

INTERNAL AUDIT REVIEW OF OPERATIONAL RISK REGISTERS

APPENDIX B

COPELAND BOROUGH COUNCIL - OPERATIONAL RISK REGISTER

BUSINESS UNIT:	FINANCE & BUSINESS DEVELOPMENT	HEAD OF SERVICE:	SUE BORWICK	DATE OF REVIEW:	07/07/2006
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REGISTER ID.	SERVICE AREA	DESCRIPTION	IMPACT				ACTION	RISK OWNER	RESIDUAL RISK (H/M/L)
			Financial (1-3)	Reputation (1-3)	Likelihood (1-3)	Score (FxRxL)			
FD1	ACCOUNTANCY	Staff Retention & Recruitment	3	1	1	3	Morale incentives through new initiatives - early recruitment. Developing "growing own"	ALL	Low
FD2	ACCOUNTANCY	Capital Projects & Accountable Body Schemes	3	2	1	6	Ensure fee top sliced from any funding request to buy in additional support. Cross cutting regeneration team being considered by WLR	CN	Low
FD3	ACCOUNTANCY	Operational Overspends	3	2	1	6	Timely monitoring and commitment accounting	CN	Low
FD4	ACCOUNTANCY	Training/CPD	2	2	1	4	Assimilation and staff appraisal	CN	Low
FD5	ACCOUNTANCY	Treasury Management	3	3	1	9	Monitoring meetings and treasury advisors	ST	Low
FD6	ACCOUNTANCY	Insurances	3	2	1	6	Dept meetings and revised risk management group	ST	Low
FD7	ACCOUNTANCY	Provision of Financial Advice	3	2	1	6	Attendance and dept meetings	PR/ST	Low
FD8	ACCOUNTANCY	Statutory Responsibilities	3	3	1	9	Fin regs	SB	Low
FD9	ACCOUNTANCY	Monies Due in i.e. Grants etc.	3	2	1	6	Ensure robust process in place and links with E Reg	ST/PR	Low
FD10	ACCOUNTANCY	Financial Planning	3	2	1	6	Implement robust medium term final plan and process of review/update	SB	Low

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FD11	ACCOUNTANCY	Financial Control Accounts	3	2	1	6	monthly monitoring and co-ordination in place	CN	Low
FD12	ACCOUNTANCY	Creditors	3	1	1	3	Manual cheque book. Rotation of duties	CN	Low
FD14	BD	Staff Retention & Recruitment	2	1	3	6	Restructured/Section leader retired two positions require to be filled. Continue to consider resilience as available from other authorities	SB/CL	Med
FD15	BD	Inadequate Training	2	1	3	6	Training plan	CL	Low
FD18	BD	Lack of Cover	2	1	3	6	Plan/phase/resource/ manage - INCREASE SKILLS BASE	CL	Low
FD20	BD	Implementing New Technologies	2	2	2	8	Manage strategically - service depts. to include IT in early discussion - note held back pending corp team agreement	CL	Low
FD21	BD	Lack of Staff Resources	2	1	3	6	More staff or less work or better planning	SB / PC	Low
FD22	BD	Accommodation Loss	3	3	1	9	Link to Corporate Op Plan	SB / PC	Low
FD23	BD	Power Loss	3	2	1	6	Corporate plan	SB / PC	Low
FD24	BD	Voice Communications Loss	3	3	1	9	Alternate suppliers and mobiles	PC/MS	Low
FD25	BD	Data Communications Loss	3	3	1	9	Alternate suppliers	PC/MS	Low
FD26	BD	Hardware Loss	3	2	1	6	Resilience/spares/external contract	PC/MS	Low

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FD27	BD	Data Loss	3	2	1	6	Regular backups/off-site storage/resilient software	PC/MS	Low
FD28	BD	Security Breaches	2	2	2	8	Firewalls/secure access/virus checking/tight control/security policy	CL/MS	Low
FD29	BD	Out of Hours Cover	1	1	3	3	More staff or staggered working	CL/PC/MS	Low
FD32	AUDIT	Staff Retention & Recruitment	2	1	2	4	Managed Strategically consider support/management from others if required.	MR	Low
FD33	AUDIT	Access to Systems	1	2	1	2	Help desk + corporate resilience arrangements	MR	Low
FD35	FRAUD	Reduced funding from DWP - basic admin grant, rather than based on level of activity e.g. prosecutions. Risk of removing incentive on performance.	1	3	2	6	Set performance targets. Management recognition of performance.	MR	Low
FD36	FRAUD	Newly recruited staff may affect implementation of the new fraud case management system.	1	2	2	4	Training plan & supervision.	KD	Low