic and / or significant discharge of pollutant

5 = critical event or loss, which is likely to:

- have an immediate impact on the Council's established routines and its ability to provide any services, and cause a total shutdown of operations.
- affect financial performance / outturn in the current financial year or future financial years by £250,000 or more and / or on future Council Tax levels
- have an adverse impact on the national reputation of the Council both in the long and short term
- * results in a the fatality of an employee or customer or major loss of life, requiring operations to be stopped and immediate action to remedy a major Health & Safety concern
- have a detrimental impact on the environment and the community in the long term e.g. catastrophic and / or extensive discharge of persistent hazardous pollutant

Likelihood / Frequency	Highly Likely	5					
	Likely	4					
	Occasional	3					
	Unlikely	2					
	Improbable	1					
			1	2	3	4	5
			Trivial	Minor	Significant	Major	Critical
			Impact				

Risk Treatment Option Form : No 1

Risk Treatment – Action Plan					
Description of risk from register:	Risk ID No: 203/03	Current residual risk score: Likelihood x Impact	4	4	16
Service recovery and/or business continuity plans are inadequate resulting, over both the short and medium term, in the Council's inability to provide an appropriate service					
Controls already in place as listed on the risk register: Corporate Service Recovery Plan UPS allows 10 minutes closing down time IT & telecoms recovery agreement in place Data backed up and stored off site Air conditioning					
Are these controls operating effectively? Yes					
Risk Action Plan (All actions listed in priority order)					
Proposed actions to reduce risk using existing resources			New residual risk score ¹		Extra resources required ²
			L	I	
a. Work already underway with consultants to prioritise services to be recovered.			--	--	---
b. Testing of recovery plans.					
c. 2 server rooms in new accommodation at HQ & Eastfield House. MTP bid already approved.			3	3	9
d. 2 telecoms switches in new accommodation at HQ & Eastfield House. MTP bid already approved.			3	3	9
Actions requiring additional resources					
Decision					
Agreed Option:		Implementation Date		Risk Owner	
				Head of Administration	
Decision taken by:			on:		

¹ **New Residual Risk Score:** after the action has been introduced

² **Extra Resources:** only complete if extra resources will be required to allow the proposed action to be introduced e.g. financial costs and staff time

Risk Treatment Option Form : No 2

Risk Treatment – Action Plan						
Description of risk from register:	Risk ID No:	276	Current residual risk score: Likelihood x Impact	3	5	15
A civil emergency occurs that affects more than 2000 people leading to the Council's rest centre provision and support proving inadequate.						
Controls already in place as listed on the risk register:						
Staff Training	Food plan (exercises carried out (desk top) but not formally tested)					
Venues identified and agreed: St Ivo Leisure Centre able to deal with a maximum of 2290 people.	An annual agreement with the WRVS voluntary service to provide additional trained staff and support in the event of an emergency – funding identified for 07/08.					
Out of hours contact s maintained and up to date						
Liaison with voluntary organisations, local PCTs, Social services, etc						
Pet Plan – arrangements with shelters and vets etc						
Are these controls operating effectively? <input checked="" type="checkbox"/> Yes						
Risk Action Plan (All actions listed in priority order)						
Proposed actions to reduce risk using existing resources			New residual risk score ³		Extra resources required ⁴	
			L	I		
a. Short term holding areas identified (awaiting confirmation from venues)			3	4	12	
b. Increase capacity to 5000 by identifying and obtaining agreement to use additional venues.			3	4	12	
c. Put in place an annual agreement (£1500/year) with the WRVS voluntary service to provide additional trained staff and support in the event of an emergency.			3	4	12	
Actions requiring additional resources						
Decision						
Agreed Option:		Implementation Date		Risk Owner		
				Head of Housing Services		
Decision taken by:			on:			

³ **New Residual Risk Score:** after the action has been introduced

⁴ **Extra Resources:** only complete if extra resources will be required to allow the proposed action to be introduced e.g. financial costs and staff time

Risk Treatment Option Form : No 3

Risk Treatment – Action Plan						
Description of risk from register:	Risk ID No:	New	Current residual risk score: Likelihood x Impact	2	5	10
A member of the public is seriously injured or killed whilst visiting or using Leisure Centre facilities due to the Council not providing a safe environment, or its staff with sufficient and adequate training.						
Controls already in place as listed on the risk register:						
Trained, qualified and experienced fitness staff / lifeguards	Customers assessed for skin type (sunbeds) and undergo induction					
Bather capacities not exceeded	Sunbed equipment to British Standards					
Appropriate number of lifeguards on duty	Use of sunbed limited by length of session and number of sessions					
Regular breaks for lifeguards to maintain alertness	Warning signs displayed					
Assessment of customer abilities at joining	Regular monitoring of tanning equipment					
Customers required to undergo induction	Risk is physical injury to customers or at worst death by heart failure caused by overexertion					
Appropriate number of staff on duty	Risk is death by drowning of pool users					
Monitoring by staff of usage by customers	Risk is over exposure by customers causing sunburn or melanomas					
Trained first aiders on site						
Defibrillators on site and staff trained in their use						
Health and Safety Co-ordinator monitors actions taken						
Are these controls operating effectively? Yes						
Risk Action Plan (All actions listed in priority order)						
Proposed actions to reduce risk using existing resources				New residual risk score ⁵		Extra resources required ⁶
				L	I	
a. No further mitigation is practical						
Actions requiring additional resources						
Decision						
Agreed Option:			Implementation Date		Risk Owner	
					Head of Administration	
Decision taken by:			on:			

⁵ **New Residual Risk Score:** after the action has been introduced

⁶ **Extra Resources:** only complete if extra resources will be required to allow the proposed action to be introduced e.g. financial costs and staff time

Risk Treatment Option Form : No 4

Risk Treatment – Action Plan						
Description of risk from register:	Risk ID No:	241	Current residual risk score: Likelihood x Impact	2	5	10
Information or data is lost leading to an inability to provide an appropriate service or respond to requests for information.						
<p>Controls already in place as listed on the risk register:</p> <p>All software is removed and hard disks wiped clean by IMD before disposal</p> <p>Documents held in metal filing cabinets in most cases</p> <p>All incendiary sources away from cabinets, only destruction of building should cause such loss</p> <p>Many records held electronically and servers not held on the same floors</p> <p>Staff are encouraged to challenge strangers in secure areas</p> <p>All confidential documents stored in a semi-secure environment</p> <p>Staff aware of arrangements for disposal of confidential waste - including use of shredding equipment</p> <p>Office access controls</p> <p>Non - active case files routinely stored</p> <p>The Council operates a no smoking policy in it's buildings</p> <p>Staff training, policies and management processes regarding the need for confidentiality</p> <p>Corporate Policy for Records Management & Document Retention</p>						
Are these controls operating effectively? Yes (as far as is known)						
Risk Action Plan (All actions listed in priority order)						
Proposed actions to reduce risk using existing resources			New residual risk score ⁷		Extra resources required ⁸	
			L	I		
<p>a. Production & implementation of Information Assurance Policy including:</p> <ul style="list-style-type: none"> Survey of users to baseline scope of the risk Raise staff awareness through further training Investigation into encryption of information Appropriate disposal of electronic & paper-based information <p>b. Production & implementation of the Flexible Working Strategy eg defines usage of mobile devices including USB sticks. NB Assumes funding of Flexible Working MTP bid and subsequent funding of implementation of the Flexible Working Strategy.</p>			1	5	5	
Actions requiring additional resources						
Decision						
Agreed Option:		Implementation Date		Risk Owner		
				Head of IMD		
Decision taken by:			on:			

⁷ **New Residual Risk Score:** after the action has been introduced

⁸ **Extra Resources:** only complete if extra resources will be required to allow the proposed action to be introduced e.g. financial costs and staff time

Risk Treatment Option Form : No 5

Risk Treatment – Action Plan					
Description of risk from register:	Risk ID No: 277/8	Current residual risk score: Likelihood x Impact	2	5	10
Users of the Leisure Centres are put at risk due to the employment of staff who are unsuitable to work with vulnerable people.					
Controls already in place as listed on the risk register: 1 member of recruitment panel trained in 'safeguarding' issues. Each Leisure Centre Manager is a Designated Child Protection Officer CRB checks undertaken on all staff HDC Policy and Procedures on Safeguarding Children, Young People and Vulnerable Adults in place. References undertaken Structure in place to implement action plan arising from Policy. Guidance issued to staff. Staff shadowing in place until CRB checks returned					
Are these controls operating effectively? Yes					
Risk Action Plan (All actions listed in priority order)					
Proposed actions to reduce risk using existing resources			New residual risk score ⁹		Extra resources required ¹⁰
			L	I	
a. "Safeguarding" training is to be provided to Designated Child Protection Officer's and other relevant staff in the Leisure Centres to meet the requirements of the Children's Act 2004.			2	5	10
Actions requiring additional resources					
Decision					
Agreed Option:		Implementation Date		Risk Owner	
				Head of Administration	
Decision taken by:			on:		

⁹ **New Residual Risk Score:** after the action has been introduced

¹⁰ **Extra Resources:** only complete if extra resources will be required to allow the proposed action to be introduced e.g. financial costs and staff time

Risk Treatment Option Form : No 6

Risk Treatment – Action Plan					
Description of risk from register:	Risk ID No: 149/10	Current residual risk score: Likelihood x Impact	2	5	10
The Council is not accurate enough in its assessment of the Government’s Council Tax/budget requirement capping level resulting in the Council being capped or setting its Council Tax at a figure significantly below the capping level resulting in the need for additional temporary or permanent service reductions.					
Controls already in place as listed on the risk register: When the Council makes its decision on the Council Tax and Budget Requirement Level each February it is provided with all the relevant information that is available including Government comments on capping.					
Are these controls operating effectively? <input checked="" type="checkbox"/> Yes					
Risk Action Plan (All actions listed in priority order)					
Proposed actions to reduce risk using existing resources			New residual risk score ¹¹		Extra resources required ¹²
			L	I	
a. No further mitigation is practical because the Government refuses to announce the capping criteria in advance, as a matter of principle, and their final decision is based on the actions of all the local authorities, police and fire authorities in England. Thus, it is impossible to have any real degree of certainty. If too high an increase is agreed, there are additional rebilling costs and potential damage to the Council’s reputation but the ongoing level of service reductions is minimised. If too low a figure is chosen, more service reductions than are necessary will have to be made.					
b.					
Actions requiring additional resources					
Decision					
Agreed Option:		Implementation Date		Risk Owner	
				Head of Financial Services	
Decision taken by:			on:		

¹¹ **New Residual Risk Score:** after the action has been introduced

¹² **Extra Resources:** only complete if extra resources will be required to allow the proposed action to be introduced e.g. financial costs and staff time

Risk Treatment Option Form : No 7

Risk Treatment – Action Plan					
Description of risk from register:	Risk ID No: 116	Current residual risk score: Likelihood x Impact	2	5	10
ICT Security is breached causing both the loss of data and a loss of trust in the reliability of the data being held.					
Controls already in place as listed on the risk register:					
Back up tapes	Booking procedures for use of laptops away from the office				
Access controls	Locks on notebook computers				
Fire / security protection	Equipment postcoded				
Security marking of assets	Email filtering greatly reducing viruses, trojan software & spam.				
CCTV unit					
Caretaker protocols					
Are these controls operating effectively? Yes (as far as known)					
Risk Action Plan (All actions listed in priority order)					
Proposed actions to reduce risk using existing resources			New residual risk score ¹³		Extra resources required ¹⁴
			L	I	
Incorporation of gas based fire suppression within the new ICT racking & cabinets to be installed at Eastfield House. This will suppress fires originating within those cabinets and is a safer and cheaper option than incorporating a complete room flooding system. However, there are some external to cabinet elements – specifically the UPS batteries – which would not be protected.			2	4	8
<p>A number of further mitigating actions are being <i>investigated</i>:</p> <ul style="list-style-type: none"> Rationalise population of underused laptops (part of ICT for New Accommodation project) to ensure they are kept up-to-date with security updates Encryption of data held on PCs (requirement also of Flexible Working project) Splitting the server population between 2 physical sites (Operations Centre & new HQ) Use of “data-less” PCs (holding information on central servers & serving the screen changes to the PCs) – Cyrix investigation (trial sponsored as part of Flexible Working project) <p>Following investigations, the implementation of the resulting actions (some of which will require further funding) may further reduce the likelihood & impact of the risk. The position will reassessed when the investigations are completed.</p>					
Actions requiring additional resources					
None at this stage					
Decision					
Agreed Option:		Implementation Date		Risk Owner	
				Head of IMD	
Decision taken by:			on:		

¹³ **New Residual Risk Score:** after the action has been introduced

¹⁴ **Extra Resources:** only complete if extra resources will be required to allow the proposed action to be introduced e.g. financial costs and staff time

Risk Treatment Option Form : No 8

Risk Treatment – Action Plan					
Description of risk from register:	Risk ID No: 166/5	Current residual risk score: Likelihood x Impact	2	5	10
A member of the public or an employee of the Council is seriously injured or killed due to the Council not providing its employees with either a safe working environment or sufficient and adequate training with regard to the tasks that it requires to be carried out.					
Controls already in place as listed on the risk register:					
All staff who drive on Council business self-certify that they have a valid driving licence, appropriate insurance and that their vehicle has an MOT (if required). Driving licence check, initial and annual. Driver training.	Health and Safety issues are discussed annually Activity Managers are all trained in Health and Safety Management Health and Safety inspections Health and Safety Officer and Committee Induction training in Health and Safety Different training courses available, risk assessments				
Quarterly review of all Health and Safety risk assessments and incidents - related action plans are implemented and recorded	Yes – the driving licence check only applies to HGV drivers in Operations Division				
Risk Action Plan (All actions listed in priority order)					
Proposed actions to reduce risk using existing resources	New residual risk score ¹⁵			Extra resources required ¹⁶	
	L	I			
a. No further mitigation is practical					
Actions requiring additional resources					
Decision					
Agreed Option:	Implementation Date		Risk Owner		
			Head of Personnel		
Decision taken by:		on:			

¹⁵ **New Residual Risk Score:** after the action has been introduced

¹⁶ **Extra Resources:** only complete if extra resources will be required to allow the proposed action to be introduced e.g. financial costs and staff time