

# Standard Risk Register

<b>Report Date</b>	13 Sep 2024
<b>Risk Status</b>	Closed
<b>Risk Area</b>	*Active Lifestyles, *Business Intelligence and Performance Management , *Communications, *Communities, *Corporate Accountability, *Corporate Issues, *Countryside Services, *Customer Services, *Democratic Services, *Development Management, *Economic Development , *Estates, *Facilities Management, *Finance, *Housing Needs, *Human Resources , *ICT Shared Service, *Improvement and Delivery Service, *One Leisure Facilities, *Open Spaces, *Operational Services , *Parking and Markets Services, *Regeneration and Housing Delivery , *Revenues and Benefits, *Sports Development, *Strategic Growth
<b>Risk Level</b>	Operational/Service

## Standard Risk Register

*Corporate Accountability						
Risk Ref	Risk Title	Cause, Event, Effect	Inherent Risk Priority (IL x II)	Risk Control / Mitigation	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  EFFECT..	L = 2 I = 3 Medium (6)	Audit Plan in place, which is approved by CGC and progress reported.	L = 1 I = 2 Low (2)	
				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.	L = 4 I = 2 High (8)	Audit staff to be skill/training assessed to identify areas of training needed
				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.		
*Customer Services						

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Risk Ref	Risk Title	Cause, Event, Effect	Inherent Risk Priority (IL x II)	Risk Control / Mitigation	Residual Risk Priority (RL x RI)	Action Required
281	Continued use of unsupported software (Transform printing software)	Cause Unsupported software system	L = 3 I = 3 High (9)	Informal Consultant support New contract emergent in coming months and will alleviate need for software altogether	L = 3 I = 3 High (9)	
		Event Software becomes unusable to won't start		This software is no longer in use at the Document Centre, so this risk is no longer exists.		
		Effect Financial impact if monies due are not recovered Reputational damage to the council Delay in..				

### \*Human Resources

Risk Ref	Risk Title	Cause, Event, Effect	Inherent Risk Priority (IL x II)	Risk Control / Mitigation	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 = 2 I = 2 Low (4)	

### \*ICT Shared Service

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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		
				Patching and updating of related on prem systems is done on a monthly basis as routine, but critical patches (high CVSS) will be done immediately. This is part of 3C ICT SOP's		

### \*Revenues and Benefits

Risk Ref	Risk Title	Cause, Event, Effect	Inherent Risk Priority (IL x II)	Risk Control / Mitigation	Residual Risk Priority (RL x RI)	Action Required
27	An interruption in Northgate systems, or those within dependant services prevents key HB service functions and/or inadequate numbers of trained/skilled staff may lead to benefits not being paid correctly or on time.	Effect: Deadlines missed; errors & omissions; poor staff morale; additional administration & overtime costs; stress; sickness absence; customers unable to pay thier rent or council tax, potential..	L = 4 I = 3 High (12)	Payments are made in advance for planned interruptions to service;	L = 2 I = 3 Medium (6)	
				Well established & tested procedures, business continuity plans, support contracts with NIS - in total a wide range of measures are in place.		