

CORPORATE RISK PROFILE

Appendix 3

Risk Impact

1 = Minor

2 = Moderate

3 = Significant

4 = Critical

Risk Likelihood

1 = Unlikely

2 = Possible







3 = Likely

4 = Almost Certain

Likelihood	4				
	3				
	2				
	1				
		1	2	3	4
		Negative Impact			






		Original Score (Dec ' 16)			Target			Mitigating Actions	Due Date	Current			Assurance													
Code	Corporate Risk Description	Impact	Likelihood	Rating	Impact	Likelihood	Rating			Impact	Likelihood	Rating	Corporate Risk Area	Overall	1st Line	2nd Line							3rd Line			
CR001	Commissioning decisions are not based on appropriate intelligence	4	2		4		1		CR001-1 Identify Intelligence required and potential sources to inform decisions	31-Mar-19	4		2	Commissioning												
								CR001-2 Develop engagement plans to gather the required information.	31-Mar-19																	
								CR001-3 Analyse the information and use the results to inform the commissioning decisions, using the intelligence team.	31-Mar-19																	
CR002	Most appropriate and cost effective commissioning option to meet identified needs and achieve commissioning priorities and outcomes is not chosen	4	2		4		1		CR002-1 Options appraisal undertaken on service design following assessment of customer needs	31-Mar-19	4		2	Commissioning												
								CR002-2 Appropriate procedure followed to commission the preferred option, e.g. procurement, service re-design	31-Mar-19																	
CR003	Commissioning assessment processis not undertaken on a timely or regular basis.	4	2		3		1		CR003-1 Review of performance to ensure service delivery model is delivering outcomes	31-Mar-19	4		2	Commissioning												
								CR003-2 Commissioning cycle to include planned review date either linked to the outcome or contract timescales	31-Mar-19																	
CR004	The Priorities set out in the Corporate Plan do not align with the defined needs of the community	4	2		4		1		CR004-1 Corporate plan driven by required outcomes and commissioning activity	31-Mar-19	4		1	Strategic Planning												
								CR004-2 Refresh of the JSNA to be undertaken	31-Mar-19																	
CR005	Strategic plans are not adequately communicated on a timely basis to relevant Council officers and external partners responsible for delivering plans	4	3		4		2		CR005-1 Once approved, the Corporate Plan is communicated appropriately within the Council and with stakeholders	31-Mar-19	4		2	Strategic Planning												










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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	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	4	3		4	2		CR013-1 Performance management arrangements include a review of the achievement of outcomes where partners have some responsibility for delivery	31-Mar-19	4	3		Partnership / Integrated working												

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													1st Line		2nd Line								3rd Line			
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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	4	3		4	2		CR014-1 Partnership agreement in place with each partner setting out the expectations of each party and the required reporting arrangements	31-Mar-19	4	3		Partnership / Integrated working													

										Assurance															
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CR015	The product or service procured does not deliver the intended outcomes	3	1		3	1		CR015-1 The Council's procurement procedures are followed and good procurement practice is undertaken	31-Mar-19	3	1		Procurement												

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													1st Line		2nd Line								3rd Line			
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CR016	Procurement breaches legal and Council requirements	2	1		2	1		CR016-1 Commissioners engage with Corporate procurement in enough time to undertake an appropriate and legal procurement process	31-Mar-19	2	1		Procurement													







										Assurance															
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CR017	Value for money not obtained	3	2		3	1		CR017-1 Commissioners engage with Corporate procurement in enough time to undertake an appropriate and legal procurement process	31-Mar-19	3	2		Procurement												







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													1st Line		2nd Line								3rd Line			
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CR018	Contracts do not deliver the required objectives/outcomes	4	3		4	2		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	31-Mar-19	4	3		Relationship / Contract Management													








		Assurance									
Original Score (Dec ' 16)	Target	Current	1st Line	2nd Line	3rd Line						

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CR019	Council fails to act within its statutory powers	3			3			CR019-1 Review of key decisions by Law and Governance	31-Mar-19	3			Legality												







										Assurance																	
		Original Score (Dec ' 16)			Target					Current					1st Line		2nd Line								3rd Line		
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CR020	Fail to identify and manage the major risks and opportunities to delivering priorities and plans	3	2		3	1		CR020-1 Service Planning process to identify key risks	31-Mar-19	3		2		Risk Management													
								CR020-2 The Council's strategic and corporate risks are identified, assessed and managed through COG and the Audit and Governance Committee	31-Mar-19																		

										Assurance															
		Original Score (Dec ' 16)			Target					Current					1st Line	2nd Line								3rd Line	
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CR021	Performance reporting fails to give a full and accurate picture of the progress in achieving corporate priorities and outcomes	3	1		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.	31-Mar-19	3	1		Performance Reporting												

										Assurance															
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CR022	Strategic financial plans do not align to Council priorities, objectives and direction as set out as part of the corporate plan	4	2		4	1		CR022-1 The Corporate Plan Delivery Plan will need to be refreshed / updated in line with the agreed budget	31-Mar-19	4		1 	Strategic Financial Planning / MTFS												







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CR023	Strategic financial plans fail to take into account all critical factors likely to affect the Council's finances moving forward, e.g. changes in government funding streams, changes in amounts of funding, inflation, pay awards, potential liabilities etc	3	1		3	1		CR023-1 Appropriate consultation and intelligence gathering is undertaken in assessing the Council's short to medium term financial position	31-Mar-19	3	1		Strategic Financial Planning / MTFS													

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CR024	Financial reporting fails to reflect on how financial changes in one area impacts on the Council	3			3			CR024-1 The Council's financial position is regularly reported to the Executive Management Team	31-Mar-19	3			Financial Reporting													

										Assurance															
		Original Score (Dec ' 16)			Target					Current					1st Line	2nd Line								3rd Line	
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CR025	Financial Reporting fails to give a full and accurate picture of the progress to achieving corporate financial priorities and targets	3	1		3	1		CR025-1 Financial performance reporting is aligned to performance reporting to identify any potential inaccuracies or inconsistencies	31-Mar-19	3		1		Financial Reporting											

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		Impact	Likelihood	Rating	Impact	Likelihood	Rating			1st Line		2nd Line								3rd Line						
Code	Corporate Risk Description									Corporate Risk Area	Overall	MGT	Legal	Financial	Projects	Performance	ICT	HR&OD	BCM	Risk	Internal	External				
CR026	Management fail to manage financial performance or take appropriate prompt effective action in response to poor financial performance results reported	3	1		3	1		CR026-1 The financial management framework ensures that managers regularly review their financial performance and are taking appropriate remedial action where necessary	31-Mar-19	3	1		Financial Management													

										Assurance															
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CR027	The Council fails to pay its employees (and those of other clients) on time	3	1		3	1				CR027-1 Controls in place to ensure that the payroll runs are complete and accurate and operate efficiently	31-Mar-19	3	1		Financial Management										

										Assurance															
		Original Score (Dec ' 16)			Target					Current			Corporate Risk Area		1st Line	2nd Line								3rd Line	
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CR028	The Council fails to make payments to its suppliers and clients on time	3	1		3	1		CR028-1 Procedures required for making payments on time are up to date and fully understood by staff within the payments service	31-Mar-19	3	1		Financial Management												

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Code	Corporate Risk Description											MGT	Legal	Financial	Projects	Performance	ICT	HR&OD	BCM	Risk	Internal	External				
CR029	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	31-Mar-19	4	1		Financial Management													

										Assurance														
		Original Score (Dec ' 16)			Target					Current			1st Line		2nd Line								3rd Line	
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CR030	Council fails to bill and or promptly collect the income that is due to it	3	1		3	1		CR030-1 Regular monitoring that the income received is in line with that expected as per the Council's budget	31-Mar-19	3	1		Income Collection (including CT/NNDR)											

										Assurance															
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CR031	Prosperity within the City fails to grow resulting in the expected level of income being uncollectable	4	3		4	2				CR031-1 Clear performance measures and regular monitoring of the debtor position	31-Mar-19	3	3		Income Collection (including CT/NNDR)										

										Assurance															
		Original Score (Dec ' 16)			Target					Current					1st Line	2nd Line								3rd Line	
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CR032	Capital projects do not support the delivery of strategic priorities and desired outcomes	3	1		3	1		CR032-1 The Capital Programme is directly aligned to the Council's Corporate Plan and strategic priorities	31-Mar-19	3	1		Capital Programme Management											
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CR033	The intended benefits of external funding for capital projects are not maximised	3	3		3	2		CR033-1 Corporate approach to planning and monitoring of the delivery of the wider benefits of the Capital Programme	31-Mar-19	3	3		Capital Programme Management												

										Assurance																
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CR034	The council does not have the required skills and capacity to deliver the City's priorities	3	3		3	2		CR034-1 Workforce planning strategy in place that is appropriately monitored to ensure it is effectively implemented	31-Mar-19	3		3		HR Management												

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CR035	Reduction in productivity and morale of workforce	4	3		4	2		CR035-1 Recognition of reduced capacity	31-Mar-19	4	3		HR Management												








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CR037	Council officers do not fully understand H&S roles and responsibilities	4	3		3	2		CR037-1 H&S Strategy/Policy to be reviewed/revised	31-Mar-19	4		3		Health & Safety											
								CR037-2 Review/develop arrangements to effectively coordinate and oversee H&S Training programme across the council	31-Mar-19																
								CR037-3 H&S responsibilities to be included in leaver handover arrangements	31-Mar-19																

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CR038	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	31-Mar-19	4		3		Health & Safety											
								CR038-2 H&S risk register to developed and communicated across senior officers together with clear roles and responsibilities for the ongoing management and delivery of agreed actions.	31-Mar-19																

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CR039	Appropriate action plans are not developed and agreed to manage the council's key H&S risks	4	3		3	2		CR039-1 Review effectiveness of H&S Management System and agree any areas for development.	31-Mar-19	4	3		Health & Safety												

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CR045	The Council's business critical services cannot function in the event of an incident	4	3		4	2		CR045-1 Business continuity plans are reviewed and tested on a regular basis	31-Mar-19	4	2		Business Continuity Management													

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Code	Corporate Risk Description																											
CR046	Lack of awareness of content of business continuity plans	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	31-Mar-19	4		2		Business Continuity Management														

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CR047	Programmes and projects fail to deliver the desired benefits and outcomes	3	2		3	1				CR047-1 The expected benefits of programmes and projects are clearly set out at the start and their achievement monitored throughout	31-Mar-19	3	2		Programme / Project Management										

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CR048	Opportunities are not taken to maximise the use of assets (land and property). Assets are not fully utilised	3	3		3	2				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	31-Mar-19	3	3		Asset Management										

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CR049	Lack of appropriate maintenance of physical assets	4	3		4	2				CR049-1 Condition of assets to be monitored on an appropriate basis and maintenance scheduled as required	31-Mar-19	4	3		Asset Management										

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CR050	Council fails to prevent, detect and investigate acts of fraud and corruption	2	2		2	2		CR050-1 Managers are aware of the fraud risks within their area and maintain appropriate controls baring in mind changes to service delivery and staffing levels	31-Mar-19	2	2		Anti Fraud and Corruption													