## CORPORATE RISK PROFILE

Risk Impact	Risk Likelihood	_	4				
1 = Minor	1 = Unlikely	poo	3				
2 = Moderate	2 = Possible	ikelihoo	2				
3 = Significant	3 = Likely	Ē	1		0	2	
4 = Critical	4 = Almost Certain		N	1 egativ	/e Im	3 pact	4

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		Original	Score (Dec '	16)	Target					Current				1st Line			2nd Line			3rd	l Line
Code	Corporate Risk Description	Impact L	Likelihood Ra	ating Im	pact Likelihood	Rating	Mitigating Actions	Due Date	Impact	Likelihood	Rating	Corporate Risk Area	Overa	II MGT	Legal Fin	ancial Projec	ts Performance	ICT HR&OI	D BCM Ris	k Internal	External
	missioning decisions are not based on opriate intelligence	4	2		4 1		CR001-1 Identify Intelligence required and potential sources to inform decisions CR001-2 Develop engagement plans to gather the required infromation. CR001-3 Analyse the information and use the results to inform the commissioning decisions, using the intelligence team.	30-Sep-19		2		Commissioning		0							

	_								Assurance	9		
	Original Score (Dec ' 16)	Target			Current			1st Line		2nd Line		3rd Line
Code Corporate Risk Description	Impact Likelihood Rating	Impact Likelihood Rating	Mitigating Actions	Due Date	Impact Likelihood Rating	Corporate Risk Area	Overal	MGT	Legal Financia	Projects Performance	ICT HR&OD BCM Risk	k Internal Externa
CR002 Most appropriate and cost effective commissioning option to meet identified needs and achieve commissioning priorities and outcomes is not chosen	4 2		CR002-1 Options appraisal undertaken on service design following assessment of customer needs CR002-2 Appropriate procedure followed to commission the preferred option, e.g. procurement, service re-design			Commissioning						

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	Original S	Score (Dec ' 16)		Target					Current				1st Line			2nd Line			3r	rd Line
Code Corporate Risk Description	Impact Lil	kelihood Rating	Impact Li	ikelihood Ra	ting	Mitigating Actions	Due Date	Impact	Likelihood I	Rating	Corporate Risk Area	Overall	MGT	Legal Financ	al Projects	Performance I	CT HR&	OD BCM Ris	k Interna	al External
CR003 Commissioning assessment process is no undertaken on a timely or regular basis.	t 4	2	3	1		CR003-1 Review of performance to ensure service delivery model is delivering outcomes CR003-2 Commissioning cycle to include planned review date either linked to the outcome or contract timescales			2		Commissioning									

							Assurance	
	Original Score (Dec ' 16)	Target		Current		1st Line	2nd Line	3rd Line
Code Corporate Risk Description	Impact Likelihood Rating	Impact Likelihood Rating	Mitigating Actions Due Date	Impact Likelihood Rating	Corporate Risk Area Over	all MGT	Legal Financial Projects Performance ICT HR&OD BCM Risk Int	ternal External
CR004 The Priorities set out in the Corporate Plan do not align with the defined needs of the community	4 2		CR004-1 Corporate plan driven by required 30-Sep- outcomes and commissioning activity CR004-2 Refresh of the JSNA to be 30-Sep- undertaken		Strategic Planning	<u> </u>		2

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		Origin	nal Score (D	ec ' 16)		Target		1			Current				1st Line	•			2nd Line		3	Brd Line
Code	Corporate Risk Description	Impact	t Likelihood	Rating	Impact L	Likelihood	Rating	Mitigating Actions	Due Date	Impact	Likelihood	Rating	Corporate Risk Area	Overal	MGT	Legal I	inancial	Projects I	Performance IC	T HR&OD BCM	Risk Intern	nal External
CR005	Strategic plans are not adequately	4	4 3	3	4	2	$\frac{2}{2}$	CR005-1 Once approved, the Corporate	30-Sep-19	4	2		Strategic Planning								A	
	communicated on a timely basis to relevant			$\sim$			-	Plan is communicated appropriately within	1					· · · · · · · · · · · · · · · · · · ·		1 1		- I'	<b>~</b>		<u> </u>	
	Council officers and external partners							the Council and with stakeholders	1							1 1						
	responsible for delivering plans																					

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	Original Score (Dec ' 16)	Target			Current		1st Li	ne	2nd Line	3rd Line
Code Corporate Risk Description	Impact Likelihood Rating Imp	pact Likelihood Rating	Mitigating Actions	Due Date	Impact Likelihood Rating	Corporate Risk Area	Overall MG	T Legal Financia	I Projects Performance ICT HR&OD BCM	1 Risk Internal External
CR006 The service planning process does not	3 3	3 2	CR006-1 Service planning process is	30-Sep-19	3 2 🔼	Service / Business Planning				
deliver all the actions to achieve the			driven by the corporate plan				· · · · · · · · · · · · · · · · · · ·			
Corporate priorities										

## Appendix 3

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	Original Score (Dec ' 16)	Target			Current		1st Lin	е	2nd Line	3rd Line
Code Corporate Risk Description	Impact Likelihood Rating I	mpact Likelihood Rating	Mitigating Actions	Due Date	Impact Likelihood Rating	Corporate Risk Area	Overall MGT	Legal Financia	al Projects Performance ICT H	R&OD BCM Risk Internal External
CR007 Service/business plans are not communicated to relevant officer	4 2		CR07-1 Business plans are communicated to the relevant officers involved in	30-Sep-19	4 2	Service / Business Planning	<b>I</b>			
responsible for delivering plan task.			delivering the plan							

									Assurance			
		Original Score (Dec ' 16)	Target			Current		1st Lin	e	2nd Line		3rd Line
Code	Corporate Risk Description	Impact Likelihood Rating I	mpact Likelihood Rating	Mitigating Actions D	Due Date	Impact Likelihood Rating	Corporate Risk Area	Overall MGT	Legal Financial	Projects Performance ICT HR	R&OD BCM Risk Ir	nternal External
	The level of services delivered by the council do not meet customer expectations	4 3		CR008-1 Performance in relation to the delivery of outcomes is regularly monitored	30-Sep-19	4 2	Service Delivery Arrangements	⊘			<u> </u>	<u> </u>

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	Original Score (Dec ' 16)	Target			Current		1st Line		2nd Line	3rd Line
Code Corporate Risk Description	Impact Likelihood Rating Impa	ct Likelihood Rating	Mitigating Actions	Due Date	Impact Likelihood Rating	Corporate Risk Area	Overall MGT	Legal Financial P	rojects Performance ICT HR&OD BCM Ris	k Internal External
CR009 Service delivery arrangements are not resilient	4 3	4 2	CR009-1 Business continuity plans are in place and are tested for critical services	30-Sep-19	4 2	Service Delivery Arrangements				$\triangle$

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		Origina	al Score (Dec ' 16)		Target		1		Current			1st Lin	е		2nd Line		3	Brd Line
Code	Corporate Risk Description	Impact	Likelihood Rating	Impact	Likelihood Rati	g Mitigating Actions	Due Date	Impact L	ikelihood Rati	g Corporate Risk Area	Overa	II MGT	Legal	Financial Project	Performance	ICT HR&OD BCM	Risk Intern	nal External
CR010 P	erformance Management arrangements	4	2 🛆	4	1 🥢	CR010-1 Clear performance measures are	30-Sep-19	4	1 🥟	Performance Managemer	nt 🥟	$\mathbf{A}$						
d	o not identify if all priorities are being					in place to identify if outcomes are being					· · · · · · · · · · · · · · · · · · ·	_	1 1		<b>Y</b>		I 🚩	-
a	chieved					delivered												

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	Original Score (Dec ' 16)	Target			Current		1st Lir	ne 2nd Line	3rd Line
Code Corporate Risk Description	Impact Likelihood Rating	Impact Likelihood Rating	Mitigating Actions	Due Date	Impact Likelihood Rating	Corporate Risk Area	Overall MGT	Legal Financial Projects Performance IC	CT HR&OD BCM Risk Internal External
CR011 No or inappropriate performance targets are set to define acceptable performance	3 3		CR011-1 Targets should be set for all performance measures (where appropriate to do so) to clarify acceptable levels of performance	30-Sep-19	3 2	Performance Management	A		

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		Origina	al Score (Dec ' 1	6)	Target					Current				1st Line	9		2nd Line			3rd L	ine
Code	Corporate Risk Description	Impact	Likelihood Rati	ng Impa	ct Likelihood	Rating	Mitigating Actions	Due Date	Impact	Likelihood	Rating	Corporate Risk Area	Overa	II MGT	Legal Financ	ial Projects	s Performance I	CT HR&OD BC	M Risk	Internal E	xternal
	Management fail to take prompt effective	3	3 3		3 1		CR012-1 Management review performance	30-Sep-19	3	1		Performance Management		$\Delta$							
	action in response to performance results					-	on a regular basis and take appropriate				<u> </u>		- <b>-</b>				<b>1</b>			<b>*</b>	
	reported or fails to follow up to ensure						action to rectify unacceptable performance										1 1				
	remedial action is effective																				

										Assurance			
	Original Score (Dec ' 1	6) Target	1		Current				1st Line		2nd Line		3rd Line
Code Corporate Risk Description	Impact Likelihood Rat	ing Impact Likelihood Rating	Mitigating Actions	Due Date	Impact Likelihoo	d Rating	Corporate Risk Area	Overall	MGT	Legal Financial	Projects Performance I	CT HR&OD BCM Risk	Internal External
CR013 Partner(s) do not perform their planned tasks as intended to deliver partnership objectives. Objectives and priorities of Council and other partner(s) conflict/not aligned		PI I 🦳	CR013-1 Performance management arrangements include a review of the achievement of outcomes where partners have some responsibility for delivery	30-Sep-19	4	3	Partnership / Integrated working					<u></u>	

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	Original Score (Dec ' 16)	Target	1	Current	15	st Line 2nd Line	3rd Line
Code Corporate Risk Description	Impact Likelihood Rating Impa	ct Likelihood Rating	Mitigating Actions Due D	ate Impact Likelihood Rating	Corporate Risk Area Overall M	MGT Legal Financial Projects Performance	ICT HR&OD BCM Risk Internal External
CR014 Lack of understanding by each 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.			CR014-1 Partnership agreement in place with each partner setting out the expectations of each party and the required reporting arrangements	p-19 4 3	Partnership / Integrated working		

								Assurance	
	Original Score (Dec ' 16)	Target			Current		1st Lin	e 2nd Line 3rd I	Line
Code Corporate Risk Description	Impact Likelihood Rating	Impact Likelihood Rating	Mitigating Actions Du	ue Date	Impact Likelihood Rating	Corporate Risk Area Overa	II MGT	Legal Financial Projects Performance ICT HR&OD BCM Risk Internal	External
CR015 The product or service procured does not deliver the intended outcomes	3 1		CR015-1 The Council's procurement 30 procedures are followed and good procurement practice is undertaken	0-Sep-19	3 1	Procurement	0		

										Assurance	)		
	Original Score (Dec '	16) Target			Current				1st Line		2nd Line		3rd Line
Code Corporate Risk Description	Impact Likelihood Ra	ting Impact Likelihood Ratir	g Mitigating Actions	Due Date	Impact Likelihood	Rating	Corporate Risk Area	Overall	MGT	Legal Financial	Projects Performance	e ICT HR&OD BCM Ris	k Internal Externa
CR016 Procurement breaches legal and Council requirements	2 1	2 1	CR016-1 Commissioners engage with Corporate procurement in enough time to	30-Sep-19	2 1	0	Procurement	<b>e</b>					) <u> </u>
			undertake an appropriate and legal procurement process										

					Assurance		
	Original Score (Dec ' 16) Target		Current		1st Line	2nd Line	3rd Line
Code Corporate Risk Description	Impact Likelihood Rating Impact Likelihood Rating	Mitigating Actions Due Date	Impact Likelihood Rating	Corporate Risk Area Overal	II MGT Legal Financial Pr	rojects Performance ICT HR&OD BCM Risk	Internal External
CR017 Value for money not obtained		CR017-1 Commissioners engage with Corporate procurement in enough time to undertake an appropriate and legal procurement process	3 2	Procurement			

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	Original So	core (Dec ' 16)		Farget				Current				1st Line			2nd Line			3rc	d Line
Code Corporate Risk Description	Impact Like	elihood Rating	Impact Lil	kelihood Rating	Mitigating Actions	Due Date	Impact	Likelihood F	ating	Corporate Risk Area	Overal	I MGT	Legal Financ	ial Projects	Performance	ICT HF	R&OD BCM R	sk Interna	I External
CR018 Contracts do not deliver the required objectives/outcomes	4	3	4		CR018-1 The new Head of Contractual Relationships will improve the skills in this area and will ensure that appropriate contract management arrangements are in place for all key procurements undertaken by the Council		4	3		Relationship / Contract Management		0			<u> </u>				

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	Original Score (Dec ' 16)	Target			Current		1st Line	2nd Line	3rd Line
Code Corporate Risk Description	Impact Likelihood Rating	Impact Likelihood Rating	Mitigating Actions	Due Date	Impact Likelihood Rating	Corporate Risk Area Overall	MGT	Legal Financial Projects Performance ICT HR&OD BCM Risk I	internal External
CR019 Council fails to act within its statutory powers	3 1	3 1 🔗	CR019-1 Review of key decisions by Law and Governance	30-Sep-19	3 1	Legality 📀	9		<u> </u>

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	Original Score (Dec '	16) T	Farget			Cu	rrent			1st Line			2nd Line			3rd Line
Code Corporate Risk Description	Impact Likelihood Ra	ating Impact Lik	kelihood Rating	Mitigating Actions	Due Date	Impact Like	lihood Rating	Corporate Risk Area	Overall	MGT	Legal Financia	I Projects I	Performance I	CT HR&OD BC	M Risk Ir	ternal External
CR020 Fail to identify and manage the major risks and opportunities to delivering priorities and plans	3 2	3		identify key risks	30-Sep-19 30-Sep-19		2	Risk Management	0	0						

										Assurance	;				
	Original Score (Dec ' 16)	Target				Current		1:	st Line		2	2nd Line		31	rd Line
Code Corporate Risk Description	Impact Likelihood Rating	Impact Likelihood Rating	Mitigating Actions	Due Date	Impact L	ikelihood Ratin	Corporate Risk Area	Overall	MGT Leg	gal Financial	Projects Pe	erformance IC	T HR&OD BCM	1 Risk Interna	al External
CR021 Performance reporting fails to give a full and accurate picture of the progress in achieving corporate priorities and outcomes	3 1		CR021-1 Further developments to the reporting of performance in relation to the achievement of outcomes and priorities, including the use of an appropriate ICT solution.	30-Sep-19	3	1	Performance Reporting								

				Assurance		
Original Score (Dec ' 16) Target		Current		1st Line	2nd Line	3rd Line
Code Corporate Risk Description Impact Likelihood Rating Impact Likelihood F	ting Mitigating Actions Due Date	Impact Likelihood Rating	Corporate Risk Area O	verall MGT Legal Financial	Projects Performance ICT HR&OD BCM Risk	Internal External
CR022 Strategic financial plans do not align to 4 2 A 4 1	CR022-1 The Corporate Plan Delivery Plan 30-Sep-19	9 4 1 🥢	Strategic Financial Planning / MTFS			
Council priorities, objectives and direction	will need to be refreshed / updated in line					M
as set out as part of the corporate plan	with the agreed budget					

														Assur	ance					
		Original S	Score (Dec ' 16	i)	Target				Current				1st Line			2nd Line			3rd Li	ine
Code	Corporate Risk Description	Impact Li	ikelihood Ratir	ig Impact L	ikelihood Ratin	g Mitigating Actions	Due Date	Impact	Likelihood	Rating	Corporate Risk Area	Overal	MGT	Legal Fina	ncial Project	ts Performance	CT HR&OD BCM	A Risk Inte	ternal E	External
	Strategic financial plans are at risk due to all critical factors likely to affect the Council's finances moving forward, e.g. change in prime minister and Cabinet ministers, impacts of a no-deal BREXIT, changes to funding streams, changes in amounts of funding, inflation, pay awards, potential liabilities etc		1	3	1	CR023-1 Appropriate consultation and intelligence gathering is undertaken in assessing the Council's short to medium term financial position CR023-2 Financial reporting arrangement clearly highlight the impacts of known risk to strategic financial plans		3	2		Strategic Financial Planning / MTFS	0								2

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	Original Score (Dec ' 16)	Target		Current		1st Line	2nd Line	3rd Line
Code Corporate Risk Description	Impact Likelihood Rating Im	npact Likelihood Rating	Mitigating Actions Due	Date Impact Likelihood Rating	Corporate Risk Area Overa	all MGT Le	egal Financial Projects Performance ICT HR&OD BCM Risk	Internal External
CR024 Financial reporting fails to reflect on how financial changes in one area impacts on other areas of the Council		· · · · · · · · · · · · · · · · · · ·	CR024-1 The Council's financial position is 30-S regularly reported to the Executive Management Team and Members	Sep-19 3 1	Financial Reporting			<b>~</b>

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		Origina	al Score (Dec ' 16	5)	Target		1			Current				1st Line			2nd Line			3rd Li	ine
Code	Corporate Risk Description	Impact	Likelihood Ratir	ng Impad	ct Likelihood F	Rating	Mitigating Actions	Due Date	Impact	Likelihood	Rating	Corporate Risk Area	Overal	MGT	Legal Financia	Projects	Performance IC	T HR&OD BC	M Risk	Internal E	xternal
CR025	Financial Reporting fails to give a full and	3	8 1 🧭		3 1	<u>_</u>	CR025-1 Financial performance reporting	30-Sep-19	9 3	1		Financial Reporting									
	accurate picture of the progress to		I M			1	is aligned to performance reporting to				<b>N</b>		· · · · · · · · · · · · · · · · · · ·		· · · · ·					<b>•</b>	
	achieving corporate financial priorities and				1 1		identify any potential inaccuracies or														
	targets						inconsistencies					l									

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	Original Score (Dec '	16) Target	1		Current			1st Line		2nd Line		3r	rd Line
Code Corporate Risk Description	Impact Likelihood Ra	ating Impact Likelihood Rating	Mitigating Actions	Due Date	Impact Likelihood Rat	ng Corporate Risk Area	Overall	MGT	Legal Financial	Projects Performance I	T HR&OD BCM	Risk Interna	al External
CR026 Management fail to manage financial performance or take appropriate prompt effective action in response to poor financial performance results reported	3 1		CR026-1 The financial management framework ensures that managers regularly review their financial performance and are taking appropriate remedial action where percessary	30-Sep-19	3 1	Financial Management	0	0					0

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		Original Score (Dec ' 16	) Target	1		Current		1st Line	2nd Line	3rd Line
Code	Corporate Risk Description	Impact Likelihood Ratin	g Impact Likelihood Rating	Mitigating Actions	Due Date	Impact Likelihood Rati	g Corporate Risk Area	Overall MGT Legal Financia	al Projects Performance ICT HR&OD BCM R	tisk Internal External
	e Council fails to pay its employees (and ose of other clients) on time	3 1		CR027-1 Controls in place to ensure that the payroll runs are complete and accurate and operate efficiently	30-Sep-19	3 1	Financial Management			

														Assurance	e					
	Orig	inal Score (Dec	' 16)	Target					Current				1st Line			2nd Line			3rd	Line
Code Corporate Risk D	escription Impa	act Likelihood R	ating Impact	t Likelihood Ra	ating	Mitigating Actions	Due Date	Impact	Likelihood	Rating	Corporate Risk Area	Overal	I MGT	Legal Financia	al Projects	Performance I	CT HR&OD BC	CM Risk	Internal	External
CR028 The Council fails to make suppliers and clients on ti		3 1	<u>ک</u>	3 1	-	CR028-1 Procedures required for making payments on time are up to date and fully understood by staff within the payments service	30-Sep-19	3	1	0	Financial Management	0							0	0

														Assuran	се					
		Original Scor	e (Dec ' 16)	Ta	arget	1			Current				1st Line			2nd Line			3rd	l Line
Code	Corporate Risk Description	Impact Likelih	hood Rating	Impact Like	elihood Rating	Mitigating Actions	Due Date	Impact L	ikelihood	Rating	Corporate Risk Area	Overal	MGT	Legal Financ	al Projects	Performance	ICT HR8	SOD BCM Ris	k Internal	External
	The Council fails to process payments for housing benefit accurately or on time	4	1	4	1	CR029-1 Established procedures are in place and followed by adequately trained staff for the assessment and processing of benefit claims	30-Sep-19	4	1	0	Financial Management	0							0	0

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	Original Score (Dec ' 16)	Target			Current		1st L	_ine	2nd Line	3rd Line
Code Corporate Risk Description	Impact Likelihood Rating	Impact Likelihood Rating	Mitigating Actions	Due Date	Impact Likelihood Rating	Corporate Risk Area Ove	erall MC	GT Legal Financia	al Projects Performance ICT HR&OD BCM Risk	k Internal External
CR030 Council fails to bill and or promptly collect the income that is due to it	3 1		CR030-1 Regular monitoring that the income received is in line with that expected as per the Council's budget	30-Sep-19	3 1	Income Collection (including CT/NNDR)				

			Assurance
Original Score (Dec ' 16) Target	Current	1st Line	2nd Line 3rd Line
Code Corporate Risk Description Impact Likelihood Rating Impact Likelihood Rating	Mitigating Actions Due Date Impact Likelihood F	ating Corporate Risk Area Overall MGT	Legal Financial Projects Performance ICT HR&OD BCM Risk Internal External
	CR031-1 Clear performance measures and 30-Sep-19 3 3 regular monitoring of the debtor position	Income Collection (including CT/NNDR)	
being uncollectable			

						Assurance		
	Original Score (Dec ' 16)	Target		Current		1st Line	2nd Line	3rd Line
Code Corporate Risk Description	Impact Likelihood Rating Im	pact Likelihood Rating	Mitigating Actions Du	e Date Impact Likelihood Ra	ng Corporate Risk Area	Overall MGT Legal Financial	Projects Performance ICT HR&OD BCM Ri	sk Internal External
CR032 Capital projects do not support the delivery	/ 3 1 🦳	3 1 🥢	CR032-1 The Capital Programme is directly 30	-Sep-19 3 1 💋	Capital Programme Management			
of strategic priorities and desired outcomes	s Maria 🚩 🗌		aligned to the Council's Corporate Plan and				- I I I V	
			strategic priorities					

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		Origin	al Score (Dec '	16)	Targ	et	1		(	Current				1st Line			2nd Line			3rd Li	ne
Code	Corporate Risk Description	Impac	t Likelihood Ra	ating Im	pact Likelih	ood Rating	Mitigating Actions	Due Date	Impact Li	kelihood F	Rating	Corporate Risk Area	Overall	MGT	Legal Financia	al Projects	Performance	ICT HR&OD BC	M Risk	Internal E	xternal
CR033	3 The intended benefits of external funding	3	3 3		3	2	CR033-1 Corporate approach to planning	30-Sep-19	3	3		Capital Programme Management	$\mathbf{A}$						$ \Delta $		
	for capital projects are not maximised						and monitoring of the delivery of the wider						-								
			1 1				benefits of the Capital Programme														

								Assurance	e	
	Original Score (Dec ' 16)	Target			Current		1st	t Line	2nd Line	3rd Line
Code Corporate Risk Description	Impact Likelihood Rating Imp	act Likelihood Rating	Mitigating Actions	Due Date	Impact Likelihood Rating	Corporate Risk Area	Overall M	IGT Legal Financia	I Projects Performance ICT HR&OD BCM	Risk Internal External
CR034 The council does not have the require	d 3 3	3 2 🛆	CR034-1 Workforce planning strategy in	30-Sep-19	3 3	HR Management				
skills and capacity to deliver the City's			place that is appropriately monitored to							
priorities			ensure it is effectively implemented							

								Assurance	e		
	Original Score (Dec ' 16)	Target			Current			Line	2nd Line		3rd Line
Code Corporate Risk Description	Impact Likelihood Rating Impa	ct Likelihood Rating	Mitigating Actions	Due Date	Impact Likelihood Rating	Corporate Risk Area Ov	erall M	GT Legal Financia	I Projects Performance ICT	HR&OD BCM Ris	k Internal External
CR035 Reduction in productivity and morale of	4 3	4 2 🛆 CI	R035-1 Recognisation of reduced	30-Sep-19	4 3	HR Management				$\wedge$	
workforce		ca	pacity								

																A	ssurance						
		Origina	al Score (De	ec'16)	٦	Target		1			Current				1st Line				2nd Line				3rd Line
Code	Corporate Risk Description	Impact	Likelihood	Rating I	mpact Lik	kelihood	Rating	Mitigating Actions	Due Date	Impact	Likelihood	Rating	Corporate Risk Area	Overal	I MGT	Legal	Financial	Projects	Performance	ICT HR	&OD BCM	Risk Inte	ernal External
	Council officers do not fully understand H&S roles and responsibilities	4	4 3		3	2		CR037-1 H&S Strategy/Policy to be reviewed/revised CR037-2 Review/develop arrangements to effectively coordinate and oversee H&S Training programme across the council			3	•	Health & Safety										
								CR037-3 H&S responsibilities to be included in leaver handover arrangements	30-Sep-19														

																As	surance						
		Origina	al Score (D	ec ' 16)		Target					Current				1st Line				2nd Line			3rd	d Line
Code	Corporate Risk Description	Impact	Likelihood	Rating	Impact	Likelihood	Rating	Mitigating Actions	Due Date	Impact	Likelihood	Rating	Corporate Risk Area	Overal	I MGT	Legal F	inancial I	Projects	Performance IC	CT HR&OD	BCM Risk	Internal	I External
	The council's key H&S risks are not identified, understood or agreed	4		3	3	2		CR038-1 Establish corporate approach for the effective identification of key corporate CR038-2 H&S risk register to developed and communicated across senior officers together with clear roles and responsibilites for the ongoing management and delivery of agreed actions.	30-Sep-19				Health & Safety		<u> </u>								

																Ass	urance			
	[	Origina	al Score (De	c'16)		Targe	t				Current				1st Line			2nd Line		3rd Line
Code C	Corporate Risk Description	Impact	Likelihood	Rating	Impact	Likeliho	od Ratin	g Mitigating Actions	Due Date	Impact	Likelihood	Rating	Corporate Risk Area	Overa	II MGT	Legal Fir	ancial Projec	ts Performance I	CT HR&OD BCM Risk	Internal External
	ate action plans are not developed ed to manage the council's key s	4	3		3		2	CR039-1 Review effectiveness of H&S Management System and agree any areas for development. CR039-2 Establish corporate governance arrangements to develop and agree risk action plans, and oversee the H&S agenda, including (but not limited to):	30-Sep-19		3		Health & Safety							

																A	ssurance						
		Origina	al Score (E	Dec ' 16)		Target		1			Current				1st Line				2nd Line			3	rd Line
Code	Corporate Risk Description	Impact	Likelihoo	d Rating	Impact	Likelihood	Rating	Mitigating Actions	Due Date	Impact	Likelihood	Rating	Corporate Risk Area	Overall	MGT	Legal	Financial	Projects	Performance IC	T HR&O	BCM Ris	Intern	al External
	Strategic approach to incident management does not adequately inform decision making	3		3	3	1		CR040-1 Monitor compliance with incident reporting arrangements and address any areas for development. CR040-2 Establish arrangements to provide asurance that controls have been reviewed following organisational/staffing chances or incidents. CR040-3 Arrangements to be developed to ensure lessons are learned from incidents. CR040-4 Trend analysis to be completed to inform regular reporting to CoG.	30-Sep-19		3	•	Health & Safety	<u> </u>									

														Assura	nce				
		Original Score (D	ec'16)	Target					Current				1st Line			2nd Line			3rd Line
Code	Corporate Risk Description	Impact Likelihood	d Rating Ir	mpact Likelihood	Rating	Mitigating Actions	Due Date	Impact	Likelihood F	Rating	Corporate Risk Area	Overa	MGT	Legal Finan	cial Projects F	Performance IC	T HR&OD BCM	Risk In	ternal Externa
	The ICT infrastructure is not fit for purpose (i.e. not meet needs of Council, not reliable, too expensive)	4 2	2	4 1		CR041-1 The ICT strategy is clearly aligned to the priorities of the Council and the direction of travel for the provision of Council Services	30-Sep-19	3	2		ICT Infrastructure		<u> </u>			4		<u> </u>	

									Assurance	e		
	Original Score (Dec ' 16)	Target			Current			1st Line		2nd Line		3rd Line
Code Corporate Risk Description	Impact Likelihood Rating Imp	act Likelihood Rating	Mitigating Actions D	ue Date	Impact Likelihood Rating	Corporate Risk Area	Overall	MGT	Legal Financia	Projects Performance	ICT HR&OD BCM Risk	k Internal External
CR042 ICT infrastructure is not resilient to 'disasters'	4 3		CR042-1 Disaster recovery plans clearly 3 linked to the provision of critical services, regularly tested and the recovery timescales reflected in the business continuity plans for critical services	80-Sep-19	4 2	ICT Infrastructure		<u> </u>				

												Assura	nce					
	Original Score (De	ec ' 16)	Target	1			Current				1st Line			2nd Line			3rc	d Line
Code Corporate Risk Description	Impact Likelihood	Rating Impa	ct Likelihood Rating	Mitigating Actions	Due Date	Impact	Likelihood Ra	ting	Corporate Risk Area	Overall	MGT	Legal Finar	cial Projects	Performance	CT HR&C	DD BCM Ri	sk Interna	External
CR043 The Council unnecessarily exposes itself t vulnerabilities & threats, both internal & external, (e.g. hacking, phishing, denial of service attack) as a result of its connection to the internet resulting in an increased ris of exposure			4 2	CR043-1 A Cyber security Strategy is in place, including and threat assessment, development plan and response plan	30-Sep-19	4	2		Cyber Security							4		

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		Origina	al Score (Dec	' 16)	Т	arget					Current				1st Line	•		2nd Lin	а		3rc	d Line
Code	Corporate Risk Description	Impact	Likelihood R	ating In	mpact Lik	kelihood	Rating	Mitigating Actions	Due Date	Impact	Likelihood	Rating	Corporate Risk Area	Overal	I MGT	Legal F	Financial Pro	ojects Performa	nce ICT I	HR&OD BCM Risl	Internal	I External
CR044	Council's data is not accurately protected	3	3		3	2		CR044-1 Council has appropriate information governance and security arrangements in place which are complied with throughout the organisation	30-Sep-19	3	3		Information Governance/Security		0	<u> </u>				<u> </u>		

			Assurance
Original Score (Dec ' 16) Targ	rget Current	1st Line	2nd Line 3rd Line
Code Corporate Risk Description Impact Likelihood Rating Impact Likelih	ihood Rating Mitigating Actions Due Date Impact Likelihood	Rating Corporate Risk Area Overall MGT Le	gal Financial Projects Performance ICT HR&OD BCM Risk Internal External
CR045 The Council's business critical services 4 3 4	2 CR045-1 Business continuity plans are 30-Sep-19 4 2	Business Continuity Management	
cannot function in the event of an incident	reviewed and tested on a regular basis		

				Assurance
	Original Score (Dec ' 16) Target		Current	1st Line 2nd Line 3rd Line
Code Corporate Risk Description	Impact Likelihood Rating Impact Likelihood Rat	ng Mitigating Actions Due Date	Impact Likelihood Rating	ting Corporate Risk Area Overall MGT Legal Financial Projects Performance ICT HR&OD BCM Risk Internal Extern
CR046 Lack of awareness of content of busines continuity plans	s 4 3 4 2	CR046-1 Relevant staff are made aware of the content of the business continuity plans and understand their role in implementing them	4 2	Business Continuity Management

															/	Assurance					
		Original	Score (Dec ' 16	)	Target					Current				1st Line	e		2nd I	ine			3rd Line
Code	Corporate Risk Description	Impact L	ikelihood Ratin	g Impact	t Likelihood	Rating	Mitigating Actions	Due Date	Impact	Likelihood	Rating	Corporate Risk Area	Overa	I MGT	Legal	Financial Pro	jects Perform	nance ICT	HR&OD BCM F	Risk Inte	ernal External
	grammes and projects fail to deliver the ired benefits and outcomes	3	2	3	3 1	•	CR047-1 The expected benefits of programmes and projects are clearly set out at the start and their achievment monitored throughout	30-Sep-19	3	2		Programme / Project Management		0		<b></b>			4		ے د

						A	ssurance	
	Original Score (Dec ' 16)	Target		Current		1st Line	2nd Line	3rd Line
Code Corporate Risk Description	Impact Likelihood Rating Ir	npact Likelihood Rating	Mitigating Actions Due Da	te Impact Likelihood Rating	Corporate Risk Area Overa	all MGT Legal	Financial Projects Performance ICT HR&OD BCM Risk	Internal External
CR048 Opportunities are not taken to maximise the use of assets (land and property). Assets are not fully utilised	3 3		CR048-1 The use of Council assets are monitored on an ongoing basis, particularly in response to changing staffing levels and changing service delivery models	-19 3 3	Asset Management			

						Assurance					
	Original Score (Dec ' 16)	Target			Current			1st Line		2nd Line	3rd Line
Code Corporate Risk Description	Impact Likelihood Rating Imp	pact Likelihood Rating	Mitigating Actions	Due Date	Impact Likelihood Rating	Corporate Risk Area	Overall	MGT	Legal Financial	Projects Performance ICT HR&OD E	CM Risk Internal External
CR049 Lack of appropropriate maintenance of	4 3	4 2 🛆	CR049-1 Condition of assets to be	30-Sep-19	4 3	Asset Management		$\triangle$			
physical assets			monitored on an appropriate basis and			-	_	-			
			maintenance scheduled as required								

						Assurance				
	Original Score (Dec ' 16)	Target			Current		1st Line	•	2nd Line	3rd Line
Code Corporate Risk Description	Impact Likelihood Rating Imp	act Likelihood Rating	Mitigating Actions Due	ue Date Ir	mpact Likelihood Rating	Corporate Risk Area Ove	all MGT	Legal Financial Projects Pe	erformance ICT HR&OD BCM Risk	Internal External
CR050 Council fails to prevent, detect and investigate acts of fraud and corruption	2 2		CR050-1 Managers are aware of the fraud 30- risks within their area and maintain appropriate controls baring in mind changes to service delivery and staffing levels	)-Sep-19	2 2	Anti Fraud and Corruption	0			