

No.	Risk	Consequences	Current Risk Score (Former score)	Mitigation <i>(Italicised items are actions to undertake.)</i>	Target Score/ Action Plan	By whom
1	Failure to recruit and retain appropriate staff. (Not making the best of staff)	<ul style="list-style-type: none"> • Turnover of staff may result in unprofessional service • Low staff morale • Failure to meet obligations or objectives/targets • Partnership (Council) not recognised as a good employer • Qualified and experienced staff do not wish to work for NYAP 	B3 (C3)	<ul style="list-style-type: none"> • Remuneration package need to be in line with market trends • Flexible HR policies including the promotion of work/life balance • Regular team meetings, and systems to inform the staff. • <i>Performance Management used to identify training and development needs to further develop staff.</i> • <i>Ensure that there is sufficient staff at each level, taking cognisance of the changes arising from the revised structure of the Partnership.</i> • 	B2	PMB; HoP; Dir
2	Risk of loss of <ul style="list-style-type: none"> • Head of Partnership; • Audit Managers, & • key staff, either permanently or long term absence. 	<ul style="list-style-type: none"> • Head of Partnership not professionally qualified. (Cipfa CoP) • Loss of key component in service (e.g. ICT Audit, access control at SBC) 	C3 (C3)	<ul style="list-style-type: none"> • Training programme for all staff. • <i>Succession planning [HoP will be 60 in June 2011]</i> • <i>Contingency planning</i> • 	B2	PMB; Dir; HoP
3	Not recruiting extra partners.	<ul style="list-style-type: none"> • No growth in income 	B2 (D2)	<ul style="list-style-type: none"> • Bidding where possible • Choice between price and profit 	B2	HoP

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	<u><i>Is this really a risk??</i></u>	<ul style="list-style-type: none"> • May increase possibility of financial loss. • Could reduce staff morale • Failure to meet expectations or objectives/targets 		<ul style="list-style-type: none"> • <i>Currently Craven are showing a strong interest; Harrogate may prove a 'tougher nut to crack'</i> • 		
4	<p>Health & Safety legislation and issues associated with diverse sites and staff.</p> <p>Small size may lead to demand for lone working.</p>	<ul style="list-style-type: none"> • Injury, • vehicle accident or breakdown etc • Staff 'stuck' without adequate support. • Possible low staff morale • Failure to meet statutory obligations. • 	B3 (B3)	<ul style="list-style-type: none"> • Take account of staff working arrangements and • <i>Review & Monitor H&S aspects for all sites</i> • <i>Ensure staff are aware of personal responsibility, and have sufficient awareness training.</i> • <i>Ensure staff have access to mobile phones</i> • <i>Minimise travelling where practicable.</i> • <i>Use video conferencing where available and possible.</i> 	A3	HoP AM AM AM
5	Failure to achieve satisfactory completion rates for audit plans.	<ul style="list-style-type: none"> • Poor image at partner councils • Risk of adverse comment from external auditors to partner councils. 	B2 (B2)	<ul style="list-style-type: none"> • Relevant training is made available to all staff • Briefings for staff on progress against plans • Ensure that requests for supplementary work are taken into audit planning and that the core business is not reduced. • <i>Need to monitor and manage the increasing demands from the partner council's external auditors.</i> 	A1	HoP AM

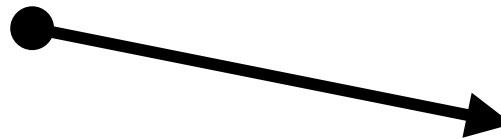
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6	No formal arrangements in place for the end of the current partnership agreement	<ul style="list-style-type: none"> • Staff problems • Councils will need to provide internal audit 	A3	<ul style="list-style-type: none"> • Review currently underway • Continue discussions with a potential fourth partner council • Ensure staff are aware and where practicable involved in the process • Ensure staff opinions are sought and their views heard. 	A2	PMB; Dir; HoP
7	The Unitary Bid by NYCC will be successful.	<ul style="list-style-type: none"> • Staff fear job changes and may elect to leave. • The potential fourth partner may decide it's not worth the effort. 	C3	<ul style="list-style-type: none"> • Ensure staff continue to be fully briefed on the bid's progress • Provide counselling if required/requested. • Liase with the County to prepare the ground for a county wide audit team. 	C1/2	HoP
8	Increased joint working by partner councils leads to reduced audit plans. N.B. Gershon drive may also lead to reduced audit plans.	<ul style="list-style-type: none"> • Risk of surplus staff, and so redundancy. • Most able staff may leave. 	B2 (C3)	<ul style="list-style-type: none"> • Keep staff informed. • <i>Monitor demand, and ensure natural wastage is used to avoid redundancy.</i> • 	B2	Dir; HoP
9	Not maintaining development of risk management may lead to the	<ul style="list-style-type: none"> • Reduced demand for IA services • Reduction in staff. 	C3 (C3)	<ul style="list-style-type: none"> • <i>Ensure that Risk Management is seen as a natural aspect of the Partnership's portfolio.</i> • <i>Take an active role in each council. [Of the Partners, SBC is most likely to move the work</i> 	B2	HoP AM

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	role being allocated elsewhere.			<i>elsewhere.]</i>		
10	Confidentiality of work may be compromised by the use of open plan offices	<ul style="list-style-type: none"> • Relevant at Ryedale & Richmondshire only • Loss of information • Reputation as secure confidant damaged 	A2 (A2)	<ul style="list-style-type: none"> • Ensure staff are aware of issue and that where necessary confidential work is undertaken in suitable locations. 	A2	HoP AM
11	Loss of ICT systems, and data from USB 'sticks'	<ul style="list-style-type: none"> • Loss of information and work leading to audit reports. 	A2 (A2)	<ul style="list-style-type: none"> • Systems are all linked into the systems of the 'host' council, so reliance is on their systems for back up and recovery. • These are subject to audit by the ICT auditor. • <i>Staff need to be aware of risks associated with Data storage media (USB sticks) and vigilant that they are protected.</i> 	A2	HoP AM Team
12	Risk that the increased size may lead to a bid from the private sector for the partnership.	<ul style="list-style-type: none"> • Loss of direct control by the Partner Councils, as it will move to a contracting arrangement (& therefore subject to EU procurement rules). 	C4/5	<ul style="list-style-type: none"> • <i>Consider future possible option of joining with the City/County Audit Partnership [however this may make an even more attractive package].</i> • <i>Ensure 'decision makers' are kept informed.</i> • <i>Ensure good quality IA service</i> • 	A3	Dir HoP AM
13	Risk that the Board will not agree a 'proper'	<ul style="list-style-type: none"> • Impossible to meet so imposed efficiency and 	E4	<ul style="list-style-type: none"> • <i>Set a proper and fair rate which will deliver reasonable outcomes, both performance and financial.</i> 	B2	PMB; Dir HoP

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	charging mechanism and charge out rate.	performance • Therefore very unlikely to meet financial targets. • Adversely affects motivation of Audit Managers, and staff. • Arrangement almost certainly causes a deficit in the accounts, which could lead to inter-partner tension.		<ul style="list-style-type: none"> • <i>Directors need to understand and accept (and the PMB approve) that it is not realistically possible to increase productivity and so performance any further. Secondly that as the partnership's cost base is virtually all payroll, any changes in pay have a direct linear relationship to the cost base.</i> 		

Key

- PMB Partnership Management Board
- Dir Directors (S 151 Officers)
- HoP Head of Partnership
- AM Audit Managers
- Team all staff



Risks mapped to score matrix

Impact:

- 1 = Low
- 2 = Minor
- 3 = Medium
- 4 = Major
- 5 = Disaster

Likelihood:

- A = Very Low
- B = Not Likely
- C = Likely
- D = Very Likely
- E = Almost

Impact	5					
	4			12,		13,
	3		1,4,	2,9,		
	2	10,11	3,5,8,			
	1					
		A	B	C	D	E
Likelihood						

Certain