

01 Strategic Risk Register

Generated on: 01 July 2026

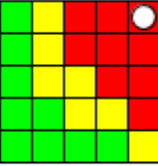
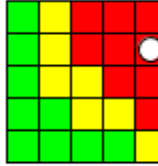


Code SR-01

Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
SR-01	Failure to Maintain a balanced budget and MTFP	Director of Finance	Probability Impact	• Responsibility and Accountability for Financial Management reinforced by budget clinics. • Monthly budget monitoring, forecasting, and tracking of savings delivery by Directors with accountability to the CEX through LMT and development and delivery of financial recovery plans to control within approved budget • Monthly budget clinics chaired by Director of Finance for all Directorates (subject to review by Director of Finance) to enable development of insight, understanding and wider collaboration of colleagues in order to address significant financial risks. • Timely briefing of Mayor and Executive Members on significant financial challenges with agreement for action. • Quarterly member led budget clinics chaired by the Executive Member for Finance to engage Executive Members. • Monthly monitoring of income budgets, council tax and business rates collection rates and debt levels. • Update MTFP regularly ahead of Council Planning and annual budget setting process.	Probability Impact 21		Probability Impact 21

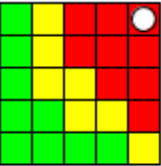
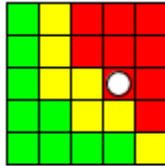
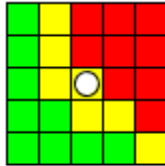
Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
				• Further development of budget management Power BI dashboard over Business World financial management system in order to improve accessibility of financial information for Directors, Heads of Service and Budget Manager. • Implementation and expansion of purchase to pay compliance dashboards for use by Directors, Heads of Service and Budget Managers to drive increase in compliant procurement in relation to retrospective ordering, on vs off contract spend and use of purchase cards. • Corporate and Strategic Capital boards to monitor capital expenditure and develop future capital plans.			

Code SR-02

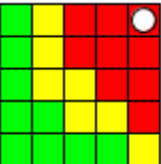
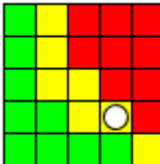
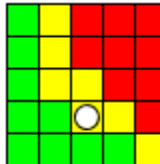
Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
SR-02	Volatility in the demand, complexity and cost of children's social care.	Director of Children's Care; Director of Children's Services	 Probability Impact	<u>Children's input</u> • Weekly activity data through Chat reports/ data • Weekly financial monitoring with Finance Business Partner • Placement review has taken place to manage costs associated with young people. • MOU surrounding agency costs as a region was implemented in April 2025. • Recruitment and retention strategy reviewed to increase permanent staff within the local authority.	 Probability Impact 28		 Probability Impact 21

Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
				• Spending controls in place as per scheme of delegation. • Monthly Member and Officer meetings. • Director Children's Care reviewing placements to ensure VFM. • Future proofing for savings for Children's Services to ensure effective financial planning.			

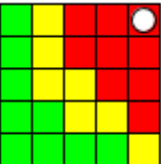
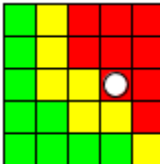
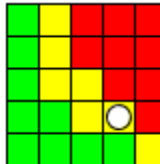
Code SR-03

Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
SR-03	Volatility in the demand and cost of adult's social care	Director of Adult Social Care and Health	 Probability Impact	• Local Government settlement • Budget Management process • Contract management processes • Demand model in place • Monthly demand reported to DMT • Performance clinic held monthly with finance partners • Scheme of Delegation process in place • High cost review panel introduced meeting fortnightly	 Probability Impact	Develop a demand model, that monitors performance across activity demand and unit costing, to understand 'current state'.	 Probability Impact
						15	Develop a forecast model, that uses the 'current state' model, to predict activity demand and financials across Adults Social Care in the next 1/2/5 years.

Code SR-04

Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
SR-04	Unlawful decision by the Council	Monitoring Officer	 Probability Impact	• Council constitution and supporting policy framework • Corporate policies and procedures • Compliance checks across key areas including HSE, Risk etc, covering the corporate governance framework • Standard report formats • Statutory officer posts to oversee governance • Annual Governance Statement assessment process • Internal and external audit processes • Refreshed whistleblowing policy • Report development process • Regular review of the Council Constitution. • Corporate training provided for all officers. • Scheme of sub delegation implemented. • Governance lawyer in post to support the Councils lawful decision making.	 Probability Impact	deliver the Continuous Improvement Plan quarterly updates to Executive from October 2025.	 Probability Impact
						Deliver the Annual Governance Statement for 2024/25	

Code SR-05

Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
SR-05	Serious accident or death occurred as a result of failure to comply with Health and safety legislation and regulations	Head of Chief Executive's Department	 Probability Impact	Comprehensive suite of Health and Safety policies and procedures. Mandatory and complimentary Health and safety training for all Council staff. Dedicated HSE Advisor team Incident investigation system (My Compliance) to learn from incidents.	 Probability Impact		 Probability Impact

Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
				HSE intranet page with important HSE information Audit schedule Service area audit schedule HSE steering group Fire Management System implemented across Council premises.			

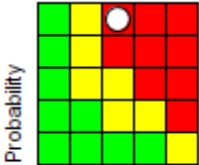
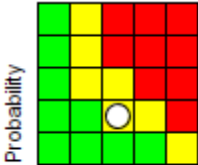
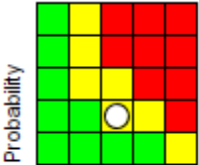
Code SR-08

Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
SR-08	Fail to ensure an approach to cyber security that meets good practice standards as set out by the National Cyber Security Centre and other bodies	Head of ICT and Digital		- Annual Information and Communications Technology (ICT) health checks are conducted, including both internal and external penetration testing. - Compliance is maintained with Public Services Network (PSN) and Payment Card Industry (PCI) standards. - Internal vulnerability scanning is performed whenever new systems are introduced. - Strong defensive systems are in place, including network firewalls, web content filtering, and endpoint protection solutions. - A rigorous sixty-day cycle is followed for applying software patches and performing system maintenance. - Security testing is completed and continuously repeated to ensure ongoing protection. - Recommendations from health checks are reviewed and implemented as appropriate. - The organisation is an active member of the North East Warning,		Commission an external ICT security GAP analysis	
						Deliver the recommendations within the ICT Security GAP Analysis	

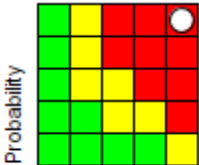
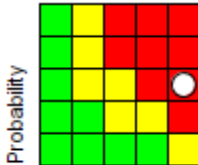
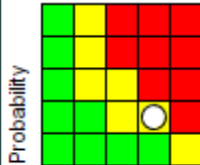
Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
				Advice and Reporting Point (WARP) and the Cyber Security Information Sharing Partnership (CiSP). • Protective Domain Name System (DNS) services are utilised to prevent access to malicious websites. • A robust data backup strategy is in place, including offline tape backups to support full recovery in the event of data loss. • A Cyber Incident Response (CIR) partner is contracted to provide expert support in the event of a security breach. • Infrastructure inspections are carried out every quarter to minimise the risk of disruption to service delivery. • Comprehensive overview to benchmark our current security position. • Purchase of Cloudflare to enhance the security of the local authority against Distributed Denial of Service (DDOS) attacks.			

Code SR-09

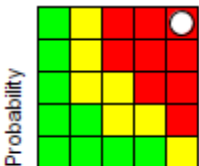
Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
SR-09	Corporate Governance arrangement not fit for purpose	Head of Chief Executive's Department		• External reports commissioned on Corporate governance and findings reflected within a Corporate Governance Improvement Plan which is embedded and being delivered.	6	Put in place a strategic Partnerships Strategy.	6
						Community Engagement strategy and approach to be developed	
						Ensure the Company is fully liquidated during 2025/26.	

Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
			 Probability Impact	- Detailed improvement plan in place that has delivered a range of changes to corporate governance processes - Annual Governance Statement process and supporting action plan. - Regular reports to Audit Committee on aspects of corporate governance to provide assurance within its remit. - Revised terms of reference for Audit Committee to align with CIPFA guidance on scope - Annual report for Audit Committee in place for the first time in 2025.	 Probability Impact	Review of the Internal Audit function Continue to implement a scheme of sub-delegations where appropriate to further improve governance around officer delegated decisions. A robust officer scheme of delegations and sub-delegations is required to ensure effective, appropriate and timely taking of decisions that can be taken by officers. (20/21 action). This will be addressed following the review of the constitution in 2024. Continually review the Community Engagement policy to ensure it aligns with the wider needs of the organisation that will emerge from the Transformation Programme. A clear Asset Acquisition Policy reflecting these requirements is integrated into the Corporate Landlord Model framework that will be considered by Executive. Refresh the Performance Management Policy and the supporting Performance Management Framework to embed a 'golden thread' of Performance Management from the Council Plan down to departmental level.	 Probability Impact

Code SR-12

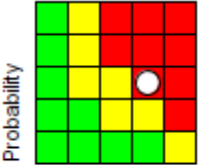
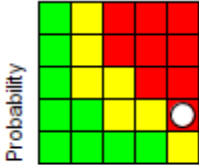
Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
SR-12	Fail to deliver quality practice within children's safeguarding services		 Probability Impact	• Implemented Children's services improvement plan • Monthly performance monitoring boards in place • Review to be undertaken of Children's Care • Monthly audit activity and reports undertaken to consider the quality of practice. • Implementation of children's improvement board. • Commitment to SHiFT, to improve quality and management of practice. • Ongoing monitoring via OFSTED with a focused visit due the fiscal year. • OFSTED future inspections to continue. • Internal audit to review working practices.	 Probability Impact 21		 Probability Impact 10

Code SR-14

Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
SR-14	Failure to ensure effective governance of the Middlesbrough Development Corporation	Head of Growth and Assets	 Probability Impact	• Teesworks report and commitment from TVCA to reflect findings in the governance arrangements of the MDC • Council representatives on the MDC Board - Mayor • Monthly meetings arranged with the CEX MDC (Bev Bearne) with Director Regeneration. • Collaboration of Regenerations Director via LMT, TVCA and MDC	 Probability Impact 9		 Probability Impact 10

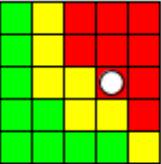
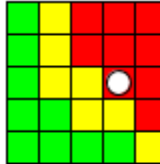
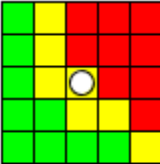
Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
				setting out Council's priorities and concerns. • Effective communication between key stakeholders. • Direct risks which could impact on the local authority will be escalated to LMT			

Code SR-15

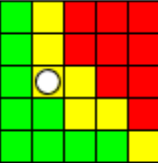
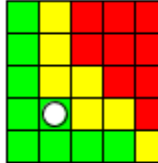
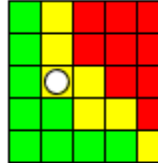
Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
SR-15	Threats to Social Cohesion and Democratic Resilience	Head of Neighbourhoods		Internal Controls (Current Mitigations in place): • Community tension monitoring undertaken. • Community engagement undertaken. • Neighbourhood safety liaison in place. • Prevent operational group risk plans in place • Liaison with policing partners to verify validity of possible demonstrations. • Initial credibility verification through visual audits using CCTV operations and open sources. • Gatekeeping protocols with marketing and communications for potentially controversial communications • Ongoing promotion of education around disinformation and building of media literacy by partners within the local authority and via social media • Monthly meetings held with senior leadership.	 15	Repair relationships and engagement between local communities where they have broken down following serious conflict and flashpoint incidents.	 14
						Deliver the Community Cohesion Strategy	

Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
				• Gold and Silver recovery group meetings with senior leadership teams across the organisation and partners. • Action plan developed by silver group to be reported to gold with escalations. • Community safety partnership reconstituted to provide greater strategic oversight. • MBC have secured £600k to be spent in response to community tensions as a further control. • BELONG employed to support delivery of the community cohesion strategy.			

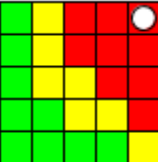
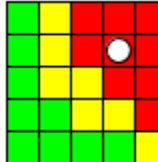
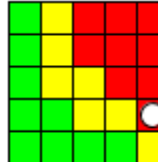
Code SR-16

Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
SR-16	Removal of the statutory override preventing the Designated School Grant (DSG) deficit from being met from general fund resources.	Interim Service Director, Education and Partnerships	 Probability Impact	• Lobbying Government to resolve the funding issue and provide a long term solution to the DSG deficit issue • Delivering DBV (Delivering Better Value) action plan. • Liaising with DoE regularly • Working with schools and settings to continuously review the funding models.	 Probability Impact	Lobbying Government to resolve the funding issue and provide a long term solution to the DSG deficit issue	 Probability Impact
						Ongoing monitoring of the HNF budget	
						Work with schools and settings to reduce the number of children and young people who are excluded.	
						Promote greater inclusion within mainstream settings.	
						Reduce the number of children and young people in out of area provision.	

Code SR-17

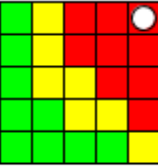
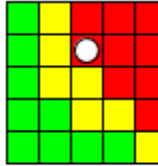
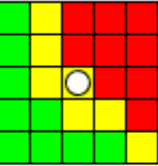
Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
SR-17	Funding for key external projects led by TVCA or MDC	Director of Regeneration and Housing; Chief Executive	 Probability Impact	- Tees Valley Investment Strategy. - Monthly meeting with CEX of MDC to discuss project developments. - Collaboration of Regenerations Director via LMT, TVCA and MDC setting out Council's priorities and concerns. - Effective communication between key stakeholders. - Direct risks which could impact on the local authority will be escalated to LMT. - Mayor Middlesbrough Council is a board member of the TVCA and MDC with the CEX present as observer. - Scrutiny committee for the TVCA of which Middlesbrough Council have Councillor representation.	 Probability Impact	Working with TVCA/MDC to develop a realistic delivery plan against essential projects.	 Probability Impact

Code SR-18

Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
SR-18	Ineffective governance of the Tees Valley Combined Authority (TVCA)	Chief Executive	 Probability Impact	• LGA improvement panel with independent oversight and planned publication of improvement panel reports to increase public scrutiny and transparency • Improvement plan (TVCA). • Best Value Inspection Notice issued April 26 resulting in increased government oversight. • Key officer relationships between Monitoring Officers and Directors of Finance	 Probability Impact	Review the reports of the improvement panel as they are published to identify actions that Middlesbrough Council can take to support the TVCA to improve governance and relationships Regular provision of advice to Middlesbrough Council representatives who sit on various TVCA bodies to ensure they are able to deliver their roles	 Probability Impact

Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
				- Interim appointments for the Director of Finance and Monitoring Officer roles - Reset discussions undertaken with the new Chief Executive		in full and with regard to good governance	

Code SR-19

Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
SR-19	If we fail to Demonstrate Compliance with the Best Value Duty	Head of Chief Executive's Department	 Probability Impact	- Council Plan with priority outcomes and corporate performance reports linked to the Mayor's vision. - Constitution; Scheme of Delegation; financial regs; Contract Procedure Rules. - Audit Committee & Overview and Scrutiny functions and associated work programmes of reporting. - Directorate scorecards (varies by service); quarterly reporting cycle agreed and being implemented in 2026/7 - Directorate service plans being reintroduced in 2026/7 which demonstrate delivery of council plan, directorate priorities and obligations and wider contributions towards cross cutting strategies and the corporate governance policy framework - Data reporting tools 85*.4; Information Governance policies. - MTFS; savings tracking; procurement pipeline; contract management standards.	 Probability Impact	Ensure new CI policy is embedded and reviewed annually and inline with council plan refresh cycles	 Probability Impact
						Creation of the continuous improvement team.	
						Embedding, identifying, and delivery of CI opportunities in the performance management cycle.	
						Implementation of directorate business plans	
						Implementation of scorecards to provide directors with oversight of key deliverables from their business plans	
						Implementation of integrated Performance and Finance Clinic Boards	
						Revised PPMF to support the revised PPM Policy	
						Implementation of the Performance Management Framework	

Code	Title	Managed By	Original Risk Score	Internal Controls Implemented	Current Risk Score	Title	Target Risk Score
				• Governance and Assurance Policy approved and being rolled out in 2026/7 • Continuous improvement plan in place with plans to integrate it into performance and governance frameworks to ensure the principle of continuous improvement is embedded within the organisation • Strategic and Directorate risk register; service and programme risk logs. • Internal Audit plan; management actions tracking; External Audit VfM work. • PMO artefacts (business cases, highlight reports, RAID); benefits registers (varied maturity). Staff Engagement Surveys where results are reported <i>and issues raised considered.</i> • <i>Integrated performance and financial management reporting agreed within the agreed Performance and Financial Management Policy and to be implemented from Q1 2026/7</i>		Agreement of the Governance and Assurance Policy First annual report of delivery against the governance and assurance policy	