

HAMBLETON DISTRICT COUNCIL

Report to: Scrutiny Committee
29 November 2018

From: Director of Finance (s151 Officer)

Subject: **REVIEW OF RISK MANAGEMENT**

All Wards

1.0 PURPOSE AND BACKGROUND:

- 1.1 The Council has a robust risk management process in place which includes a comprehensive risk register. The register captures all risks identified as presenting a threat or opportunity which may impact the Council's service delivery.
- 1.2 All risks are reviewed by the relevant service on a quarterly basis to reflect upon their appropriateness and the adequacy of the mitigating action plan.
- 1.3 The Strategic Risk Management Group (SRMG) established last year continues to meet regularly to drive all aspects of risk management compliance for the authority, supporting the monitoring roles performed by Management Team, Scrutiny Committee and Audit, Governance and Standards Committee. The group act as risk 'champions' ensuring risk management has an appropriate profile and sufficient focus on the corporate agenda.
- 1.4 As a result of the group's work so far, at Quarter 1 an 'action plan timeline' and expanded scoring methodology were introduced meaning each risk now carries both a Gross or inherent score, as well as a Net or residual score. The Gross score reflects the inherent risk to the council should the event occur, the Net score reflects the residual risk once the mitigating action plan is in place and successfully taken effect.
- 1.5 During Quarter 2 SRMG further agreed that:
- (a) 'Strategic' and 'Operational' organisation identifiers no longer added value to the authority's risk management process and from Q2 are no longer used.
 - (b) Similarly, risk 'Categories' are no longer appropriate and from Q2 are no longer used
 - (c) Project risks continue to be clearly identified.
- Risks will continue to be identified and monitored primarily by way of score.
- 1.6 SRMG also considered the two elements of the risk score – Likelihood x Impact. The likelihood of a risk occurring is straightforward to gauge and remains unchanged, however,
- (a) new 'Impact Criteria' definitions (attached Annex A) have been introduced for improved understanding of the potential effect of each risk; and
 - (b) new 'Impact Score' matrix (attached Annex B) has been introduced to help with more accurate and consistent scoring of each risk.
- Both definitions and matrix were circulated for Service Managers to use from Q2 onwards when scoring all risks.
- 1.7 Risk Managers were asked to complete the comprehensive review of all their risks to ensure they remain relevant; as a result 196 risks were changed during Q2 with 17 risks closed and 18 new risks identified. The Authority currently holds a total of 334 active risks across all service areas.

1.8 As a result of the changes to the risk management process introduced this quarter, the risks presented for Scrutiny Committee review are consistent with those reported at Quarter 1. Attached at Annex C are the Council's Project risks and at Annex D the Council's general risks for 2018/19 Quarter 2.

1.9 The risk management process continues to be developed so that a clearer picture of High level risks and corporate risks will be reported at Q3.

2.0 RISK MANAGEMENT:

2.1 There are no risks associated with the recommendations of this report.

3.0 RECOMMENDATIONS:

3.1 It is recommended that the Committee note:

- | | | |
|-----|---------|---------------------------|
| (1) | Annex A | new 'Impact Criteria' |
| (2) | Annex B | new 'Impact Score' matrix |
| (3) | Annex C | HDC Project risks |
| (4) | Annex D | HDC risks |

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DIRECTOR OF FINANCE (S151 OFFICER)

Background Papers: Internal Audit Report - Annual Review of the Risk Management Strategy
Department Quarterly Risk Register Review

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Impact Criteria

For a holistic approach to risk identification that avoids focusing purely on operational, financial or legal issues, as well as for analysis and monitoring purposes, it is helpful to classify risks into key criteria.

The criteria HDC uses are described below. Many risks fall into more than one category and managers must select all that apply to each risk.

IMPACT CRITERIA	DEFINITION	EXAMPLES
Economic	Affecting the ability of the Council to meet its financial commitments. These risks can include financial and other external macro level economic changes or the consequences of proposed investment decisions	Cost of living, changes in interest rates, inflation, poverty indicators
Environmental	Relating to the environmental consequences of progressing, or not progressing, the Council's strategic objectives	Land use, recycling, pollution, food safety, flooding
Financial	Associated with financial planning and control	Budgeting, level of Council tax & reserves
Health & Safety / Physical	Related to fire, security, accident prevention, involves possibility of injury, illness or death	Injury of staff due to actions of customer or workplace conditions
Legal	Related to possible breaches of legislation with potential penalty.	Legal challenge against the Council
Performance	The ways that the council can improve what it does, by making the best use of resources to deliver efficient and effective quality services to the community.	Progress towards agreed targets is demonstrated through defined key performance indicators and projects for enhanced decision making.
Reputational	Outcome would damage the good name of the Council.	Officers/Members being involved in inappropriate activities
Service Delivery	Failure to meet the current and changing needs and expectations of customers and citizens	Managing expectations, extent of consultation

Impact Risk Score

		IMPACT SCORE				
		1 Insignificant	2 Minor	3 Moderate	4 Major	5 Catastrophic
IMPACT CRITERIA	Economic *	No effect from economic downturn.	Marginal effect on economic growth plans	Restricts the ability of the council to meet economic growth commitments	Leads to changes in proposed investment decisions	Failure to deliver economic growth
	Environmental	Insignificant environmental damage	Minor damage to local environment	Moderate local environmental damage	Major damage to local environment	Significant environmental damage attracting national and/or international concern
	Financial	Financial loss >£20,000	Financial loss >£20,000 <£80,000	Financial loss >£80,000 <£250,000	Financial loss >£250,000 >£600,000	Financial loss >£1,000,000
	Health & Safety / Physical	No injury / claims	Minor injury / claims (first aid treatment)	Violence or threat or serious injury / claims (medical treatment required)	Extensive multiple injuries / claims	Loss of life
	Legal	Minor civil litigation or regulatory criticism	Minor regulatory enforcement	Major civil litigation and/or local public enquiry	Major civil litigation setting precedent and/or national public enquiry	Section 151 or government intervention or criminal charges
	Performance	Objectives still achieved with minimum extra cost or inconvenience	Partial achievement of objectives with compensating action taken or reallocation of resources	Additional costs required and or time delays to achieve objectives – adverse impact on KPIs and targets	Unable to achieve corporate objectives or statutory obligations resulting in significant visible impact on service	Unable to achieve corporate objectives and/or corporate obligations
	Reputational	No reputational damage	Minimal coverage in local media	Sustained coverage in local media	Coverage in national media	Extensive coverage in national media
	Service Delivery	Insignificant disruption on internal business – no loss of customer service	Some disruption on internal business only – no loss of customer services	Noticeable disruption affecting customers. Loss of service up to 48 hours.	Major disruption affecting customers. Loss of service for more than 48 hours.	Loss of service delivery for more than seven days.

HDC Project Risks 2018-19 Q2

Risk ID	Risk Name	Project Risk	CP Priority	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
							Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
DRIVING ECONOMIC VITALITY														
615	Inability to deliver Bedale Gateway Car Park project leads to long-term damage to local economy through loss of visitors and trade.	PR	EV	Design & Maintenance (incl Public Lighting)	Helen Kemp	Clive Thornton	3x4	12	High	Economic assessment in 2017 indicated limited if any impact on economy due to relief road. Work being undertaken to determine possible partners and funding options to deliver car park. On-going monitoring of economic vibrancy of town. Fundamental review of options in June 2019.	Jun-19	3x3	9	Med
632	North Northallerton Project is delayed or stalls completely, adversely affecting the Council's supply of housing and employment land.	PR	EV	Business & Economy	Helen Kemp	Nicole Patterson & Sam Swinbank	5x5	25	High	The situation is monitored and regular communication maintained with the developer consortium and stakeholders to ensure delivery of project	2028	3x5	15	High
736	Dalton Bridge - Cost escalation during construction stage with HDC having to pick up 50% of the escalation above the budget. Detailed project risks are held within the project risk register	PR	EV	Business & Economy	Helen Kemp	Nicole Patterson / Sam Swinbank	3x4	12	High	Review and challenge where appropriate areas of costs escalation outside the budget. Monitor through monthly report from NYCC and bi-monthly progress meetings with NYCC to understand the schemes financial expected out-turn.	Sep-18	2x4	8	Med
738	Central Northallerton Redevelopment - The dividends expected from the development are not received	PR	EV	Corporate	Justin Ives	Louise Branford-White	4x4	16	High	Monitor the Joint Venture Company Budget quarterly and support the sale of phase I and phase II of the development	Quarterly	3x4	12	High
739	Central Northallerton Redevelopment - The site is not developed to reflect the aspirations of the Council	PR	EV	Corporate	Justin Ives	Louise Branford-White	4x5	20	High	1. Board meets every 2 months; 2. CExc & Deputy Leader represent the interest of the Council; 3. Internal Board meeting reviews, monitors and suggests actions - meets every 6 weeks	6 weekly monitoring, completion date summer 2020	3x4	12	High
740	Sowerby Gateway - Junction - Key elements of infrastructure are delayed	PR	EV	Planning	Helen Kemp	Mark Harbottle	4x4	16	High	Ongoing officer engagement with developers and other stakeholders in the scheme to ensure any issues are addressed at the earliest opportunity. (Works to construct junction have commenced and risks of failure are therefore significantly reduced. The formation of the Sowerby Sports Village has also commenced and a programme of action lead by the Dept for Education to create a new Primary School on the Sowerby Gateway side is in place.) Officers maintain dialogue internally and external stakeholders. Likelihood reduced from 4 to 1 (4/10/2018) TJW.	Monthly review	1x4	4	Low
750	Leeming Bar Industrial Estate – Community objection to the scheme	PR	EV	Business & Economy	Helen Kemp	Nicole Patterson / Sam Swinbank	3x5	15	High	Establish Community Working Group to allow issues to be raised and to be addressed as part of the Scheme Development Stage.	2018	3x4	12	Med
ENHANCING HEALTH & WELLBEING														
699	Northallerton Sports Village - Funding Plan cannot be resourced sufficiently to develop the village as intended	PR	HW	Leisure & Communities	Paul Staines	Steven Lister	4x4	16	Med	<ul style="list-style-type: none"> Built Facilities, Playing Pitch and Open Spaces strategies have been produced to evidence the need for more sports provision in Northallerton Some Section 106 funds have been secured (£300k) National Governing Bodies will be consulted in a timely fashion The council is considering purchasing a Grant Finder product 	2025	3x3	9	Med
703	Sowerby Sports Village - not obtaining sufficient external funding to complete phase 1 within a timely manner	PR	HW	Leisure & Communities	Steve Lister	Lisa Wilson	1x5	5	Low	<ul style="list-style-type: none"> European Regional Development Fund successful Section 106 in place – dialogue with the housing developer has taken place at a senior level to clarify timescales 	2019	1x2	2	Low

HDC Project Risks 2018-19 Q2

Risk ID	Risk Name	Project Risk	CP Priority	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
A SPECIAL PLACE TO LIVE														
116	Lack of resources or failure in the process leads to Local Plan being found unsound at Examination and results in a need to repeat the process and leads to speculative planning applications and appeals.	PR	SP	Planning	Helen Kemp	Mark Harbottle / James Campbell	1x4	4	Low	Project planning to ensure new Local Plan is brought forward in a timely manner and based on a robust evidence base, Sustainability Appraisal & community & stakeholder engagement & that legal requirements are followed. Review LDS annually. LPE consultants checking document prior to Publication. Investment in planning policy staff resource & software	Review monthly	1x4	4	Low
763	Dalton Bridge - Cost escalation during construction stage with HDC having to pick up 50% of the escalation above the budget. Detailed project risks are held within the project risk register	PR	SP	Planning	Helen Kemp	Mark Harbottle	1x5	5	Low	Up to date Local Development scheme to be published. Members & officer involvement in Duty to Co-operate. Robust evidence base for strategic approach in new Local Plan	On-going	1x4	4	Low
737	Local Plan - The Plan is found to be unsound at the Examination stage	PR	SP	Planning	Helen Kemp	Sue Walters-Thompson	2x5	10	Med	Robust evidence base is being developed. Policies to reflect government guidance. Plan is to be checked by experts prior to Publication	Jul-19	1x5	5	Med
764	The Local Plan is overly ambitious & cannot be justified at Examination	PR	SP	Planning	Helen Kemp	Mark Harbottle / James Campbell	4x4	16	High	Robust evidence base has been produced and is being consistently updated. DTC consultation with neighbouring LAs & key stakeholders. Production of Statement of Common Ground. Strategy approach aligns with the Council's Economic Strategy, the SEP etc	Review in line with LDS	2x4	8	Med
GOOD FINANCES														
715	Loan to Broadacres Association fails because the third party no longer requires the loan, or encounters difficulties in their repayments and the income received by the council is reduced	PR	Corp	Corporate Finance	Louise Branford-White	Louise Branford-White	3x5	15	High	Ensure other income generating possibilities are being explored to maintain a balanced budget; monitor the third parties financial position to ensure they are in a secure position for the Council to loan the money; maintain good relations with the third party. Also note that the loan is secured with their housing stock	On-going Funds to be taken 31st March 2019	3x1	3	Low

ANNEX D

HDC Risks
2018-19 Q2

Risk ID	Risk Name	CP Priority	Status	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
							Likelihood : Impact	Score	Risk Level			Likelihood : Impact	Score	Risk Level
DRIVING ECONOMIC VITALITY														
78	Accident/incident involving staff whilst on site leads to work backlog and possible insurance claim against the Council	EV	Active	Planning	Helen Kemp	Mark Harbottle	1x3	3	Low	Site visit protocols, appropriate training and issue PPE (Personal Protection Equipment). Review of lone worker policy/procedure/risks commenced early 2018 & ongoing	Reviewed quarterly	3x1	3	low
ENHANCING HEALTH & WELLBEING														
139	Failure in delivering the Safer Hambleton Hub responsibilities leads to non-compliance with statutory regulations resulting in breaches in the law and legal challenge	HW	Active	Leisure & Communities	Steve Lister	Lisa Wilson	4x3	12	High	<ul style="list-style-type: none"> The Safer Hambleton Hub's operating model is Integrated Neighbourhood Management Delivery is closely monitored to ensure statutory regulations related to crime and disorder and Prevent are complied with in partnership with the North Yorkshire Community Safety Partnership The Community Safety Working Group has been established to keep members appraised of developments 	On-going	1x3	3	Low
149	A drowning or unnatural death takes place within a leisure centre as a result of inadequate operations	HW	Active	Leisure & Communities	Steve Lister	David Ashbridge	4x5	20	High	<ul style="list-style-type: none"> Adherence to nationally prescribed safety standards. Adherence to site specific safe operating practices Competent and qualified staff through on-going training Effective monitoring and review 	On-going	1x5	5	Med
151	Increased direct fitness competition leading to customer migration resulting in less usage/income.	HW	Active	Leisure & Communities	Steve Lister	Bus & Trans'n Mgr	2x3	6	Med	Improve quality of existing provision, improve gym management & improve quality/quantity of frontline gym fees. NLC gym project now complete	On-going	2x3	6	Med
745	Sowerby Sports Village (Phases 2 and 3) - Funding Plan cannot be resourced sufficiently to develop the village as intended	HW	Active	Leisure & Communities	Steve Lister	Lisa Wilson	4x4	16	High	<ul style="list-style-type: none"> A Built Facilities, Playing Pitch and Open Spaces strategies have been produced to evidence the need for more sports provision in Northallerton National Governing Bodies will be consulted in a timely fashion The council is considering purchasing a Grant Finder product 	2022	2x3	6	Low
A SPECIAL PLACE TO LIVE														
170	Failure to use OS maps with correct OS license can lead to legal action by Ordnance Survey.	SP	Active	Planning	Helen Kemp	Laura Malkin	1x2	2	Low	Clear written guidelines on use of maps, ensuring copyright correctly used on maps. Make customer aware of copyright implications. Increase staff awareness through team meetings.	On-going. Review annually next due date 1 April	1X2	2	Low
423	Health of local housing market leads to reduced ability to deliver affordable housing through planning, resulting in failure to achieve corporate plan target and to address housing need	SP	Active	Strategic Housing	Helen Kemp	Helen Kemp	3x4	12	High	Affordable housing targets and thresholds are being reviewed as part of work on new Local Plan and with regard to Government view on Starter Homes and viability considerations. RHE focus on delivery via exception sites that are not reliant on market. Work also underway to promote Community Led Housing Schemes.	On-going Quarterly reviews	2x4	8	Med
425	Welfare reforms lead to increased homelessness presentation, resulting in increased service demands and temporary accommodation costs	SP	Active	Strategic Housing	Helen Kemp	Alison Morton	3x3	9	Med	Focus on prevention work to reduce the number of homeless applications. Work with landlords to help people stay in their homes. Use Bonds to assist access to private rented housing. There is also a big push through the HRA. Shared House delivered for young working people (x5)	On-going Quarterly reviews	2x3	6	Med
432	Failure to keep proper control over NY partnership posts (Rural Housing Enablers & Housing Strategy Manager) leads to employment challenges resulting in financial and reputation loss to HDC	SP	Active	Strategic Housing	Helen Kemp	' Helen Kemp (interim)	2x3	6	Med	IPM & staff 121s; Budget monitored quarterly	Ongoing	1x3	3	Low
463	Failure of the Loval Govt N. Yorks, York & E. Riding Housing Board leads to failure of the significant partnership and service failure to the public.	SP	Active	Strategic Housing	Helen Kemp	Helen Kemp (interim)	1x3	3	Low	Sub regional governance structure embedded & working well.. HDC member representation on Housing Board. Budget management considered quarterly. Staff 121s & appraisals. Local Action Plan has been developed setting out how the Council will deliver sub regional priorities and projects and monitor them. This is reviewed annually in September	On-going. Annual review (due April 2019)	1x3	3	Low

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HDC Risks
2018-19 Q2

Risk ID	Risk Name	CP Priority	Status	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
483	Failure to carry out and implement annual Workplace Health & Safety Risk Assessment leading to harm to staff and resulting in a sub-standard customer service and/or financial and reputational losses.	SP	Active	Strategic Housing	Helen Kemp	Sue Walters-Thompson	2x4	8	Med	Six monthly review of WHSRA for staff undertaken in February 2018 and May 2018 with all staff involved to ensure risks are understood, evaluated and any actions are taken on board by the whole team. H&S Risk assessment undertaken 19/6/18	On-going Next due May / June 2019	1x4	4	Low
546	Over reliance on just one registered affordable housing provider for the whole District -	SP	Active	Strategic Housing	Helen Kemp	'Sharon Graham (interim)	3x3	9	Med	Holding quarterly 121 meetings with all potential providers to encourage them to increase their stock in the District. Provide DM with list of all potential providers to encourage broader participation.	On-going Quarterly reviews	2x3	6	Med
683	Legislative and national policy changes impact on local policy objectives to meet local housing need.	SP	Active	Planning	Helen Kemp	Mark Harbottle	4x3	12	High	Work with other Council departments, partners and other LAs to explore/develop innovative new approaches to mitigate any adverse impact wherever possible. Review affordable housing targets through the new Local Plan taking account of the Governemnt's proposal to include Starter Homes in its definition of affordable housing in emerging NPPF	On-going	4x2	8	Med
725	Some partners no longer want to support the Choice Based Lettings Partnership & the partnership becomes unviable.	SP	Active	Strategic Housing	Helen Kemp	Alison Morton (interim)	3x4	12	High	Each partner is required to give 12 months notice of exiting. Current partnership arrangements were discussed at the Choice based Letting Board in April 2017. Allocations policy reviewed in 2-017/18 to take on board some partner concerns	On-going. Board meets quarterly	2x4	8	Med
730	Determination of planning application for Central Northallerton (Prison Site) delayed.	SP	Active	Planning	Helen Kemp	Mark Harbottle	2x3	6	Med	Detailed pre- application discussions undertaken and time line for submission of the planning application agreed.	Monthly review	2X3	6	Med
737	Local Plan - The Plan is found to be unsound at the Examination stage	SP	Active	Planning	Helen Kemp	Mark Harbottle	2x5	10	Med	Robust evidence base is being developed. Policies to reflect government guidance. Plan is to be checked by experts prior to Publication	Jul-19	1x5	5	Med
762	Failure of Objective software results in Local Plan being delayed or found unsound	SP	Active	Planning	Helen Kemp	James Campbell	2x4	8	Med	Objective is cloud based and as part of contract there are back ups every 24hrs and service continuity plans	Annual review of contract	1x1	1	Low
767	The Council cannot demonstrate that it has used the additional DFG funding obtained via the Better Care Fund appropriately	SP	Active	Strategic Housing	Helen Kemp	Sharon Graham (interim)	3x4	12	High	Private Sector Housing Assistance policy reviewed and adopted in Feb 2018 to allow flexibility for works to be undertaken in respect of Excess Cold & trips & Falls. Council has ring fenced £20k of DFG fund for this work & is working closely with NYCC. New Service KPI	On-going. Quarterly monitoring of KPIs & annual review of policy-	2x3	6	Low
GOOD FINANCES														
225	Failure to manage Capital Programme leading to inability to deliver Council Services efficiently and effectively	FIN	Active	Corporate Finance	Louise Branford-White	Saskia Calton	2x3	6	Med	Monthly review and management of Capital Programme	Quarterly reported	1x3	3	Low
416	Significant reductions in government grant leading to the inability to sustain council services at the current level.	FIN	Active	Corporate Finance	Louise Branford-White	Louise Branford-White	3x4	12	High	An on-going programme of efficient service delivery, and saving reviews and a focus on income generation that ensures best value is being achieved and income is maximised.	On-going	3x4	12	High
709	Failure to set annual Budget to reflect the Financial Strategy and the budgeted Council Tax.	FIN	Active	Corporate Finance	Louise Branford-White	Saskia Calton	1x3	3	Low	Complete and challenge the Budget setting process	Annually - February	1x3	3	Low
715	Loan to Broadacres Association fails because the third party no longer requires the loan, or encounters difficulties in their repayments and the income received by the council is reduced	FIN	Active	Corporate Finance	Louise Branford-White	Louise Branford-White	3x5	15	High	Ensure other income generating possibilities are being explored to maintain a balanced budget; monitor the third parties financial position to ensure they are in a secure position for the Council to loan the money; maintain good relations with the third party. Also note that the loan is secured with their housing stock	On-going Funds to be taken 31st March 2019	3x1	3	Low

ANNEX D

HDC Risks
2018-19 Q2

Risk ID	Risk Name	CP Priority	Status	Service	Service Director / Responsible Officer	Risk Manager	GROSS / INHERENT RISK			ACTION PLAN	ACTION PLAN timeline / completion date	NET / RESIDUAL RISK		
CORPORATE														
227	Unable to access HDC services due to ineffective individual business continuity plans leading to loss of service.	CORP	Active	Corporate	Paul Staines	Paul Staines	4x5	20	High	Following recent audit and working with Veritau an action plan to refresh the Council's Business Continuity Plan at corporate and service level has been identified. This will include, review and challenge of business continuity plans, including risks and targets; provide training to increase understanding of Business Continuity Plan / Disaster Recover and to clarify responsibilities for Management Team, Heads of Service and Service Managers; produce a schedule for authorising, testing and reviewing Business Continuity Plans and Disaster Recovery. Complete an internal review of services, risks and agree operational importance to inform Business Continuity Plans, updating risk register as appropriate. Review and agree Business Continuity Plan support with NYCC. Timeline for delivery is in development. Responsibility transferred to Leisure & Environment Directorate.	43525	3x4	12	Med
383	Failure to review and update emergency plans leads to inadequate response.	CORP	Active	Corporate	Paul Staines	Paul Staines	2x4	8	Med	HDC to maintain review process with NYCC Emergency Team. Responsibility transferred to Leisure & Environment Directorate.	Ongoing	2x3	6	Med
GOOD GOVERNANCE														
77	Total loss of electronic records of planning files leads to inability to provide historical data of information processed and unable to meet statutory requirements	GOV	Active	Planning	Helen Kemp	Tim Wood / Peter Jones	1x5	5	Med	Maintain back up copies of electronic planning records. This is carried out automatically, daily.	On-going	1x2	2	Low
226	ICT system(s) failure leads to loss of Council operations & key channels of communication (telephones, email, website, etc.) resulting in inability of the Council to communicate and carry out transactions with Citizens.	GOV	Active	ICT (inc. Reprographics)	Louise Branford-White	Jenny Pan	1x5	5	Med	ICT to revise, test and maintain a Disaster Recovery plan according to identified business needs	Continuously monitored each year	1x5	5	Med
407	Failure to develop and maintain an effective Business Continuity plan leads to lack of resilience or inability to access HDC services resulting in loss of service or failure of service delivery.	GOV	Active	ICT (inc. Reprographics)	Louise Branford-White	Jenny Pan	1x5	5	Med	ICT Disaster Recovery Policy procedure is in place and will work with Business Areas to provide resilience in line with the business needs. Emergency Kit is in place, being reviewed and backed up on regular basis	Continuously monitored and reviewed	1x5	5	Med
476	Failure to carry out and implement annual Workplace Health & Safety Risk Assessment leading to harm to staff and resulting in a sub-standard customer service and/or financial and reputational losses.	GOV	Active	Planning	Helen Kemp	Tim Wood/Peter Jones / Mark Harbottle / James Campbell / Ann Rawlinson	2x4	8	Med	Six monthly review of WHSRA for staff undertaken in February 2018 (DevMan 13 Feb 2018) and May 2018 with all staff involved to ensure risks are understood, evaluated and any actions are taken on board by the whole team. H&S Risk assessment undertaken 19/6/18	Six monthly inspections, next due Oct 2018	1x4	4	Low
505	Failure to implement the Council's Information Strategy leads to violation of General Data Protection Act resulting in possible fine by the Information Commissioner and/or failure to make decisions leading to legal challenge	GOV	Active	Planning	Helen Kemp	Tim Wood / Peter Jones / Mark Harbottle / James Campbell / Anne Robinson	3x3	9	Med	Annual review of service area records management in line with Document Retention Policy, to be undertaken by 31 December each year, and all staff have received corporate Data Protection training. New staff to be trained	On-going Review 31st December 2018	2x3	6	Med
677	Cyber attack facilitated by user error leads to loss of key ICT infrastructure resulting in reduced ability to provide ICT Services	GOV	Active	ICT (inc. Reprographics)	Louise Branford-White	Jenny Pan	5x3	15	High	Compulsary annual Cyber Security training for all users, Cyber Security Incident Management Plan in place, actively monitor and review ICT security policies, participate in WARP (Warning, Advice and Reporting Point) to share knowledge and information with other Councils, arrange ICT staff training to keep up with the latest development; purchase Cyber Liability Insurance	Continuously monitored	3x5	15	High
705	Failure to provide timely legal advice and assistance regarding key strategic projects results in delays to the projects with potential adverse partnership effects and reputational damage.	GOV	Active	Legal Services	Gary Nelson	Laura Venn	2x3	6	Med	Ensure prioritisation of work and working in project deadlines for the key strategic projects to promote the Council's priorities.	On going	2x2	4	Low