

CORPORATE RISK REGISTER

Risk	Risk Description	Inherent Risk	Risk Owner	Risk Managemnt Solution	Key Controls	Residual Risk	Risk Indicators	Action Points
KEY RISKS								
1.	Fail to manage major projects effectively.	9		Control	<ol style="list-style-type: none"> 1. Formal project management processes. 2. Budget management. 3. High levels of political & management commitment 	8		<ol style="list-style-type: none"> 1. Less efficient management of lesser projects.
2.	Risk of contract arrangements failing through poor relationship management or failure of key provider. TO ALSO GO INTO DIVISIONAL REGISTERS	9		Control Transfer.	<ol style="list-style-type: none"> 1. Careful selection. 2. Monitoring systems. 3. Opt out clauses. 4. Performance bonds and guarantees. 	7		<ol style="list-style-type: none"> 1. Improve capability & capacity to instantly replace contractors.
3.	Poor External Report e.g. CPA, PKF etc.	9		Control	<ol style="list-style-type: none"> 1. Training 2. Self-assessment. 3. Written procedures. 4. Planning and preparation. 	7		
4.	Unexpected major financial liability or uninsured loss.	9		Control. Insurance.	<ol style="list-style-type: none"> 1. Insurance reviewed annually. 2. Reserves. 3. Whistle blowing policy. 	5		<ol style="list-style-type: none"> 1. Liabilities being looked at but needs some more work on risk assessment.
5.	Failure to obtain adequate funding to achieve service	9		Control.	<ol style="list-style-type: none"> 1. Statutory powers. 2. Budget strategy. 3. Good relations with 	6		<ol style="list-style-type: none"> 1. Some risk assessment required for

	objectives.				Members. 4. Building up reserves. 5. Balanced budget.			operational risks.
6.	Failure of key ICT systems. Connect with 18	9		Control.	1. Daily back up procedures. 2. Short-term manual back up.	9		1. Contingency plan needed.
7.	Change in government priorities and /or local government structures.	8		Control.	1. Work with L.A. associations etc. 2. Change culture. 3. Understanding Government guidance. 4. Option appraisal & pre-planning.	4		
8.	Failure to achieve desired result relating to housing management.	8		Control	1. Consultation and communication programme for members and public.	8		1. Approach needs to be formalised in the near future.
9.	Failure to meet requirements of the Freedom of Information Act.	8		Control	1. Lead officer. 2. Team and action plan to 2005.	3		1. Improve understanding of issues.
10.	Inability to attract or retain key individual or groups of staff. TO ALSO GO ON DIVISIONAL REGISTERS	8		Control	1. Some salary flexibility. 2. Training.	8		1. Problems remain over location, house prices and competition.
11.	Loss of key infrastructure systems.	8		Control Recover.	1. Contingency plans. 2. Maintenance	8		1. BCP to be fully developed by

					programme. 3. Some back-up systems.			Dec 2004
12.	Death or injury to citizens through failure of duty or expectation. Connect with 16	8		Control Insure.	1. Health and Safety. 2. Incident recording. 3. Staff checks. 4. Media management. 5. Public liability insurance.	3		
13.	Poor media and public relations management.	8		Control.	1. RDM. 2. Media strategy. 3. Meetings with press. 4. Capacity to deal directly with the media.	5		
14.	Rogue statement by Elected Member or member of staff.	8		Control.	1. Standards process. 2. Member protocols and training. 3. Culture.	5		
15.	Lack of staff capacity to deal with changing objectives and/or surge workloads	7		Control.	1. Setting smart objectives. 2. Member agreement of work programme. 3. SAP. 4. PDR system.	5		
16.	Death or injury of member of staff. Connect with 12	7		Control.	1. H & S officer. 2. Record keeping 3. Training. 4. Risk assessment.	6		1. Outside workers still to be addressed
17.	Lack of capacity to meet national requirements.	7		Control.	1. Piece meal initiatives to address.	7		1. Initiative increasing over which there is no control.
18.	Failure to develop the Website and public access/transaction functionality.	7		Control.	1. Rules on usage. 2. Payments on line. 3. Firewall security. 4. Testing regime.	6		1. Website currently under review.

	Connect with 6				5. Contractors report to I.T. manager. 6. Anti Spam software			
19.	Poor communication between departments and/or staff.	7		Control	1. Intranet/e-mails. 2. Departmental meetings. 3. Annual objectives. 4. PDR mechanisms in place. 5. OMT/CMB.	5		1. PDR consistency to improve. 2. IIP being pursued.
20.	Ineffective performance management, training and development of staff leading to gaps in key skills.	6		Control.	1. PDR process. 2. Team targets. 3. Quarterly performance reports. 4. Service action plans.	3		1. Need to ensure consistency.
21.	Natural disaster, or deliberate act effects major part of the Authority.	6		Control. Contingency plan	1. Emergency Planning. 2. Out of hours plan. 3. Emergency Planning Manager.	6		2. BCP to be fully developed by Dec 2004
22.	Political scandal.	6		Control.	1. Standards Committee. 2. Member training. 3. Culture.	3		
23.	Major fraud or corruption case.	6		Control. Insurance.	1. Code of conduct, 2. Whistle blowing policy. 3. Authorisation processes. 4. Contract controls. 5. Purchasing protocols.	3		
24.	Sudden loss of key senior managers or group of staff.	6		Control.	1. Stand-ins identified for short term.	6		1. Provide formal succession planning.

	Connect with 32							
25.	Risk of Complex partnership arrangements failing through poor relationship management or failure of key partner.	5		Control. Transfer.	1. Relationship management. 2. Service level agreements. 3. Bonds and guarantees.	5		1. Lack of some formal arrangements 2. SLAs not formal.
26.	Unacceptable levels of work related illness.	5		Control.	1. Stress management training. 2. Counselling service. 3. T & C helpful.	5		1. Lack of cover if there are problems.
27.	Failure to manage public expectations.	5		Control	1. Performance standards in some areas. 2. Set targets. 3. Complaints system. 4. Some satisfaction surveys.	3		
28.	Ineffective complaints processes.	4		Control	1. Procedures in place. 2. Ombudsman cases defended, no losses.	2		1. Shortcomings being addressed.
29.	Significant changes to the local economic or social environment leading to an increased demand in services or the inability to deliver corporate objectives.	4			1. Budget strategy. 2. Land use planning infrastructure. 3. Local economic development.	4		
30.	High volumes of staff	5		Control.	1. Verification framework.	3		1. Potential for

	or client fraud.				2. Fraud team. 3. Prosecution policy.			debit/credit card fraud.
31.	Sudden death of key Member.	3		Control.		3		
32.	Loss of major section of staff i.e. lottery win. Connect with 24	3		Control.		3		
33.	Major strike action.	3		Controls	1. Regular meetings with unions. 2. PDR process.	3		1. IIP aim.
34.	Changes in political leadership and /or ineffective relationships between Offices and Members.	3		Controls	1. Member training.	3		
35	Long term failure of telephone system, in part or total	8	O	Controls	1. Regular maintenance 2. Mobile phone distribution as immediate back-up.	3	System failure	
36	Failure to sustain service due to severe weather, yet need to maintain presence in offices.	8	O	Control				

37	Lack of RIPA Policy	9	R					
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REVENUES & HOUSING BENEFIT RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category	Risk Owner	Risk Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/Desired Controls
1	Data loss (IT or paper – statutory records)	9	O	Corporate AJB	Control	Strong room stores some data. Burial record in a metal cabinet. Do comment management.	6	Data not available	Review storage, particularly fire proof cabinets. Completing land registration.
2	Lack of software updates	8	O	IT Client Manager	5	Updates usually part of software packages.	5	Software packages not supported by supplier.	IT Contractor to liaise with 3 rd party suppliers.
3	Assault on a patrol officer	7	P	Transportation Manager	Avoiding risk	Mobile phones Customer Care training Violence at work training Personal alarms	5		Update training.
4	Car Park Maintenance	7	Rp	Transportation Manager	Control	Regular Inspections	5	Complaints by public	
5	Unsuitable driver obtaining taxi licence.	6	R	Transportation Manager	Control	Taxi rules and regulations statute. Criminal Record Bureau. Written procedures.	6	Bad publicity. Complaints. Bad incident	Training Improved procedures.
7	Ensure car park ticket machines are operational	3	F	Transportation Manager	Accept	Steel posts to prevent ram raid. Adequate lighting to prevent crime. Emptied regularly to minimise loss.	3	Loss of income	CCTV Improved staff numbers to increase flexibility of collection.
8	Theft of car park machine money	6	O	Transportation Manager	Control	Two staff at all times Route varied Written procedures Sealed box from machine	6	Loss of income	Improved security at Civic Suite reception
9	Wrongly interpreted regulations	9	R			Professional & government guidance Internal procedures manual	6		Specialist staff to assist with legislation interpretation

						Specially trained staff General training (external)			
10	Council tax billing incorrect	5	Rp	Business Support manager	Control	Written procedures and ongoing training Management checks	3	Customer complaint Bad publicity Loss of income	Increased management checks
11	Claimant getting wrong level of benefit due to incorrect information from claimant or incorrect assessment by staff	5	O	Asst Housing Benefit Manager	Recalculate housing benefit	Plain English form Visiting officer system Leaflets for guidance Staff training for phone and counter service	3	Applicants appealing against incorrect level of benefit being paid. Customer suffering hardship	Improved management checks and assessment level. More surgeries for customers Improve notification level
12	External Fraud	8	R			Dedicated fraud unit Policies & procedures Awareness training for staff Joint working with (external) agencies Publicity Enforcement	5		
13	Proper staff cover un Sheltered Housing Schemes	9	Rp	Assistant Housing Manager	Recovery	Redeploy to cover Tunstall Telecom	5	Staff shortage	Full Service review of older person's housing
14	Involvement of Tenants	9	Rp	Housing Manager	Recovery	Quality newsletter Regular consultation Increase tenants participation/consultation	6	Appeals to Council re policy & decisions	Involve

PLANNING SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category¹	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
	KEY RISKS								
1	Data loss (IT and paper) Backup files gone. Historical data on CDs. Data loss through transfer (i.e. corruption of data, etc.)	9	O	Admin Officer	5, 6	Off site storage for some data Some sources backed up. Interrogation from various sources can provide near whole picture	9	Data lost	Improve off site storage across all areas Risk assessment and data loss/data storage Historical Data Transfer to computer.
2	IT Failure	9	O	Admin Officer Team Clerk (BC)	5, 6	Back up tapes	7	I.T. not functioning	Stand alone - basic documents available to use.
3	Incorrect advice to public and poor internal communication	9	O	ALL	8	Training Policy Referral limitation Adequate supervision Cautious to Public Customer Care Procedures	7	Complaints procedure Correction to letters & telephone responses Communication breakdown	Continual training Monitoring of Performance Customer feedback Improved supervision, etc. Shadowing. Better Procedures.

PLANNING SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category¹	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
4	Unsound planning decision or enforcement Leading to cost awards, poor reputation and low staff morale	8	R	Decision makers Officers & Planning Committee	8	Member and Officer training CPD Legal advice in Committee Consistency checks by Officers D.C. Clinic	5	Unsound decision made/costs awarded	Member training Decisions to be based around planning grounds only Improved consistency in Officer recommendations Review Process Standards Board.
5	Threats to/Attacks on staff by public Verbal abuse and intimidation	7	O	ALL	5	Personal Alarms Segregation in Reception Training Health & Safety Policy Phone procedures Logging in and out Panic alarm in Reception Police presence	7	Bad event	Violence register Panic alarm in meeting room Buddy Training Self-awareness
6	Attracting and retaining staff for DC and BC	9	P	HOPS	1	Post Entry training/career grade Flexibility PDRs Value Staff	7	Unable to attract or retain staff High Staff turnover Low Staff morale	Realistic salaries to compete with neighbouring authorities Career progression Succession planning
7	Building Regulation – failure through proven negligent inspection	6	R	ALL B/C	7	Professional inspector training	6	Personal Injury	CPD Insurance

PLANNING SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category¹	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
8	Negative publicity leading to poor public perception of Planning decisions	6	Rp	ALL	1, 6	Website, Portal, RDM, Public Access Positive P.R. Guidance leaflets Partnership Contacts with Press	6	Bad press Negative feedback	Increasing transparency Positive Press/P.R.
9	Officer integrity – allegations of corruption	6	Rp	ALL	1, 8	Hierarchical checks Declaration of interests Hospitality & gifts Contracted obligations Officer & Professional Code of Conduct. Officer/Member applications report to Committee.	6	Allegation	Self-awareness
10	Accuracy of data recording (all areas)	7	O	ALL	5	Procedures Training Checks Quality Control Audits	6	Data errors	Learn from mistakes
11	Failure to meet Corporate and National targets (capacity)	5	O	ALL	1, 8	Prioritise actions Contract staff Best Value Performance monitoring Targets	5	Planned actions not completed on time and/or agreed targets not met	Review establishment Priorities Resources Staff levels Review process to increase efficiency Procedures Monitoring
12	Malicious and fraudulent claims against Officers for alleged actions (on site)	3	O	ALL	1	Health & Safety Policy Site visit checklist Officer training	3	Claim made	Self-awareness. Buddy system.

PLANNING SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category¹	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
13	Failure to meet quality standards (incorrect notification mechanisms)	5	O	ALL	5	Validation process Admin checks Written procedures (some)	3	Complaint (relevant neighbour not consulted)	Common model for neighbour consultation Training

Corporate Risks Identified

1	Lack of DDA compliance.	9	R	CORPORATE	Nil	9		Programme of work Re-costed Budget Implementation	
2	Data Protection Issues	7	R	CORPORATE 5	Checks on correspondence rating	7	Awareness of DP Act	Corporate Officer to advise.	
3	Staff abuse of internet access	5	Rp	CORPORATE	Policy (Corporate)				
4	IT Failure -	9		CORPORATE			9		Need to ensure PC's can operate stand alone

LEGAL SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category₁	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
	KEY RISKS								
1	General failure to deliver service (perceived by Members, public and colleagues)	9	Rp	AJB	Control	Management process Application of resources Professional skills, Training and expertise	6	Complaints Poor performance and errors	QPR
2	Data loss (IT or paper – Statutory records)	9	O	AJB	Control	Strong room stores some data Burial records in a metal cabinet Document management	6	Data not available	Review storage, particularly fire proof cabinets Completing land registration
3	Lack of/incomplete information from clients and third parties.	9	I	AJB	Control	Quality information, supervised processes, contract arrangements, monitoring, Service Level Agreement s	4	Planned action not complete on time	Guidance/procedure notes issued to Departments Training

4	Keeping up to date with statute/ Regulations	9	R	AJB	Control	News group subscription Lawtel information service Training Library updates	6	Incorrect advice	Improved distillation and circularising procedure by Head of Legal Services
5	Insufficient staff numbers	9	S	AJB	Control	Managed by moving priorities Outsourcing Temporary staff for surges Skill mix	6	Department not running efficiently. High stress levels. Failure to maintain performance	More divisional control over staffing Note wherever possible of surge activity
6	Skill shortages in Divisional and Corporate systems	8	O	AJB	Control	Office procedures Team meetings Training (CPD) Programmed and skilling	4	Department not running to full potential. Targets not met. Failure to deliver satisfactory service	Succession planning Improved office manual Identify training need and prepare programme
7	Errors in processes Legal and statutory	9	O	AJB	Control	Trained staff with appropriate skills Supervised processes	6	Complaints received	

HUMAN RESOURCES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category ₁	Risk Owner	Risk ² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
	KEY RISKS								
1	Failure to ensure correct documents and review contents prior to submission for CMB approval.	8	O	HR Mgr	Control	CMB approval to fill vacancy (inc. Job Description, Personal Specification, Advert) Recruitment Checklist Recruitment Policy document *	3	Documents approved containing incorrect information/missing signatures Low response to recruitment adverts	Update Recruitment Policy document
2	Failure to follow HR best practice quality procedures And maintain compliance with employment legislation	9	O	HR Mgr	Control	Log control forms Clear assignments & objectives Staff development progress reviews Staff Handbook	3	Poor feedback Interview non-attendance Slow process progress Employee Relations issues	Vertical & horizontal communication Regular process reviews Encouragement to stimulate innovation
3	Failure to provide appropriate advice to managers on recruitment, employee relations, employment legislation etc.	9	S/O/F/P/I	HR Mgr	Avoiding risk / Control	Policies & procedures Staff & salary structures Employment law	9	Recruitment issues Low morale Unclear policies	Appointment of HR Manager IIP New Managers' Guide with regular updates and management briefings
4	Failure to monitor and implement (TUPE) transfers appropriately	9	R	HR Mgr	Control	Employment legislation Communication with transferring employer and employees	9	Grievance appeals Employee relations issues	New Managers' Guide New Staff Handbook TUPE Control log

HUMAN RESOURCES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category	Risk Owner	Risk ² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
5	Lack of integrated and appropriate H.R. / Payroll software package	8	O	HR Mgr / Head Financial Services	Avoiding risk	Communication between HR & Payroll Establishment list	8	Poor communication between HR & Payroll Contract/payment errors	Review of payroll Review of software systems
6	Failure to highlight potential risk factors to managers e.g. working practices (health) & records (equal opportunities etc)	9	S/O	HR Mgr	Avoiding risk / Control	Risk assessments Equal Opportunities policy Harassment policy PDRs Team Briefings	9	Personal injury claims Complaints	Updated Equal Opportunities Policy Review accommodation issues Development of open culture to encourage sharing of mutual duty of care
7	Failure to monitor consistent approach to managing people	9	O	HR Mgr	Avoiding risk	Grievance procedure in Staff Handbook Ad hoc advice from HR	9	Complaints	Regular 'one to ones' with staff
CORPORATE RISKS									
8	Failure to review and place advert in appropriate publication	8	O	H o S	Avoiding risk	Op. Managers draft vetted for suitability Edited as necessary Media recommended to Op. Manager Recruitment checklist	4	Documents containing contradictory information Need to re-advertise	Recruitment policy document implemented and communicated

HH&CC ENVIRONMENTAL HEALTH RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category ¹	Risk Owner	Risk ² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
1	Failure to meet corporate and national targets	7	Rp, R,	HHHCC	Control thru operational procedures	Service Action plans Monitoring plans Agency/temporary staff Training Performance monitoring Targets	6	Planned actions not completed on time and/or agreed targets not met	Service Action plans for all key areas Ensure adequate staffing Prioritise tasks Redesign processes to increase efficiency Make more use of monitoring information Procedures Scoping reports produced for overview and scrutiny committees
2	Unable to attract suitable staff	9	P	HHHCC to CMB	Planning to deal with	recruiting procedures	8	Unable to attract staff	Competitive terms and conditions Student sponsorship IIP etc. Workforce development plan
3	Failure of new computer system to provide required functions	7	O	HHHCC	Control thru operational procedures	Training System Admin/set up IT support Resourcing Back up of data	5	Data lost in transfer Data not available in required form	Regular user group Feedback to supplier Access report training Project management by IT staff Additional consultancy

HH&CC ENVIRONMENTAL HEALTH RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category ¹	Risk Owner	Risk ² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
4	Contract Failure	6	O	HHHCCEP U/FSRU/R S	Control thru operational procedures	Contract monitoring Regular financial monitoring Regular operational meetings Formal complaint procedure Service level agreement Housing corporation regulation	3	Contract fails (e.g. pest, food, Springboard etc)	Regular reviews Evaluate other potential service providers
5	Identification of Contaminated land	8	F, Rp	HHHCC	Accept or tolerate	Contaminated land strategy Contaminated land staff in post	5	Relevant site identified	Create contingency budget
6	No guaranteed response to out of hours service requests	9	R, Rp, O	HHHCC	Accept or tolerate	OOH Plan (BV report & committee decision) Planned out of hours visits		Complaints ref lack of service, Ombudsmen. Events not responded to Criticism from government	Regularly review need for responsive service and alternatives.
7	Using B&B accommodation for homeless in excess of the statutory limits	9	R	HHHCC/RS UM	Accept or tolerate	Use of rent and deposit guarantee scheme Use of temporary accommodation	7	Failure to meet statutory limit	Implement homelessness strategy
8	Failure to provide accurate information	7	I	HHHCC	Control thru operational procedures	Internal procedures Training QC checks on data inputs	5	Complaints ref inaccurate information	Training awareness Updating database QC sample check an in putting. Procedures for all key areas

HH&CC ENVIRONMENTAL HEALTH RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category ¹	Risk Owner	Risk ² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
9	Fraudulent housing grant issues	7	F	HHHCC	Control thru operational procedures	Process which separates grant processing and approval Internal audit Proof of financial information and ownership required	2	Fraudulent applications identified	Training
10	Failure to meet requirements of Licensing Act 2003 (likely to start Feb2004)	9	O,R,Rp	HHHCC	Planning to deal with service interruption	New licensing team agreed by members	7	Unable to take on new licensing requirements Delay in processing applications Licences granted/refused in default without consideration Appeals Complaints Ombudsman Licence conditions not enforced	Members agree budget for new licensing team Recruit suitable staff by April 2004 Training Establish licensing policy and operational procedures
11	Failure to meet quality and best practice standards	8	O	HHHCC	Control thru operational procedures	Recruitment procedures Training PDR Written procedures (some) Audits	4	Complaints Ombudsman	Document all key procedures & implement Training Increase audits

ADMINISTRATIVE & MEMBER SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category ¹	Risk Owner	Risk ² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
IT SERVICE									
1	Failure to fully identify future IT requirements	9	S	HAMS	5	IT Strategy Regularly updated hardware and software	7	Lack of clarity on priority projects	Strategy in place until 2005/06. Review required in due course
2	IT systems failure	9	S/O	HAMS	4	Backup tapes. SLAs with Vivista and software suppliers. Security procedures. Refresh programme	9	IT service(s) not available	Recovery strategy (BCP). Refresh programme implemented
3	Company failure of IT contractor	9	S	HAMS	4	Monthly reports and plan in place if event occurs	7	Contractor's staff leave site	Review contract terms/SLA
4	Failure to implement or maintain e-government programme	5	S	HAMS	5	IEG Strategy in place IEG monitoring via OMT	3	Capital grant not spent and performance targets not being met	Funds if e-gov. money ceases
5	Abuse of IT by staff, e.g. internet and email abuse	7	O	IT Client Manager	5	Virus controls IT security policies	5	Monitoring/virus controls show evidence of abuse	Revised IT security policies linked to disciplinary process
6	Lack of proper planning for each IT project	8	O	HAMS	5	Some project management in place	5	Delay in implementing projects to timetable	Clear written procedures Staff training in Prince 2
7	Lack of software updates	8	O	IT Client Manager	5	Updates usually part of software packages	5	Software packages not supported by supplier	IT Contractor to liaise with 3 rd party suppliers

ADMINISTRATIVE & MEMBER SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category ¹	Risk Owner	Risk ² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
8	Failure of IT Contractor to deliver a satisfactory on site service	7	O/P	HAMS	5	Contract monitoring	6	Projects not implemented High level of complaints Increase in help desk calls	Greater sanctions Review of SLA Guarantee of appropriate skills on site
9	Too many IT projects at same time which could lead to failure to implement strategic/statutory requirements	8	O	CMB	5	OMT bi-monthly review	8	Projects delayed in implementation	Service Action Plan prioritising
10	On-line services fail	7	Rp	IT Client Manager	4	SLA with Vivista and software suppliers	7	Customer complaints	More robust 24/7 back up required
11	Website/Intranet content and layout, inaccurate and not updated	5	Rp	IT Client Manager	5	ITTeam	3	Customer complaints	National guideline compliance New software to be introduced
ELECTIONS									
12	Software/computer error	7	O	Elections Officer	5	Pickwick support Joint working with neighbour authorities Revert to paper	6	Failure to produce election notices	Clear written procedures to formalise existing controls
13	External printers for E-Reg do not deliver	6	O	Elections Officer	4	References/ contract terms	3	Ballot papers not delivered	Contingency Plan
14	Polling Station unavailable on day of election	6	O	Elections Officer	4/5	Written instructions to PO Mobile polling station available Reserve POs and clerks available	3	No contact from local key-holder	

ADMINISTRATIVE & MEMBER SERVICES RISK REGISTER

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15	Accuracy of Registers	6	O	Elections Officer	5	Manual checking/re-checking Pickwick system	3	Complaints from residents if unable to vote	
16	Postal vote application fraud	5	Rp	Elections Officer	5	Compliance with Central Government guidelines Monitoring process in place	3	Multiple applications	
17	Unsupervised access to Register	8	R	Elections Officer	5	Supervisory scheme in place Internal controls to limit distribution	5	Increase in requests to view Register	Review system of controls
CENTRAL SERVICES									
18	Security of Reception Areas	7	O/P	Central Services Manager	1/5	CCTV at Civic Suite Procedure handbook Panic Alarm Staff training Mirror at Rochford	6	Incidents at reception	CCTV at Rochford
19	Unavailability of keyholders to open up offices	5	O	Central Services Manager	5	Current list of key holders Staff cover - caretakers/depot	3	Keyholder fails to appear	Clear written procedures known to all relevant staff

ADMINISTRATIVE & MEMBER SERVICES RISK REGISTER

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20	Print Room equipment failure	6	O	Central Services Manager	4	Maintenance contract for machines	3	Intermittent and persistent malfunction of machines	Develop contingency plan with external printers. Staff training
21	Phone system failure	7	0	Central Services Manager	1	Maintenance contract Mobile phones	6	Intermittent disruption to phone system	Formal clear written process to inform media.
22	Phone abuse/hacking	7	O	Central Services Manager	1	System procedures in place (but takes time to kick in)	7	Evidence from call logger or bills	Discussion with telephone company on fraud prevention procedures
23	Filing (Room) capacity	8	O/I	Central Services Manager	5	File weeding	8	Lack of filing space	FOI Document imaging
24	Post Room security	6	O	Central Services Manager	5	Written procedures in place. Locked doors. Staff training	3	Procedures not followed Cheques and documents missing	Review in light of requirements of housing benefit performance standards
25	Reception staff inadequately briefed	5	P	Central Services Manager	5	Training Up-to-date information	3	Staff unable to answer resident issues	Whole Council improved mechanism to ensure up-to-date information

ADMINISTRATIVE & MEMBER SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category ¹	Risk Owner	Risk ² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
COMMITTEE									
26	Courier runs off with Members' papers	6	O/Rp	HAMS	4	Contract process	3	Complaint from Members	
27	Unauthorised disclosure of exempt Committee papers	6	I/Rp	HAMS	5	CMIS system requires password	6	Complaint received	"Numbered" copies of paper reports. E-identifier on e-copies. Change password
CORPORATE									
28	Member involvement	6	P	CMB	5	Constitution, Code of Conduct, Member Training	3		
29	Large number of staff leave	6	6	CMB	1	Office procedure documentation	6	Staff resignations	Robust office procedures (written)
30	Staff/Fraud corruption	6	P	CMB	5	Fraud and corruption policy Whistle blowing policy	3	Investigations	
31	Capacity/Establishment	4	P	CMB	5	Cross-skilling in place	4	Failure to meet deadlines	Awareness of growth areas Succession management
32	Lack of skills in staff	5	P	CMB	5	PDR identifies needs	2	Errors in working practises	Reappraise training needs

FINANCIAL SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category ₁	Risk Owner	Risk ² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
	KEY RISKS								
1	Changes in legislation/regulations not picked up	8	R			CIPFA Membership Subscription to various publication news update services Networking with other Authorities What's new on websites	5	Incorrect output Unable to deliver proper service	Central 'Librarian' to obtain and distribute information. Subscribe to information distribution agency
2	Late completion of Financial claims and returns to Government	7	Rp F			Returns have stipulated control dates Expectancy within likely cycle for most cases Spreadsheet diary	6	Interruption of cash flow Unable to audit within timetable Reminders from inside/ outside sources	Improve use of spreadsheet diary Timetable with key tasks
3	Incorrect authorisation/signatories	8	O			Authorised and updated signatories list Specimen cards Improper documentation returned to originator Annual Review CMB review of limits	5	Delay in processing Reports following review	Improved departmental notifications to Financial Services of new staff (new authorised signatories/revised levels) Monthly/quarterly checks – in the Departments

FINANCIAL SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category	Risk Owner	Risk ² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
4	Incorrect information to public/creditors	6	I			Draft Publications are proof read Accounts audited before publications Logic test to publication to ensure consistency	6	Questions Audit queries	Increase training for staff
5	No authorised bank and other signatories on site	7	O			Advance notification on most occasions Use of delegated powers Full knowledge and signatory list and limits – F.S. can direct other Departments to appropriate signatories	6	Unable to send out cheques/orders Unable to deal with treasury management Unable to deal with other key tasks	Improved co-ordinated use of other authorised signatories availability Review authorised list
6	Fraudulent use of cheques	7	F			Positive pay system through Bank Physical cheque control Separation of duties Over £5K dual signatories Security features on cheques Cheque reconciliation	6	Non approved items reported by bank Genuine creditor unpaid Non approved items on bank statement	Increase use of BACS More authorised direct debit payments

FINANCIAL SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
7	Commitments raised other than through official orders - RDC committed to purchase	8	F			Contract Standing Orders and Financial Regulations Systems in place Audit reviews	5	Invoice for payment without authorisation Purchases from non-approved supplier	Additional training for all levels around correct procedures.Tighter control of ordering process by user departments Improved supervision of system by Financial Services.
8	Potential for duplicate payments due to copy invoices	5	F			Creditor system flashes 'payment made' if duplicate keyed Data entry on ledger confirmed to two staff, therefore limited opportunity for compounding error User departments to mark copy invoice that no payment made Invoice date checked	3	Budget overspend	Reminders to staff on a periodic basis Potential future changes in connection with "marketplace" system
9	Failure to raise commitments	8	F			Commitments filed on special folder One person responsible for commitments and reviewed regularly Random checks by Senior Accountant	3	Budget overspend	Improved software package that deals with the commitments process

FINANCIAL SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category	Risk Owner	Risk ² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
10	Delay in receipt Bank/cash details	6	F			Daily reconciliation by both cashiers and the payments office Hard copies of data available Bank to provide details for next day Emergency procedures in place for Treasury management	6	Disruption of daily routine Cash flow problems Customer accounts not up to date	Test emergency procedures
11	Accuracy of cheque production	9	F			Invoices checked by two people – input control Over £5K – double signatory	6	Budget errors Complaints	Increase use of BACS
12	Software packages not up to date	4	O			Support agreements with suppliers Work adapted to take account of system limitations	4	Errors in output Unable to undertake work Financial implications different from that expected	Business Plan approach to replace and update systems
13	Personnel and Payroll records not the same	6	O			Cross check between Personnel and Payroll Physical introduction of new staff to payroll Payroll acts on Personnel instructions	6	Staff not paid correctly Budget failures	Plan for new integrated Personnel and payroll software Maintain records of checks made on database

FINANCIAL SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category	Risk Owner	Risk ² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
14	Partner/ contractor failure Bank Insurance Mortgage administration Consultants	7	O			Partner selection process SLA's Terms of Contract References from other sites Credit Control references Contract and Performance monitoring Company Searches	7	Interruption of service Deterioration in quality of service	Review Indemnities/ Penalties in contracts Liquidated damages/ Compensation Regular meetings with partner
15	Insurance not kept up to date & relevant to the business	4	F			Full review every 3 years External valuation of property values ¼ ly visits by Zurich Municipal to discuss changes to risk	2	Significant insurable financial risks fall to the Council Council involved in direct legal actions which should be insurable	Risk management process to avoid claims Additional training for staff
16	Insurance – Departments not providing adequate and timely information regarding claims	7	O			Central co-ordination for requests for information from Departments Monitored with follow-up Failures circulated to aid learning	7	Follow up from insurance company or acting solicitors Judgements against the Authority	More training for Departments to include a reminder on their responsibilities Risk management approach to any task
17	Non-provision of VAT receipts by Departments	4	O			Payments office has a chase-up system Full cost to Department in default	4	Unable to reclaim VAT Budget failures VAT inspections reports	Better staff training particularly re: use of new purchasing arrangements like credit cards and e-procurement

FINANCIAL SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
18	Miscoding of invoices	5	F			Only valid code can be entered on system Two checks of code made, in Payments and in Accountancy	3	Budget errors	"Marketplace" – capture of data at order stage
19	Information required for Claims/ Return not kept by Departments	5	I, F			Annual Return timetable with comprehensive information requirement sent out in advance Monitor and progress chase	5	Unable to complete document Cash flow interruption	Wider knowledge of document and Audit requirements Improve timetable /information - be more specific
20	Treasury Management procedures not followed	7	F			Internal checks Monitoring statements Bank signatory involvement	7	Unsuitable investments/borrowing Counterpart documentation not in accordance with treasury management policies	Keep treasury management system under review Training of staff updated Review internal controls External consultants review of systems

CPU RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category ₁	Risk Owner	Risk ² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
	KEY RISKS								
1	Single operators not meeting job requirements	8	O	CPUM	Control		8	EP & H & SM, EDO, CPO not dealing with surge or long term demands in one area. Limited/reduced output in other areas. Not meeting deadlines	Review staff establishment Introduce cross-skilling if possible
2	Bad Press Releases/Libel/Slander	8	Rp	CPUM	Control	Facts determined Agree line to take PR's screened before publication		Adverse public and other reaction.	Maintain examination of facts etc. before publication
3	Failure to implement Emergency Plan	9	O	EP&H & SM/CEX	Control	Emergency Plan is sent out to partners/stakeholders at drafting stage. Recent BV Review identified various actions, part in hand.	6	Failure in one or more elements of response, at either management or implementation level	Currently not tested/peer reviewed sufficiently. (Redraft in hand Spring 04) More certain response from key staff & partners

CPU RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
4	Chairman fails to carry out (any) duties	8	Rp	CPUM/ Civics Officer	Control	Civic diary maintained. Good liaison with "The Chairman" Alternative arrangements made in not available.	3	Persistent no-shows or unable to commit	Maintain liaison with Chairman/ Vice-Chairman
5	Two or more members of CPU leaving at or near the same time/Long term sickness of more than one team member	9	O	CPUM/ CEX	Control	Nil	9	Black Hole	Introduce cross-skilling where appropriate/possible to mitigate loss
6	Failure to publish information in a timely way to staff/public	8	R	CPUM/ Comm Offr.	Control	Diary management, full collection of data, Resource management, maintenance of staff levels	5	Missing deadlines	Events etc. calendar, execution of new Comms & Consult. strategy
7	Failure to maintain relationships with key external partners	8	R	CEX/ CPUM	Control	Engagement and Inclusion	5	Partnerships failing Lack of response or involvement from partners	Appropriate lock-in of all partners

PROPERTY MAINTENANCE, HIGHWAYS, LEISURE & CONTRACTED SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category¹	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
1	Staff not sufficiently aware of objectives and standards	7	O	Manager Contracted Services (local) Chief Executive (overall)	Accept.	Departmental SAP (but not specified and detailed). PDR review allocates individual targets from Departmental SAP. SAP monitored and updated at PDR interim reviews. SAP progress towards Corporate objectives reported to Members twice yearly. Public surveys. Staff and staff/public presentations evaluation post event. Written procedures being developed as identified,	7	Staff not achieving objectives	Develop individual SAPs
2	Overlapping work schedules and inappropriate use of resources (internal and external)	7	I	External Service Manager/ section manager	Control through operational procedures	Regular meetings with section heads and other staff. Minutes of meetings circulated to all staff. Direct easy access to Managers. Regular team meetings, PDR reviews. Project management training	7	Project timetables not being kept to, works over running or not being completed.	Improve quality of inter departmental communications. and record keeping – accessibility.

PROPERTY MAINTENANCE, HIGHWAYS, LEISURE & CONTRACTED SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category¹	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
3	Contractor failure to deliver service	9	O	Head of Service	Insure against risk (by the use of more than one competent contractor)	Approved contractor list with comprehensive vetting of key areas. Formal tendering procedures and evaluation. Contract monitoring regime ensures regular information. Main contractors report twice annually to Members on performance. SLAs, Regular internal audit on contracts. Annual limits set on contractor workload, monitoring of work ordered, and regular meetings with contractors. Regular monitoring of budget spends against contractors. Customer survey on housing repairs to monitor performance.	9	Works Contractor ceases to trade, leaves or is instructed to leave the site and leaves uncompleted works.	Improve/create resilience to assist with contract monitoring (resources) Appropriate monitoring of contractors /contracts Contingency plans
4	Failure of external bodies to provide financial support (grants / sponsorship etc) for civil(regeneration, maintenance etc.) or social (fairs, markets etc) events.	6	O	External Service Manager	Accept risk	Consultations and awareness through RDM and leaflets and the Web site. Wide publicity for events and presentations. Complaint monitoring to identify problem areas.	6	Complaints and observation of, limited outside works and social events being undertaken	Regular PR and consultation with interested parties.

PROPERTY MAINTENANCE, HIGHWAYS, LEISURE & CONTRACTED SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category¹	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
5	Zero or Negative income from Council funded event	8	O	Leisure and Contracts Manager	Control through operational procedures	Events to meet public demand. Back up customer surveys for sports/arts events to check suitability/ develop new programmes. Programmes are developed to make them self-financing or at minimal cost to Council. Budgets allocated for sports/ arts programmes. Grant funding sought to supplement programmes. Partnerships with outside bodies to provide events.	8	Limited funds available to settle financial invoices and/or undertake further events.	Regular PR and consultation with interested parties.
6	Financial claim as a result of Death/Injury/Slur or Implication to a member of staff or public directly related to works undertaken by the council.	6	F	Manager Contracted Services (local)	Control through operational procedures and Insure against claim	Supervision of external works by qualified staff, contractual controls on performance and quality of works.	6	Complaint, and/or financial claims	Logged inspections and maintained contract files. Staff training to ensure understanding of duties and responsibilities.
7	Death/Injury to a member of staff or public directly related to work/responsibilities undertaken by the council.	9	O/F	Manager Contracted Services (local Leisure and Contracts Manager (overall	Control through operational procedures, risk assessments	Risk assessments, contract procedures,	9	Complaint and/or loss of staff attendance leading to hospitalisation or medical treatment.	Staff training to ensure understanding of duties and responsibilities

PROPERTY MAINTENANCE, HIGHWAYS, LEISURE & CONTRACTED SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category¹	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
8	Financial or other action taken against the council due to failure of staff to correctly manage public events ie. Summer camps, school holiday pursuits, craft fairs etc..	8	P	Manager Contracted Services (local) Leisure and Contracts Manager (overall) Staff indemnified by Council	Control through operational procedures (and training)	Vetting of coaches/tutors and understanding special needs to target groups. CPR checks. Child protection policy being developed. Customer feedback on performance / problems to identify shortfalls	8	Complaint, Legal Notice and/or financial claim	Abuse Codes (e.g. over telephone)
9	Risk to staff / third party due to equipment failure and/or miss use.	9	O / F	Manager Cont, Services	Avoid (by procedures)	Plant / vehicles maintained to manufacturers recommendations. Staff encouraged to report problems. Driver training, H&S training for woodlands / other operatives on equipment.	9	Injury / claims reports	Regular plant condition and personal level surveys and records taken.

PROPERTY MAINTENANCE, HIGHWAYS, LEISURE & CONTRACTED SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category¹	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
10	Lack of suitably qualified and/or experienced staff to undertake the council's responsibilities.	7	O / P	Manager Cont.Services (local) Leisure and Contracts Manager (overall)	Eliminate (by training and/or recruitment)	Corporate and departmental induction. Staff training plans. Selection procedures identify training weaknesses.	7	Staff undertaking works without adequate information or training	Develop fuller procedures and training opportunities
11	Member of staff incapacitated due to action of third party	8		Manager Cont.Services (local) Leisure and Contracts Manager (overall)	Control	<i>Outside officer procedure (Local)</i> <i>Outside officer procedure (Corporate)</i> <i>Corporate database of potentially violent persons.</i>	8	Report of incident by staff member or third party	Staff health and safety with regards to third parties policy required
C	Unable to efficiently carry out required operations due to faulty or inadequate computer hardware			IT Manager	Liase with users	<i>Very little, frustration at installation of systems without adequate consultation</i>		Inability to provide a service or undertake works requiring the use of computer hardware and software.	Communication and consultation with end users before purchase, because the cheapest overall option is not always technically suitable for all.

PROPERTY MAINTENANCE, HIGHWAYS, LEISURE & CONTRACTED SERVICES RISK REGISTER

Risk	Risk Description	Inherent Risk Value	Category¹	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
C	Inability to undertake work or supply information at the correct level due to inadequate computer software.		O / I	IT Manager	Liase with users	Very little, frustration at installation of systems without adequate consultation		Inability to provide a service or undertake works requiring the use of computer hardware and software.	Communication and consultation with end users before purchase, because the cheapest overall option is not always technically suitable for all.
C	Alterations by third parties to legislative requirements.		O / I / R	Section Heads	Accept	Awareness of legislative changes, training in new legislation. Advice from Legal Services.		Claims, Litigation etc	Electronic information access and regular tech. Seminars available to required staff.
C	Loss of existing staff also leading to loss of experience and local/professional knowledge.		O / I / P	CMB	Avoid	Within division, ensure good working relationships and develop attitudes. Provide good support to Managers/ staff. Ensure data is stored appropriately for future use. Provide training opportunities and in house training where appropriate.		Lowering of service standards.	Open door policy and communication. Maintenance of market standards regarding staff contracts and issues.

AUDIT & PROCESS REVIEW 17th February 2004

Risk	Risk Description	Inherent Risk Value	Category	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
	KEY RISKS								
1	Service areas not understanding roles of A&PR leading to misuse, reduced effectiveness.	9	O	APRM	Control	Audit Charter – Web Page Involvement working parties Post Audit Surveys Pre-audit discussions with HOS/Line Managers	6	Not asking advice Not participating Not completing surveys Independence Compromised	Induction Training CPA – section 151 officer/role
2	Failure by service areas to implement A&PR High/Med recommendations and agreed actions.	9	O	APRM. PA, PA	Control	Agreeing Recommendations with HOS Monitoring implementation Audit Charter	6	Not implemented Repeat Findings Delays in implementing	Internal Control Statements
3	Failure to identify & monitor primary issues for audit programme. Not considering all high-risk areas.	9	O	APRM	Control	Managed Audit – PKF HOS part planning process Agreement by Members IA risk assessment used QPR monitor performance PKF Key Control Evaluations Report to Members Time recording system Audit Plan assessed to ensure high risk completed	6	Fraud System failure Control failure Complaints Monitor performance	Active Risk Register Proactive – HOS request for information Internal Control Statements

AUDIT & PROCESS REVIEW 17th February 2004

Risk	Risk Description	Inherent Risk Value	Category	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
4	Failure to produce quality work due to insufficient knowledge of authority's systems. Skills missing within APR function.	9	O	ALL APR	Control	PDR Detailed file notes Audit library Professional qualifications In-house training Rotation of audits	6	Poor survey reports Rejection of recs CMB & Members raising a number of issues Errors Identified in reports Complaints Survey responses Excessive time taken PDR	Invitations to relevant divisional training
5	Action, not taken to address changes in legislation	9	R	ALL APR Corp	Control	Notification from Audit Commission	7	Inaccurate recommendations External Audit Report	System for whole authority
6	Failure to maintain required level of confidentiality	9	O	ALL APR	Control	Sensitive information locked away. Matters only dealt with on need to know basis. Compliance with Audit Code of Practice	7	Information leaked	Clear desk policy Authority wide issue

AUDIT & PROCESS REVIEW 17th February 2004

Risk	Risk Description	Inherent Risk Value	Category	Risk Owner	Risk² Solution	Existing Key Controls	Residual Risk Value	Risk Indicators	Action Points/ Desired Controls
7	External Audit not being able to place reliance on IA work incurring additional cost &/or negative report to Members	7	O	ALL APR	Control	PKF see IA 's plan Ensure cover Key Control Areas	6	Feedback from EA Audit Plan not achieved	Develop more two way communication
8	Failure to provide statutory information/govt. data by specified time.	9	R	CP/BC	Control	Programme for auditing P.I.'s Clear division of activities within production of BVPP CP flexi-working		Not achieving departmental timetable	Extend programme to ensure timely feed into BVPP. More timely provision of info. from depts. to avoid last minute time loading.
9	Service reviews not addressing the primary issues	8	O	Corp	Control	Statutory requirement			