CORPORAT	E RISK PROFIL	 .E 	Risk Likelihood 1 = Unlikely 2 = Possible 3 = Likely 4 = Almost Certain	Risk Impact 1 = Minor 2 = Moderate 3 = Significant 4 = Critical		2 3 4 re Impact			Target	Score						A	ssurance				Appen	dix 3	
ID					(January 20				t po			1st Line					2nd Line					3rd Line	
Risk Areas	Risk Description	Cause	Impact	Current Controls	Impac	Mitigating Actions	Owner	Source of Assurance	Impac	Rating	Overall Assurance	Management Assurance	Law and Governance	Financial Resources	Programmes and Projects	Performance	ЮТ	People Mgt	Health and Safety	Business Continuity	Risk and Assurance		External ssurance
R01 Strategic Planning	as whole.	Corporate planning process does not adequately reflect the views of the community. Various sections of the community are not engaged. The Council does not understand the impact of Covid 19 on the community.	welfare and future prosperity of our communities.	COG. JLT. City Plan. Covid 19 Risk Register.	4 1	City Plan driven by required outcomes and commissioning activity. Refresh of the JSNA	Corporate Services	Risk and Assurance Team Internal Audit	4 1	4	Strategic Planning	x				x					x	x	
R02	Strategic plans are not adequately communicated on a timely basis to relevant Council officers and external partners responsible for delivering plans.	service planning	Lack of delivery of plans by those partners/services responsible	COG. JLT. City Plan.	4 2		Executive Director of Corporate Services	Risk and Assurance Team Internal Audit	4 1	4		x				x					x	x	
R03 Commissioning	Commissioning decisions are not based on appropriate intelligence	Appropriate intelligence is not gathered, e.g. performance data is incomplete, is out of date, or is not appropriately analysed or assessed to determine the needs of the community Do not engage with the appropriate sectors of the community / market		JSNA. Community engagement arrangements. Intelligence Service. Performance Management Framework.	4 2	Identify intelligence required and potential sources to inform decisions. Develop engagement plans to gather the required formation. Analyse the information and use the results to inform the commissioning decisions, using the intelligence team.	All Assistant Directors	Governance questionnaire Internal Audit Corporate Performance Management	4 1	4	Commissioning	x									x	x	
R04	Most appropriate and cost effective commissioning option to meet lidentified needs and achieve commissioning priorities and outcomes is not chosen.	Failure to identify and evaluate relevant possible commissioning options of delivering services taking into account the resources available. Failure to build or shape capacity in 'market' and cooperative working e.g. partnerships to enable effective service options not in place to help achieve commissioning priorities and outcomes Inadequate options appraisal process Lack of Provider/Supplier capacity due to the impact of Covid 19.		o Service Plans.	4 2	Options appraisal undertaken on service design following assessment of customer needs. Appropriate procedure followed to commission the preferred option, egg, procurement, service re- 8 design.	Al Assistant Directors	Cabinet reports Governance questionnaire Internal Audit	4 1	4		x		x							x	x	x
R05	Commissioning assessment process is not undertaken on a timely or regular basis.	Inadequate resources. Insufficient forward planning for contracted services.	Changes in needs of community are not identified promptly. Inappropriate use of limited resources. Community's real needs are not met. Existing arrangements/contracts extended where its may not		4 2	Review of performance to ensure service delivery model is delivering outcomes. Commissioning Cycle to include planned review date either linked to outcome or contract timescales.	All Assistant Directors	Governance questionnaire Internal Audit	3 1	3		x									x	x	
R06 Service Delivery Arrangements	Service Plans do not include actions to achieve the City Plan priorities	Service plans are not driven by the City Plan	be the optimal solution Fail to meet the needs of the City	Service Planning Process. Performance Management Framework.	4 3	Service Planning process is driven by the City Plan. Service Planning Process is communicated to all Assistant Directors.	All Assistant Directors	Internal Audit Corporate Performance Management	3 2	6	Service Delivery Arrangements					×						×	x
R07	The level of services delivered by the council does not meet customer needs and/or expectations.	Lack of understanding of the priorities Lack of financial resources to invest in changing arrangements Lack of benchmarking to identify service development opportunities Lack of management time to consider delivery improvements Capability issues Lack of capacity due to increased demand as a result of the Covid 19 and lockdown measures	customers not achieved. Reputational damage. Wasted resources.	Service Planning Process. Performance management arrangements. Transformation Programme. Covid 19 Risk Register.	4 3	Performance in relation to the delivery of outcomes is regularly monitored.	Al Assistant Directors	Corporate Performance Management Internal Audit Corporate Complaints	4 1	4		x				x					x	×	
R08	Performance targets are not set or do not clearly identify the acceptable levels of service delivery performance.		Unable to understand if performance levels are acceptable.	Corporate performance management process.	3 2	Targets should be set for all performance measures (where appropriate to do so) to clarify acceptable levels of performance.	All Assistant Directors	Governance questionnaire Corporate Performance management Internal Audit	3 1	3		×				x					x	x	
R09	Management fail to take prompt effective action in response to unacceptable performance results reported or fails to follow up to ensure remedial action is effective.	Lack of time to consider performance. Performance information not accurate timely or understood. Management not held to account for performance. Lack of resource or control to make necessary changes.			3 2	Management review performance on a regular basis and take appropriate action to rectify unacceptable 6 performance.	All Assistant Directors	Corporate Performance management arrangements Internal Audit Corporate Complaints	3 1	3		x				x						x	
R10	Services fail to monitor their financial resources to ensure effective delivery of planned services.	Lack of time spent on budget monitoring. Lack of understanding of the service's financial position. Lack of complete or timely financial information.	Services not effectively delivered due to lack of resources.	Budget managers guidance. Financial Resources support.	4 1	4 Managers continue to engage with Financial Resources to understand the financial performance of their services areas	All Assistant Directors	Financial Resources Internal Audit	4 1	4													
R11	Services do not meet the needs of the City as key risks are not identified or appropriately managed.	Potential barriers to the delivery of	Services not effectively delivered. Waste of resources.	Service Planning process.	3 3	Services should continue to identify risks to service delivery during the service planning process and consider appropriate mitigating actions.	All Assistant Directors	Risk and Assurance Internal Audit	3 1	3													
R12 Partnership / Integrated Working	and other partner(s) conflict/are not	Reducing resources forces partners to concentrate on their own priorities at the expense of partnership priorities. Lack of communication of plans between partners. Lack of partnership performance monitoring. Increased demand on limited resources due to the impact of Covid 19	priorities and support	City Plan. Partnership Boards. Partnership Framework.	4 2	Performance management arrangements include a review of the achievement of outcomes where partners have some responsibility for a delivery. Corporate Partnership arrangements should be reviewed in light of the new City Plan.	Al Assistant Directors	Corporate Performance management Internal Audit	4 1	4	Partnership / Integrated Working										x	x	x

ID	Risk Areas	Risk Description	Cause	Impact	Current Controls	Impact Likelihood Rating	Mitigating Actions	Owner	Source of Assurance	Impact Likelihood	Rating	Overall Assurance	Management Assurance	Law and Governance	Financial Resources	Programmes and Projects	Performance	ЮТ	People Mgt	Health and Safety	Business Continuity	Risk and Assurance	Internal audit	External Assurance
R13		partner as to objectives, and nature of partnership (e.g. responsibilities, if applicable, sharing of profits, costs or losses, dispute resolution, governance, decision making, planning, risk sharing).	r	outcomes for community. Lack of delivery of priorities.	Framework.	4 2 8	All Assistant Directors should be reminded of the requirements of the partnership Code of Practice. Partnership agreement in place with each partner setting out the expectations of each party and the required reporting arrangements.		Corporate Performance Management Governance questionnaire Internal Audit	4 1	4		x										x	
R14	Procurement	The product or service procured does not deliver the intended outcomes.	Poor specification. Lack of understanding of what is needed by commissioner. Poor communication between commissioner and procurement. Limited capacity of providers/suppliers due to Covid 19 outbreak. Inadequate evaluation process	Fail to obtain value for money Objectives/outcomes are not achieved. Most appropriate commissioning options are no obtained.	Procedure Rules.	3 1 3	The Council's procurement procedures continue to be followed and good procurement practice is undertaken	All Assistant Directors	Internal Audit Risk and Assurance	3 1	3	Procurement										x	x	
R15		Procurement breaches legal and Council requirements.	Lack of procurement procedure rules and training. Lack of knowledge of legal/Council requirements. Failure to adhere to requirements (deliberate, e.g. corruption or accidental).	Legal/financial penalties. Challenge, delays in award of contracts. Loss of reputation.	Procurement Procedure Rules in place. Procurement have skilled staff. Corporate Procurement support council officers.	2 1 2	Communication with COG / Assistant Directors regarding failure to comply with Procurement Procedure Rules. Commissioners engage with Corporate procurement in enough time to undertake an appropriate and legal procurement process.		s Internal Audit	2 1	2											x	x	
R16		Value for money not obtained.	Lack of competition, specifically as a result of the Covid 19 outbreak. Corruption. Inappropriate specification. Poor procurement planning.	and customer service.	s Procurement Procedure Rules in place. Procurement have skilled staff. Corporate Procurement support council officers	3 2 6	Commissioners engage with Corporate procurement in enough time to undertake an appropriate and legal procurement process.	All Assistant Directors	Internal Audit	3 1	3												x	
	Relationship / Contract Management	Contracts do not deliver the required objectives/outcomes.	Lack of clear contract/specification provisions in place to alow effective management of the contract. Lack of appreciation of importance of contract management during the procurement process. Lack of clarity of clear measures and standards required by commissioner in specification to allow for contract management post award. Lack of contract management activity following contract award	Le, pay too much or poor service obtained. Objectives are not achieved. Excessive resources used on dispute resolution.	, Contract management framework. Corporate	4 2 8	Contract management arrangements should be in place for all key contracts entered into by the Council.	All Assistant Directors	Governance questionnaire Internal Audit	4 1	4	Relationship / Contract Management	x				x					x	x	
R18	Legality	Council fails to act within its statutory powers.	Lack of Constitution, Procedure rules and / or delegation scheme do- constitution, procedure rules, delegation scheme are not communicated or understood by officers. Decision makers have lack of access to legal expertise. Lack of awareness of officers as to their legal responsibilities. Changes in law are not recognised and implemented.	Councils actions are found to be uttra vires Hrancial penalties. Legal challenge Loss of reputation. Delay in delivery of outcomes.	Procedure Rules.	3 1 3		Assistant Director of Law and Governance All Assistant Directors	Law and Governance Governance questionnaire Internal Audit	3 1	3	Legality	x	x								x	x	
R19	Risk Management	Failure to identify and manage the major risks and opportunities to delivering priorities and plans.	Risk Management process is not aligned with delivering priorities. Senior Management/Members do not monitor the management of key risks to the Council. Risk appetite of the Council is not identified and communicated.		Risk Management Policy and Strategy. Integrated Assurance Framework. Covid 19 Risk Register.	326	The Council's strategic and corporate risks are identified, assessed and managed through COG and the Audit and Governance Committee. Risk Management Policy and Strategy to be reviewed.	Assistant Director of Business and property Services	s Risk and Assurance Team Audit and Governance Committee	3 1	3	Risk Management	x									x	x	
	Corporate Performance Management		Performance reporting does not address all prioritly issues. Performance indicators are inappropriate. Performance targets not set to aid evaluation of performance. Performance data reported is inaccurate, out of date, difficult to understand or incomplete. Performance reporting not timely.	are on track or if interventions are required.	Management Framework.	3 1 3	Development of the performance management process in relation to delivering the priorities in the City Plan.	Assistant Director of Digital and Customer Service	Corporate performance management Internal Audit	3 1	3	Performance Reporting					x						x	
R21	Financial Management		processes are not coordinated to allow	adequately resourced Failure to achieve plans and outcomes for community Council financial resources	MTFS Budget consultation process	4 1 4		Executive Director of Corporate Services	Financial Resources	4 1	4	Financial Management			x	x								
R22		due to all critical factors likely to affect the Council's finances moving	Poor Intelligence gathering or horizon scanning. Lack of resources. Lack of consultation/communication with senior officers. Lack of clarity of the financial support from Government as a result of the Covid 19 outbreak.	inaccurate information. Plans made which are not adequately resourced. Failure to achieve plans and outcomes for community.	Strategic financial planning process. Covid 19 Risk Register.	4 3 1	Appropriate consultation and intelligence gathering is undertaken in assessing the Council's short to medium term financial position.	Executive Director of Corporate Services	Financial Resources External Audit	3 1	3				x									x
R23		how financial changes in one area impacts on other areas of the council.	Financial savings in one area may have a more than proportionate increase in other service areas	Savings plans are not achieved in practice.	Financial Reporting Procedures.	3 1 3	The Council's financial position is regularly reported to COG and Members.	Corporate Services	Financial Resources	3 1	3				x								x	
R24		The Council does not take all opportunities to pursue external funding when available.	Lack of awareness of funding streams available. Lack of planning regarding priorities to be able to react to available funding.	priorities in an efficient way. Some priorities may not be delivered.	Team. Strategic funding group.	3 1 3	Ensure that horizon scanning considers changes in future sources of funding.	Corporate Services	Internal audit	3 1	3													
R25		allocated.	Lack of awareness of the terms and conditions of the funding Delays in project completion	delivered.	Financial monitoring. Project management standards.		The Council monitors the use of all grant monies to ensure there is no loss.			3 1	3													
R26		Financial reporting fails to give a full and accurate picture of the progress to achieving corporate financial priorities and targets.	Financial reporting does not address all priority issues Financial performance measures are inappropriate Financial targets not set to aid evaluation of performance financial performance data reported it inaccurate, out of date, difficult to understand or incomplete Financial performance reporting not timely.	identify if achievement of all priorities are on track or if interventions are required. Appropriate remedial actions are delayed.	Performance Reporting. Performance Clinics.		Financial performance reporting is aligned to performance reporting to identify any potential inaccuracies or inconsistencies.	Executive Director of Corporate Services	Financial Resources Corporate Performance Management	3 1	3				x		x						x	

ID Risk Areas	Risk Description	Cause	Impact	Current Controls	Impact Likelihood	면 I Mitigating Actions 2	Owner	Source of Assurance	Impact Likelihood	Rating	Overall Assurance	Management Assurance	Law and Governance	Financial Resources	Programmes and Projects Performance	ЮТ	People Mgt	Health and Safety	Business Continuity	Risk and Assurance	Internal audit	External Assurance
R27	The Council fails to pay its employees (and those of other clients) accurately and on time.	Lack of resources to process the changes to the payroll Lack of a clear timetable for the submission of information Lack or payroll staff with the required training	Loss of reputation as a payro provider.		3 1	that the payroll runs are complete and accurate and operate efficiently.	Assistant Director of People Management		3 1	3											x	x
R28	The Council fails to make paymen to its suppliers and clients accurate and on time.	Is Lack of resources to process the ely required payments. Lack of appropriate checks on payments before processing. Lack of controls in place to ensure payments are processed per the required timescales.	Loss of reputation with suppliers. Claims for interest for late payments.	Procedures in place within the Purchase to Pay system	3 1	Procedures required for making payments accurately and on time are up to date and fully understood by staff within the payments service	Assistant Director of Finance	Internal Audit	3 1	3											x	×
R29	The Council fails to process payments for benefits accurately o on time.	claims. Delay in the processing of claims.	Customers do not receive the correct amount of benefit resulting in financial hardship. Customers receive their payments late causing unnecessary debt.	procedures and performance indicators in place.	4 1	Established procedures are in place and followed by adequately trained staff for the assessment and processing of benefit claims.			4 1	4											x	x
R30 Income Collection (inc CT/NNDR)	ding Council fails to bill and or promptly collect the income that is due to its	Lack of resources. Inadequate procedures for raising accurate bills. Inappropriate methods to allow customers to pay bills. Over generous credit terms. Economic conditions increase the number of bad debtors. Procedures fail to identify non payments. Ineffective enforcement of credit control arrangements.	Financial loss. Unable to balance the budge	Financial procedure t. rules. Performance indicators in place.	3 1	Regular monitoring that the income received is in line with that expected as per the Council's budget.	Assistant Director of Finance	Financial Resources Internal Audit	3 1	3	Income Collection (including CT/NNDR)			x							x	x
R31	Prosperity within the City fails to gr resulting in the expected level of income being uncollectable.	ow Number of businesses in the City reduces or does not grow. Increased number of families sufferin financial hardship. Debts increase and become harder t recover. The Covid 19 outbreak has resulted i a worsening financial and domestic situation of many residents.	targets.	City Plan. Strategic financial planning.	3 4	Clear performance measures and regular monitoring of the debtor position highlight potential loss of income.	Executive Director of Corporate Services	Financial Resources Internal Audit	3 2	6				x								
R32 Capital Programme Management	Capital projects do not support the delivery of strategic priorities and desired outcomes.		Priorities are not delivered. City does not have the required infrastructure. Poor integration of city developments.	Capital Programme Board	3 1		Executive Director of Corporate Services	Financial Resources Internal Audit	3 1	3	Capital Programme Management			x						x	x	
R33	The intended benefits of capital projects are not identified and/or realised.	Lack of awareness of funding conditions Poor planning Poor monitoring of projects Lack of monitoring of the realisation of benefits after the completion of the projects	Loss of funding. Council resources used to fill funding gaps. Other planned projects of postponed. Lack of delivery of the Counc priorities.		3 3	planning and monitoring of the delivery of the benefits of each		Financial Resources Internal Audit	3 2	6										x	x	
R34 People Management	The council does not have the required skills and capacity to delin the City's priorities.	Shrinking workforce leading to a ver reduction in capacity and skills. Rapid loss of keylsenior officers and associated expertise. Lack of effective workforce planning i ensure Council has workforce to mee the needs of Council going forward. Insufficient resources to maintain effective HR management resource and arrangements. Insufficient training and development. Staff absence due to sickness or self isolation due to Covid 19.	to st	Corporate Performance Management.	3 3	Workforce planning strategy in place that is appropriately monitored to ensure its is effectively implemented.	Assistant Director of People Management	People Management Internal Audit	3 2	6	HR Management	x					x			x	x	
R35	Reduction in productivity and more of workforce.	le Increasing workloads. Instability due to ongoing changes. Job insecurity. Increased demand / pressures due to Covid 19.	High absence/sickness rates Stress related absence. Lower standards of service o delivery. Increased costs. Increased homeworking has had a positive impact of staff morale.	Performance management. Performance Clinics.	4 2	Recognition of reduced capacity. Employees feeling valued and supported.	All Assistant Directors	Governance questionnaire People Management Internal Audit	4 2	8		x					x				x	
R36 Health and Safety	Council officers do not fully understand H&S roles and responsibilities.	Roles and responsibilities not clearly documented and/or communicated effectively. Loss of knowledge from organisation change and staff chum. Ineffective training and awareness programme. Lack of easy access to relevant documents on the Hub. Additional measures due to Covid 19	accountability for H&S. Inconsistent approach to the al management of H&S issues across directorates, divisions and teams. Reduced compliance with quality standards and best practice.	and Safety Statement of Intent.	4 2	Revised Strategy/Policy to be agreed by COG.	Assistant Director of People Management	People Management Internal Audit	4 1	4	Health and Safety						x			x	x	
R37	The council's key H8S risks are no identified, understood or agreed.	I Lack of effective coordinated corporate approach to the identification of H&S risks. Lack of awareness or prioritisation of H&S across Chief officers, managers and operational colleagues. Lack of clear responsibilities of premises managers, landlords and leaseholders.	 H&S legal duties not fulfilled and/or demonstrated. Reduced oversight and 	and Safety Team.	4 2	Continue to monitor Health and Safely Risks through the assurance framework and work with relevant colleagues to manage the risks in place.	Assistant Director of People Management	Head of HR and OD Internal Audit	4 1	4											x	
R38	Appropriate action plans are not developed and agreed to manage the council's key H&S risks.		established and/or operated appropriately. Inconsistent and disjointed	Health and Safety Audits. to Risk assessments developed for tasks and council buildings	4 2	Continue to oversee the management of Health and Safety risks through the Executive Group and annual reporting to COG. 8	Assistant Director of People Management	People Management Internal Audit	4 1	4											x	

ID Risk Areas	Risk Description	Cause	Impact	Current Controls	Impact Likelihood Batioo	Mitigating Actions	Owner	Source of Assurance	Impact	Likelihood Rating	Overall Assurance	Management Assurance	Law and Governance	Financial Resources	Programmes and Projects	Performance	ICT	People Mgt	Health and Safety	Business Continuity	Risk and Assurance	Internal audit	External Assurance
R39	Strategic approach to incident management does not adequately inform decision making.	Lack of understanding of responsibilities and accountability for incident response. Non-compliance with incident reporting arrangements. immitted trend analysis and learning lessons from incidents. Availability of quality data/information to inform effective reporting to COG.	Implementation of inappropriate controls. Existing controls not reviewed and revised in response to learning from incidents becoming out-of-date and ineffective.	Corporate Health and Safety Team. Annual Health and Safety Report. Regular Executive Health and Safety meetings where detailed information is presented and discussed	3 2 0	Continue to monitor compliance with incident reporting arrangements and address any areas for development.	Assistant Director of People Management	People Management Internal Audit	3	1 3												x	
R40 ICT Infrastructure	The ICT infrastructure is not fit for purpose (i.e. does not meet the needs of Council, not reliable, too expensive).	Reducing resources impacts upon the ability to maintain a stable infrastructure. Lack of funds to maintain/upgrade infrastructure. Increased reliance/demand on ICT due to more remote working in response to Covid 19.	impacting on delivery of priorities. Waste of financial resources due to excessive cost.	plan. Rapid roll out of	4 2 8	The ICT strategy is clearly aligned to the priorities of the Council and the direction of travel for the provision of Council Services.	Assistant Director Smart Cities	ICT Internal Audit	4	1 4	ICT Infrastructure	x					x			x	x	x	
R41	ICT infrastructure is not resilient to 'disasters'.	Lack of planning for disasters (preven or respond to). No adequate business continuity/disaster recovery ICT infrastructure in place. Lack of business continuity/disaster recovery plan which has been tested. Key employees not briefed as to their disaster recovery responsibilities.	impacting on delivery of priorities. Loss of productivity. Waste of financial resources due to excessive cost. Less efficient and effective	Business continuity arrangements (ICT and in services).	4 2 8	Disaster recovery plans clearly linked to the provision of critical services, regularly tested and the recovery timescales reflected in the business continuity plans for critical services.	y Assistant Director Smart Cities All Assistant Directors	ICT Internal Audit Business continuity officer	4	1 4		x					x			x	x	x	
R42 Cyber Security	phishing, denial of service attack) resulting in a loss of systems and/or conflidential information.	Lack of appreciation by management of threat/risks of cybercrime to Council's operations. Low priority given to cybersecurity. Lack of cybersecurity policies and procedures (prevention culture created (lack of cybersecurity policies and procedures (prevention and response), lack of ongoing employee training/awareness). Lack of motioring of alerts/warnings, e.g. no Security and Incident and Event Management (SIEM) solution in place. Lack of investment in existing infrastructure increases level of vulnerability penetration testing vulnerability test penetration testing vulnerability test Lack of resources. Lack of resources. Lack of nederstanding of what valuable data the Council holds. Increased cyber activity during Covid 19 outbreak.	confidence, finance and reputational damage. Fines / compensation. Loss of systems or data loss. Major business disruption.	Governance Group. Operational Information	4 2 8	A Cyber security Strategy is in place, including and threat assessment, development plan and response plan.		ICT Internal Audit	4	2 8	Cyber Security						x				x	x	
R43 Information Governance / Security	Council's data is not accurately protected.	Lack of awareness of the importance of protecting the Council's data. Lack of compliance with data security arrangements. The Council is not aware of the data it holds or ensures that its is complete and accurate. Protection arrangements do not prevent unauthorised access and use of data. Increased remote working brings increased risk to data held in homes.	reputational damage. Fines / compensation. Claims from those who have s been adversely effected.	Governance Group. ISO 27001. Cyber security	3 2 6	Council has appropriate information governance and security arrangements in place which are complied with throughout the organisation.		Data Protection Office Governance questionnaire Internal Audit	3	1 3	Information Governance / Security	x	x								x	x	
R44 Business Continuity Management	The Council's business critical services cannot function in the event of an incident.	Business Continuity Plans not up to date, reviewed or revised to reflect organisational, procedural and staff changes. Business continuity plans are not tested appropriately. A number of incidents impact at the same time e.g. Covid 19, Brexit, winte flu, adverse winter weather	respond in adverse conditions	Corporate Business Continuity Group. Business Continuity plans. Response to the first wave of Covid 19 was successful with no failures to deliver critical services.	3 2 6	Business continuity plans are reviewed and tested on a regular basis and take into account the cumulative effects of concurring incidents.	All Assistant Directors	Business Continuity Officer Internal Audit	4	1 4	Business Continuity Management	x								x	x	x	
R45	Lack of awareness of content of business continuity plans.	Lack of effective communication strategy. Lack of testing.	Services are unable or slow to respond appropriately to disasters when occur affecting services to community, safety of individuals. Loss of reputation.	Continuity Group. Business Continuity	4 1 4	Relevant staff are made aware of the content of the business continuity plans and understand their role in implementing them.	All Assistant Directors	Business Continuity Officer Internal Audit Governance questionnaire	4	14		x								x		x	
R46 Programme / Project Management	Programmes and projects fail to deliver the desired benefits and outcomes.	Lack of agreed Project Management Standards. Lack of Project Plans and Governance. Lack of monitoring of achievement.	Programme and Project	Corporate Project /Programme management arrangements.	3 3 5	The expected benefits of programmes and projects are clearly set out at the start and their achievement monitored throughout.		Project Office Risk and Assurance Internal Audit	3	1 3	Programme / Project Management	x			x						x	x	×
R47 Asset Management	Opportunities are not taken to maximise the use of assets (land an property). Assets are not fully utilised	Council does not "sweat" its assets to dotain the maximum returns. Fail to maintain property. Changes in size and direction of Council and services its provides. Lack of asset management planning. Changes in technology. Assets become uneconomic to run. Lack of investment in asset management planning. Council unaware of assets its owns.	Fail to increase council income. Fail to decrease costs.	Asset Management Plan.	3 3 5	The use of Council assets are monitored on an ongoing basis, particularly in response to changing staffing levels and changing service delivery models.		Internal Audit	3	2 6	Asset Management										x	x	
R48	The Council does not fulfil its statutory duties in relation to its property portfolio.	Lack of resources. Lack of planning. Lack of monitoring or conditions of assets. Lack of knowledge of changes to the property portfolio.	Members of the public or staff are at risk of being harmed. Legal action taken against the Council. Reputational Damage.	Plan.	4 2 8	The Council's Asset Management Plan is updated maintained accurately on an ongoing basis. Condition of assets are monitored on an appropriate basis and maintenance scheduled as required.	Assistant Director of Business and Property Services	s Health and Safety Internal Audit	4	1 4													
R49 Anti Fraud and Corruption	Council fails to prevent, detect and investigate acts of fraud and corruption.	Relaxation of controls due to a reduction of resources. Lack of anti fraud culture. Lack of anti fraud and corruption procedures embedded into processes	resuling in a reduced service offering to the customer.	Anti fraud and corruption policy and procedures.	2 2 4	Managers are aware of the fraud risks within their area and maintained appropriate controls bearing in mind changes to service delivery and staffing levels.	All Assistant Directors	Governance questionnaire Internal Audit	2	2 4	Anti Fraud and Corruption	x										x	