



Dear Councillor

**CORPORATE GOVERNANCE COMMITTEE - WEDNESDAY, 27
SEPTEMBER 2023**

I am now able to enclose for consideration at the above meeting the following reports that were unavailable when the agenda was printed.

Agenda Item

No.

4. RISK MANAGEMENT STRATEGY(Pages 3 - 72)

To receive the Risk Management Strategy Report.

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Public
Key Decision - No

HUNTINGDONSHIRE DISTRICT COUNCIL

Title/Subject Matter: Approval of the Council's Risk Strategy

Meeting/Date: Corporate Governance Committee - 27 September 2023

Executive Portfolio: Martin Hassall - Executive Councillor for Corporate Resources

Report by: Karen Sutton - Director of Finance & Corporate Resources

Ward(s) affected: All

Executive Summary:

As part of its Governance Strategy, Huntingdonshire District Council requires a Risk Strategy that details how it manages risks associated with the organisation. The attached document details the proposed Risk Strategy and how it fits with the Council's governance and risk reporting.

Recommendation(s):

The Committee is

RECOMMENDED

To approve the Risk Strategy.

1. PURPOSE OF THE REPORT

1.1 To present the Council's proposed Risk Strategy for consideration and approval by Committee.

2. WHY IS THIS REPORT NECESSARY

2.1 The Corporate Governance Committee is designated as 'those charged with governance' and therefore it should review and challenge any policies associated with the embedding and management of governance.

3. LEGAL IMPLICATIONS

3.1 There are no direct legal implications arising from this report.

4. RESOURCE IMPLICATIONS

4.1 There are no specific resource implications.

5. REASONS FOR THE RECOMMENDED DECISIONS

The Council needs a Risk Strategy to inform its assessment of risk and behaviours to mitigate adverse exposures.

6. LIST OF APPENDICES INCLUDED

6.1 Appendix A – Risk Management Strategy 2023

6.2 Appendix B – Risk Register

CONTACT OFFICER

Name/Job Title: Karen Sutton, Director of Finance & Corporate Resources

Tel No: 01480 387082

Email: karen.sutton@huntingdonshire.gov.uk



Risk Management Strategy

Version17 – June 2023

Name of Policy	The Risk Management Strategy
Policy Owner/s	Assurance Board
Date Reviewed	September 2023

Contents

Executive Summary	2
Introduction	2
Definitions	3
Risk	3
Risk management	3
Why is Risk Management important?	3
Risk Policy Statement	3
The Risk Management Process	4
1. Identification	4
2. Evaluate	7
Risk Categories	9
3. Planning	11
4. Implementation	12
5. Embedding and Reviewing	13
Developing and Integrating Risk Management	13
Risk Assessment	14
Risk Appetite	15
Option Appraisals & Risk Treatment	15
Roles and Responsibilities	16
Council, Cabinet, Committees & Panels	16
Cabinet	17
Corporate Governance Committee	17
Corporate Leadership Team	17
Senior Leadership Team	17
Management Team	17
Risk Officer, in collaboration with Assurance Board	18
Assurance Board	18
Health and Safety	18
Internal Audit:	18
Employees	19
Appendix	20
Glossary	25

Executive Summary

The purpose of the Risk Management Strategy is to communicate why and how risk management should be applied throughout the organisation to support the achievement of Huntingdonshire District Council's (HDC) corporate objectives. The corporate objectives can be found in the Corporate Plan 2023-2028 via the Intranet. Is it essential for all staff to be familiar with risk management and their responsibilities.

This strategy builds on the principles within HM Government's [Orange book¹](#) which lays out the Management of Risk – principles and concepts, but does so pragmatically accepting the guidance of this document that.

“Attempting to define a one-size-fits-all approach to managing risks, or to standardise risk management practices, would be misguided because public sector organisations are different sizes, are structured differently and have different needs.”²

In order for HDC to have a successful risk management framework it is essential that all staff are aware of the following points that are detailed in this strategy...

- Understand what risk management is.
- Understand why risk management is highly important and aids the achievement of the corporate objectives.
- Be aware of HDC's Risk Management Statement.
- Know how to apply the risk management process model.
- Know how to complete a risk assessment.
- Be aware of your relevant departments risk appetite.
- Understand when to use the Option Appraisal and Risk Treatment forms.
- Understand your risk management responsibilities.

Introduction

An effective risk management strategy will ensure the Council maximises its opportunities and manages those threats that may hinder the delivery of its priorities so that the opportunities for continuous improvement are maximised.

Risk therefore needs to be considered at all stages of the management process, from the setting of corporate priorities through to the delivery of the service to the customer. Risk management therefore becomes an integral element of the Council's corporate governance arrangements.

This risk management strategy aims to integrate risk management into the Council's culture and processes and raise awareness amongst all employees

¹ Orange book link: This links you to an online PDF version of The Orange Book Management of Risk – principles and concepts, Crown Copyright, 2020

² The Orange Book Management of Risk – principles and concepts, Crown Copyright, 2020. P.3

and members of the benefits and opportunities that successful management of risk can bring.

Definitions

Risk is the chance or possibility of something happening that will have an adverse impact on the achievement of the Council's objectives.

Risk management is the identification, evaluation, control, monitoring and reporting of existing and emerging risks. It applies equally to the opportunities for taking risks as it does to avoiding risks or reducing losses. It is a key part of good management and not simply a compliance exercise.

Note: For further definitions please see the glossary.

Why is Risk Management important?

The Council provides a large range of services within an ever-changing environment, so there is great potential for risks to arise. Effective risk management will enable the Council to:

- Minimise disruption to service provision
- Maximise performance
- Minimise the need to divert funds from priority services
- Encourage creativity
- Minimise losses
- Ensure the Council's reputation is preserved and enhanced
- Reduce insurance premiums

The aim is to manage risk, rather than eliminate it. Too little attention to the control of risk will lead to unnecessary losses and poor performance, while an over devoted approach may suppress creativity and increase the cost of and/or impede service delivery. Successful risk management means getting the balance right.

Risk Policy Statement

HDC is committed to the effective management of risk. The Council's ability to deliver services and achieve its business objectives are constantly affected by risk, which the Council recognises as being both positive and negative.

The Council also recognises its legal, moral and fiduciary duties in taking informed decisions about how best to control and minimise the downside of risk, whilst still maximising opportunity and benefiting from positive risks.

The Council will ensure that Members and staff understand their responsibility to identify risks and mitigate the possible consequences.

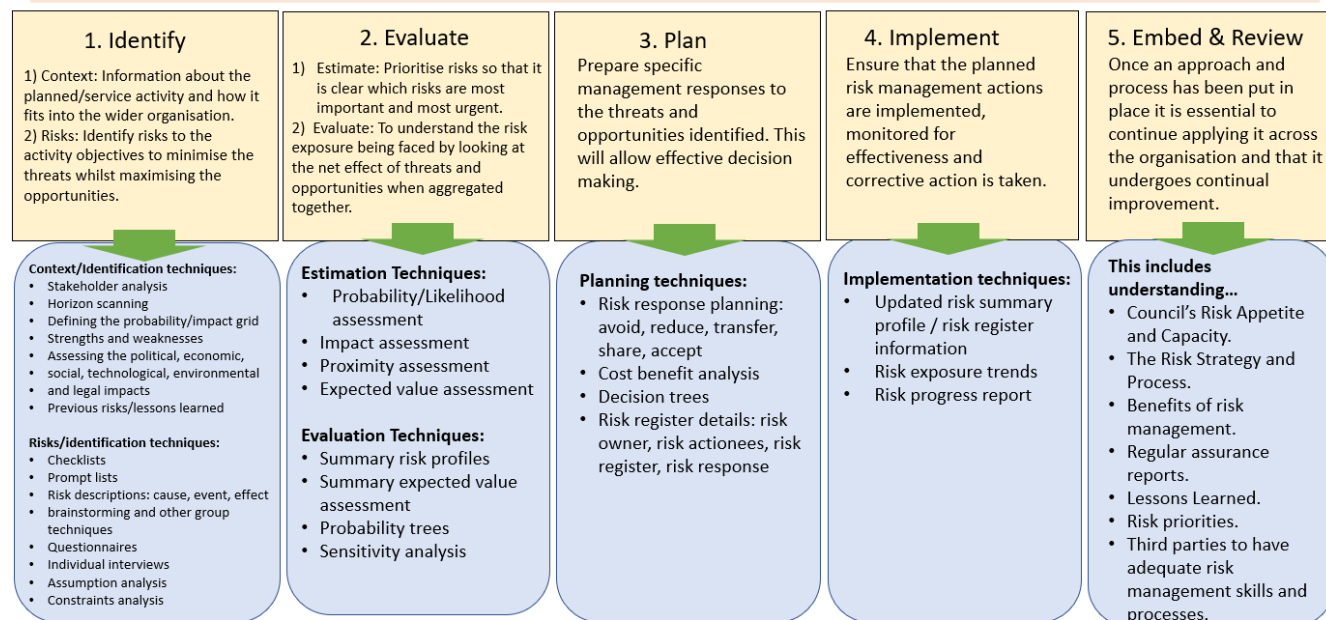
The Risk Management Process

The purpose of the risk management process guide is to describe the key steps required to ensure risks are successfully identified, assessed, and controlled.

Risk management is a continuous process that has **five key elements/stages**:

1. **Identification:** of risks to which the Council is exposed to.
2. **Evaluation:** of those risks in terms of likelihood and severity.
3. **Planning:** the control or mitigation of the risks, either by reducing the likelihood or severity of adverse events.
4. **Implementation:** of the arrangements the Council needs to put into place to deal with the consequences of the threats manifesting themselves, e.g., insurance, levels of policy excesses, self-insurance, service recovery planning
5. **Embedding and Reviewing:** the on-going monitoring and reporting of risk, to allow for intended actions to be achieved and losses minimised.

A standard risk management process will be used throughout the Council, including project, partnership, corporate or operational level...



Communication should be carried out throughout the process to continue to identify new threats, opportunities and changes to existing risks.

A standard risk management process will be used throughout the Council. This will ensure that risks are considered in the same fashion whether at a project, partnership, corporate or operational level.

1. Identification

There are many ways of identifying risk, including making use of:

- Staff experience and knowledge
- Review of objectives in Corporate and Service Plans
- Performance indicators, financial/budgetary and management information

- Service reviews by internal/external audit and other inspection bodies
- Risk assessments
- Directorate / Service meetings / workshops
- Amendments to legislation
- Insurance claims / loss information

When identifying risks, it is recommended to firstly, consider the context behind the risk (why does the risk exist, what is the root cause) before identifying the risks within it. This ensures the information about the planned activity/the scope of it is gathered and it is clear how it fits into the wider organisation.

Context identification techniques include:

- **Stakeholder analysis** – who else is involved?

What do they think? This technique helps capture who the stakeholders are, what their roles are and their level of participation. A stakeholder analyses can be done for the entire organisation or departments/divisions.

- **Horizon scanning** – What changes can we expect in the future?

By identifying and monitoring emerging risks and trends you are able to proactively manage risks and take advantage of opportunities.

- **Defining the probability/impact grid**

As it is important to note specific details about the objectives before any risks are identified. The probability impact grid technique defines the impact scales for each relevant objective. These scales can then be used to articulate risk tolerance thresholds for a particular organisational activity.

- **Strengths and weaknesses of the service/idea**

This technique focuses on the analyses of the strengths (current fact), weaknesses (current fact), opportunities (potential future fact) and threats (potential future fact) of an individual, department, group or area.

- **Assessing the political, economic, social, technological, legal and environmental impacts (PESTLE).**

This technique enables a wide scan of the context, and any potential or actual factors that would affect any objectives if they were left unmanaged. When doing a Pestle analysis ensure the assessment is tailored to the specific organisation/area.

- **Previous risks/lessons learned**

Depending on the activity being worked on, it may be appropriate to consider/examine previous lesson logs if available. These may include details on events or activities which should or should not be repeated as well as any relevant notes which may help with the current project/area.

Risk identification techniques include:

- **Checklists:** Reviewing risks and opportunities and possible actions.

By preparing a list of potential risks and opportunities you can systematically identify and assess risks to ensure no risks are overlooked.

- **Prompt lists:** Lists triggering you to consider a range of factors
This technique involves asking open-ended questions which stimulates discussion and helps identify potential risks that may not have been considered.
- **Risk descriptions:** cause, event, effect
When writing a risk description ensure the cause, event and effect are all written clearly which facilitates the development and understanding of effective risk identification and responses, e.g., Cause: Inadequate cyber security measures. Event: Cyber attack. Effect: Data breach, loss of information, financial loss, reputational damage.
- **Brainstorming and other group techniques:** perhaps in team meetings
Gathering a group of people to generate ideas and/or identify potential risks and opportunities in a collaborative and structured manner facilitates communication, collaboration and provide a comprehensive assessment and analysis technique.
- **Questionnaires**
This technique involves sending surveys to the relevant stakeholders which results in a gathering of information about potential risks and their likelihood/impact.
- **Individual interviews**
A one-to-one conversation/interview with a stakeholder gathers details information about potential risks. This helps identify their impact and potentially identify risks that were not apparent.
- **Assumption analysis:** Reviewing the assumptions that you have made
Identify and challenge assumptions concerning a project or situation. This aids the surfacing of hidden or overlooked risks and develop an appropriate risk response.
- **Constraint's analysis:** Reviewing the limiting factors on your service
This involves identifying the restrictions or limitations that may impact a project or situation. This helps identify potential risks associated with those constraints and develop an informed risk response.

When describing a risk it is important that it can be easily understood. The risk description should consist of the cause, event and effect. This information should be logged onto the council's risk register (4Risk).

Risk Cause:

- What would cause the risk to happen, e.g., a fire, loss of key personnel. This is where we consider what we could have done to prevent it.

Risk Event:

- What could go wrong. This is an uncertain event which may or may not

materialise, that if it does would most likely have an impact.

Risk Effect:

- This is the potential outcome of the event, the consequence.

The risk description/statement could then be written as ...

- “Because of (Risk Cause), (Risk Event) may occur, which would lead to (Risk Effect).

As mentioned above the HDC holds its own risk register on 4Risk, which can be found on the intranet. Staff should use 4Risk to track, update, add and review risks.

HDC holds a single risk register which maintains risks across all levels of the organisation including Corporate and Operational level risks. Corporate risks are likely to affect the medium to longer term priorities and objectives of the Council and require longer term planning to be addressed. Operational risks tend to be related to ongoing service activities and have a more immediate impact and generally need to be treated on a shorter time frame. By having a single risk register, risks are collectively reviewed and mitigating actions applied consistently. There is also less likelihood of duplication of risks e.g., budget affordability can be included as a risk across all areas of the Council, rather than each service registering this as a risk.

In addition to risk descriptions, it is important to capture the risk under the relevant risk category (See step 2, Evaluate). This is because risks are unlikely to remain static and they are required to be reviewed regularly to reflect changing internal and external circumstances. Such reviews may lead to risks moving between registers, new risks being identified, risk being closed when appropriate and control measures being updated leading to changing residual risk scores.

2. Evaluate

Once a risk has been identified, we need to assess how big a risk it is; how much of an impact would it have, and how likely is to happen? Once we have prioritised the risks, we must look in more detail at the risk to understand the balance of threats and opportunities presented.

Estimation Techniques:

- **Probability/Likelihood assessment:** How likely is the risk to happen?
This technique involves assigning a value to the likelihood of a risk occurring, which aids the prioritisation of risks.
- **Impact assessment:** What impact would it have were it to happen?
This technique involves assigning a value to the impact a risk will have on the organisation and/or relevant department, which aids the prioritisation of risks.
- **Proximity assessment:** How close (time) is it to happening?

Assessing the potential timing of a risk (when it is likely to occur and how long it may last) helps to make informed risk responses and create any possible mitigation strategies.

- **Expected value assessment**

Calculating the expected value of a risk using its potential likelihood and impact provides a quantitative measure of the potential cost of a risk and helps to prioritise risk responses.

Evaluation Techniques:

- **Summary risk profiles**

By summarising the risks associated with a project/programme in a concise and accessible format, you can see a high level overview of the most critical risks which aids decision making.

- **Summary expected value assessment**

By calculating the expected value of multiple risks and summarising them in a clear and concise way decision making and the understanding of the overall risk profile of a project or situation is made easier.

- **Probability trees**

This technique uses graphical representation of risks and their potential outcome, allowing a better understanding of complex risks and their impacts.

- **Sensitivity analysis**

This involves assessing the impact of changes in assumptions or inputs on the potential outcomes of a project/programme/situation. This helps decision makers understand the potential risks associated with different scenarios and adjust risk responses accordingly.

Risk Categories

Risk categories are classifications of which business activity the risk relates to and aids discussion on linked risks and mitigation. The categories below strike the balance between completeness, focus on HDC's risk profile, and usability by end users. The risk category needs to be input into the risk register when the risk is added.

Risk Categories	Definition	Trigger Questions <small>(Please note: This is not an exhaustive list and should be used to help think of other risks across all levels)</small>
People	Risks arising from staff related matters, including culture, capacity, knowledge and capability, and non-compliance with relevant employment legislation/HR policies resulting in negative impact on performance.	<ul style="list-style-type: none"> • Do you have a robust staffing structure? • Are you able to recruit when need to? • Do you have a risk or staff retiring or leaving? • Are your team appropriately trained? • Do you have key responsibilities that rely on a single individual? • Are staff aware of their point of contact and the order of communication for when decisions needs to be made? • Do our operating processes carry any risks to staff or the public? • How will changes in legislation impact upon our people? • Are any changes to service delivery planned, what will this affect? • What dependencies do you have on other teams, how would disruption there impact your service?
Financial and Resources	Risks relating to financial planning, financial control, and insurance arrangements.	<ul style="list-style-type: none"> • Do you have a savings or income target for the coming year? • Do you have plans in place? • Are you expecting any changes in terms of demand, or fluctuation in your costs that you need to plan for? • Do you have adequate insurance cover? • Are you aware of all opportunities for income, funding and grants? • Does a planned capital investment require an ongoing revenue budget to support it? • Are external factors likely to impact upon your service affordability, e.g., inflation? • Will new activities require increased support costs, e.g., reporting and monitoring associated with external funding? • Will future funding changes impact your service?

Operating Environment	Risks relating matters which affect or impact the daily, operating environment. Such as Economic and Commercial, Social, Physical and Environmental risks.	<ul style="list-style-type: none"> • What changes are happening, or are there possible signs of happening which may affect the demand for, or the way in which your service operates? <p>Think in terms of...</p> <ul style="list-style-type: none"> • Competition from other organisations • Social changes in terms of behaviours, need and demand or the profile of your customers? Are there economic changes which could change services people need, or change your ability to buy or sell things. How could environmental changes such as hotter summers, or wetter winters affect your services. What impact would inflation or increases in borrowing costs have on your service? • Who are your third party suppliers, what happens if one of these fail? • What happens if one of your dependencies changes? • Will future legislation require changes to the Operating Environment?
Policy and Process	Risks relating to the management, organisation and understanding of all policies, regulations, and strategies and the relevant processes for the services you are responsible for. Including at national, local and where relevant international levels.	<ul style="list-style-type: none"> • Do you have an understanding of the policy environment in which you are operating? • Are there any forthcoming policy changes or emerging political priorities? • Is the prioritisation of this activity appropriate in your service plan and/or approved with your manager and portfolio holder? • Are you anticipating legislative or other political changes either locally or nationally to affect your service.
Legal and Contractual	Risks stemming from legal and contractual obligations, challenges and the management of contracts and legal documents.	<ul style="list-style-type: none"> • Do you have contracts expiring in the next 2 years? • Do you have plans in place? • Are you actively managing contracts, and escalating any issues? • Income generation, are you able to deliver all the services detailed in the Service Level Agreement? • Supplier agreements - Do you have an up to date register of change controls and impacts, have they been implemented? • Have you factored in contract dependencies, e.g., agreed price increases and know what the impact to your budget is? • Are you aware of contract break clauses and the impact of these? • Will a service transfer have TUPE implications
Customer and Reputational	Risks which are associated with the failure to meet the current and changing needs and	<ul style="list-style-type: none"> • Do you have clear cost-effective processes that enable you to deliver services to your customers?

	<p>expectations of the customer and residents (Reputational risk). These risks may be associated with the processes you use to manage the work you deliver to your customers.</p>	<ul style="list-style-type: none"> • Do you have documented processes? • Do you know the cost of your processes, and are you able to identify opportunities for improvement? • Do you have clear performance metrics, and do you understand how effectively your services are meeting customer needs? • Do you understand your Service Level Agreement? • Are your customers financially stable? • Are these services we are permitted to deliver/charge for?
Information and Technology	<p>Risks relating to the systems and technology you use to deliver your services – software, appliances, phones, etc. As well as matters relating to the way in which you manage information, particularly relating to sensitive and personal information.</p>	<ul style="list-style-type: none"> • Do you understand and have developed plans for all the technology that you use in your service? • Do you have a list of all the systems, technology and software that your team uses? • Do you have system owners, champions, to maximise the benefits of the systems? • Do you have an information governance lead? • Do you have information management plans for all of the data you hold, and data sharing arrangements you have in place? • Will a process change require additional software licences? • Are you a data processor or controller, how does this impact your data storage and use? • How will software updates impact your service, risk of unforeseen downtime? • Do you know how long you should keep data for? Can you achieve this?

3. Planning

Following the evaluation step, it is time to prepare specific management responses to the threats and opportunities identified (technically known as risk treatments). This allows for effective decision making and enables effective communication of risks and what you are doing to manage these.

This involves balancing the potential benefits of mitigating the risk – in terms of improved delivery, with the cost of doing so. The cost is not just an economic one, and needs to be reviewed against the objectives of the organisation as whole, e.g., broader economic, social, and environmental impacts. The delivery of some activity is so important, that even expensive mitigation activity may be welcome.

As part of the selection and development of risk treatments, we need to specify how the chosen option(s) will be implemented, so that arrangements are understood by those involved and effectiveness can be monitored. This should include:

- the rationale for selection of the option(s) (why it was chosen), including the expected benefits to be gained or downsides to be avoided;
- the proposed actions (what we are going to do);
- those accountable and responsible for approving and implementing the option(s) (who is going to do it);
- the resources required, including contingencies (the cost of doing it);
- the key performance measures and control indicators, including early warning indicators (how we will know if it is working);
- the constraints (what will limit or stop us managing the risk);
- when action(s) are expected to be undertaken and completed; and• the basis for routine reporting and monitoring (when will it happen).

Planning techniques:

- **Risk response planning:** what can we do?: avoid, reduce, transfer/share, accept
 - Avoiding the risk, if feasible, by deciding not to start or continue with the activity that gives rise to the risk;
 - Reducing the risk or changing the likelihood, where possible or changing the consequences, including planning contingency activities;
 - Sharing the risk (e.g. through commercial contracts[12]).
 - Retaining (accepting) the risk by informed decision or taking or increasing the risk in order to pursue an opportunity;
- **Cost benefit analysis:** what is the cost vs the benefit, is the risk avoidance work worth doing?
 - This technique involves weighing the potential costs of risk responses against their potential benefits. This aids the identification of the most effective risk response and ensures risk management efforts are cost effective.
- **Decision trees**
 - This involves a graphical representation of decisions and their potential outcomes to aid decision making with understanding the potential risks associated with different options.
- **Risk register details:** risk owner, risk actionees, risk register, risk response
 - By maintaining a detailed record of identified risks and their details (such as associated risk responses, descriptions etc) a central information point for risk is there to inform decision making and track risk management efforts over time.

4. Implementation

Once the risk management plan has been made it must be implemented, monitored for effectiveness and corrective action taken when and where needed. These implementation steps should generally feature in your service plan, or within your project plan, so they can be reviewed and monitored.

Implementation techniques:

- **Updated risk summary profile / risk register information**

This technique involves regularly reviewing and updating the summary risk profile to ensure changes are reflected, which ensures that the risk management plan remains relevant and effective.

- **Risk exposure trends**

This involves tracking and analysing trends in risk exposure over time. This helps to identify emerging risks and opportunities and inform adjustments to risk responses and risk management strategies, if needed.

- **Risk progress report**

By regularly reporting on the progress of risk management efforts, including the status of risk responses and any changes to the risk landscape, this ensures risk management efforts remain on track and effective.

5. Embedding and Reviewing

Once an approach and process has been put in place it is essential to continue applying it across the organisation and that it undergoes continual improvement.

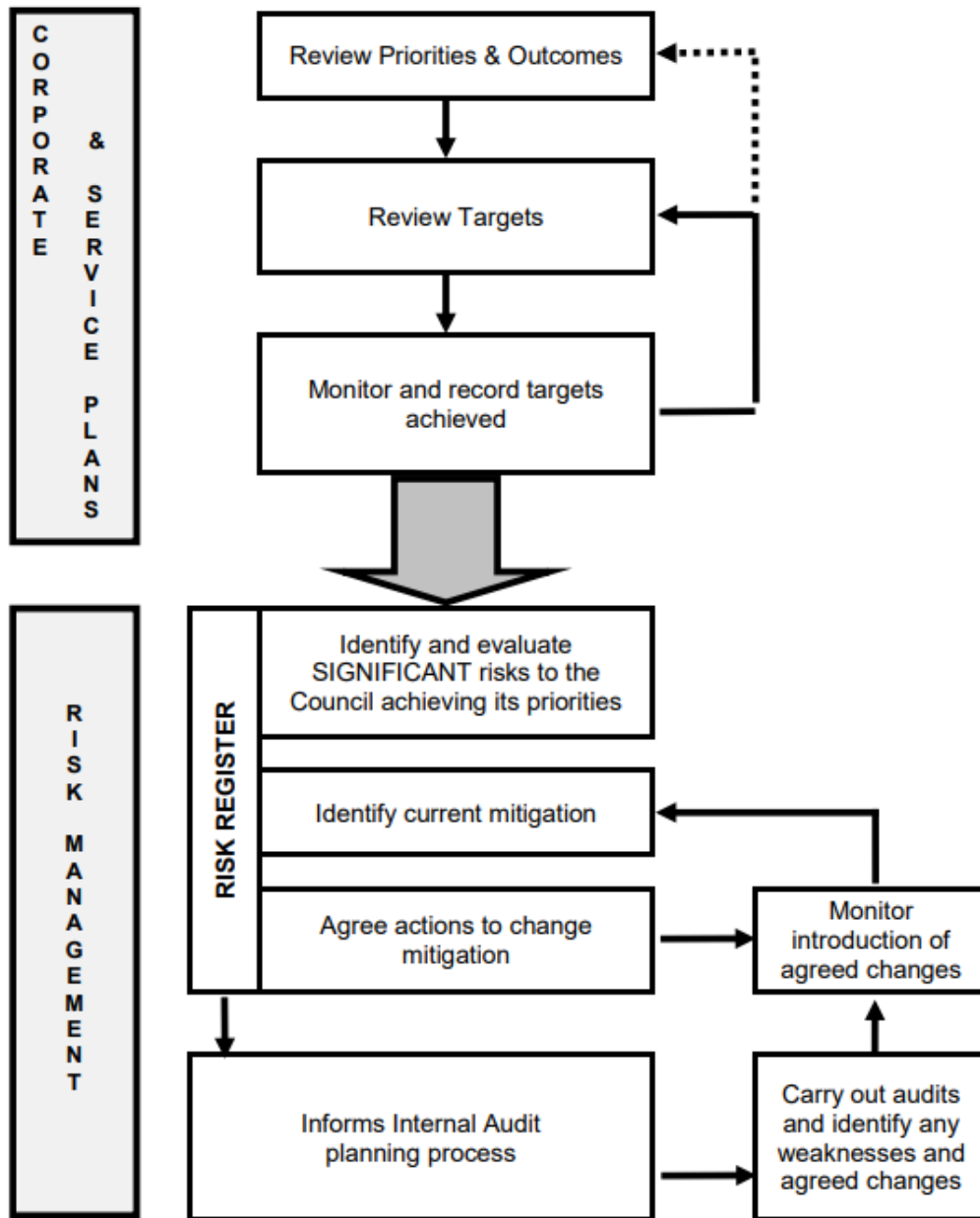
This includes understanding:

- Council's Risk Appetite and Capacity.
- The Risk Strategy and Process.
- Benefits of risk management.
- Regular assurance reports.
- Lessons Learned.
- Risk priorities.
- Third parties to have adequate risk management skills and processes.

Developing and Integrating Risk Management

It is worth noting that the process of identification and management of risks needs to be undertaken at all stages of the process at both corporate and at service planning level. This ensures that the risk register contains all the relevant details, changes and significant risks that would affect the achievement of the Council's objectives and priorities. This is achieved by describing the impact of what is being considered on the Council's priorities and targets and be supported by the explicit consideration of the risks that are both inherent and mitigated to the impact being achieved.

The table below explains how risk management processes link into the Council's planning process.



Risk Assessment

The risk assessment model is detailed in [Appendix A³](#). The model requires potential risks to be evaluated against a set of pre-determined criteria for likelihood/frequency and impact at both the inherent (without controls) and residual (with controls) risk levels. Individual risk levels are determined by plotting the risks onto a risk matrix. Health and Safety risks will be plotted against the smaller inset matrix.

⌋ ke	Almost Certain	5	Medium	High	Very High	Very High	Very High
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³ Appendix A Link: Takes you to the section in the document which shows HDC's Risk Assessment Model.

Likely	4	Medium	High	High	Very High	Very High
Occasional	3	Low	Medium	High	High	Very High
Unlikely	2	Low	Low	Medium	High	High
Improbable	1	Low	Low	Medium	High	High
		1	2	3	4	5
		Trivial	Minor	Significant	Major	Critical
Impact						

Risk Appetite

The Cabinet shall determine the Council's risk appetite; that is the amount of risk it is prepared to accept, tolerate, or be exposed to at any point in time before taking any action.

The Council's appetite for risk will be considered as 'exceeded' when the residual risk score (the likelihood and impact of threats after mitigations put in place) have a score of 15 or above in accordance with the Council's risk scoring matrix, as seen above.)

Where the risk appetite is exceeded in a particular service, services will be asked to review the risk and identify any actions to treat the risk. Where the risk tolerance is exceeded services will be asked to produce a risk treatment plan on a template and to report this back to Assurance Board, to show the quantification of the current risk and the proposed actions in response. If the Assurance Board is satisfied the action plan will reduce the risk to be within risk tolerance levels, the action is accepted and the risk will be returned to the service for monitoring in the usual way.

If the risk remains outside of tolerance, or the Assurance Board does not believe the proposed action plan sufficiently mitigates the risk, it will escalate the risk to the Senior Leadership Team, and the respective manager who owns the risk will be asked to follow the Options Appraisal and Risk Treatment process.

(Appendix B for options Appraisal and Appendix C for risk appetite exceeded diagram).

Option Appraisals & Risk Treatment

For all individual residual risks that exceed their risk area targets as described above, consideration shall be given as to what further cost-effective mitigation could be introduced to reduce the residual risk score so that it falls within its risk appetite.

Before a decision is made on the way the risk is to be treated, the respective risk manager, who owns the risk, shall carry out an option appraisal (Appendix B). The appraisal shall consider how to deal with the risk on the following basis:

- **Reduce** or treat the risk by controlling the likelihood of the risk occurring or controlling the impact of the consequences if the risk does occur.
- **Avoid** or eliminate the risk by not undertaking the activity that may trigger the risk.
- **Transfer** the risk either totally or in part to others e.g. through insurance.
- **Accept** or tolerate the risk. This option will only be accepted when the ability to take effective action against a risk is limited or the cost of taking action is disproportionate to the potential benefits gained.

The appraisal will consider cost, resources, time and the potential financial and non-financial benefits of each treatment option. Advice from specialist staff such as the Risk and Controls team members shall be taken where appropriate.

Ideally risk treatments should be self-funding. Where this is not the case there will need to be a prioritisation process to ensure that any funding is concentrated first on those items that will be most beneficial to the achievement of the Council's priorities.

- **Action Plans**

The results of the option appraisal shall be recorded by the risk owner on a risk treatment option form (Appendix B) within four weeks of the risk having been recorded in the risk register. The form shall identify the risk, the current control environment, control actions to be introduced, the Officer responsible and the timescales for implementation.

The risk owner shall send the option appraisal form to the Senior Leadership Team Member for the service within six weeks of the risk being recorded in the risk register. They will review and challenge the form. The form shall be updated if required and then considered by the Senior Leadership Team who will determine if the mitigation outlined is to be introduced. If the additional mitigation cannot be met from the current Service budget the matter shall be reported to the Cabinet for a decision. If further mitigation is agreed, the risk owner shall update the risk register and put in place procedures to introduce the agreed mitigation.

Roles and Responsibilities

Everyone in the Council is involved in risk management and should be aware of their responsibilities in identifying and managing risk.

Council, Cabinet, Committees & Panels

- To ensure they consider risk management implications when making decisions.

Cabinet

- To be responsible for ensuring effective risk management procedures are in place across the Council and approving the risk management strategy.
- To determine the Council's risk appetite annually and review the risk assessment model to ensure it continues to reflect the requirements of the Council.
- To decide upon the action to be taken for all mitigated risks that exceed the Council's risk appetite or have the potential to harm its reputation or the continuity of services and require additional budget expenditure that cannot be funded from existing Service budgets.

Corporate Governance Committee

- To receive regular updates on risk management and consider any governance issues arising.

Corporate Leadership Team

- To ensure effective risk management throughout the Council in accordance with the risk management strategy.
- To make recommendations at least once a year to the Cabinet on the Council's risk appetite.
- To ensure that Members are advised of the risk management implications of decisions.
- To review and challenge Corporate risk register entries at least once every three months.
- To prioritise risk treatments and requests for additional funding.

Senior Leadership Team

- To develop a culture of risk management throughout the Council.
- Balancing an acceptable level of risk (as described by the risk appetites) against the achievement of corporate and/or service plans, project objectives and business opportunities.
- To identify and resolve any risks associated with compliance with the Council's agreed rules, procedures and processes.
- Ensure that risks relating to significant partnerships are identified and effectively managed, within the partnership and at service level.
- To review and challenge Operational risk register entries at least once every three months.
- To review and challenge risk treatment option forms submitted by the Management Team and passing them onto the Corporate Management Team if additional control measures cannot be funded from Service budgets.

Management Team

- Ensuring that effective control procedures are in place to manage the risks affecting their services.
- Review (as risk owner) their Corporate and Operational risk register entries at least once every three months, reporting all new risks or

significant changes to risk entries to their Head of Service and/or Director.

- Maintain all risk register entries fully, updating them promptly with any perceived new risks or opportunities, failures of existing control measures and closing them when appropriate.
- Update at least once every six months risk register assurance statements that describe the effectiveness of the risk mitigating controls.
- Prepare (as risk owner) for risks that exceed risk appetite levels, risk treatment option forms for consideration by the Senior Management Team.

Risk Officer, in collaboration with Assurance Board

- To assist managers in identifying and analysing the risks that they encounter and the formation of action plans to address outstanding issues.
- To provide assurance on the operation of the Risk Management process and framework.
- To provide advice and guidance on systems to mitigate risk.

Assurance Board

- To report as necessary to the Cabinet, Corporate Governance Committee or Corporate Leadership Team on risk management issues.
- To identify best practice and consider its introduction within the Council.
- To provide advice and guidance on systems to mitigate risk.
- Ensure risk strategy is reviewed and updated annually/as needed.

Health and Safety

- All Elected Members and employees are responsible for taking care of their own and their colleagues/visitors health and safety at all times. They are responsible for the identification and treatment of hazards as described in the Health and Safety Policy – Organisation & Responsibilities.
- To work proactively with services across the Council, providing advice on safe working practices to mitigate incidents, and monitoring compliance with existing Health and Safety controls.

Internal Audit:

- Internal Audit will seek assurance from the risk register that the organisation is assessing its risks on a regular basis and acting in a responsible manner to mitigate them.
- It will use the risk register as a basis for informing the annual Internal Audit plan, assessing if risks are correctly recorded and the mitigating actions appropriately deployed and reported.
- It will escalate risks to Assurance Board where mitigating controls are not deployed and the risk should be noted as unmitigated.

Employees

- To co-operate with management and colleagues in matters relating to the mitigation of risk.
- To promptly inform the appropriate manager of any risks they become aware of.

Risk Assessment Model

Likelihood / Frequency

Alternatively this could be expressed as likely to happen within the next:

5 = Almost Certain	Will definitely occur, possibly frequently.	Month
4 = Likely	Is likely to occur, but not persistently.	Year
3 = Occasional	May occur only occasionally.	3 years
2 = Unlikely	Do not expect it to happen but it is possible.	10 years
1 = Improbable	Can't believe that this will ever happen, but it may occur in exceptional circumstances.	20 years

When considering Health & Safety related risks, the likelihood should be expressed as being likely to happen within the next:

4 = Likely	Monthly	Further advice on assessing Health & Safety risks can be obtained from the Health & Safety Manager
3 = Occasional	Yearly	
2 = Unlikely	5 years	

Impact

Risks will be evaluated against the following scale. If a risk meets conditions for more than one category, a judgement will need to be made as to which level is the most appropriate. For example, if a particular health and safety risk was significant, could result in minor short-term adverse publicity in the local media but had only a trivial financial impact, it might still be categorised as significant.

1 = Trivial event or loss, which is likely to:

- cause minor disruption to service delivery on one or two consecutive days, not noticeable to customers
- increase the Council's net cost over the 5 year medium term financial strategy (MTFS) period by £50,000 or less.
- be managed with no reporting in the local media
- cause localised (one or two streets) environmental or social impact

2 = Minor event or loss, which is likely to:

- cause minor, noticeable disruption to service delivery on one or two consecutive days
- increase the Council's net cost over the 5 year MTFS period by more than £50,000 but less than £100,000.
- result in minor short-term (up to a fortnight) adverse publicity in the local media

Risk Assessment Model

- * be a Health and Safety (H&S) concern that results in an injury but 7 days or less off work
- have a short term effect on the environment i.e. noise, fumes, odour, dust emissions etc., but with no lasting detrimental impact

3 = Significant event or loss, which is likely to:

- cause disruption for between one and four weeks to the delivery of a specific service which can be managed under normal circumstances
- affect service delivery in the longer term
- increase the Council's net cost over the 5 year MTFS period by more than £100,000 but less than £250,000.
- result in significant adverse publicity in the national or local media
- * be a Health and Safety concern that results in more than 7 days off work or is a specified injury, dangerous occurrence or disease that is required to be reported to the H&S Executive in accordance with 'Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013' (RIDDOR)
- has a short term local effect on the environment, or a social impact, that requires remedial action.

4 = Major event or loss, which is likely to:

- have an immediate impact on the majority of services provided or a specific service within one area, so that it requires Managing Director involvement.
- increase the Council's net cost over the 5 year MTFS period by more than £250,000 but less than £500,000.
- raise concerns about the corporate governance of the authority and / or the achievement of the Corporate Plan
- cause sustained adverse publicity in the national media
- significantly affect the local reputation of the Council both in the long and short term
- * results in the fatality of an employee or any other person
- have a long term detrimental environmental or social impact e.g. chronic and / or significant discharge of pollutant

5 = Critical event or loss, which is likely to:

- have an immediate impact on the Council's established routines and its ability to provide any services, and cause a total shutdown of operations.
- increase the Council's net cost over the 5 year MTFS period by more than £500,000.
- have an adverse impact on the national reputation of the Council both in the long and short term
- have a detrimental impact on the environment and the community in the long term e.g. catastrophic and / or extensive discharge of persistent hazardous pollutant

Risk Treatment Option Form

Risk Treatment – Action Plan				
Description of risk from register:	Risk ID No:	Current residual risk score: Likelihood x Impact		
Controls already in place as listed on the risk register:				
Are these controls operating effectively? Yes / No				
Risk Action Plan (All actions listed in priority order)				
Proposed actions to reduce risk using existing resources	New residual risk score ⁴			Extra resources required ⁵
	L	I		
a.				
b.				
c.				
Actions requiring additional resources				
1.				
2.				
3.				
4.				
Decision				
Agreed Option:	Implementation Date	Risk Owner		
Decision taken by: _____ on: _____				

Note: Health & Safety risks that exceed their risk appetite shall be treated with counter-measures or be stopped immediately until the residual risk has been sufficiently reduced. The action that must be taken is set-out below and mirrors the approach set-out in the Council's approved Health & Safety risk assessment form.

⁴ New Residual Risk Score: after the action has been introduced

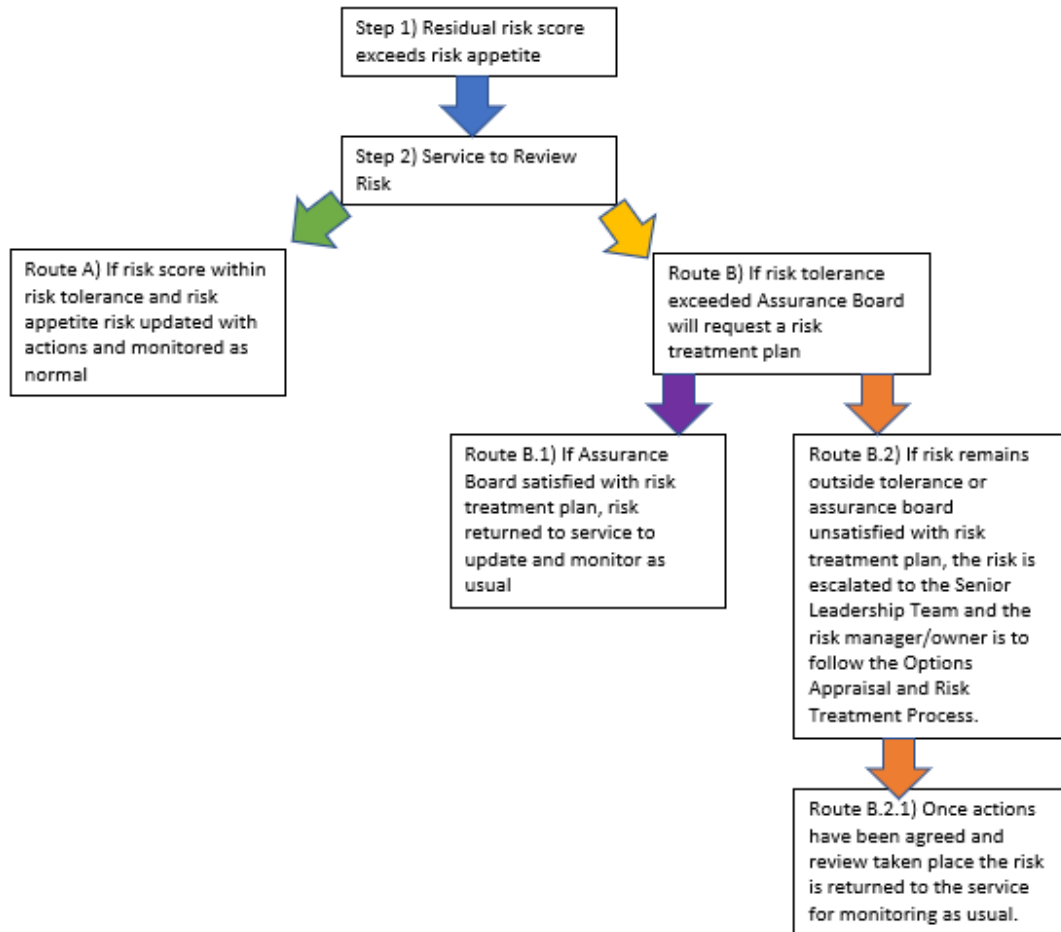
⁵ Extra Resources: only complete if extra resources will be required to allow the proposed action to be introduced e.g. financial costs and staff time

Remember, when considering treatment options that the Council's aim is to manage risk rather than eliminate it completely – successful risk management is about improving risk taking activities whilst minimising the frequency of the event occurring.

Issues that should be considered when making the risk treatment decision are listed below.

Administration	<p>Is the option easy to implement? Will the option be neglected because it is difficult to implement? Do staff have sufficient expertise to introduce the option?</p>
Continuity of effects	<p>Will the effects of the risk treatment option be long term/continuous or short term? If short term, when will further risk treatments be needed? Does the risk need to be treated at all as it will 'disappear' in the short term (e.g. a project it refers to will be completed or in the next three months)</p>
Cost effectiveness	<p><i>Costs need to be estimated accurately as it's the base against which cost effectiveness is measured.</i></p> <p>Can the cost of implementing further control be justified compared to the risk reduction benefits expected? What financial loss is to be expected if no action is taken? Could the same results be achieved at lower cost by other means?</p> <p>Will running costs go up or down? What capital investment will be needed? What other costs will there be?</p>
Benefits	<p>What will happen to service levels? What will happen to service quality? What additional benefits or risk reductions will occur in other areas? Can other controls in place be amended to deal with this risk? How will you evaluate this option to see if it is reducing the identified risk?</p>
Objectives	<p>Will reducing risk advance the Council's overall objectives? What will be the economic and social impacts? What will be the impact on the environment of leaving the risk as it is?</p>
Regulatory	<p>Complying with laws and regulations is not an option.</p> <p>Does the lack of treating the risk (or the current method of control) breach any laws or regulatory requirements? Is the treatment option proposed, including its cost, totally disproportionate to the risk?</p>
Risk creation	<p>What new risks will be created from introducing the option?</p>

Risk Appetite Exceeded Diagram



1. Residual risk score (the likelihood and impact of threats after mitigations are put in place, score calculated using the risk matrix) exceeds the risk appetite (the maximum residual risk an organisation will accept after controls are put in place in order to achieve its objectives).
2. Service to review the risk and identify any actions to treat the risk.
3. If risk tolerance (the maximum risk the organisation is willing to take regarding a specific initiative) is exceeded, the service will be asked to produce a risk treatment plan on a template and to report back to the Assurance Board to show the quantification of the current risk and the proposed actions in response to it.
4. If the Assurance Board is satisfied the action plan will reduce the risk to be within risk tolerance levels, the action is accepted and the risk will be returned to the service for monitoring in the usual way.
5. If the risk remains outside of the risk tolerance, or the Assurance Board does not believe the proposed action plan sufficiently mitigates the risk, it will escalate the risk to the Senior Leadership Team, and the respective manager who owns the risk will be asked to follow the Options Appraisal and Risk Treatment process.

Glossary

Risk appetite: The amount of risk the organization, or subset of it, is willing to accept.

Risk capacity: The maximum amount of risk that an organization, or subset of it, can bear, linked to factors such as its reputation, capital, assets, and ability to raise additional funds.

Risk tolerance: The threshold levels of risk exposure that, with appropriate approvals, can be exceeded, but which when exceeded will trigger some form of response (e.g. reporting the situation to senior management for action).

Standard Risk Register

Report Date	20 Sep 2023
Risk Area	**CORPORATE RISK REGISTER**, AGS and External , Delivery and Costs , Funding , Income, People, Process, Technology, Assistant Director - Recovery, Assistant Director - Transformation, Chief Operating Officer, Civil Contingencies, Corporate Director - People, Head of 3C ICT, Head of Operations, Corporate Director - Place, Head of Leisure and Health, Housing Strategy, Programme Delivery , Strategic Growth, Corporate Issues, Director of Finance and Corporate Services , Audit , Commercial Estates, Elections and Democratic Services, Finance, Human Resources, Property, Risk and Controls
Risk Category	Competitive , Contractual , Customer , Economic , Environmental , Financial , Human Resources , Information, Legal , Physical , Political , Professional , Social , Technology

Standard Risk Register

CORPORATE RISK REGISTER / AGS and External						
Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
303	National government places additional burdens on council services which lead to reprioritisation of the planned business of the council to meet local needs	<p>Cause: National and international actions with local consequences, e.g. war, recession, pandemic etc</p> <p>Effect: Immediate re-assessment of local priorities and resource levels to manage delivery in a..</p>	L = 4 I = 3 High (12)	<p>Robust service planning, performance management and project management will ensure that any change in priorities can be accommodated with known consequences.</p>	L = 3 I = 2 Medium (6)	Prioritisation of actions from emerging service plans
304	Fundamental changes in Government Policy could undermine Council's ability to enable new affordable homes to be built.	<p>Cause: Levelling up agenda could see money heading to other parts of the country</p> <p>Effect: Lack of means by which viability issues are addressed on strategic sites, broken model of publicly funded..</p>	L = 3 I = 4 High (12)	<p>Options to explore use of Council resources to provide local housing to meet local need.</p> <p>Use CPCA opportunities.</p>	L = 3 I = 3 High (9)	

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
305	That a factor outside our control places a significant civil contingencies duty on the Council, and creates significant local need.	Cause: With the experience over the past few years of an increase in Cyber Security threat, the impact of global pandemic in the shape of Covid, and the increase in the number of weather events..	L = 3 I = 4 High (12)	<p>good visibility of risk register across organisation.</p> <p>Effective Business Continuity and Emergency Plan. Planning and training for a range of eventualities should hopefully provide us with options for response even if the exact risk is not entirely forecast.</p> <p>Gold, silver duty rotas, training for SLT on duty rota, lessons learnt form bronze response etc To continually reflect and improve emergency planning arrangements. Horizon scanning and planning work via quarterly formal attendance at CPLRF forum at Exec level, allied to monthly attendance at Bronze level for tactical Emergency Planners and direct financial contribution to the CPFRL partnership..</p> <p>Horizon scanning to ensure early sight of any obvious changes</p> <p>Local Resilience Forum training and development, including use of lessons learned</p> <p>Regular review of risk register.</p>	L = 3 I = 3 High (9)	

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
306	Economic Uncertainty	Cause: The Council's financial robustness is closely linked with the success of the overall local economy, hence one of our key Corporate Plan strategic priorities – delivering sustainable growth..	L = 4 I = 3 High (12)	Engagement with the Local Government Association (LGA), District Council's Network (DCN) Department for Levelling Up, Housing & Communities (DLHUC), Department of Innovation and Skills, and other relevant bodies to ensure that current funding is protected.	L = 4 I = 3 High (12)	
				Influencing Government through responding to consultations		
				Keeping abreast of official publications and economic intelligence from local and central government and partners.		
				Monitor emerging policy changes		
				Review of Business Continuity Plans.		
				Targeted lobbying by Members on specific issues		
307	Environmental pressures and sustainability challenges - Challenges to the long-term sustainability and attraction of our area.	Cause: There is growing recognition of the significant consequences of a failure to properly account for human actions, and wider climactic events which are becoming increasingly common. The national..	L = 3 I = 3 High (9)	Directly tackle climate by changing what the Council has direct control of (its estate, operating model etc) and influencing others to take action.	L = 3 I = 3 High (9)	* New approach to 22/23 Service Plans established by end March 22. *Expanding pool of colleagues involved in emergency planning, with training and buddying approach in place by end June 22.

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
308	That pressures, additional partnership duties or reorganisation in the local public sector system place additional financial burdens on the Council or impact our ability to deliver our corporate objectives	Cause: The continued impacts of reduction in central government funding combined with demand pressures driven by demographic and other factors leaves the sector at risk, of decisions by one partner..	L = 3 I = 5 Very High (15)	Using evidence base to identify areas of greatest need (e.g. Covid impact assessment/ Joint Strategic Needs Assessment).	L = 3 I = 4 High (12)	Huntingdonshire Place Strategy adopted end 22/23.
				Additional burdens funding sought and chased, pursue closer alignment with partners to understand early these pressures and impacts, strategic alignment with partners to share costs (across neighbouring councils or other public sector organisations), regular review/ analysis of 'state of the district' data and demand on HDC service to be able to track and respond quickly		
				Develop a multi agency approach, working closer with partners, communities and other stakeholders to deliver shared Huntingdonshire priorities.		
				Development of a new Huntingdonshire Place Strategy used to provide shared aims, priorities, outcomes and actions.		
				Identification of partners priorities and their delivery across partnerships e.g. Joint Health and Well Being Strategy.		
				Investing senior officer time in strategic and partnership forums to support delivery of better outcomes & system wide improvements.		
				Investing senior officer time in understanding partner issues, and looking to support partners with these issues (e.g. supporting strategy development, senior recruitment, address budget issues).		
..						
309	Morbidity/Growing number of years of ill health - Impacting on people' ability to be self-reliant and generating additional cost through support needs	Cause: The increasing number of years of ill health experienced by the population, combined with Huntingdonshire's aging population make these factors areas of continued focus for HDC. Underlying..	L = 4 I = 4 Very High (16)	Active engagement with both health and public health agencies to develop shared priorities and interventions	L = 4 I = 3 High (12)	Adopt new Health Strategy
				Development of Health strategy.		
				Pursuit of proactive preventative measures		
				The areas Community Strategy and the adoption of a focus on a preventative approach to community outcomes in the corporate plan.		

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
310	Local skill levels and educational attainment - As a means by which residents are able to attract profitable work and in attracting employers to the area.	Cause: Local cultural and employment practices, combined with alignment between training and local economic needs. Effect: A high skill workforce will contribute to the area's reputation helping..	L = 3 I = 3 High (9)	Skilled and flexible workforces who possess digital skills will allow the Council to transform its current delivery models and offer new methods of service delivery.	L = 3 I = 3 High (9)	
				Skills strategy and a refresh of our local growth strategy will help create focus to support local industrial strategies.		
				The workforce within the area needs to be supported to continue to gain meaningful employment and meet the demands for new skills in the labour market. This is particularly true to ensure we are able to support our residents to continue to respond to the impacts and opportunities arising from Covid, and to ensure the growth we see in Huntingdonshire being in high value adding sectors. In turn..		
311	Housing Affordability - Leading to homelessness and constraining growth.	Cause: Wider economic environment. Driving demand for housing locally, and impacting the pace and price of developments which come forward. Effect: This issue is one which impacts on the..	L = 3 I = 4 High (12)	Continue to bring forward delivery of affordable housing.	L = 3 I = 3 High (9)	
317	Potential Power Outages	National threat of power outages caused by National Grid demand exceeding supply. Disruption to the delivery of some Council services due to planned national power cuts. Some services will either..	L = 4 I = 4 Very High (16)	Services to assess if they will be impacted by a power outage, how they can continue to deliver services or alternative measures that need to be put in place.	L = 4 I = 3 High (12)	

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
342	Breakdown of relations between the 3C Shared Service partners	<p>Cause: A breakdown in relations between the council and 3C shared service partners.</p> <p>Event: A significant deterioration in the working relationship and cooperation between the council and 3C..</p>	L = 2 I = 4 High (8)	<p>Re-baselining of all ICT costs currently underway. Strategic conversations about the future direction of ICT scheduled for 2023, to clarify requirements and service expectations going forward. Active review of partnership working between three councils also being proposed.</p> <p>Regular board meetings between all parties to discuss/resolve issues and ensure services being delivered are still relevant..</p>	L = 2 I = 3 Medium (6)	
348	National policy changes place insufficiently funded duties on the Council or impact our ability to deliver our corporate objectives	<p>Cause: New national policies are introduced without enough funding or if they disrupt the council's plans.</p> <p>Event: The implementation of the new national policies, which could affect various..</p>	L = 3 I = 5 Very High (15)	<p>"Actively monitoring government circulars, and being active members in Green paper consultations (either separately as a district or wider collaboration with CC and/or CPCA), participation in webinars, guidance updates, discussion groups on emerging policy. Working with politicians to lobby for agendas that have the greatest impact on us and take an active role to ensuring policy changes have the..</p>	L = 3 I = 4 High (12)	

CORPORATE RISK REGISTER / Delivery and Costs

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
289	Council faces significant additional demand driven by demographic, economic, environmental or other external factors causing financial challenges	<p>Cause: The most likely causes would be related to the growing population, as we deliver on housing growth agenda, combined with the impacts of an aging population and the economic (inflationary and..</p>	L = 3 I = 5 Very High (15)	<p>Service planning, monitoring of development activity, active management of demand and the prompt escalation of deviations from the predicted norm.</p> <p>To actively track key risk and high cost services through our refreshed performance management process enabling prompt action to be taken. To actively seek to redesign this via resourcing and leading a key change programme which reviews the way we support residents in need across a range of local providers - Financial vulnerability project. This will see us work with partners to review and define..</p>	L = 3 I = 4 High (12)	

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
290	Failure to effectively plan for and deliver sustainable development resulting in unplanned growth.	Cause: Failure to undertake a review of the adopted Local Plan in a timely fashion and ensuring the protection of the 5 year housing land supply. Effect: Infrastructure, housing and employment..	L = 4 I = 3 High (12)	* Review of Local Plan identified as a 22/23 corporate priority. *Project plan in place, regular member engagement, early Cabinet decisions on project plan. *Annual monitoring report produced on five year land supply, with any subsequent action plan developed as required. ..	L = 4 I = 2 High (8)	
291	Failure to deliver the Market Town Programme due to inflationary pressures and/ or challenging spend deadlines resulting in no delivery of the programme or delivery of a smaller number of projects and/ or a loss of secured external funding.	Cause: External inflationary factors Poor programme/ project management & governance ..	L = 4 I = 3 High (12)	* MTP Health Check completed 22/23 Q1 * Quarterly monitoring of programme funding profile and anticipated spend against budgets to Cabinet. *Updated cost estimates ..	L = 4 I = 2 High (8)	*Complete MTP health check by end March 22.
292	That the Council has insufficient focus or capacity to deliver the Corporate Plan alongside other competing activities	Cause: Inability to unify and manage a diverse range of programmes and change projects to deliver MTFS financial targets and improved outcomes for our residents. Causes also include *..	L = 4 I = 4 Very High (16)	* Strengthen linkage between strategic and corporate priorities and programmes and projects delivered. *Ongoing review of Corporate priority programmes, projects & activities, including use of internal audit and external consultants. *Ongoing review of the Council's approach to programme and project management ensuring a significant focus on delivery across the whole Council. *All SLT members.. New corporate plan developed and endorsed by Full Council in line with the clear objectives of the Council and clarity of actions being developed to deliver this, and alignment of MTFS against this. With clear and transparent quarterly reporting regime against this. Refreshed project oversight to monitor and deliver outcomes.	L = 3 I = 3 High (9)	*Spring 22 SLT restructure * New approach to 22/23 Service Plans established by end March 22. *Q1 22/23 implementation of SLT re-structure. *By end Q322/23 review of internal officer governance completed.

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
293	"Performance Management failures leading to poor service delivery and failure to meet targets and customer expectations	<p>Cause: Lack of consistent and accurate service performance data across the organisation.</p> <p>Effect: Lack of accurate and performance benchmarking data prevent focus on services improvements...</p>	L = 3 I = 3 High (9)	<p>*Baseline performance date for all services.</p> <p>*Benchmarking data with comparable services/ organisations (where applicable).</p> <p>*Monthly management team reporting.</p> <p>*Quarterly reporting through committee structures. . .</p>	L = 3 I = 2 Medium (6)	*22/23 Establish baseline and comparable data for relevant services
318	Old Falcon Inn St Neots	The building is in private ownership and linked to the MTP. The building is in a dilapidated condition, if an Urgent Works Notice is served the Council could become liable to pay for the works due..	L = 3 I = 5 Very High (15)	We are working with the owner to bring the building back into use, it is expected that if the owner achieves a successful planning permission that he would either sell the property or build out the approved scheme.	L = 3 I = 4 High (12)	We will continue to work with the owner to bring about our preferred outcome for the building which will not require the serving of an Urgent Works Notice.
323	Spatial Plotting in Uniform	Incorrect spatial plotting from Planning in Uniform leading to incorrect or missing information being displayed in a land Charges search. Old planning applications before a specific date (TBC) have..	L = 3 I = 3 High (9)			
341	The Council faces a period of industrial action that impacts our ability to deliver services and our corporate plan objectives	<p>Cause: Potential dissatisfaction or disagreement among workforce regarding various employment related issue, such as wages or working conditions.</p> <p>Event: Initiation or industrial action by the..</p>	L = 4 I = 3 High (12)	<p>Open and transparent conversations about pay with staff and their representatives, being clear on the cost and implications of demands.</p> <p>The development and maintenance of business continuity plans in the event of industrial action, to seek to mitigate the impacts.</p> <p>Proactive communication with residents and communities who could be impacted in the event of the threat of industrial action...</p>	L = 3 I = 3 High (9)	

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
345	That HDC has insufficient resource to deliver its housing ambitions	<p>Cause: Council lacks enough resources to fulfill its housing goals.</p> <p>Event: The Council's available resources fall short of what is needed to achieve its housing plans.</p> <p>Effect: Council may..</p>	L = 3 I = 4 High (12)	To seek opportunities for external funding, to support housing initiatives. To maintain the delivery of affordable properties as part of new developments. To bring forward an updated housing strategy.	L = 3 I = 3 High (9)	
347	That Development Management performance reduces our ability to meet housing, economic growth and environmental commitments.	<p>Cause: Council lacks the skills and/or resources to develop economic growth in the District.</p> <p>Event: housing, economic growth & environmental commitments are not achieved.</p> <p>Effect: NNDR funding..</p>	L = 4 I = 4 Very High (16)	Undertake the Development Management Improvement programme to improve the performance of the planning service To continue enhanced performance management activity and focus on maintaining capacity in the team. "	L = 3 I = 3 High (9)	

CORPORATE RISK REGISTER / Funding

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
286	Funding reduction - wider economic factors, including inflation, Brexit and Covid impacts, generate a reduction in NNDR and Council Tax collection rates impacting on the Councils funding to deliver services. (cont. under cause and effect)	<p>Risk Title cont. : Recognising our greater reliance on locally derived sources of income than has historically been the case.</p> <p>Cause: Broader impacts linked to Macro Economic factors, and the..</p>	L = 3 I = 4 High (12)	Close monitoring of funding streams and escalation of shifts, and development of proposals to address any shifts, and if appropriate timely reductions in spending commitments.	L = 3 I = 3 High (9)	Regular monitoring of funding and reporting to SLT.

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
287	Significant reduction in or redirection of central government funding/lack of certainty beyond single year settlement, & the growth of finite funding pots to achieve delivery which require greater effort at bidding & reporting stage, & risk abortive effort	<p>Cause: Government policy, parliamentary time and economic challenges.</p> <p>Effect: Continuing financial pressures due to Central Government funding reductions, or loss of grant or other funding (e.g...</p>	L = 4 I = 4 Very High (16)	Robust quarterly review of budgets including the proposed efficiencies. £0.5M additional investment in transformation activity to support delivery of MTFS efficiencies. Ensure that compensatory savings are found where savings are not delivered through the above. Increase in Council Tax. Robust MTFP, forecasting, and increasing focus on long term horizon. Establish good partnership working with..	L = 3 I = 3 High (9)	

CORPORATE RISK REGISTER / Income

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
288	That financial pressures or uncertainty leave us with insufficient resources to deliver or to make necessary decision to appropriately plan for the delivery of services and our corporate objectives	Cause: Covid impacts, combined with Brexit represent impacts without a precedent. It is therefore hard to accurately forecast how these could impact on consumer and business behaviour, and our income..	L = 4 I = 4 Very High (16)	<p>Strategic focus on value for money, cost control and income maximisation. Strategic priority to carefully consider expenditure for non-statutory services and maximise income for commercial interests. - Move from net budget reporting to a focus on income and expenditure separately.</p> <p>Regular budget monitoring and escalation is a key control measure.</p> <p>In year this focus includes an in principal..</p> <p>Timely monitoring and escalation of variances against income forecasts, for corrective action to budget holders, with appropriate oversight by SLT. That we recognise and respond to the risk of Covid changing behaviours, as well as broader macro economic threats of people having less ability to pay. Better marketing and understanding of consumer priorities to protect and grow income streams.</p>	L = 2 I = 4 High (8)	Regular reporting to SLT, and timely forecasting to service managers.

CORPORATE RISK REGISTER / People

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
300	People - lack of people capacity or limited supply of key capabilities caused by the challenging recruitment environment. The departure of key staff exacerbated by the impacts of Covid, and increased and unanticipated turnover.	Cause: Covid related turnover which is unprecedented. The increasingly challenging recruitment market and competition for talent generally, but very specifically in some job areas. Staff issues not..	L = 3 I = 4 High (12)	Effective service planning. Succession planning, particularly for mission critical roles and in difficult to recruit sectors. Use of interim market where necessary. Creation of strategic partnerships with local colleges and universities.	L = 3 I = 2 Medium (6)	Embed people planning in service planning. Bring forward development and workforce development plans.
346	Inability to recruit and retain sufficient appropriately trained staff.	Cause: The council struggles to attract/keep enough well trained staff. Event: Difficulty in recruiting and retaining staff with the right skills and training. Effect: Council may have gaps..	L = 4 I = 4 Very High (16)	To deliver a renewed Workforce Strategy to prepare the Council for the changing skills needed in our future workforce, and to ensure that we can continue to attract, retain and nurture talent. To bring forward a new communications strategy which includes consideration of how to market HDC to potential employees. To reinvigorate the Employee Reps group, so that employees have a greater sense..	L = 4 I = 3 High (12)	

****CORPORATE RISK REGISTER** / Process**

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
294	That our contract and account management arrangements are insufficiently robust and lead to financial inefficiency or not appropriately meeting business need.	Cause: Lack of documented processes and consequences of non compliance with code/ policy. - staff not trained or skilled - poor planning resulting in time pressures and "cutting corners" Effect:..	L = 3 I = 3 High (9)	Clearly defined processes.	L = 2 I = 3 Medium (6)	Review procurement training and processes.
				Refresh of our procurement framework. Refresh of our Social value policy. Additional resource placed in procurement. Lunch and learn sessions for staff. Promotion of Code of Procurement, use of TechOne for raising and approving purchase orders and reporting on non compliance around these areas. Promoting the completion of a contracts' register.		
				Routine evaluation of procurement practice through audit activity.		
				Training of all budget holders in procurement practices		
295	Corporate Business Continuity plans are inadequate resulting, over both the short and medium term, in the Council's inability to provide an appropriate service.	Cause: Lack of up to date or adequate BCPs and a lack of recognition of their role or purpose. Lack of training/ ownership amongst management tiers. Poor planning staff not trained plans out of date..	L = 3 I = 3 High (9)	An active project to review and update BCP arrangements across the Council, which has been briefed out to all managers. Staff aware of Regular review and update Periodic testing of the plan - either entire or elements, to ensure it will work and can be relied on liaison with other local authorities / bodies to ascertain common issues / concerns and options for risk sharing	L = 2 I = 3 Medium (6)	Review BCPs and provide training on this to managers.
296	LPA can not demonstrate a 5 year housing land supply	Out of date Local Plan, too many consents being granted (at appeal)???	L = 3 I = 4 High (12)	Review and update local plan in accordance with government policy	L = 2 I = 4 High (8)	Review local plan timetable and resource requirement
		Presumption for all planning applications for new homes will be in favour of approval, so called tilted balance				

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
297	Poor delivery of projects and management of benefit realisation	Lack of skills. Lack of resource. Lack of alignment, coordination and effective risk management across processes. Poorly initiated projects. a focus on urgent over important tasks. Projects..	L = 4 I = 4 Very High (16)	A set of proportionate processes and governance mechanics that provide clear accountability. Oversight and proportional responses to the variety of work undertaken and the different delivery models used.	L = 3 I = 4 High (12)	Refresh of service planning, to assign ownership, provide holistic oversight and change activity, and to proportionately assign resource to scope projects, and align ongoing funding to budget process.
298	Council reliance on out of date or unsupported software systems	Lack of clear understanding of who is responsible and accountable for contracts and commercials around core line of business systems. Lack of skills within the business to understand what it means..	L = 3 I = 3 High (9)	Assign clear ownership. Combined with the new idea process, it will provide greater visibility of the cost benefit impacts of inaction. Service planning process, which places review of expiring contracts as a key action for service managers to respond to. Updated contract register regularly circulated to accountable managers and reviewed strategically.	L = 3 I = 3 High (9)	Review service planning process
299	Inadequate risk management exists within the organisation at a project, service and corporate level leading to effort being spent dealing with the wrong things and issues developing that could have been avoided.	Cause: Lack of training on risk management. Lack of clear processes on risk management, and consequent lack of oversight. Lack of clarity on risk management vs compliance. Lack of commitment and buy..	L = 4 I = 3 High (12)	All service managers will review refreshed corporate risk register as part of service planning, New idea capture and development process will encourage services to identify risk, and provide support services the opportunity to escalate these at inception. The pending adoption of a refreshed risk strategy for the Council. Reducing silo based working. Formal oversight by assurance board. Compliance..	L = 3 I = 3 High (9)	Embed new idea and service planning process.
312	Arrangements and procedures are insufficiently robust or managed and result in harm to a vulnerable person including children.	Cause: Lack of awareness of safeguarding obligations, lack of training, monitoring and lack of understanding of escalation routes. Effect: "Vulnerable people are put at risk. Reputational damage..	L = 3 I = 4 High (12)	clear and well documented safeguarding policies with well trained staff who understand their obligations. DBS (or equivalent) checks on key risk posts programme of review / update of checks, with a focus on capturing training commitments now being built in to our systems, particularly during probation periods	L = 2 I = 3 Medium (6)	Review training needs and sign off proposals via local Safeguarding Governance Board at its meeting Sept 2022.

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
313	Arrangements and procedures are insufficiently robust or managed and result in harm to a vulnerable person including children.	Lack of awareness of safeguarding obligations, and lack of understanding of escalation routes. Vulnerable people are put at risk. Reputational damage. Legal action.	L = 4 I = 4 Very High (16)	Safeguarding Governance Board exists to provide oversight of the Council's duties. Included within that are periodic reviews of our training packages for the various levels of training and signing off those to be trained.	L = 3 I = 3 High (9)	Next meeting of the Board (Sept 2022) to review training packages and target audience, along with tracking system to ensure compliance
343	That inadequate resource allocation, planning, governance or internal processes impact the Council's ability to deliver its objectives or statutory duties	Cause: Insufficient allocation, planning, governance or internal processes within the council. Event: Inadequacies lead to difficulties in carrying out the council's objectives or legal..	L = 2 I = 4 High (8)	Review of organisational governance and framework of assurance in place across organisational governance & risk, performance, project and programme delivery, strategic opportunities. ToR and membership reviewed and updated, to ensure Boards have appropriate data to review monthly, are empowered to make mitigation decisions and actively look to review and amend processes in line with emerging..	L = 2 I = 3 Medium (6)	
344	That our internal reporting is insufficiently timely or integrated to enable corrective action to be taken in response to falls in resource or increases in demand	Cause: Council's internal reporting is not fast or coordinated enough. Event: Resources may fall short or demand increases, and the council's reporting systems cannot catch issues quick enough...	L = 3 I = 3 High (9)	Complete refresh of performance management approach which will focus on more strategic measures and active management of cases that step outside agreed risk parameters. To embed greater focus on income and cost and not just net impact at financial reporting. To fully embed Risk Management thinking so that potential issues are monitored proactively.	L = 3 I = 3 High (9)	

****CORPORATE RISK REGISTER** / Technology**

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
301	Cyber security breach / cyber attack.	Cause: There is significant growth in the volume and profile of attempted cyber attacks. This is combined with a number of high profile vulnerabilities having been identified within our supply chain..	L = 4 I = 5 Very High (20)	1. services to each develop and evidence (via review by ICT/HR and emergency planning) a sound Business Continuity Plan for continued operations in the event of a cyber event that results in a) total loss of all ICT for a period of 2-3 weeks. No laptops, no network, no local applications, no cloud applications, no printing, no mobile CA (just SMS and calls) b) minimal ICT (internet access, some..	L = 3 I = 5 Very High (15)	More training and familiarity activity for staff. More BCP planning for services and organisationally.
				Expansion of ICT procurement advice to enforce mandatory minimum cyber requirement for new software. (Not just buy the incumbent providers option if they don't meet cyber requirements)		All service areas have been asked to review and update their BC plans (e.g. in the event of an incident that impacts the availability and security of ICT services). This is being monitored through the current set of service plans which are in the process of being peer reviewed)
				Investment in dedicated cyber security team.		Investment in to SIEM implementation and adoption - Time, funding and resource is needed for FY 22/23 and beyond.
				Investment in SIEM monitoring software.		Recruitment and embedding of the dedicated Cyber Security resource + agreeing a programme of work fr the first 12 months.
				See ICT service plan - Work is being undertaken with DLUHC and the Cyber (security) Assessment Framework has progressed well and the new security monitoring solution has completed the installation phase has now moved to the configuration and implementation phases. Continued benchmarking against NCSC ten step approach, and monitoring by dedicated cyber security lead. At an operational level ..		NCSC 10 steps risk management process to be implemented and embedded as part of standard working practices. Reporting to be refined to provide regular information ad updates to Shared Services board and the IG boards.
				Undertaking of cyber breach exercise to test preparedness.		ICT and Procurement teams are working together to ensure ICT requirements - such as cyber security, continuity and availability, etc are covered appropriately as part of procurement processes going forward. This should be a standard ICT requirement / part of the system specification.
				Use and monitoring of the NCSC ten step cyber security process. Investment in dedicated cyber security team.		

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
302	Missed opportunities through poor use / understanding / appetite for IT / Technology	Cause: Job description and recruitment processes don't consider the needed technology/ digital skills. Organisation learning and development don't understand or have an offer to help services improve..	L = 4 I = 3 High (12)	Delivery of staff development included in the digital strategy, which will inform the workforce strategy and training and development activity.	L = 4 I = 3 High (12)	Adoption and implementation of the Technology Strategy.
320	CCTV -hikvision cam tech	installation of CCTV cameras and tech which could have an effect of intrusion by the CHINA GOV.	L = 2 I = 2 Low (4)	the situation on the hikvision will be monitored as the government and the ICO still have to put out more statements in regards to this matter	L = 2 I = 2 Low (4)	
339	Council has a major ICT Failure	Cause: A significant failure in the council's information technology (ICT) systems. Event: A major breakdown or malfunction in the council's ICT infrastructure or services occur. Effect:..	L = 3 I = 4 High (12)	To reduce the risk of failure have existing steps & resources in place (dedicated network roles, security systems, UPS and generator power back-up etc). Delivery of new peices of work that reduce the level of risk (e.g migration to new version of NSX in Q2 23/24 to improve service failover performance). Exisiting mitigations include, data centre split over 2 separate sites, immutable back-ups in..	L = 3 I = 3 High (9)	
340	Council suffers a significant information breach	Cause: A potential weakness in the council's data security measures. Event: Council suffers a significant breach of the council's information, such as unauthorised access or data theft...	L = 3 I = 4 High (12)	Refresh of Information Governance arrangements - with focus on in service arrangements. Continued operation of compliance checklist and new assurance board to ensure more focus and accountability on compliance actions. To continue a focus on training, education and support for all staff (perm, FTC, contractors, agency etc) is paramount for mitigating this risk. To refresh IG management plans..	L = 3 I = 3 High (9)	

Assistant Director - Recovery

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
282	Capacity to deliver projects in recovery programme	Staff delivering the projects have additional BAU responsibilities and activities meaning they cannot dedicate all their time and focus on the project resulting in projects not being successfully..	L = 3 I = 3 High (9)	Ensure scope and activity for new projects include a resource profile and appropriate level of funding	L = 2 I = 2 Low (4)	
283	Evaluation of improved outcomes in recovery programme	There is a risk that the programme is unable to demonstrate a positive impact for the work it delivers resulting in further funding for the programme and projects being withdrawn/unavailable/	L = 3 I = 3 High (9)	Establishing a new dashboard report aligning the indicators for outcomes under the 4 headings of Good start, Good health, Good work, Good place. Regular reporting will allow focus for projects to gather and submit high quality data along with establishing target thresholds for indicators	L = 2 I = 2 Low (4)	
284	Communications across the HDC portfolio	There is a risk that external communication messages from other HDC programme areas are promoted at the same time resulting in audiences being overwhelmed and messages being less impactful and..	L = 2 I = 3 Medium (6)			
338	3C Legal Capacity & Resource to Progress Charge Notices	3C Legal do not have the staff in place with the skills to progress parking charges through magistrates court. Without resolution, cases that remain outstanding will need to be written off (loss of..	L = 5 I = 3 Very High (15)	3C Legal in place. 3C Legal currently do not have internal resource/skill so looking to bring in external support	L = 5 I = 3 Very High (15)	

Chief Operating Officer

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
86	Orphaned contaminated sites may fall to HDC to manage long-term high revenue costs	Sites if orphaned may fall to HDC to manage long-term high revenue costs.	L = 3 I = 3 High (9)	<p>Report to LICENSING & PROTECTION PANEL 26 October 2010 UPDATE ON BUCKDEN SOUTH LANDFILL SITE & LEACHATE TREATMENT PLANT (Report by Head of Environmental and Community Health Services)</p> <p>Report to LICENSING & PROTECTION PANEL 19 March 2009 BUCKDEN SOUTH LANDFILL SITE & LEACHATE TREATMENT PLANT (Report by Head of Environmental and Community Health Services)</p> <p>County Council considering their planning enforcement options, planning action may negate the need for Contaminated Land declaration and mitigate risk of non-treatment of effluent by operator</p>	L = 2 I = 3 Medium (6)	
144	Fraud goes undetected leading to loss of funds from public purse	Fraud is perpetrated and goes undetected - this can lead to an increase in fraud due to a perception that the council is an easy target. Reputational problems can occur.	L = 4 I = 3 High (12)	<p>Fraud Policy and Workplan approved by Cabinet in Dec15, This sets out the plans for the team and also the level of resource Cllrs wish to put into this area.</p> <p>Fraud team undertake regular training and carry out risk assessment on every referral. Investigations result in sanctions. Prosecutions published in newspaper.</p> <p>Information provided to public to enable them to tell us about a suspected fraud in the Huntingdonshire area : Telephone the Fraud Hotline on 01480 388188 (24 hour line) Complete on-line Report Benefit Fraud form or email visit or write to Pathfinder House</p>	L = 3 I = 2 Medium (6)	

Civil Contingencies

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
9	Inadequate civil contingency arrangements result in failure to respond appropriately to a major incident.	Cause: unpredicted event Effect: Different demands on priority services Displacement of staff to manage and meet demands impact on routine service delivery Staff are not prepared for adjusted..	L = 1 = 2 Low (2)	Emergency plan	L = 1 = 1 Low (1)	Training commissioned. Due early Autumn. Attendance compulsory.
				Rolling programme of staff training and exercises delivered across the partnership.		

Corporate Director - People

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
58	Information Security Policy is not followed leading to an inability to provide an appropriate service, litigation against the Council and a failure to respond to requests for information	Effect: Unauthorised access to records and information Breaches in confidentiality Leak of confidential information Loss of information and data Reputation damage Data / software not removed..	L = 4 = 5 Very High (20)	Information Security Policy covers all aspects of IT and information security. Policy agreed by COMT and HoS advised that their staff must follow the training. Guidance and Training provided by IMD and ongoing training is in place for all staff. Additional resource has been brought into the 3C ICT service to ensure appropriate resource is available to support services to meet both requests and..	L = 2 = 4 High (8)	

Corporate Director - People / Head of 3C ICT

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
15	ICT Security is breached causing both the loss of data and a loss of confidence in the integrity of the data being held.	Cause: Incursion - External Exfiltration - Internal/External Sabotage - Internal/External Core switch and internal router is a single point of failure (SPoF) because there is only one of..	L = 5 I = 5 Very High (25)	Access controls - Logical	L = 3 I = 3 High (9)	To assess what security measures are in place for portable IT devices and to implement software to control the access of portable IT devices to the Council's IT network.
				All ICT staff with administrative access are BPSS checked.		
				Anti-virus, Anti-Malware/Spam Filtering and Firewalls preventing unauthorised access by viruses.		
				Back up tapes - off site storage of tapes		
				Booking procedures for use of laptops away from the office		
				Email filtering reduces reducing viruses, trojan software & spam		
				Fire / security protection		
				Follow the NCSC 10 steps to cyber security for mitigating and remediation of identified cyber security risks and threats.		
				Interception of attachments and re-writing messaging URLs within messages.		
				Locks on notebook computers. Routine floor walk of laptops and mobile kit to check if secure.		
				Security marking of assets		
				Some of the less valuable pieces of equipment are kept on site or are readily available to purchase locally.		
Web screening products reduce ingress of malware and malicious programs from infected sources						

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
25	The Council becomes over reliant upon a limited number of key Information Technology & Systems specialists leading to the loss of information or IT related services when these staff are unavailable or should they leave the Council	Effect: Backlogs; errors & omissions; stress; inability to recruit; quality deficit; deadlines missed; inability to plan & schedule; lack of IT training; project operational visibility; additional..	L = 4 I = 3 High (12)	Formation of 3C shared service creates a bigger team with more resilience	L = 3 I = 3 High (9)	
				Project management in the form of PRINCE2		
				Purchase of outside consultancy		
				Resilience has been improved with the development of network procedures which are created and shared by the staff within the Network Team. Knowledge sharing is an ongoing tasks.		
				Training is supplied with system implementation;		
Training needs assessed through the appraisal process. Staff development takes into account succession planning & multi-skilling of staff.						
60	Corporate Systems are not managed or developed correctly leading to errors in service delivery or poor local reputation.	Embarrassing errors in customer-related data e.g.. Sending bills to deceased people Increased data manipulation & chance of error More staff required than needed Service planning is unable to take..	L = 3 I = 3 High (9)	Contracts with suppliers	L = 2 I = 3 Medium (6)	
				Test systems in place for development of new existing systems		
				Training given to highlight issues with data consistency between non linked databases		
72	Insufficient consideration given to contract terms & conditions or system users' needs prior to IT solutions being sought, leading to delays in procurement process and soft/hardware being purchased that isn't appropriate for service needs	Too long is taken over the legal side during drafting of the contract; companies go out of business or are taken over - company sustainability; wrong IT system chosen; IT system becomes obsolete or..	L = 3 I = 4 High (12)	Adequate timely consultation with Procurement Manager	L = 2 I = 3 Medium (6)	
				Consultation with appropriate user groups		
				Ensure ICT Systems Projects adopt Proof of Concept approach to implementation delivery.		
				Implementation approach procedures		
				Use of appropriate elements of Prince 2 to manage procurement process		

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
177	Power loss to main server rooms causes significant failure or loss of IT systems including telephony, data systems, software and hardware.	Disruption to the Council's IT systems and general ability to function Reduced levels of service provision - 80% of services unable to function after half a day without IT Dissatisfied customers	L = 4 I = 4 Very High (16)	24 hour monitoring in the server room and in the racks for fire/flood/power and temperature	L = 3 I = 2 Medium (6)	
				Maintenance Contracts		
				Monitoring of performance levels/ calls to HelpDesk		
				UPs allows 10mins closing down time		
181	The Sharepoint Environment or HDC Website becomes unstable resulting in disruption to online services	Internal SharePoint Environment relies on Databases and SQL server and external Website is now hosted on Azure (the Cloud). Call Centre / Customer Service Centre and any online services could be..	L = 4 I = 2 High (8)	Maintenance Contract	L = 3 I = 2 Medium (6)	
				Restricted site access to sharepoint site. Only authorised staff able to make alterations to site.		
				Systems are backed up daily. Any changes/upgrades to system are made out of normal working hours - after 17:00 and before 08:00.		
183	Financial interfaces become unstable and business systems are not updated resulting in decisions based on poor or absent data.	Reconciliation problems; business systems not updated; customer accounts not updated and summons sent incorrectly sent out; reputational damage	L = 4 I = 2 High (8)	business owners have back up plan	L = 3 I = 2 Medium (6)	
				Documented procedures Restricted access		
				Known absences are planned in advance		
217	Personal data is not processed in accordance with the rights of data subjects and the Council's Notification of processing purposes to the Information Commissioner under the Data Protection Act, resulting in complaints or litigation against the Council	Breaches of the Data Protection law & in particular any of the 8 Data Protection Principles Effects: Complaints through the internal and external systems which may result in a complaint to the..	L = 5 I = 5 Very High (25)	Advisory notice on Council Website and forms to advise persons supplying personal data of the purposes for which it may be processed by the Council	L = 3 I = 2 Medium (6)	
				elearning course for all staff available on intranet + ad hoc training sessions		
				Governance Group meeting four times a year to deal with all issues relating to implementation, monitoring and review of DP, FOI and RIPA		
				records all purposes for which the Council may process personal data		
				sets out 8 Principles and the Council's policy to ensure compliance with the data protection law		

Standard Risk Register

Corporate Director - People / Head of Operations						
Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
11	The Council is unable to collect household and trade waste on a regular basis resulting in both environmental and health & safety concerns and a reduction in the quality of life of residents.	Effect: Withdraw parts of the service Reputation damage Targets not achieved Declining health of the population HDC's workforce are ill, inability to recruit additional staff to deliver the..	L = 2 I = 3 Medium (6)	Arrangements in place with agencies for trained temporary staff	L = 2 I = 3 Medium (6)	
				Business continuity plan in place		
				Fleet replacement cycle reviewed so average age of refuse vehicles reduced		
				Inclement weather procedure developed and adopted		
32	Ineffective site security arrangements at Eastfield House leads to the theft and/or loss of 'assets' and employees being concerned for their safety.	Effect: Fire Suspect packages and mail received at Reception Damage to property Reputation damage Injury to staff Adverse impact on service delivery if sites are not accessible Customer..	L = 3 I = 2 Medium (6)	All employees issued with proximity cards for access. Differing levels of access for differing employees / visitors with issue of cards strictly controlled, or escorted on premises.	L = 2 I = 2 Low (4)	Full review of all access cards undertaken September to December 2016 as part of the new shared service access card implementation. Monthly checks thereafter linked to starters and leavers. An annual check of all staff
				Doors have remote electronic locks. Access levels of employees not based at Eastfield House is 'managed' to ensure access is available to any area necessary, but not to areas where employees could be put at risk.		
				Ensuring security of external areas at all times.		
				Full review of all cards and access completed December 2016		
57	The Council's equipment and plant in Operational Services is not properly maintained, leading to its failure resulting in injury to staff or customers or reduction in service provision.	Effect: Failure of the refuse fleet Impacts on service delivery and achievement of targets Customer complaints Time and cost overruns Reputation damage Environmental impacts	L = 2 I = 3 Medium (6)	Ability to use contract vehicles at short notice	L = 2 I = 2 Low (4)	Completion of annual servicing regimes and replacement programmes by Fleet Services to ensure all plant and equipment provided for use by frontline services is fit for purpose and safe to use.
				Constant maintenance against servicing programme and service regimes.		
				Planned renewal programme being implement to set timescales		

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
126	Damage is caused to third party property due to inadequate maintenance of trees damaging our reputation and increasing expenditure.	Adverse publicity following an incident resulting in damage to property. Increase in insurance premiums due to increased householder claims.	L = 3 I = 2 Medium (6)	Operations Division have a specialised Arboriculture Team working to revised maintenance schedules that include set timeframes for completion of work; and quality inspections by the Arboriculture Manager.	L = 3 I = 2 Medium (6)	Establish task and finish working group to assess feasibility of creating a unified section to deal with all arboricultural matters for the authority
				Programme of tree surveys completed with on-going maintenance of the tree stock in the District in place		
				Revised procedures adopted for inspection of tree issues reported through the Call Centre and for initiation of subsequent work requirements.		
				Tree Management Plan in place.		
186	Failure to maintain Council's assets , results in assets not fit for purpose and/or possible accidental injury to users/occupiers.	Financial & safety implications Non compliance with H&S legislation Dis-repair of parking areas and bus stations Dis-repair of footpaths non-maintenance of watercourses Dis-repair of street..	L = 4 I = 4 Very High (16)	Asset register updated on regular basis	L = 3 I = 2 Medium (6)	
				Repairs and maintenance schedule ensures assets are maintained		
192	Criteria for holding an "O" Licence are not met and the licence is revoked by the Traffic Commissioner resulting in an inability to deploy fleet and significant impact on services	"O" Licence could be revoked if vehicles are not regularly maintained and serviced; fees not paid on time; no CPC holder. Impacts on service delivery and achievement of targets. Reputation..	L = 2 I = 3 Medium (6)	CPC holder in post	L = 1 I = 3 Medium (3)	1. Servicing and maintenance of vehicles against manufacturers guidance and in accordance with the annual programme for servicing. 2. Management teams within services re-enforcing vehicle compliance requirements with drivers (Inc. daily vehicle checks). 3. Management teams in services ensuring periodic medicals for HGV drivers are completed and any driver failing a medical is stopped from..
				Drivers hours of work are monitored as required by vehicle inspectorate		
				Vehicles are maintained and serviced on a regular basis as required by the vehicle inspectorate		

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
253	Costs of processing recyclate increases	Less income than estimated impacting on the Councils budget, increased contamination and more stringent quality control by contractor	L = 3 I = 3 High (9)	Through the Recyclates Processing Contract the market rates for recyclates are being monitored and compensatory savings are being made in the operational costs of delivering the Waste Service to compensate for shortfalls in income.	L = 3 I = 2 Medium (6)	<p>1. CMT to agree the revision of this risk to state that income from the sale of recyclates is not realised because of the rejection of materials at the MRF because of contamination. This is necessary because this is the factor that HDC control. The market conditions for the sale of the recyclates is outside of the control of HDC.</p> <p>2. Implementation and then consistent application of the new..</p> <p>Quarterly monitoring of recycling income has confirmed an increase in budgetary provision for recyclates due to increased volume of recycling by residents, supported by free second recycling bin and acceptance of side waste for recycling.</p>
319	Diesel Unavailable	Disruption to supply of fuel through theft, supply delays, pump failure. Will result in fleet unable to move, Waste will not be collected, Streets not cleaned, Grounds not maintained, Car parks..	L = 3 I = 4 High (12)	Fuel tank at EFH able to store minimum 12,000 up to 48,000 litres, mitigates any supply chain delays, or any national supply issues. RCV's are topped up at the end of the day giving 2 days in their tanks. Pump issues are fixed within 24 hours. Back up fuel cards in case of emergency. Priority list for services to reduce if fuel is in short supply. Access to the tank is limited, there is an..	L = 1 I = 2 Low (2)	
327	Vehicle Maintenance Staff retirement	Towards the end of 2024 two key Vehicle maintenance staff are due to retire. Without replacement and succession planning, the effect will be either massively inflated vehicle maintenance costs as we..	L = 3 I = 5 Very High (15)	<p>Optional - recruit a senior qualified and experienced LGV Technician to overlap with current staff for at least 3 months, this will give time to pass over knowledge.</p> <p>Optional - upskill current Technician to work on LGV, this will involve significant time away on training.</p> <p>Redefine "Yardperson" Role, into "Workshop Apprentice", to focus that role into the workshop as a support role to reduce the pressure on current staff and provide someone to impart vast amounts of knowledge.</p>	L = 3 I = 1 Low (3)	

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
17	A member of the public is seriously injured or killed whilst visiting or using Leisure Centre facilities because the Council has not provided a safe environment or its staff with sufficient and adequate training.	Effect: Adverse publicity following an incident resulting in death/injury to member of the public. Leisure Centre forced to close pending HSE investigations. Procedures for the management of..	L = 3 I = 4 High (12)	QMS Systems and Procedures adhered to. Regular monitoring of the facility prior to opening and throughout opening hours Trained, qualified and experienced staff on duty.	L = 2 I = 3 Medium (6)	
62	Capital projects are not delivered on time or within budget leading to delays in service improvements and unplanned increases in council tax or cuts in other services.	Cause: Security of tenure not formalised in a timely manner before project delivery commences Procurement of contractors / technical project management Effect: Expected benefits not..	L = 3 I = 3 High (9)	Project planning and management used to monitor progress with projects. Any slippage in project delivery is reported in timely manner Project cost increases are reported, approved and authorisation agreed before proceeding Regular update on budget at all stages	L = 3 I = 2 Medium (6)	
147	Arrangements and procedures are insufficiently robust or managed and result in harm to a vulnerable person including children.	Accusation of inappropriate behaviour relating to both members of staff and members of the public and in particular young persons. Adverse publicity. Legal implications. Potential adverse impact on..	L = 3 I = 3 High (9)	DBS checks received prior to commencement of employment Procedures in place to allow managers to identify posts requiring DBS checks. A spreadsheet will be sent to all HoS to enable thme to identify all posts within HDC that require DBS checks and appropriate Safeguarding training. Safeguarding Governance Board established to oversee the delivery of actions identified in the Safeguarding Audit report training for all managers delivered by end of 2017	L = 2 I = 3 Medium (6)	

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
194	Continuing achievement of promoting active lifestyles and reducing health inequalities is reduced because of the loss of funding.	Public health now part of CCC. Funding of HDC delivery through PH funding negotiated on an annual basis, with no certainty on a year on year basis. Local Commissioning Groups in place but still..	L = 4 I = 3 High (12)	<p>Maximise section 106 contributions and/or CIL where able / external funding/ grant aid and/or sponsorship contributions to enhance sports facilities in the district.</p> <p>Sport and Active Lifestyles team work closely with a number of partners to help provide activities such as young people's holiday programmes, disability sports clubs and health walks. Support is also offered to local sports clubs to help provide access to leisure.</p> <p>There are 300 health professionals on the register. Registered health professionals can refer individuals who may benefit from a personalised exercise programme to any of the District's Leisure Centre.</p>	L = 4 I = 2 High (8)	
269	closure of facilities due to security of tenure not being formalised	HDC would have to vacate the premises Loss of leisure facility within a geographical area of the district	L = 4 I = 3 High (12)	Individual leases being negotiated with Academies / Cambs CC	L = 2 I = 3 Medium (6)	
328	Mixing of pool chemicals resulting in serious injury or death to one or more people	Cross contamination of two swimming pool chemicals, one alkaline and one acid based substances used to control PH and disinfectant of the swimming pool water. Cross contamination will cause the..	L = 3 I = 4 High (12)	Chemicals are stored separately and in a secure location with restricted access. Only qualified staff are permitted to handle swimming pool chemicals. Chemical are used in the opposite forms - liquid and powder removing the chances of using & mixing the wrong chemicals.	L = 2 I = 4 High (8)	Ensure Chemicals are stored in secure separate areas of the plant room and are not of the same form i.e. liquid or power. Ensure only qualified & trained staff handle and use the pool chemicals.
329	Fire caused by arson, non-compliant inspections of fixed wiring, storage of combustible material or other means. Causing death or deaths, serious injury and significant damage to property	Fire caused by arson or neglecting legal responsibilities associated to fire risk management and prevention resulting is significant damage to property and possibility of serious injury or death to..	L = 2 I = 5 High (10)	Each Leisure Centre has a current and in date fire risk, all immediate actions identified from the fire risk assessment have been acted upon and implemented. Each Leisure Centre is fitted with an audible and working building fire alarm. Fire alarm call point are located and working throughout each Leisure Centre. In date and serviced fire extinguishers are available locations and numbers are..	L = 2 I = 4 High (8)	

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
330	A member or members of the public or staff are made ill or killed from food poisoning/contamination or allergies resulting in anaphylactic shock	A member of public or staff member is made seriously unwell or killed as a result of eating contaminated food or exposure to food Allegan's	L = 4 I = 3 High (12)	Food is purchased from approved suppliers. Food produce is stored appropriately and at the correct temperature. They is a system in place for control of food expiry. there are systems in place for recording and monitoring of fridge and freezer temperatures. The is a daily cleaning schedule in place to ensure food is prepared in a safe and clean environment. Staff are trained in basic food..	L = 2 I = 3 Medium (6)	
331	Loss or abduction of a child or vulnerable person using One Leisure resulting is harm or death	A child lost or abducted from a Leisure Centre resulting in serious harm or death either through an accident due to the absence of adult supervision or physically harmed intentionally by another..	L = 2 I = 4 High (8)	All children under the age of 8 and vulnerable adults must be accompanied by a responsible adult. There are physical barriers in each of the leisure centres that control access and egress. receptions are staffed and each admission must hold an activity booking prior to entry.	L = 1 I = 4 High (4)	
332	Death caused by drowning while using a One Leisure Swimming Pool	A weak or non swimmer is killed by drowning while using a swimming pool	L = 4 I = 4 Very High (16)	Swimming pools are supervised by qualified lifeguards. Access to the swimming pool is restricted by physical barriers when not in use. Weak or non swimmers must be accompanied by a competent swimming adult over the age of 16. Staff are trained monthly and records of their training and compliance are held on site. Weak or non swimmers are encouraged to use swimming floatation aids. Weak or non..	L = 2 I = 4 High (8)	
333	A member of public is seriously injured or killed resulting from crush injury while using free weight Olympic bars or smith machines	A customer is seriously injured or killed from a crush injury while using free weight Olympic bars or smith machines.	L = 3 I = 4 High (12)	Customers are made aware of the safe operating rules and must hold a valid membership before using the gym. The gym is supervised at all times within the opening hours of the centre. The gym/leisure centres have access control to mitigate non member use. smith machines have safety function with signage that must be engaged before use. Staff are trained and hold relevant gym instructor..	L = 2 I = 4 High (8)	
334	Physical assault to a member of staff or customer from another customer or non user of the leisure centre resulting in serious harm	Physical assault to a customer or member of staff by another customer or non users resulting in serious harm	L = 2 I = 3 Medium (6)	Leisure centre receptions are staffed at all times. Access control and physical barriers are in place to prohibit unauthorised access. CCTV is in operation at all leisure centres. Staff are trained and aware of escalation process and when to call the police. Staff are in radio contact with a manager on duty at all times.	L = 2 I = 3 Medium (6)	

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
335	Serious injury or death caused by electrocution	Staff or contractors are seriously injured or killed as a result of electrocution while using equipment or plant	L = 2 I = 4 High (8)	Equipment and plant is serviced and inspected regularly and in line with legal requirements. Only qualified electricians are permitted to carry work with electricity and or tasked affected by electricity. Fixed wire inspections are carried out at all leisure centres. defective equipment due to electrical faults are removed from public access and stored in a restricted area.	L = 1 I = 4 High (4)	
336	Structural failure causing serious injury or death to one or more people	Structural failure of roofs or high level fixed equipment resulting in serious injury or death to more or more people	L = 2 I = 4 High (8)	Condition survey's have exist for all leisure centres. No structural defects have been recorded at the time of the survey's being completed.	L = 1 I = 4 High (4)	
337	Theft of monies held on site	Theft of large sums of monies held at leisure centres resulting in significant financial loss to the authority	L = 2 I = 2 Low (4)	All cash held at leisure centres is audited, stored within key coded safes. CCTV is in place to monitor access in and out of the safes, only authorised staff are permitted to access safes. Regular cash collection are conducted to ensure large sums of monies are not held on site	L = 2 I = 2 Low (4)	

Corporate Director - Place / Housing Strategy

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
237	Fundamental changes in Government Policy could undermine Council's ability to enable new affordable homes to be built.	Fundamental changes in Government Policy could undermine Council's ability to enable new affordable homes to be built. This includes a increase in the threshold of sites on which affordable housing..	L = 4 I = 3 High (12)	Additional resource proposed as part of budget process to meet new statutory housing duties.	L = 4 I = 3 High (12)	
				Adopt a new Housing Strategy and Action Plan, and prepare a more permissive Local Plan policy		
				If a developer contends that their affordable housing requirement (Section 106) is not economically viable for them to fulfil we would scrutinise the inputs to the development to assess overall site viability. If proven, we would renegotiate a lower percentage of affordable housing, or we would revise the tenure split of the site to enable a viable development to proceed.		
				Maximise new affordable housing opportunities on s106, rural exception sites and others.		
				Review and increase provision of temporary accommodation as an alternative to B&B		
254	The DFG budget is not sufficient to meet statutory requirements to award qualifying DFGs.	The capital contribution we receive from Government towards the cost of Disabled Facilities Grants (DFGs) is c£1.1m. The HDC budgeted contribution of £300K is insufficient and is being reviewed for..	L = 5 I = 4 Very High (20)	Contributed to the development of the Better Care Fund strategy which sets out the vision and principles for what the BCF will be used to achieve in the County. DFG commitments, pipeline and budget reviewed. Paper prepared for and given to Portfolio Holder. Updates provided to Portfolio Holder on projected overspend to meet need.	L = 5 I = 4 Very High (20)	

Corporate Director - Place / Strategic Growth

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
40	Planning policy may be insufficient to meet government requirements and the Government intervenes to write the Plan	Effect Government intervenes to write the Local Plan (loss of local control) Local Plan found unsound High Court over turns Local Plan Inappropriate decisions made Disgruntled..	L = 4 I = 4 Very High (16)	A complete review of planning policies has being undertaken in order to produce a new Local Plan. The Submission of the new Local Plan is on track for submission by the Government's deadline of March 2018 or when revisions to the NPPF are published, whichever is the later. Outside consultants used and legal advice taken where appropriate	L = 2 I = 4 High (8)	
53	The Council is unable to deliver sustained economic growth for the District leading to (over a period of time) reducing employment prospects and declining prosperity.	Business Support Services pursue inappropriate projects and activities for the support of the local economy. Effect: Economic implications Increasing unemployment in the district Changing degrees..	L = 3 I = 4 High (12)	A local Growth Plan and an annual service plan are in place, which take into account changes in employment levels and prosperity in the district and at the macro level, the implications on equality and inclusion policies	L = 2 I = 3 Medium (6)	
59	The Council does not react to local transport issues, developments, and needs, leading to increased chance of adverse economic impact on the District.	Effect: Traffic gridlock / congestion in the District Resistance from the public Service provision may not meet needs Reputation damage Social responsibilities may not be delivered by the..	L = 3 I = 3 High (9)	Completion of the Infrastructure Delivery Plan alongside the Local Plan. Allocation of Community Infrastructure Levy. Supporting delivery of the new A14 and promotion of the A428 and A1 improvements, East-West Rail and new rail station at Alconbury Weald. Work with the Combined Authority.	L = 2 I = 3 Medium (6)	

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
208	Section 106 Agreements may not be adequately monitored resulting in non-compliance with the conditions of the agreement and financial contributions not collected and used in accordance with the agreement.	If Section 106 agreements are not closely monitored then benefits for the community - social housing/public open space play areas/ contributions to educational and transport facilities - may not be..	L = 5 I = 3 Very High (15)	A corporate system is in place (Exacom). Obligation owners have access to the system in order to update the clauses and activity.	L = 2 I = 3 Medium (6)	
				Annual reporting is undertaken through the IFS (Infrastructure Funding Statement) in accordance with regulations, which demonstrates delivery and accountability within the financial year.		
				Financial anomalies identified during the annual reporting process are reviewed and acted upon as appropriate.		
				The Implementation Team oversee the system and undertake monitoring of agreements as a whole, including liaison with services where relevant.		
236	Community Infrastructure Levy (CIL) liabilities may not be adequately monitored resulting in non-compliance with regulations and non collection of financial contributions payable to the Council	Legal obligations rest with the developer to notify the LPA prior to commencement of development in order to ensure invoice raised. If CIL liability notices are not issued early by the LPA then..	L = 4 I = 4 Very High (16)	1. Check of planning approvals for liable applications weekly.	L = 2 I = 3 Medium (6)	
				2. Area check on list of liable cases weekly.		
				3. Cases set up on Uniform and Enterprise.		
				4. Use Building Control records, NHBC returns, street naming and numbering, Annual Monitoring Report and use of Northgate when appropriate to identify those seeking to evade payment.		
				5. Guidance and forms on website and Use Guide..		
266	Building Foundations for Growth - Capital Grant Administration or Compliance issues	As accountable body for the administration of this grant of £5m, we are responsible for ensuring the appropriate expenditure of this funding and compliance with European State Aid..	L = 2 I = 4 High (8)	Legal advice has been taken and recommendations followed in order to ensure that the projects funded thus far are State Aid compliant.	L = 1 I = 4 High (4)	
				Legal agreement in place which provides indemnity for HDC from recipient of grant funding in the event that the grant has to be repaid.		
				Cabinet has resolved to loan to Urban & Civic to construct a new Incubator on the Enterprise Zone. Agreement nearing..		

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
270	LPA can not demonstrate a 5 year housing land supply	Higher benchmark to justify refusal of planning applications. Appeal decisions that would not otherwise be granted are granted to increase housing supply i.e. loss of local control. Increase in..	L = 4 I = 3 High (12)	Annual monitoring report produced. Housing land supply is a material consideration in planning decisions. Action Plan agreed at October 2016 PDG meeting and implemented.	L = 3 I = 3 High (9)	

Corporate Issues

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
73	National government places additional burdens on council services which lead to reprioritisation of the planned business of the council to meet local need.	Cause changing national policies Effect: Staffing impacts Overspends Priority need remains unmet Changing targets Inability of the Council to achieve in all areas Priority setting may not be..	L = 4 I = 4 Very High (16)	Corporate Training Programme in place. Also, as part of being a member of most professions, employees would undertake a certain amount of CPD and so would cover new legislation affecting their own profession MTFS process in place to plan for future pressures and bid for additional resources Ongoing monitoring of impact of external and internal economic forces to allow prompt reactions / early intervention programmes transformation programme is in place to ensure that the council is both as efficient and productive as it can be, in order to build capacity and drive out waste	L = 2 I = 2 Low (4)	
262	Failure in the governance of shared services which results in non-delivery of vision of shared services leading to inability to deliver the required efficiency savings	Cause Destabilising of partnership as local priorities change Effect Lack of buy in from partners and staff - benefits of shared working not communicated Perception that efficiencies to be..	L = 3 I = 3 High (9)	forward plan of future phases to be built around review of phase one and business cases for next round Regular board meetings to oversee roll out of projects across the three work streams and three Councils. New enhanced governance arrangements are currently being discussed. robust risk management now embedded in the programme	L = 1 I = 3 Medium (3)	

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
277	Social Media accounts may not be robustly controlled, leading to potential security breaches.	Multiple users of accounts Incorrect use of the social media account Staff work independently of management review	L = 3 I = 2 Medium (6)	Business case prepared for all social media accounts and this requires staff to consider how the account will be managed, including access controls.	L = 2 I = 2 Low (4)	
				IT Security and Data Protection practices are in place to cover access, password management etc		
				Leaver form used to withdraw IT access and prompt management review of social media accounts.		
				Practices reviewed through the Social Media User Group (SMUG).		
				Social Media Guidelines in place and available to all users of social media accounts.		

Director of Finance and Corporate Services

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
6	Corporate Business Continuity plans are inadequate resulting, over both the short and medium term, in the Council's inability to provide an appropriate service.	Cause: Loss of utilities / power for substantial amount of time Loss of core systems Flu pandemic Staffing and resourcing Severe weather Major accident Effect: Inability to deliver core..	L = 3 I = 4 High (12)	BCP is reviewed and if necessary, revised annually. This is then considered by Senior Management Team (SMT) and Corporate Governance Committee (CGC). The BCP indicates plans and practices to facilitate the recovery and restoration of services and the management of BCP in any given situation.	L = 2 I = 3 Medium (6)	SMT have agreed new BCP (January 2017) and the process and mechanism for annual review of BCP. BCP reported to Corporate Governance Committee annually.

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
209	Lack of compliance with Data Quality Strategy leading to a potential for wrong decisions being made based on inaccurate information.	Poor data quality and timeliness of data impacts on the quality of decisions. Data received from Partners e.g Crime Stats, is inaccurate	L = 3 I = 3 High (9)	Performance Management and Data Quality Framework and Policy April 2017	L = 3 I = 2 Medium (6)	
		Reputational damage Decisions/recommendations based on..		Performance reports include a statement from the Head of Service verifying the accuracy of the data and has been collected in accordance with the data measure template and data quality spot check have been undertaken on a selection of PI's		

Director of Finance and Corporate Services / Audit

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
315	Inability to give an annual audit opinion	CAUSE non delivery of sufficient assurance activity deviation from Audit Plan to support other activities Services cannot accommodate/facilitate an audit lack of resource/staff	L = 3 I = 3 High (9)	Audit Plan in place, which is approved by CGC and progress reported.	L = 2 I = 3 Medium (6)	
		EFFECT..		Other assurance sources are identified, recorded and used to support an opinion		
316	Resource resilience	CAUSE small team, larger impact Sickness risk Pull to support other services recruitment difficulty / specialist area uncompetitive salary /package Do not hold skills/expertise necessary to be..	L = 4 I = 3 High (12)	Capacity resource levels reported to Corporate Governance Committee. To be made aware where insufficient resources to deliver. Existing IT audit contract also contains general audit provision for use if needed. Professional qualification of staff (only a partial control since HDC decided to remove essential requirement to be qualified). Existing staff all professionally qualified holding C/MIIA, one person training CIA with IIA.	L = 4 I = 2 High (8)	Audit staff to be skill/training assessed to identify areas of training needed

Standard Risk Register

Director of Finance and Corporate Services / Elections and Democratic Services

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
29	Deficiencies in the administration of election processes leads to results being challenged and the Council being unable to operate effectively.	Effect: Failure in the conduct of elections Adverse publicity / reputation damage / customer complaints Additional costs / resources for re-running elections Loss of face / trust Inappropriate..	L = 2 I = 4 High (8)	Clear guidance for candidates and staff; core team fully trained; consultancy details available in case of staff sickness	L = 1 I = 4 High (4)	
37	Governance of the Council is weak resulting in poor and ineffective decision making.	Effect: The effectiveness of Members is not maintained Failure to maintain high standards of conduct by District and Parish Councillors Reputation damage / loss of face Inappropriate behaviour by..	L = 3 I = 4 High (12)	A guide has been prepared which provides information for people who may wish to stand for public office - the guide is made widely available in the community Minimum of 2 training sessions p.a. offered to councillors Ongoing guidance provided to Members Register of disclosable pecuniary interests is maintained and kept up to date	L = 2 I = 3 Medium (6)	

Director of Finance and Corporate Services / Finance

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
24	Estimates made as part of the budget setting process are incorrect, requiring service budgets, and consequently some services, to be reduced in an unplanned way.	Effect: Withdrawal of all or part of a service.	L = 3 I = 4 High (12)	Members and Senior Management Team ensure that both income and expenditure budgets are sufficient to meet the requirements of the Corporate Plan.	L = 2 I = 3 Medium (6)	
				Once draft budget MTFS is produced it is disaggregated to service level to produce the final report which can highlight certain types of error.		
				The Council maintains sufficient general revenue reserves (15% of Net Expenditure) to allow flexibility for any unexpected service changes; as well as maintaining Earmarked Reserves to meet known future commitments.		
34	Sufficiently late or inaccurate provision of financial advice to managers or Members may lead to significantly incorrect decisions being made.	Effect: Deadlines are not met; insufficient reserves to meet budget; capped; overspend; incur extra costs through borrowing	L = 3 I = 3 High (9)	Heads of Service report to accountants emerging financial issue on a timely basis.	L = 2 I = 3 Medium (6)	
				Members and Senior Management Team adhere to the requirements of the Code of Financial Management and the Code of Procurement.		
				Monthly budgetary control reports produced for managers and for Cabinet		
				Paragraph 1.1 of the Code of Financial Management requires written reports to the body or person(s) responsible for making decisions to include financial implications by the officer accountable for the budget.		
42	Decisions that support the Council's budget are not scrutinised robustly enough leading to budgets being set that don't reflect the needs of the whole District.	Effect: Funding directed at favoured projects rather than agreed objectives Service delivery implications and targets not achieved Staff / Manager and Member disagreements Ineffective priority..	L = 3 I = 4 High (12)	Newly elected members are offered training in local government finance, with all members provided with training on an ongoing basis when there are significant changes in the local government financial environment.	L = 2 I = 3 Medium (6)	
				The S151 officer provides a "robustness" statement for the budget and MTFS that demonstrates sensitivity analysis to determine the adequacy of reserves.		

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
273	The Commercial Investment Strategy (CIS) is curtailed by the Govt. or doesn't achieve its aims of increased investment returns leading to reducing opportunities for the Council to become financially self-reliant.	Cause: Central Govt. amends legislation that reduces or curtails CIS. Council's appetite for pursuing a CIS changes. Increase in cost of borrowing and interest payments. Shortage of ..	L = 3 I = 4 High (12)	Active monitoring and engagement with professional bodies who are influencing government policy in this area is on-going.	L = 3 I = 4 High (12)	
				Cabinet approved CIS incl. defined governance arrangements and delegations.		
				Effective budget setting and financial monitoring processes, incl. frequent reports to Cabinet and O&S on CIS delivery.		
				Qualified and experienced Officers in post supported by external professional advisors.		

Director of Finance and Corporate Services / Human Resources

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
321	HR system project not being signed off	Supplier delays - final system update not made so project sign off being with held	L = 4 I = 2 High (8)	Routine project management processes	L = 4 I = 2 High (8)	
322	Resource issues	The are 2 roles within the team - Payroll Manager and HR System Analyst. Sickness risk recruitment difficulty / specialist area uncompetitive salary /package	L = 4 I = 2 High (8)	Process notes to allow transfer of knowledge. Establishing links with partner councils to agree support if issues arise	L = 3 I = 2 Medium (6)	

Director of Finance and Corporate Services / Property

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
145	Loss of access to or loss of physical structure of all or part of Pathfinder House following a significant event - fire, flood, act or omission by a third party.	Fire, flood, terrorist action, disruption to traffic on the ringroad or the A14 or other civil emergency prevents/restricts access to Pathfinder House resulting in disruption to Council services..	L = 2 I = 5 High (10)	Buildings and business interruption insurance maintained. Corporate Business Continuity Service Plan includes facilities requirements updated May 2017 Remotely monitored fire and intruder alarms .	L = 2 I = 3 Medium (6)	

Director of Finance and Corporate Services / Risk and Controls

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
75	Fraud, financial or other irregularities (including bribery) occur leading to additional financial costs, unforeseen investigation costs & reputation damage.	Effect: The Council provides many services that could be susceptible to bribery. Not only is the reputation of the Council at risk through publicity surrounding the identification of an employee (or..	L = 4 I = 3 High (12)	Constitution contains detailed framework for decision making, including procurement, financial management and codes of conduct.	L = 2 I = 3 Medium (6)	Report to COMT on 05/08/13 that outlines a number of improvements to issues with Code arising from incidents identified from internal audit review.
				Council's standard terms and conditions include the exclusion of 'prohibited acts' which explicitly list bribery, fraud and conspiracy.		A further review is required to be completed by HoS on their services and the risk of staff being bribed.
				e-recruitment process in use. Original documentation is seen by recruiting manager at interview that confirms that a prospective employee has the right to work in the UK. The documentation is evidenced, scanned and retained electronically on HR e-file. BPSS checks required to be undertaken prior to commencement of employment. In exceptional circumstances a full risk assessment may be..		Update internet and intranet with new whistleblowing policy approved by CGC in June 2018.
				Fraud and Corruption statements in the Code of Conduct make it clear that 'offers' (bribes) of various sorts should not be accepted.		
				HoS review their services and consider the opportunities for bribery - both accepted from, and offered to customers. Awareness material produced.		
				Internal control processes that require collusion before certain frauds can take place		
				Publicity is issues or reminders issued via Intranet, email and posters (were are refreshed regularly).		
				Staff are encouraged to report irregularities		
				The Council's whistleblowing procedures are in place and staff are encouraged to report irregularities.		

Standard Risk Register

Risk Ref	Risk Title	Cause & Effect	Inherent Risk Priority (IL x II)	Risk Control	Residual Risk Priority (RL x RI)	Action Required
168	Insurers will not accept liability for a loss, because the Council is unable to provide policy documentation, resulting in unexpected costs.	Policy documentation unavailable and HDC may have difficulty proving who insurers were in particular prior to 1974, (HDC was formed in 1974 from BC's, RDC's etc and is the successor authority)..	L = 3 I = 4 High (12)	At renewal - 1st July - policy numbers and insurer details are recorded on QLAS.	L = 3 I = 3 High (9)	
				Policy records after 1974 are stored in the Audit office. (Some) policy documents are also stored electronically.		
279	Non Adherence and failure to follow agreed procurement policies and processes	Cause -Breach of Procurement Regulations -Lack of accountability -Lack of awareness. -Lack of knowledge/expertise. -Resistance to change. -Unclear and undefined roles and..	L = 4 I = 3 High (12)	Advice from Procurement Manager and involvement in procurement procedures for tenders with a value in excess of £10,000	L = 3 I = 2 Medium (6)	Continual assessment and review of procurement procedures. Designated staff within each Directorate with procurement responsibilities. Documented Procedures issued to all staff. Instruction to officers that no commitments be made without approval
280	Failure to effectively manage contracts	Cause -Lack of active contract management plans -Lack of resources -Lack of knowledge/expertise Effect - Poor contract delivery and performance -Contract breach - Poor cost control. - No..	L = 3 I = 3 High (9)	Standard terms & conditions incorporated into Council contracts & tenders.	L = 2 I = 2 Low (4)	Robust contract management. Contract delivery and monitoring