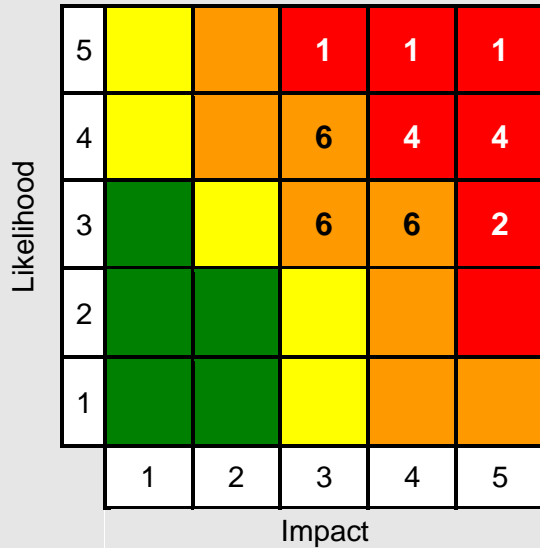


Corporate Risks

Appendix 1

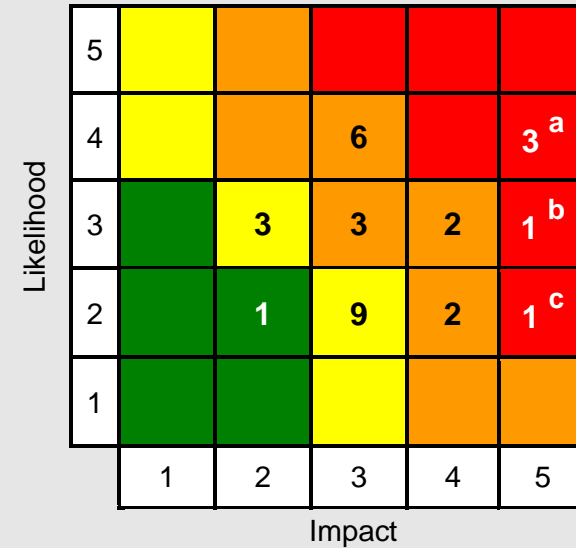
Inherent Risks before controls September 2014



Residual risk scores rely on the identified controls working effectively.

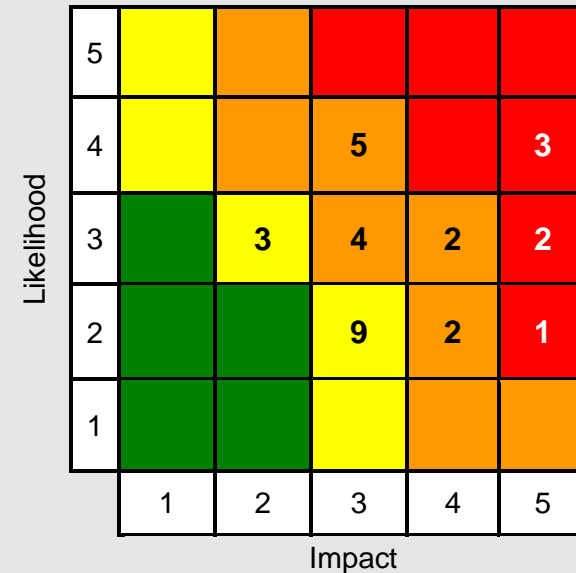
CGP and COMT rely on internal audit and managers' 'assurance' statements to judge whether this is the case.

Residual Risks after controls September 2014



total
31

March 2014



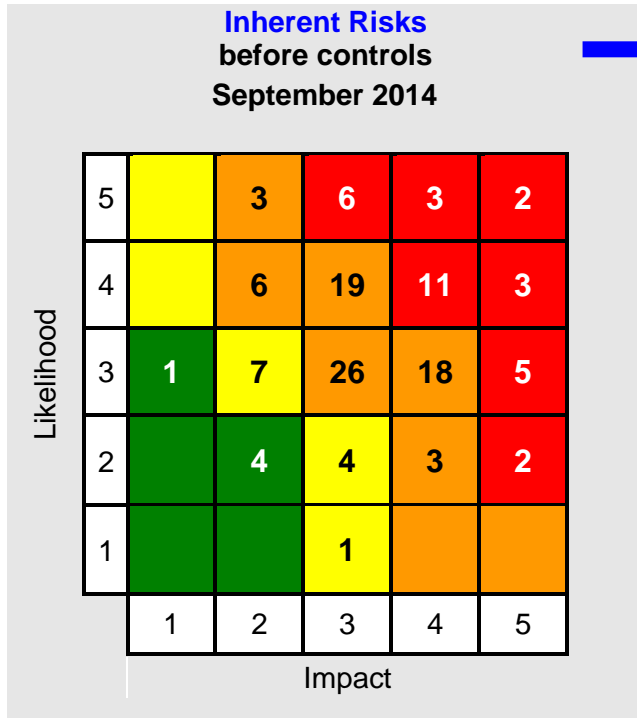
total
31

+0

	'Very High' Residual Risks	Sept 2013	Mar 2014	Accepted by Cabinet
		Likelihood X Impact		
130 a	Reducing Govt. financial support	4 / 5	4 / 5	July 2012
237 a	Affordable new homes	4 / 5	4 / 5	Dec 2012
248 a	Failure to achieve financial savings	4 / 5	4 / 5	----
239 b	Town Centre redevelopment	3 / 5	3 / 5	----
47 c	Investment decisions not appropriate	2 / 5	2 / 5	July 2012

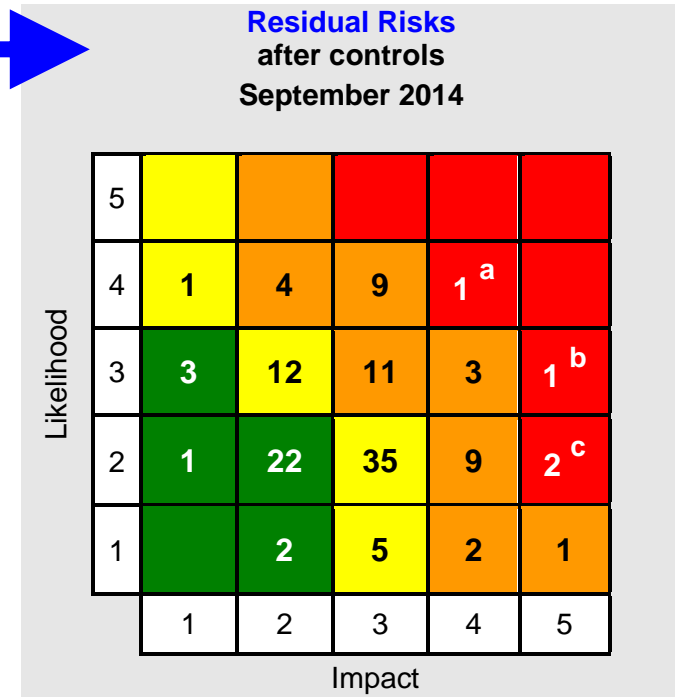
Operational Risks

Appendix 2



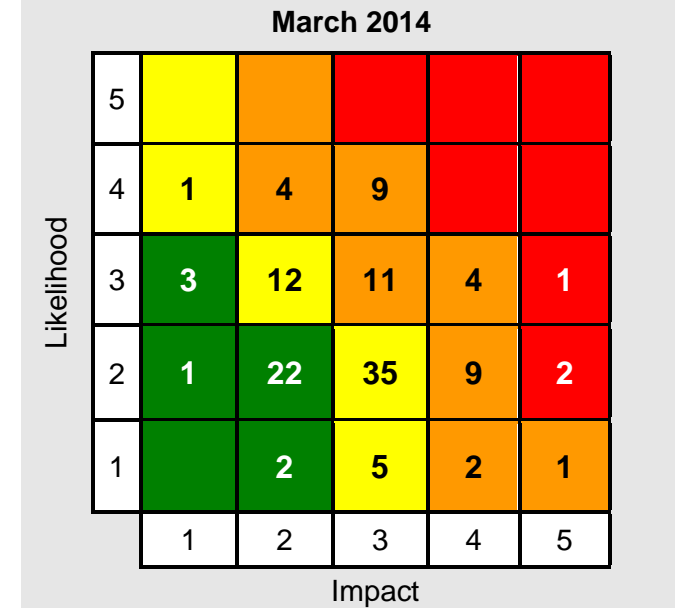
Residual risk scores rely on the identified controls working effectively.

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



total
124

		Sept 2013	Mar 2014	Accepted by Cabinet
	'Very High' Residual Risks			
		Likelihood X Impact		
243	a Failure to deliver savings via MAC	4 / 4	4 / 4	----
241	b Reduced retained business rates	3 / 5	3 / 5	----
15	c ICT security is breached	2 / 5	2 / 5	July 2012
58	c Information or data is lost	2 / 5	2 / 5	July 2012



+0

Total
124

Operational

Assurance Details

Appendix 3

Corporate Objective	Risk No	Inherent Risk	No of Controls	Residual Risk	Assurance Level				Area of Panel Assurance ¹	Assurance shortfall	Risk Type	
					Substantial	Adequate	Limited	None			Corporate	Operational
Enable sustainable growth												
Failure to deliver environmental policy/strategy	30		4				4		a		✓	
Partnerships are not effective	74		1				1		j	X	✓	
Increasing insurance premiums	126		3		1		2		f			✓
Climate change strategy	146		2				2		a	X	✓	
Reducing number of affordable homes built	237		3		3				a		✓	
Not realising land values	246		1			1			a			✓
Improve the quality of life in Huntingdonshire												
Reduced CCTV service	230		1		1				a			✓
Delays to Huntingdon town centre development	239		1			1			a		✓	
Reduction in Govt DFG funding	254		1			1			a			✓
Improve communications (internal)												
Service recovery/business continuity ineffective	6		5		4	1			g			✓
Unencrypted data is sent externally	122		4		2	2			g			✓
Assets not properly maintained	186		3			1	2		g			✓
The Council (internal)												
ICT security breached	15		8		8				g			✓
Reliance on key IT staff	25		5		1	3	1		g			✓
Ineffective site security	32		3		2	1			g			✓
Staffing capacity: deadlines not met	49		4		4				a			✓
Information or data is lost	58		4			4			g			✓
Fraud occurs	75		6		1	4	1		g			✓
Theft	140		4		4				g			✓
Loss of access/structure: Pathfinder House	145		3		2	1			g			✓
Government Connect secure network	163		1			1			c			✓
Power loss to main IT servers	177		6		4	1	1		f			✓

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

Assurance Details

Appendix 3

Corporate Objective	Risk No	Inherent Risk	No of Controls	Residual Risk	Assurance Level				Area of Panel Assurance	Assurance shortfall	Risk Type	
					Substantial	Adequate	Limited	None			Corporate	Operational
Sensitive HB info e-sent via insecurely means	191		1		1				d		✓	
Loss of vehicle fleet operating licence	192		3		2	1			e		✓	
Breach of Data Protection Act	217		5		4		1		c		✓	
Loss of use of admin buildings	229		3		2		1		d		✓	
IT staff capacity issues	244		2			2			d		✓	
Desktop PC's are not supported	250		1			1			d	✓		
Inappropriate social media activity	251		1			1			d	✓		
Individual electoral registration	256		1			1			c	✓		
Increasing staff absence	73		4		2	2			a	✓		
To learn and develop (internal)												
Council does not invest in or develop staff	2		4		2	2			a	✓		
Staff absence through injury	14		6			3	3		g		✓	
Serious injury or death of customers or staff	16		5			3	2		g		✓	
Bailiff contract (Health & Safety)	31		3		3				f		✓	
To maintain sound finances (internal)												
Budget estimates are inaccurate	24		5		1	4			d		✓	
Investment decisions not appropriate	47		4		1	3			d	✓		
Project management ineffective	48		3		1	1	1		e		✓	
Failure to achieve financial savings	130		2			1	1		d	✓		
S106 Agreements are not monitored	208		3			2	1		e		✓	
MMI liabilities	223		1			1			d		✓	
CIL liabilities not collected	236		1			1			g		✓	
Reduced retained business rates	241		1			1			d		✓	
Failure to deliver Making Assets Count	243		1					1	j	X	✓	
Failure to achieve financial savings	248		1					1	d	X	✓	

a. Delivery of the Council's corporate objectives	e. Robustness of performance management system	j. Partnerships working effectively
b. The effectiveness of the Constitution	f. The effectiveness of the risk management strategy	
c. Meeting statutory obligations	g. Internal control & the effectiveness of key controls	
d. Effectiveness of financial management arrangements	h. Adequacy of the internal audit service	


Risk Assurance Shortfall

Appendix 4

Risk Ref	Risk Title	Inherent Risk Priority	Residual Risk Priority	Control Assurance level	Controls not considered effective
Head of Environmental Management					
74	Robust Partnerships agreement are not effectively secured with relevant organisation and as a consequence the delivery of key objectives is not achieved.	Very High	Medium	Limited	Partnership Manager role to ensure effective performance management and accountability of partnerships. This is primarily for the HSP. <i>Note: The AGS includes as a significant issues, the requirement to review partnership commitments.</i>
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.	Very High	High	None	Local Climate Impact Programme on services and wider District being developed. Adaptation to climate change.
243	Failure to deliver potential savings and partnership opportunities through the Making Assets Count programme	Very High	High	Limited	County and District level boards exist.
Chief Officers' Management Team					
248	Non achievement of savings leading to other savings needing to be found at short notice	Very High	Very High	Limited	The savings plan (which is required to be a realistic expectation of savings to be achieved or exceeded) has not yet been agreed.

Risk Assessment Model

Likelihood / Frequency

Likelihood / Frequency		Alternatively this could be expressed as likely to happen within the next:	
5 = Almost Certain	Will definitely occur, possibly frequently.	Month	
4 = Likely	Is likely to occur, but not persistently.	Year	
3 = Occasional	May occur only occasionally.	3 years	
2 = Unlikely	Do not expect it to happen but it is possible.	10 years	
1 = Improbable	Can't believe that this will ever happen, but it may occur in exceptional circumstances.	20 years	

When considering Health & Safety related risks, the likelihood should be expressed as being likely to happen within the next:

4 = Likely	Monthly	Further advice on assessing Health & Safety risks* can be obtained from the Health & Safety Advisor.
3 = Occasional	Year	
2 = Unlikely	5 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
- increase the Council's net cost over the 5 year MTP period by £50,000 or less.
- be managed with no reporting in the local media
- 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
- increase the Council's net cost over the 5 year MTP period by more than £50,000 but less than £100,000.
- result in minor short-term (up to a fortnight) adverse publicity in the local media
- * be a Health and Safety concern that results in an injury but little lost time (e.g. less than 3 days off work)
- have a short term effect on the environment i.e. noise, fumes, odour, dust emissions etc., but with no lasting detrimental impact

Risk Assessment Model

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
- increase the Council's net cost over the 5 year MTP period by more than £100,000 but less than £250,000.
- result in significant adverse publicity in the national or local media
- * be a Health and Safety concern that results in more than 3 days off work or is a major injury, dangerous occurrence or disease that is required to be reported to the H&S Executive in accordance with RIDDOR.
- 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 Managing Director involvement.
- increase the Council's net cost over the 5 year MTP period by more than £250,000 but less than £500,000.
- 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
- * results in the fatality of an employee or any other person
- 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.
- increase the Council's net cost over the 5 year MTP period by more than £500,000.
- have an adverse impact on the national reputation of the Council both in the long and short term
- 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