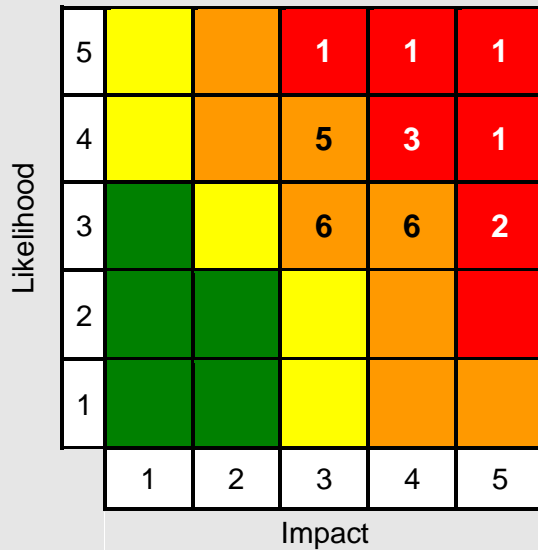


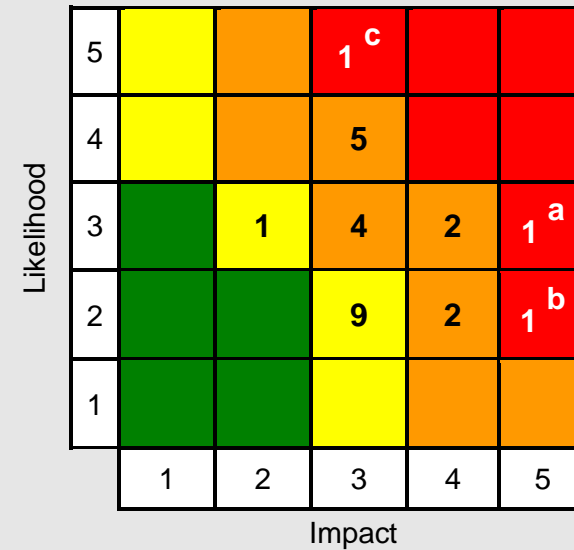
**Inherent Risks  
before controls  
February 2012**



*Residual risk scores rely on the identified controls working effectively.*

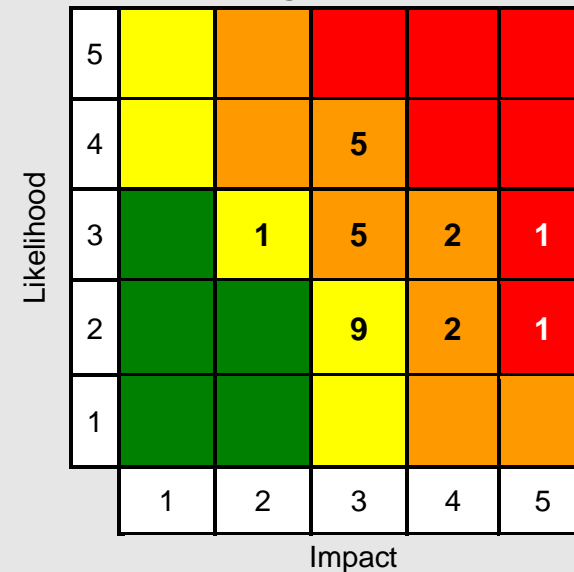
*CGP and COMT rely on internal audit and managers' 'assurance' statements to judge whether this is the case.*

**Residual Risks  
after controls  
February 2012**



total  
26

**August 2011**

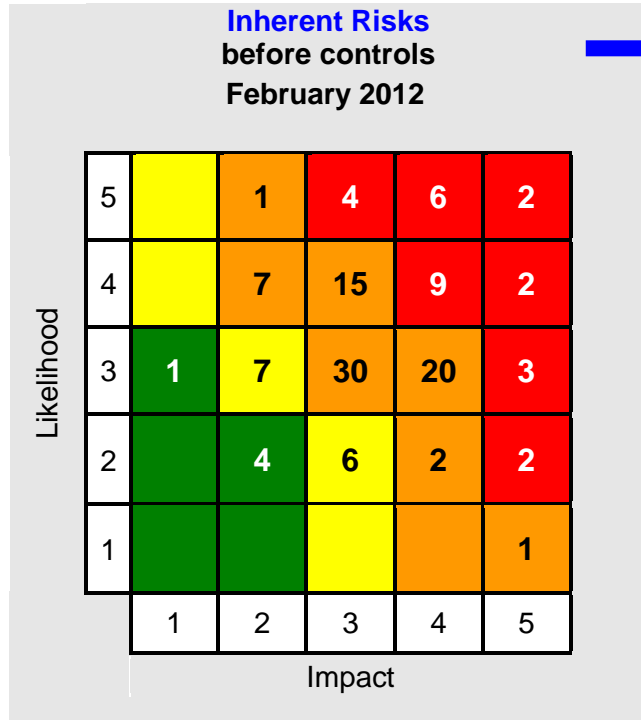


total  
26

-0

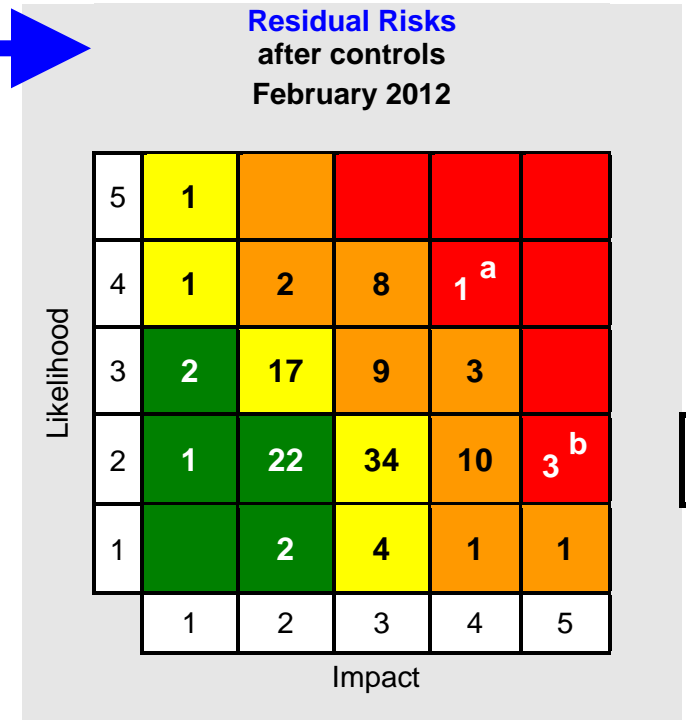
	'Very High' Residual Risks	Aug 2011	Feb 2012	Accepted by Cabinet
130 a	Failure to achieve financial savings	3 / 5	3 / 5	July 2010
47 b	Investment decisions not appropriate	2 / 5	2 / 5	July 2010
146 c	Climate change preparations poor	4 / 3	5 / 3	-----

# Operational Risks



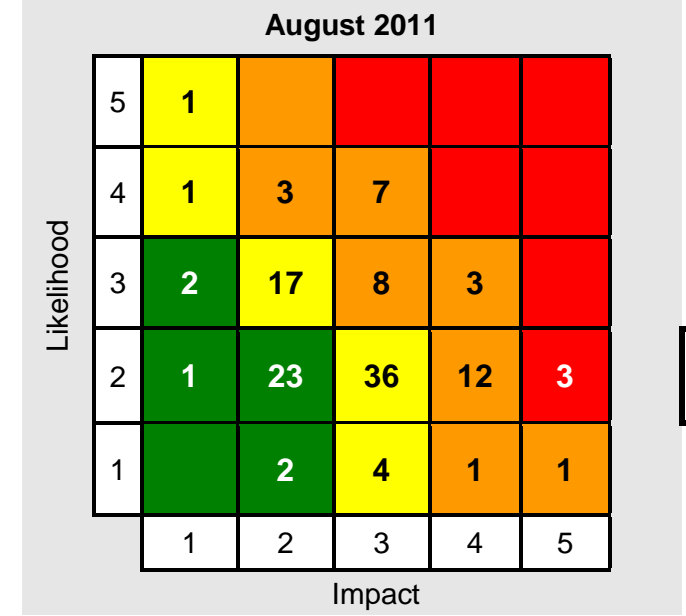
*Residual risk scores rely on the identified controls working effectively.*

*CGP and COMT rely on internal audit and managers' 'assurance' statements to judge whether this is the case.*



total  
122

	'Very High' Residual Risks	Aug 2011	Feb 2012	Accepted by Cabinet
6 a	Bus Cont plans inadequate	2 / 4	4 / 4	-----
15 b	ICT security is breached	2 / 5	2 / 5	July 2010
58 b	Information or data is lost	2 / 5	2 / 5	July 2010
223 b	MMI run-off	2 / 5	2 / 5	-----



Total  
125



**Summary of Risk Register Amendments  
1 September 2011 – 5 March 2012**

**Annex 3**

	<b>Additions</b>	<b>Deletions</b>
<b>Corporate</b>	1	1
<b>Operational</b>	1	4

**Corporate**

<b>Risk Ref</b>	<b>Risk Title</b>	<b>Created</b>	<b>Deleted</b>	<b>Inherent Risk Priority</b>	<b>Residual Risk Priority</b>
233	April 2013 changes arising from central government reforms that require additional resource and could lead to poorer performance or financial shortfalls.	28/02/12	---	<b>Very High</b>	<b>High</b>
155	The Benefits service is compromised because the council does not meet CoCo requirements and is unable to connect to Government Connect.	---	28/02/12	<b>High</b>	<b>Low</b>

**Operational**

<b>Risk Ref</b>	<b>Risk Title</b>	<b>Created</b>	<b>Deleted</b>	<b>Inherent Risk Priority</b>	<b>Residual Risk Priority</b>
163	Government Connect Code of Connection rules restrict flexibility of ICT provision	---	06/10/11	<b>Very High</b>	<b>Medium</b>
187	An interruption in Anite/ Flare /Femis systems prevents key Home Improvement Agency functions being carried out.	---	02/03/12	<b>High</b>	<b>Medium</b>
219	Working practices and time may not be monitored leading to errors not being identified and non-compliance with the Working-time Directive and other legislative regulations	---	07/02/12	<b>High</b>	<b>Medium</b>
225	Redundancy programme leads to an overstretching of resources and loss of key talent	---	07/02/12	<b>High</b>	<b>High</b>
232	Delivery of the Home Improvement Agency via shared service arrangements is not adequately managed leading to poor performance and the dissatisfaction of its customers.	10/02/12	---	<b>Medium</b>	<b>Low</b>

## Assurance Details

## Annex 4

Corporate Objective	Risk No	Inherent Risk	No of Controls	Residual Risk	Assurance Level				Assurance Provider		Area of Panel Assurance <sup>1</sup>	Assurance shortfall	Risk Type	
					Substantial	Adequate	Limited	None	Management	Other			Corporate	Operational
<b>A clean, 'green' and attractive place</b>														
Climate change strategy	146		2					2			a	X	✓	
Loss of vehicle fleet operating licence	192		3		2	1			3					✓
Council Carbon Management Plan	205		1		1				1					✓
Failure to deliver environmental policy/strategy	30		6			2	2	2	4		a		✓	
<b>Developing communities sustainably</b>														
Changes to house prices	52		2				2		2		a		✓	
<b>Housing that meets individuals' needs</b>														
Increasing Housing Benefit claims	143		1		1				1		g			✓
Emergency re-housing of expatriates	149		2			2			2				✓	
Increased homelessness	148		1			1			1		a		✓	
<b>Safe, vibrant and inclusive communities</b>														
Reduced CCTV service	230		2				2		2		a			✓
<b>To improve our systems and practices</b>														
ICT security breached	15		8		6	2			8		g			✓
Service recovery/business continuity ineffective	6		4		2	1	1		4		g			✓
Information or data is lost	58		4			4			4		g			✓
Theft	140		4		4				4		g			✓
Power loss to main servers	177		6		4	2			6					✓
Breach of Data Protection Act	217		4		4				4		c			✓
Project management ineffective	48		3		2	1			3		e			✓
Unencrypted data is sent externally	122		4		2	2			4		g			✓
Increasing insurance premiums	126		3		1	1	1		3					✓
Ineffective site security	32		3			2	1		3		g			✓

<sup>1</sup> The areas that Panel require specific assurance upon are listed at the end of this section.

## Assurance Details

## Annex 4

Corporate Objective	Risk No	Inherent Risk	No of Controls	Residual Risk	Assurance Level				Assurance Provider		Area of Panel Assurance <sup>1</sup>	Assurance shortfall	Risk Type	
					Substantial	Adequate	Limited	None	Management	Other			Corporate	Operational
Sensitive HB info e-sent via insecurely means	191		1		1				1					✓
Fraud occurs	75		5		1	4			4	1	g			✓
Loss of use of admin buildings	229		3		2		1		3		g			✓
Loss of access/structure: Pathfinder House	145		3		2	1			3		g			✓
Assets not properly maintained	186		3			2	1		3		g			✓
Partnerships are not effective	74		2			2			2		k	✓		
<b>To learn and develop</b>														
Increasing staff accidents	14		6			6			6		g			✓
Serious injury or death of customers or staff	16		5			5			5		g			✓
Reliance on key IT staff	25		6		4	1	1		6		g			✓
Bailiff contract (Health & Safety)	31		3		1	2			3					✓
<b>To maintain sound finances</b>														
Investment decisions not appropriate	47		9		6	2		1	8		d		✓	
Failure to achieve financial savings	130		2		1	1			2		d		✓	
Budget estimates are inaccurate	24		5			5			5		d			✓
Reduced land charges income	153		1		1				1					✓
Finance reforms in 2013	233		1			1			1			✓		
S106 Agreements are not monitored	208		3		3				3					✓

- a. Delivery of the Council's corporate objectives
- b. The effectiveness of the Constitution
- c. Ability to identify, assess and respond to legislation, meeting statutory obligations
- d. Effectiveness of financial management arrangements
- e. Robustness of the performance management system
- f. The effectiveness of the risk management strategy
- g. Robust systems of internal control & the effectiveness of key controls
- h. Adequacy of the internal audit service
- j. Partnerships are efficient and effectively delivering service objectives

## Risk Register entries : No Controls

## Annex 5

Risk Ref	Risk Title	Inherent Risk Priority	Residual Risk Priority	Actions being considered	Date to be introduced
Head of Environmental Management					
154	Lack of skilled/trained staff and funds mean failure to deliver expanding environmental agenda	<b>High</b>	<b>High</b>	Identify skills required & target resource to key environmental areas and projects.	April 2012
214	Warmer, wetter winters and hotter summers with reduced rainfall resulting in an increased likelihood of subsidence and ground heave.			Develop a tree policy to consider the trees we currently own and how they will be managed in future	June 2011
		<b>Low</b>	<b>Low</b>	Is there a programme in place to identify buildings susceptible to subsidence risk? Is there a schedule of regular maintenance checks to identify any damage? Is preventative work carried out where required?	May 2011
				All trees selected for any planting site, be it a paved street, grass verge, park, or open space is carefully chosen with regard given to its suitability to the area, based on growth habits, nutritional requirements, resistance to disease, the local landscape, future management requirements, potential for damage to adjacent properties and ultimate tree height and spread.	June 2011
215	Warmer summer weather and outdoor lifestyle increases the scope for outdoor activity leading to an increase in tourism and increased opportunity for leisure	<b>Low</b>	<b>Low</b>	None	

## Risk Register entries : No Controls

## Annex 5

Risk Ref	Risk Title	Inherent Risk Priority	Residual Risk Priority	Actions being considered	Date to be introduced
Head of Planning Services					
152	Economic downturn and the related potential shortfall in anticipated developer activity due to reduced market liquidity and availability of credit undermines the delivery of new homes, new employment opportunities and community facilities.	<b>High</b>	<b>High</b>	None	
Head of Financial Services					
223	MMI Ltd are unable to 'run-off' outstanding liabilities from reserves leading to call on Council to meet funding shortfall.	<b>Very High</b>	<b>Very High</b>	Upon receipt of annual report from MMI, Audit Manager to discuss need for reserve with HOFS annually, so a decision can be taken as to how to treat the reserve in the accounts.	June 2012

## Risk Assurance Shortfall

## Annex 6

Risk Ref	Risk Title	Inherent Risk Priority	Residual Risk Priority	Controls considered effective	Controls not considered effective
Head of Environmental Management					
146	Failure to prepare for and adapt to climate change already occurring, resulting in wasted investment , costs of emergency action and retrofitting buildings with adaptation measures.	<b>Very High</b>	<b>Very High</b>	None	Local Climate Impact Programme on services and wider District being developed.  Adaptation to climate change.