

**Devon Audit Partnership - Strategic and Operational Risk Register Updated October 2014**

Ref	Risk Description	Inherent		Mitigating control	Controlled		Further action required	By When		
		Impact *	Probability		RISK *	Impact			Probability	RISK
<b>Strategic Risks</b>										
S1	Failure to recruit and retain key staff (due to staff dissatisfaction, inability to offer permanent contracts etc.)	3	3	9	2	2	4	IIP assessment completed, but "lessons learnt" not yet fully embedded. Action required in this area. Continue to build up "associates"	Winter 2014	
S2	Change in priorities or dissatisfaction of one of the founding partners results in a partner leaving.	4	2	8	3	2	6	Continued development of service. Impact of a single founding partner leaving now reduced due to reduced contribution of partners and increase of funding from other clients. Evidence of "added value".	Ongoing  Ongoing  Dec 2014	
S3	Loss of data due to IT failure / unable to use secure data transfer arrangements	3	2	6	2	2	4	Part of DCC network – so lots of resilience. Data sharing agreements prepared and shared / agreed with each partner. Use of Mki – hosted software supplier.	Further refine Data Sharing Agreements in light of PSN guidance and advice / comments received from external partners (Fire, Teignbridge etc)	Autumn 2014

# ITEM 6

S4	Growing the partnership through collaboration with other partners could be a distraction to the maintenance and development of our current business.	2	1	1	1	1	1	1	1	None.	
S5	Pace of change, type of change and political impacts prevent the partnership from being an effective vehicle for growth.	2	2	4	2	4	1	1	1	Be prepared to consider a number of scenarios and develop viable strategies.	
<b>Operational risks</b>											
O1	Failure to deliver agreed audit plan in line with current targets resulting in increased control risk to clients and lack of confidence in DAP as a provider.	3	2	6	2	2	2	4	4	Make best use of IT to ensure valuable people resource is used as effectively as possible. Strong and effective management to tackle areas of concerning performance.	Winter 2014  Ongoing
O2	Inefficient or expensive IT arrangements	2	3	6	2	2	2	4	4	Further work required. To include:- - looking at other service providers - do we need a dedicated line at Torbay? Can we share the cost? - what are the impacts of PSN and will this increase costs	Winter 2014

O3	Insufficient revenue budgets to deliver service effectively	2	1	2	Signed SLA with main partners. Signed SLA's with other customers (Fire, Police, Torridge etc)	1	1	1	1	Ensure that we invoice accurately (based on data from Mki) and promptly !	Ongoing
O4	Failure to make savings or generate increased efficiencies	3	2	6	Good notice of what is required. Good understanding of cost base and use of temp staff / associates to "turn up" or "turn down" our staffing commitments.	2	1	2	2	Continuous monitoring. Continuous need to sell services to other clients.	Ongoing
O5	Accommodation may be too expensive for our requirements.	2	2	4	Continue to monitor costs of accommodation and compare to market. Meets all H&S requirements	1	1	1	1	Ongoing analysis of IT and accommodation needs maximising mobile working and flexible staff resource.	Jan 2015

\* Risk score based upon the DCC approach to Risk Management. <http://staff.devon.gov.uk/riskmanagementstrategy2011.pdf>

