

Subject:	Risk Management Strategy Update	Status:	For Publication
Report to:	Audit and Accounts Committee	Date:	24 th February 2025
Report of:	Director of Resources – s151 Officer	Lead Member:	Resources
Key Decision:	<input checked="" type="checkbox"/> Forward Plan <input checked="" type="checkbox"/>	General Exception <input type="checkbox"/>	Special Urgency <input type="checkbox"/>
Equality Impact Assessment:	Required: No	Attached:	No
Biodiversity Impact Assessment:	Required: No	Attached:	No
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1. RECOMMENDATIONS

- 1.1 The purpose of the report is to seek Member approval of the updated Risk Management Strategy and propose the adoption of the strategy by cabinet.
- 1.2 Members are asked to delegate to the Director of Resources in conjunction with the Chair of the Audit and Accounts committee the ability to amend the documents to finalise the presentation and any minor amendments as necessary.

2. EXECUTIVE SUMMARY

- 2.1 The updated Risk Management Policy is attached at Appendix A. The Risk Management Policy was last updated in 2016. The Policy has been updated by the Director for Resources mainly to reflect changes made to risk management practice since the last policy update.
- 2.2 The Council is committed to identifying and managing risks effecting the organisation. The Council recognises that it is not always possible to completely eliminate a risk and that a level of risk may always exist. However, it is the Council's responsibility to effectively manage risks with a structured and focussed approach by approval of this Risk Management Policy.

3. BACKGROUND

- 3.1 The updated Risk Management Strategy is attached at Appendix A being the final revised document.
- 3.2 Updates can be summarised as follows:
 - The responsibilities of Members, the Corporate Management Team and Service Managers have been clarified.
 - Officers will now use a 5X5 risk management scoring matrix to assess risk and this is introduced within the strategy document.
 - The strategy includes a defined description of the Council's risk appetite denoted at appendix 2 to the strategy
 - There are also descriptors for the likelihood and impact of risk to allow risk owners, heads of service and directors a consistent framework to assess the level of risk, these are also included at appendix 2.
 - At appendix 4 to the policy is a template incorporating all of the above to capture and report risk in the first instance
 - At appendix 3 to the policy is a diagrammatic view of the process indicating the nature of the continuous risk management review and reporting to be delivered by the officer group.

3.3 The approach to risk management and our policies are subject to regular review from our Internal Audit service. The most recent audit assignment is in the process of finalisation. We are expecting to receive moderate assurance with 2 medium priority recommendations. Moderate assurance means that the framework of control is adequately designed and or effectively operated overall but some action is required to enhance aspects of it and /or ensure that it is effectively operated throughout. The recommendations will be dealt with via this strategy and its roll out into the organisation.

4. RISK

4.1 Not adopting an appropriate strategy will hamper the Council and its officers who will not have a clear methodology to assess and manage risk. The Council needs to continue to progress the active management of risk and the embedding of continuous risk management practices.

5. FINANCE

5.1 There are no immediate Financial Implications arising from the strategy

6. LEGAL

6.1 The Constitution provides that the Audit and Accounts Committee will monitor the effective development and operation of the risk management framework and processes across the Council. This review demonstrates the Council's compliance with the statutory requirement under the Accounts & Audit Regulations 2015.

7. POLICY AND EQUALITIES IMPLICATIONS

7.1 All policy implications are included within the body of the report. This policy will be applied in a fair and equitable manner.

8. REASON FOR DECISION

8.1 Strong Risk Management is a key pillar of appropriate Corporate Governance and follows CIPFA/IFAC International Framework: Good Governance in the Public Sector having a robust and up to date strategy is a feature in embedding risk management with a well-managed organisation.



Risk Management Strategy

2025

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Responsible Service	Finance	Version/Status	DRAFT
Responsible Author	Director of Resources	Date Agreed/Agreed At	
Date last Amended	February 2025	Due for Review	

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Risk Management Strategy

1. Introduction

- 1.1 The purpose of this Risk Management Strategy is to outline the Council's approach to identify, assess, manage, and monitor risks.
- 1.2 Effective risk management is a continuous process that will ensure the Council can effectively and efficiently deliver its services and reflect uncertainties in the planning and delivery of the Council's overall vision and priorities.
- 1.3 This approach will ensure the Council is able to maximise its opportunities and minimise the impacts of risks, thereby improving its overall ability to deliver core service and economic development objectives, including all capital programmes, improving the outcomes for all stakeholders within the Borough.
- 1.4 This strategy defines the Council's approach to strategic and operational risk management, and provides the risk management framework to ensure risks are managed and mitigated effectively.
- 1.5 Risk management within the scope of this strategy adopts a planned and systematic approach to the identification, evaluation and control of the Council's risks.
- 1.6 This strategy outlines a robust risk management process to monitor the potential cost and disruption including reputational damage caused when facing an undesired event and/or circumstances, and defines the Council's roles and responsibilities to promote a risk aware culture.
- 1.7 Refer to **Appendix 1** for the Council's Risk Management Policy Statement.

2. Aims of this Strategy

- 2.1 The Council recognises that some risks will always exist and will never be completely eliminated.
- 2.2 The Council holds responsibility over the effective management and focused approach to control and mitigate the identified risks.
- 2.3 The aims of this Risk Management Strategy are to:
 - Further develop risk management and raise its profile across the Council;
 - Ensure appropriate risk taking, in line with the Council's risk appetite, is encouraged, particularly in response to arising opportunities;
 - Integrate risk management processes into the Council's culture;
 - Identify the ownership and management of risks as part of all decision-making, including the annual business planning, business continuity and resilience, and improvement process;
 - Manage risks in accordance with best practice;
 - Anticipate and respond to changing social, environmental, and legislative requirements;

- Minimise the risk of injury, damage, and loss to staff, residents, and assets;
- Ensure the Council's reputation is protected.

3. Risk

3.1 Embedding risk management across the Council will ensure there is a robust and consistent process to enable the Council to make the most of its opportunities and make appropriate decisions based on accurate, relevant, timely and complete information.

3.2 Risks exist throughout the authority and will be managed at the appropriate level, be that service or corporate:

3.3 **Corporate Risk**

Where the impact and/or likelihood of the risk occurring could be high and effect the Council's ability to achieve its defined corporate objectives and priorities. Corporate risks usually impact more than one service area. Corporate Risks will be shared and monitored as part of the work of the Audit and Accounts Committee.

3.4 **Service Level Risk**

Where the impact could affect the achievements of individual service areas. Significant service level risks should be raised and added to the Corporate Risk Register as appropriate.

3.5 **Assessment of Risk**

Risks assessed as Red are to be managed at Corporate Level with Amber and Green risks being monitored and managed at Service Level. For the assessment criteria of any risk see [Appendix 2](#)

3.6 **Risk Appetite**

It is proposed that the Council adopts an **Open** risk appetite across all activities. This is defined and measured by the impact and likelihood surrounding the defined risk. Refer to [Appendix 2](#) for the definition of risk appetite.

4. Roles and Responsibilities

4.1 **Members**

Elected members hold responsibility for the oversight of the Council's governance to ensure the delivery of services to the local community.

Members must clearly understand the Council's Corporate Risks and must be made aware of how these risks are being managed. This will be a function of the Audit and Accounts Committee which meets four times a year. The committee will be presented with the Corporate Risk Register for appropriate review and challenge.

4.2 **Corporate Management Team (CMT)**

CMT are responsible for the continuous reinforcement of risk management by managing behaviours and the Council's risk management culture. A robust approach to risk management will support the Council's Performance Management Framework and sharing of best practice between departments.

4.3 CMT are responsible for the monitoring and mitigation of Corporate Risks. This will form part of the annual Business Planning, Business Continuity and Resilience Process.

CMT will receive, scrutinise and confirm the ongoing maintenance of all service risk registers as part of this process.

4.4 CMT will review proposals from Service Managers for the inclusion of risks which are thought to be corporate, these will be presented at the first available CMT and as necessary added to the Corporate Risk Register.

4.5 **Service Managers**

Service Managers must be aware of, and understand, their role in relation to the Council’s risk management process. They should understand how to mitigate risks as far as possible in order to achieve service area objectives, and should evaluate and accept an appropriate level of risk in order to pursue an opportunity.

4.6 All risks should be incorporated into the annual business planning, business continuity and resilience process to promote ownership and management. Service Managers are responsible for escalating service level risks to the CMT where appropriate.

5. Risk Management

5.1 Risks are identified through a ‘top down’ (corporate) and a ‘bottom up’ (service area) risk assessment process to ensure Council-wide analysis.

5.2 The identified risks will be prioritised within service areas and escalated as appropriate through to the Corporate Risk Register. Risks and their mitigation will form part of the annual Business Planning, Business Continuity and Resilience Process.

5.3 **Service Area Business Plans**

Service Area Business Plans will be developed and monitored on an annual basis, during the summer as a lead in to the budget process. These plans are the foundation to ensure that the Council delivers its overall priorities. Risk management will be essential in establishing policy, developing business plans and enhancing operational delivery by ensuring that known risks are effectively monitored and mitigated.

5.4 **Project Management and Decision Making**

The Council’s risk management methodology will be adopted for programmes and projects, and used to strengthen the decision-making processes. The Council has developed its own project management methodology based on PRINCE2, in which risk management is integral.

6. Risk Management Process

6.1 The Council has adopted the following four-step risk management process.



6.2 Risk Identification

Risk identification is crucial to risk management, failure to do so will result in the risk not being managed.

6.3 Risks should be identified when relating to the Council's Valley Plan, Service Area Business Plans/Operations, Development Projects and Personal Objectives. Risks should be identified as soon as they become apparent and added to the relevant risk register. Key times to consider additional risks are at the inception of new projects when the organisation implements systems or procedural change or changes in service delivery.

6.4 Services will engage with stakeholders to identify potential risks as necessary and use historical data and trend analysis to foresee future risks. Refer to **Appendix 4** for the Council's Risk Assessment Form and **Appendix 5** for the Council's Health and Safety Risk Assessment Form.

6.5 Risks throughout the organisation will be reviewed on a monthly basis, as part of the monthly team meeting or for corporate risks when raised by Service Managers to the first available CMT. Upon adoption as a corporate risk CMT will monitor performance on a quarterly basis as part performance management reporting. Risks should be assessed, monitored and mitigated until they are removed.

6.6 Risk Analysis/Evaluation

Potential risks will be systematically analysed by assessing by the following;

- Likelihood of a risk event occurring;
- Potential impact of the consequences should such an event occur;
- Resource and other implications;
- Priority of the risk for action in relation to the Council's risk tolerance and appetite.
- Sensitivity of the assumptions in the risk analysis. i.e. would the assessment change with small changes in the factors that drive the risk.

6.7 Once the threats and opportunities have been identified, their potential 'initial risk' is evaluated with reference to the risk matrix. The risk is then re-evaluated considering the effect of mitigations that are in place and active. The result is the determination of the 'revised risk'.

6.8 Risk Control

Risk control will be carried out by:

- Developing action plans to mitigate high and medium risks.
- Implementing control measures to reduce the likelihood and impact of risks.
- Assigning responsibility for risk management actions to appropriate staff.

6.9 The risk owner, who will be the Head of Service for service level risks or for corporate risks the Director in who's area of responsibility the risk resides as agreed at CMT, is responsible for influencing and taking necessary action in order to manage the risk.

6.10 Appropriate contingency arrangements will be developed for an identified risk. The actions required and their impact will be monitored through the relevant service or corporate risk register that is updated on a monthly (service) / quarterly (corporate) basis. The risk register will be shared with CMT and the Audit and Accounts Committee to allow suitable scrutiny and challenge.

6.11 Risk Monitoring and Review

Risks monitoring and review by the risk owner will ensure the implementation of the agreed controlling action is effective. Refer to **Appendix 3** for the Council’s continuous Council risk capture and reporting process flow.

6.12 Continuous risk monitoring will ensure risks evolve/change in response to changes in the operating environment, business conditions, operational changes etc. Where an incident occurs, a post-incident review must be undertaken to review the causes/impact and identify lessons learnt.

6.13 Risk monitoring will be carried out by:

- The risk owners, maintenance of service and corporate risk registers to document identified risks and their management.
- The regular review and update of the risk register.

7. Risk Analysis

7.1 A risk matrix is a key tool used to analyse the probability and impact of a risk.

7.2 The Council uses a 5x5 risk matrix, scores are determined by multiplying the ‘likelihood’ score with the ‘impact’ score. This approach has been adopted to encourage a decision to be made about whether a probability or impact is high or low, rather than medium. Refer to **Appendix 2** for the definitions of risk ‘likelihood’ and ‘impact’.

7.3 ‘Initial’ and ‘revised’ score should be identified to effectively review and monitor the effectiveness of the controls in place:

- Initial Score – The level of risk faces before internal controls/mitigating actions have been applied.
- Revised Score – The level of risk after any internal controls/mitigating actions have been applied/taken into account.

7.4 Risk Matrix

Likelihood	Almost certain	5	5	10	15	20	25
	Likely	4	4	8	12	16	20
	Moderate	3	3	6	9	12	15
	Unlikely	2	2	4	6	8	10
	Remote	1	1	2	3	4	5
			1	2	3	4	5
			Insignificant	Minor	Moderate	Major	Catastrophic
			Impact				

7.5 Priority will focus on the high risks rated as ‘red’. These risks will require immediate action plans to mitigate.

- 7.6 Medium risks rated as 'amber' will require action plans and/or to be closely monitored as appropriate.
- 7.7 Low risks rated as 'green' will need to be continually monitored to ensure the controls are managed by the risk owner. A decision may be required to remove the low risk from the Corporate Risk Register – this will be assessed by CMT as part of the annual Business Planning, Business Continuity and Resilience Process.
- 7.8 Emerging red risks either new or heightened existing are to be taken by the risk owner to the next available CMT for review and acceptance if appropriate. If accepted as a red corporate risk, added to the corporate risk register with designated responsible owner.

8. Monitoring Risk Management and Analysis

- 8.1 Risk Management monitoring includes regular reporting on financial and risk implications to Members (via the Audit and Accounts Committee). Performance monitoring will be used to identify areas where the mitigation measures are either over or under performing and to deal with emerging issues and/or change. Cabinet Members will be included within decision making processes of the risks identified by CMT in respect of potential projects.
- 8.2 The Council's Risk Management framework will be reviewed at least annually by the Director of Resources (S151 Officer). An annual review of the overall process will allow Members to review the Council's risk management effectiveness.

9. Audit and Assurance

- 9.1 Risk management is aligned with and supported by Internal Audit whose approach to developing the annual plan is risk based. Internal audit's role is to challenge established processes, risk identification and evaluation, and to provide assurance to officers and Members on the effectiveness of controls.
- 9.2 The Internal Audit Service will be responsible for undertaking an annual assessment of the Council's risk management and internal control mechanisms as part of the thematic review of corporate governance arrangements within the Council.

Appendix 1

Rossendale Borough Council – Risk Management Policy Statement

The Council is committed to identifying and managing risks effecting the organisation. The Council recognises that it is not always possible to completely eliminate a risk and that a level of risk may always exist. However, it is the Council's responsibility to effectively manage risks with a structured and focussed approach by approval of this Risk Management Policy.

By doing this it aims to:

- Better achieve corporate objectives and priorities;
- Manage resources effectively;
- Improve the quality of business decisions;
- Anticipate and respond to change (e.g.political, social, environmental, legislative, technical and their associated risks) in a proactive and systematic way;
- Prevent loss or injury to staff, councillors, members of the public and other visitors;
- Provide greater protection of assets and guard against impropriety or poor value for money;
- Enhance corporate governance;
- Reduce complaints against the Council;
- Protect the reputation of the Council and enhance community confidence;
- Reduce the cost of insurance, incidence of claim and improve the Council's ability to defend claims.

To achieve these aims the Council will:

- Raise awareness of the need for effective risk management, by all those connected with service delivery, through advice and training; and provide opportunities for shared learning;
- Maintain risk management systems and processes which reflect best practice;
- Determine the Councils appetite or tolerance to risk;
- Allocate resources to identified priority areas;
- Establish clear roles, responsibilities and reporting lines for risk management;
- Incorporate risk management into the business planning process and embed risk management within the culture of the organisation;
- Incorporate risk management into reviews of services;
- Incorporate risk management into all substantive service developments and projects;
- Monitor risk management arrangements on an on-going basis and take appropriate measures.

Appendix 2

Definitions of Risk Appetite, Likelihood, and Impact

Appetite

The Council and Corporate Management Team are responsible for setting the risk appetite of the Authority – i.e. the level of risk that is deemed to be acceptable. The level of acceptable risk can vary across different categories of risk.

The Council’s appetite for risk will be reviewed at least every three years as part of the review and update of the Risk Management Strategy. However, should circumstances dictate, it will be reviewed on an ad-hoc basis as necessary.

The risk appetite will be defined and measured by its approach to impact and likelihood surrounding each risk as described further below.

Classification	Description
Averse	Avoidance of risk and uncertainty is a key organisational objective.
Minimalist	Preference for ultra-safe business delivery options that have a low degree of inherent risk and only have a potential for limited reward.
Cautious	Preference for safe delivery options that have a low degree of residual risk and may only have limited potential for reward.
Open	Willing to consider all potential delivery options and choose the one that is most likely to result in successful delivery while also providing an acceptable level of reward (and value for money etc.).
Hungry	Eager to be innovative and to choose options offering potentially higher business rewards, despite greater inherent risk.

It is proposed that the Council adopts an “Open” appetite across the majority of the Council’s activities.

Risk Model

Likelihood	Almost certain	5	5	10	15	20	25
	Likely	4	4	8	12	16	20
	Moderate	3	3	6	9	12	15
	Unlikely	2	2	4	6	8	10
	Remote	1	1	2	3	4	5
			1	2	3	4	5
			Insignificant	Minor	Moderate	Major	Catastrophic
			Impact				

Likelihood

Classification	Description	Level
Almost certain	Expected to occur in most circumstances or more than an 80% chance of occurrence.	5
Likely	Potential of occurring several times in 3 years or has occurred recently. Between 55% and 80% chance of occurrence.	4
Moderate	Could occur more than once in 3 years. Could be difficult to control due to external influence. History of occurrence or near miss. Less than a 55% chance of occurrence.	3
Unlikely	Unlikely, but may occur over a 3 year period. Less than 15% chance of occurrence.	2
Remote	Has not occurred. May occur in exceptional circumstances. Less than 5% chance of occurrence.	1

Impact

Classification	Description	Level
Insignificant	<ul style="list-style-type: none"> • Insignificant disruption of internal business – no loss of customer service • Insignificant disruption to business of key partner but no loss of service delivery • No injury or minor injury (not requiring first aid)/health effect • No health and safety implications • No reputation damage. • No or insignificant environmental damage • No or insignificant impact on staffing or the organisational structure • No regulatory or legislative impact • No social impact • No significant impact on Corporate Priorities (e.g. delay up to 3 months) • Low financial or contractual loss <£50,000 (either immediate or cumulative over the medium term) • Any other relevant considerations 	1
Minor	<ul style="list-style-type: none"> • Some disruption on internal business only – no loss of customer service • Minor disruption to business of key partner but no loss of service delivery • Minor injury (requiring first aid)/health effect or verbal abuse • Minor health and safety implications • Minimal reputation damage (minimal coverage in local press) • Minor damage to local environment • Minor impact on staffing or the organisational structure • Minor regulatory or legislative impact • Minor social impact • Minor disruption to Corporate Priorities (e.g. delay up to 6 months) • Medium financial / contractual loss >=£50,000 but <£100,000, (either immediate or cumulative over the medium term) • Any other relevant considerations 	2
Moderate	<ul style="list-style-type: none"> • Noticeable disruption to the Council – would affect customers (loss of service for no more than 48 hours) • Noticeable disruption to key business partner resulting in loss of service delivery of no more than 48 hours • Violence or threat of serious injury (medical treatment required). • Moderate injury (requiring medical assessment/treatment)/health effect or physical assault/threat of violence • Moderate health and safety implications – breaches/externally reportable incidents• Moderate reputational damage • Coverage in local media and/or extensive front page coverage in local press or Local TV • Moderate damage to local environment • Moderate impact on staffing or the organisational structure • Moderate regulatory or legislative impact • Moderate social impact • Moderate disruption to Corporate Priorities (e.g. delay up to 12 months) • High financial / contractual loss >=£100,000 but <£250,000 (either 	3

	immediate or cumulative over the medium term)	
Major	<ul style="list-style-type: none"> • Major disruption to the Council – serious damage to authority's ability to service customers (loss of service between 2 and 7 days). • Major disruption to key business partner resulting in a loss of service delivery lasting between 2 and 7 days. • Major reputational damage • Coverage in national broadsheet press and/or low-level national TV reporting. • Serious, multiple or disabling injuries/health effect(s) • Health and Safety breaches potentially leading to enforcement notices • Major damage to local environment. • Major impact on staffing or the organisational structure • Major regulatory or legislative impact • Major social impact • Major disruption to Corporate Priorities (e.g. delay up to 18 months) • Major financial / contractual loss >=£250,000 but <£1,000,000 (either immediate or cumulative over the medium term) • Council is unable to deliver some of its corporate priorities • Any other relevant considerations 	4
Catastrophic	<ul style="list-style-type: none"> •The Council unlikely to survive or loss of service delivery for more than 7 days. • Business failure of key partner or loss of service delivery of over 7 days. •Loss of life • Health and Safety breaches potentially leading to prosecution • Significant reputational damage • Extensive coverage in national press and broadsheet editorial and/or national TV item. • Significant local, national or international environment damage. • Catastrophic impact on staffing or the organisational structure • Catastrophic regulatory or legislative impact • Catastrophic social impact • Significant disruption to Corporate Priorities (e.g. delay > 24 months) • Huge financial / contractual loss >=£1,000,000 (either immediate or cumulative over the medium term). • The Council is unable to deliver all or the majority of its Corporate Priorities • Any other relevant considerations 	5

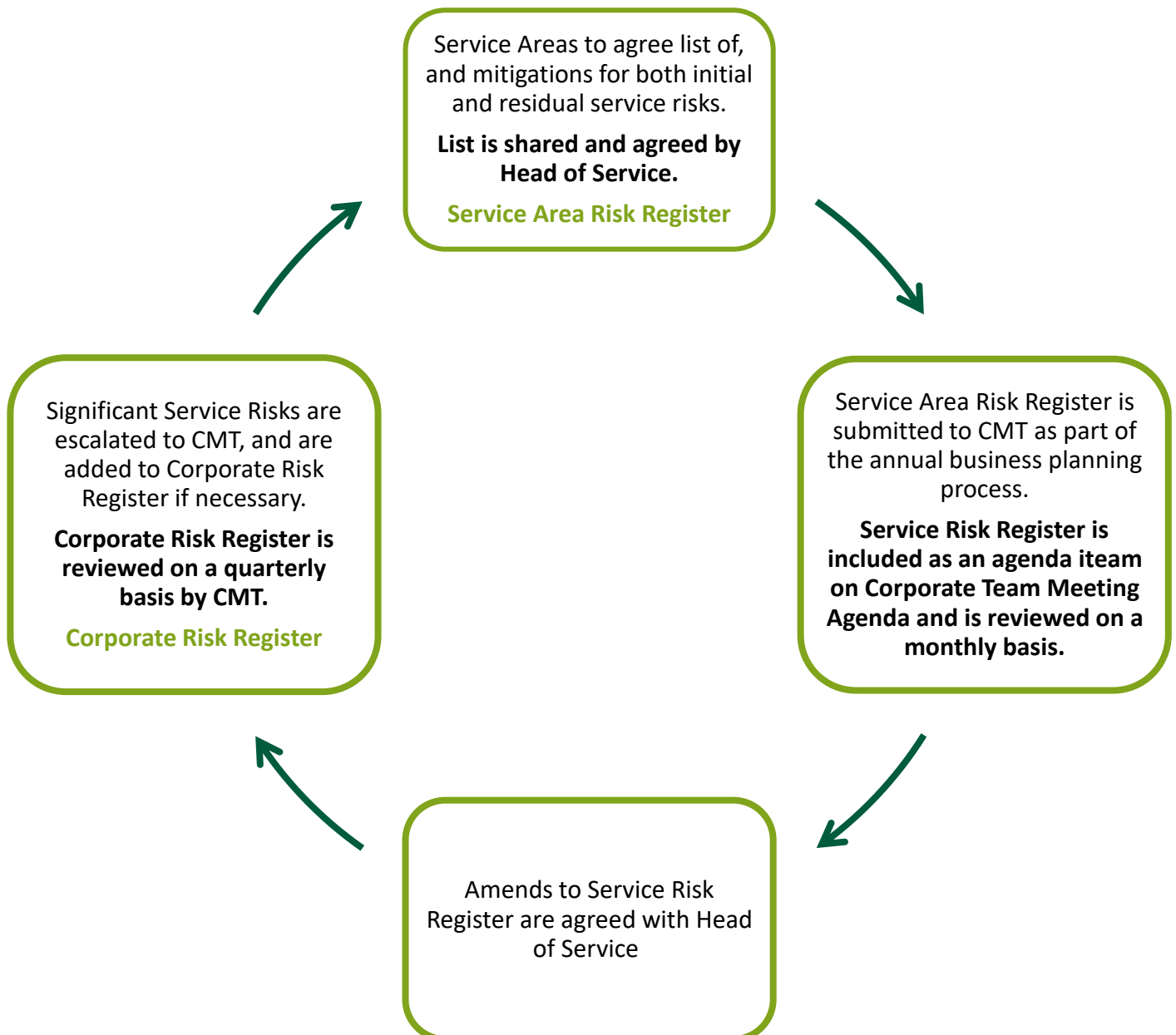
Acton Required

Risk Level	Action / Control Required
RED	<p>Catastrophic / major impact with likely to almost certain likelihood, requiring immediate control measures by Council.</p> <p>This level of risk is outside the Council's tolerance limits and therefore requires immediate action to mitigate or eliminate the risk. These risks should be reported to CMT on assessment and actively monitored at a corporate level.</p>
AMBER	<p>Major / moderate impact with unlikely to almost certain likelihood requiring appropriate proactive management and control measures.</p> <p>This level of risk represents the Council's maximum tolerance limits and requires active monitoring and mitigation or avoidance actions in process. These risks should be reported to CMT on assessment and then monitored at Service Level until the risk is either fully mitigated or the risk level escalates.</p>
GREEN	<p>Moderate / minor impact with highly remote to almost certain likelihood requiring appropriate management and control measures.</p> <p>This level of risk is below the Council's tolerance limits and requires periodic regular monitoring to ensure the level of risk does not escalate.</p>

Appendix 3

Continuous Council Risk Capture and Reporting Process Flow

Service Area Risk Register and Corporate Risk Register are saved [here](#).



Appendix 4

Risk Assessment Form

REF ID NO.	ASSESSED BY	DATE ASSESSED

Risk Type <i>(select one)</i>					
Financial	Legal/Contract	Reputation	Project Delivery	Operational	Health and Safety
Other	<i>(please state)</i>				
Risk Description <i>(Describe the risk including; identifying the risk, potential impacts on people, systems, or processes, etc.)</i>					
Source of Risk <i>(Explain what might lead to the risk occurring)</i>					
Person(s) Impacted <i>(select all that apply)</i>					
	Residents				
	Employees				
	Contractors				
	Wider Public				
	Other <i>(please state)</i>				
Risk Impact <i>(select one)</i>					
Insignificant	Minor	Moderate	Major	Catastrophic	
Risk Likelihood <i>(select one)</i>					
Almost Certain	Likely	Moderate	Unlikely	Remote	

Likelihood	Almost certain	5	5	10	15	20	25
	Likely	4	4	8	12	16	20
	Moderate	3	3	6	9	12	15
	Unlikely	2	2	4	6	8	10
	Remote	1	1	2	3	4	5
			1	2	3	4	5
			Insignificant	Minor	Moderate	Major	Catastrophic
			Impact				

Risk Severity Level (select corresponding severity level from matrix above based upon impact and likelihood levels)		
Low	Medium	High
Current Control Measures (Describe current risk mitigations to prevent/control risk likelihood and/or impact)		
Further Action Needed	Yes/No	

Actions to Implement (if applicable)			
Action	Responsible Officer	Due Date	Status

Date Reviewed	Approved By	Signature
Comments		

Appendix 5

Health and Safety Risk Assessment Form

SERVICE	SECTION/TEAM	RED ID NO.

Task/Job/Area		
Location		
Persons involved		
Date of assessment	Last reviewed	Next review date
PPE to be worn at all times		
PPE to be worn during some tasks		

Likelihood

Classification	Description	Level
Almost certain	Expected to occur in most circumstances or more than an 80% chance of occurrence.	5
Likely	Potential of occurring several times in 3 years or has occurred recently. Between 55% and 80% chance of occurrence.	4
Moderate	Could occur more than once in 3 years. Could be difficult to control due to external influence. History of occurrence or near miss. Less than a 55% chance of occurrence.	3
Unlikely	Unlikely, but may occur over a 3 year period. Less than 15% chance of occurrence.	2
Remote	Has not occurred. May occur in exceptional circumstances. Less than 5% chance of occurrence.	1

Impact

Classification	Description	Level
Insignificant	<ul style="list-style-type: none"> No injury or minor injury (not requiring first aid) No health and safety implications 	1
Minor	<ul style="list-style-type: none"> Minor injury (requiring first aid) or verbal abuse Minor health and safety implications 	2
Moderate	<ul style="list-style-type: none"> Moderate injury (requiring medical assessment/treatment) or physical assault/threat of violence Moderate health and safety implications – breaches/externally reportable incidents 	3
Major	<ul style="list-style-type: none"> Serious, multiple or disabling injuries Health and Safety breaches potentially leading to enforcement notices 	4
Catastrophic	<ul style="list-style-type: none"> Loss of life Health and Safety breaches potentially leading to prosecution 	5

Risk Model

Likelihood	Almost certain	5	5	10	15	20	25
	Likely	4	4	8	12	16	20
	Moderate	3	3	6	9	12	15
	Unlikely	2	2	4	6	8	10
	Remote	1	1	2	3	4	5
			1	2	3	4	5
			Insignificant	Minor	Moderate	Major	Catastrophic
			Impact				

Acton Required

Risk Level	Action / Control Required
RED	Catastrophic / major impact with likely to almost certain likelihood, requiring immediate control measures by Council. This level of risk is outside the Council's tolerance limits and therefore requires immediate action to mitigate or eliminate the risk. These risks should be reported to CMT on assessment and actively monitored at a corporate level.
AMBER	Major / moderate impact with unlikely to almost certain likelihood requiring appropriate proactive management and control measures. This level of risk represents the Council's maximum tolerance limits and requires active monitoring and mitigation or avoidance actions in process. These risks should be reported to CMT on assessment and then monitored at Service Level until the risk is either fully mitigated or the risk level escalates.
GREEN	Moderate / minor impact with highly remote to almost certain likelihood requiring appropriate management and control measures. This level of risk is below the Council's tolerance limits and requires periodic regular monitoring to ensure the level of risk does not escalate.

Hazard/Task	Risk/Consequence	Person(s) Impacted	Control Measure	Risk Level	Actions	Actioned By

Head of Service		Signature		Date	
Manager/Supervisor		Signature		Date	