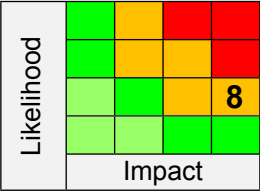
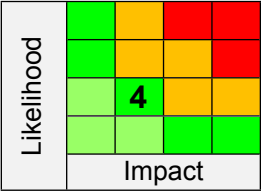
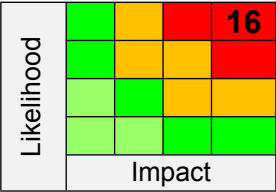
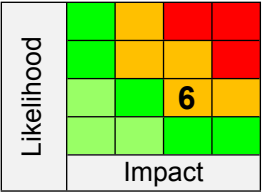


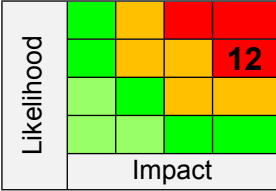
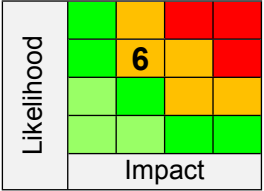
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Risk Code and Title	Primary Risk Type	Potential Consequences	Inherent Risk Matrix	Residual (Current) Risk Matrix	Direction of Travel
SR1 Inadequate business continuity and recovery arrangements, resulting in major internal and/or external disruption to services in the event of an incident.	Strategic	<ul style="list-style-type: none"> • Inability to deliver key/critical services e.g.benefits, refuse collection, homelessness applications, emergency repairs. • Reduction in access channels available to residents / customers i.e. contact centre, customer services, telephony 			MAINTAIN AS CURRENT
Current Treatments and Controls	<ul style="list-style-type: none"> • Business Continuity Planning • IT Disaster Recovery Plan • Website hosted externally • Off-site data back-up arrangements • Stand-by generator for ICS building • Cloud based telephony infrastructure • Contingency planning for failure of major contractor • On – going testing 				
Risk Owner	Strategic Director of Corporate Services				
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Business Continuity Plans currently being reviewed and updated with assistance from the County Council's business continuity team		<u>Responsible Officer:</u> Head of Strategic Support	<u>Target Date:</u> Complete	

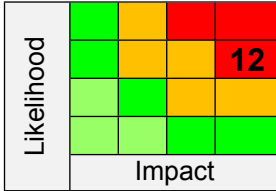
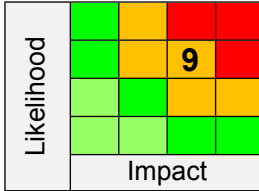
Appendix C

	Disaster Recovery testing to be undertaken during 2019/20		Head of Customer Experience	December 2019	
Risk Code and Title	Primary Risk Type	Potential Consequences	Inherent Risk Matrix	Residual (Current) Risk Matrix	Direction of Travel
SR2 Inadequate data sharing and data security arrangements.	Strategic	<ul style="list-style-type: none"> Ineffective processes for sharing data with other agencies / authorities leading to data breaches Major reputational damage and loss of public confidence Potentially significant fines 			MAINTAIN AS CURRENT
Current Treatments and Controls	<ul style="list-style-type: none"> Information sharing agreements in place with key agencies and authorities Annual IT health checks including penetration testing Data Protection Officer in post Data protection training and awareness for staff and councillors IT security policies in place IT Policies are reviewed on a regular basis 				
Risk Owner	Strategic Director of Corporate Services				
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Not Applicable		<u>Responsible Officer:</u> N/A	<u>Target Date:</u> N/A	

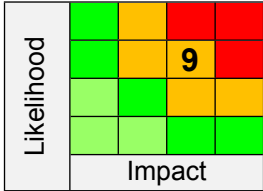
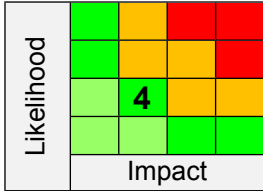
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Risk Code and Title	Primary Risk Type	Potential Consequences	Inherent Risk Matrix	Residual (Current) Risk Matrix	Direction of Travel
SR3 Inadequate civil contingency arrangements resulting in failure to respond appropriately to a major incident (eg. flooding, terrorism etc).	Strategic	<ul style="list-style-type: none"> • Inability to respond to affected peoples' basic needs (food, shelter etc) • Adverse effect on the local economy • Major reputational damage and loss of public confidence • Extending the recovery phase longer than necessary 			MAINTAIN AS CURRENT
Current Treatments and Controls	<ul style="list-style-type: none"> • Participation in the Local Resilience Partnership and Forum (LRP and LRF) • Appropriate emergency and incident planning in place • Regular Testing and exercising of emergency plans • Training and awareness for relevant staff • 24/7 call-out arrangements for senior managers (SMT / CMT) • Participation in county-wide Events Safety Group (SAG) • Reviews periodically undertaken within current Treatments and Controls 				
Risk Owner	Chief Executive				
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Not Applicable		<u>Responsible Officer:</u> N/A	<u>Target Date:</u> N/A	

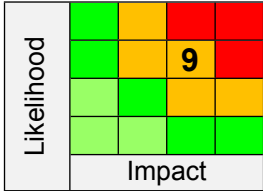
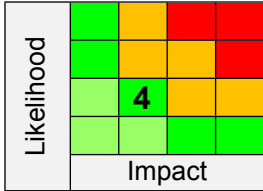
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Risk Code and Title	Primary Risk Type	Potential Consequences	Inherent Risk Matrix	Residual (Current) Risk Matrix	Direction of Travel
SR4 Significant reduction in external funding and/or income generated leading to a reduction in the financial resources available for service provision and/or to fund corporate objectives.	Strategic	<ul style="list-style-type: none"> • Inability to meet demand for services • Inability to meet statutory duties • Ceasing or reducing some services 			MAINTAIN AS CURRENT
Current Treatments and Controls	<ul style="list-style-type: none"> • Annual production and monitoring of Medium Term Financial Strategy (MTFS) • Treasury Management Strategy • Budget and revenue monitoring processes • Business continuity planning • Production and monitoring of efficiency plan • Maintenance of reserves at specified required levels • Monitor, consider and respond to government proposals affecting budgets and/or income 				
Risk Owner	Strategic Director of Corporate Services				
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Not Applicable		<u>Responsible Officer:</u> N/A	<u>Target Date:</u> N/A	

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Risk Code and Title	Primary Risk Type	Potential Consequences	Inherent Risk Matrix	Residual (Current) Risk Matrix	Direction of Travel
SR5 Failure to maintain adequate risk management arrangements and processes, including monitoring risks at operational level and escalating these where required.	Strategic	<ul style="list-style-type: none"> • Adverse impact on service delivery • Reputational damage 			MAINTAIN AS CURRENT
Current Treatments and Controls	<ul style="list-style-type: none"> • Approved risk management framework in place • Identification and regular monitoring of strategic and operational risks • Quarterly meetings of Risk Management Group to monitor risks, insurance claims, health & safety incidents, and data breaches • Monitoring of strategic risks by the Audit Committee • Escalation processes in place (strategic risks to Cabinet, operational risks to Risk Management Group) 				
Risk Owner	Chief Executive				
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Not Applicable		<u>Responsible Officer:</u> N/A		<u>Target Date:</u> N/A

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Risk Code and Title	Primary Risk Type	Potential Consequences	Inherent Risk Matrix	Residual (Current) Risk Matrix	Direction of Travel
SR6 Ineffective strategic communication arrangements	Strategic	<ul style="list-style-type: none"> •Reputational damage •Adverse media coverage •Damage to relationships with partners •Damage to staff morale 			MAINTAIN AS CURRENT
Current Treatments and Controls	<ul style="list-style-type: none"> • Adequately staffed and experienced corporate communications team • Corporate Communications Plan in place • Regular monitoring of all media sources • Continue to expand on social media use and reach • 'Horizon scanning' for potential communication issues at each Corporate Management Team meeting • External review/appraisal of Communications undertaken by Local Government Association 				
Risk Owner	Chief Executive				
Planned Future Actions and Responsible Officer(s).	<u>Description:</u> Not Applicable		<u>Responsible Officer:</u> N/A	<u>Target Date:</u> N/A	