

Huntingdonshire District Council
Risk Register

RISK <i>Threat to achievement of business objective</i>	Scope/potential consequences of risk	Assessment of Risk (likelihood x impact) <i>Assume No Controls in Place</i>			Risk Control Measures in Place	Assessment of Residual Risk (likelihood x impact) With Control Measures		
		Likelihood	Impact	Risk Score		Likelihood	Impact	Risk Score
1 Service recovery and/or business continuity plans are inadequate resulting, over both the short and medium term, in the Council's inability to provide an appropriate service.	Service objectives/targets not achievable Inability to fulfil statutory obligations. Reputation damage Loss of income Payments not made Lack of leadership & affect on staff morale Loss of utilities / power for substantial amount of time	4	5	20	Corporate Service Recovery Plan: IT Recovery agreement in place; data is backed up each site & stored off site on a weekly basis; physical environment - air conditioning; UPS allows 10mins closing down time.	4	5	20
2 The Council, as a partner to the Leisure Centre Joint Agreements, does not ensure that agreements are regularly reviewed resulting in additional costs falling on the Council	Joint Agreements are not negotiated on time; grey areas of responsibility for maintenance/repair remains unresolved; financial loss - ratio of costs between CCC & HDC.	4	4	16	Each centre has a Management Committee. A schedule of when agreements need to be renegotiated is in place.	4	4	16
3 A Major Civil Emergency occurs and the Council is not prepared for it (Rest Centres)	No provision to receive, feed and provide sleeping arrangements for people Staff are not aware of their roles and responsibilities No support from other agencies / internal and external contacts Poor communications Inappropriate venues Adverse publicity	5	5	25	Staff Training Venues identified and agreed Out of hours contacts maintained and up to date Liaison with voluntary organisations, local PCTs, Social services etc Pet Plan - arrangements with shelters and vets etc Food Plan (exercises carried out (desk top) but not formally tested)	5	3	15
4 Public injury, illness or property damage is caused from inadequate-maintenance of trees and/or poisonous plants, damaging our reputation and increasing expenditure.	Adverse publicity following an incident resulting in death / injury to member of the public / staff or damage to property. Increase in insurance premiums due to increased householder claims.	4	5	20	Operations Division have a tree section to carry out this work: database containing adequate tree information (species, age & previous maintenance work done); regular inspections - recorded; problems reported by the public acted upon.	3	5	15
5 A incident occurs at a Leisure Centre which requires services to be halted or dramatically reduced.	Service objectives not achievable; unable to function (due to fire, vandalism, loss of keys, staffing issues); inability to fulfil obligations; financial and/or other loss; costs associated with investigation/recovery; all or part of leisure centre is forced to close; loss of income; customers move to alternative facilities; reputation damage.	3	5	15	Good standards of security & staff awareness; fire alarms are routinely tested; each of the Leisure Centres have been surveyed by the Council's insurers; wheelie bins kept away from the building; repairs relating to vandalism are quickly attended to; CCTV installed at all leisure centres; services & processes of competitors are monitored & prompt action is taken where necessary; Quarterly reviews of income & reports to Management Committees; Service reviews.	3	5	15
6 Information or data is lost leading to an inability to provide an appropriate service or respond to requests for information.	Unauthorised access to records and information Breaches in confidentiality Loss of information and data Bad reputation / adverse press Data / software not removed before IT equipment is disposed of Leak of rehousing info - domestic violence case may result in death	3	5	15	All software is removed and hard disks wiped clean by IMD before disposal Documents held in metal filing cabinets in most cases All incendiary sources away from cabinets, only destruction of building should cause such loss Many records held electronically and servers not held on the same floors Staff are encouraged to challenge strangers in secure areas All confidential documents stored in a semi-secure environment Staff aware of arrangements for disposal of confidential waste - including use of shredding equipment Office access controls Non - active case files routinely stored The Council operates a no smoking policy in it's buildings Staff training, policies and management processes regarding the need for confidentiality	3	5	15
7 Users of the Leisure Centres are put at risk due to the employment of staff who are unsuitable to work with vulnerable people.	Accusation of inappropriate behaviour relating to members of the public and in particular young persons; adverse publicity; legal implications; adverse impact on service provision if all CRB checks are carried out before employment commences.	3	5	15	Criminal Records Bureau checks are carried out & references taken up; staff guidance issued; child protection policy.	3	5	15

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8	The Council is capped requiring long and short term reductions in services to be made.	Withdrawal of all or part of a service; reputation damage. Additional costs of re-billing.	4	5	20	Council Tax level is set based on an assumption of the capping level.	2	5	10
9	Staff are involved in accidents which leads to increases in sickness absence and the inability of the Council to deliver services or meet targets.	Breaches in Health and Safety protocols Reputation damage Gaps in service delivery Staff morale adversely affected Targets not achieved Staff do not understand their roles and responsibilities in relation to Health and Safety Manual handling injuries / RSI	3	5	15	Quarterly review of all Health and Safety risk assessments and incidents - related action plans are implemented and recorded Health and Safety issues are discussed annually Activity Managers are all qualified in Health and Safety Management Health and Safety inspectors Health and Safety Officer and Committee Induction training in Health and Safety Different training courses available, risk assessments	2	5	10
10	ICT Security is breached causing both the loss of data and a loss of trust in the reliability of the data being held.	Loss / damage to equipment Adverse impacts on service delivery Deadline slippage Targets not achieved Replacement costs Lead in times for replacement	3	5	15	Back up tapes Access controls Fire / security protection Security marking of assets CCTV unit Caretaker protocols Booking procedures for use of laptops away from the office Locks on notebook computers Equipment postcoded	2	5	10
11	A member of the public or an employee of the Council is seriously injured or killed due to the Council not providing its employees with either a safe working environment or sufficient and adequate training with regard to the tasks that it requires to be carried out.	Adverse publicity following an incident / injury from an RTA involving HDC staff who are driving on Council business; employee driving on Council business without cover; vehicle not roadworthy death / injury to member of staff, public, customer whilst using Council services / facilities, Fire in Council premises / facilities resulting in death / injury to stakeholders, lone working	3	5	15	All staff who drive on Council business self-certify that they have valid driving licences. Appropriate insurance & that their vehicle has an MOT (if required); driving licence check - initial & annual	2	5	10
12	A decision is taken contrary to legislation, statutory guidance or the Council's own policy and procedures that is successfully challenged, resulting in additional financial costs, reputation harm and reductions to service delivery.	Breaches in Health & Safety & other guidelines/protocols; reputation damage; gaps in service delivery; staff morale adversely affected; targets/new initiatives not achieved; staff do not know what to do.	3	5	15	Staff training & qualifications; membership of professional bodies and/or subscription to their, or other relevant publications; corporate training programme & external training sources are used; open discussions held about training needs; Health & Safety Officer in place.	2	5	10
13	Staff are unwilling to change their mode of transport and the aims of Corporate Travel Plan are not met, resulting in the loss of car parking spaces for shoppers and other workers within Huntingdon town centre and damage to the Huntingdon economy.	Huntingdon no longer remains a vibrant shopping centre and community focus Staff leave & recruitment of staff becomes more difficult Local shops & businesses have difficulty in recruiting and retaining staff Car parking fees are introduced for long stay parking Media coverage highlights inconsistency of approach re Directors and Members. "Shopping" journeys outside the District increase which brings additional problems	5	4	20	Camshare scheme in place Financial assistance to be offered to staff within travel to work plan Early consideration of increased home working	4	3	12
14	The procedures for the management of Special Events organised by the Leisure Centres may not be robust and result in customer complaints.	Adverse publicity following an incident resulting in death / injury to member of the public / staff or damage to property; council land made available for third party event is not fit for the purpose or is left in unsafe condition after the event.	4	5	20	A risk assessment is produced for each event and a guidance manual on safety is made available; competent staff involved in inspections; formal inspection carried out before & after all Council organised events; site inspections immediately before and after an event where third parties are permitted to use Council Land to ensure that the site is safe for the intended purpose and that it is left in a safe condition; copies of performers insurance documentation obtained & retained;	3	4	12
15	International events which impact on the cost / availability of fuel require the Council to review the importance and frequency of services being delivered.	Fuel shortages Additional costs incurred in funding fuel Gaps in service delivery Targets not met Public complaints / concern due to changes in services Reputation damage Lead in times for recovery / restock Stocks of fuel targeted Closure / loss of certain suppliers	4	4	16	Main 24,000 litre tank (12 days supply when full, delivery after 18,000 litres used leaving bank stock of 6,000 - would provide 3-4 days supply) Service priorities are known Off - site suppliers used Some vehicles are petrol driven	4	3	12

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16	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.	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 service Additional vehicles cannot be sourced Unplanned for costs arise	4	4	16	Business continuity plan in place Contracts in place with employment agencies Rescheduling collections	3	4	12
17	The Council is unable to secure sufficient external funding and grants to continue existing tasks and services.	Withdrawal of all or part of a service.	4	4	16	Council's MTP process and the Financial Strategy are based on cautious assumptions relating to external funding. External funding officer in place.	3	4	12
18	Estimates made as part of the budget setting process are incorrect, requiring service budgets to be reduced and consequently some services.	Withdrawal of all or part of a service.	3	4	12	Partial mitigation from compensating increases in interest rates.	3	4	12
19	The Council does not invest in or develop its staff leading to motivational problems and few service developments being delivered on time or budget.	Staff resistance / reluctance to take risks and accept change Staff are not adequately trained to do their jobs Staff may leave The Council may lose it's IIP accreditation Reputation damage Low staff morale New initiatives etc are not successful No 'buy in'	4	4	16	The council has strived to create a devolved culture where staff feel empowered to make decisions within their accountabilities and to come forward with new ways of working A people strategy has been developed and an associated action plan developed Training needs are discussed and determined / agreed with staff at appraisal and recorded A comprehensive in - house training programme is in place that is based on assessed training needs and the Council's objectives Training module on Resource link to be implemented IIP Accreditation	3	3	9
20	The Council does not delivery the new operations centre and/or HQ within budget or the timescales agreed, resulting in earlier than planned increases in Council Tax, business efficiencies and improved services not being delivered as expected and reputation damage.	Additional staff time dealing with project over-run. Reductions in specification to meet budgets increases long term revenue/capital costs Efficiency savings aren't generated as planned Criticism by external inspectors and reputation damage Increasing cost of alternative accommodation	4	4	16	High level Project Board established Risk register in place Service groups established to consider and deliver business improvements Contract incentives Project Manager to be appointed	3	3	9
21	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.	Backlogs; errors & omissions; stress; inability to recruit; quality deficit; deadlines missed; inability to plan & schedule; lack of IT training; project operational visibility; additional costs.	4	4	16	Ability of Management Team to plan ahead; staff development takes into account succession planning & multi-skilling of staff; internal training programme in place; training needs assessed through the appraisal process; training is supplied with system implementation; structured approaches; procedures for ICT services; purchase of outside consultancy.	3	3	9
22	An interruption in the benefit system service or inadequate numbers of trained/skilled staff may lead to benefits not being paid correctly or on time.	Deadlines missed; errors & omissions; poor staff morale; additional administration & overtime costs; stress; sickness absence; adverse publicity.	4	4	16	Benefit system upgraded regularly; payments are made in advance for planned interruptions to service; well established & tested procedures; dedicated Training Officer; checks made of accuracy of work with higher levels of checking on less experienced staff; dual signatures; performance monitoring; staff development takes into account succession planning & multi-skilling of the staff	3	3	9
23	Insufficient consideration is given to contract terms & conditions or the requirements of system users prior to IT solutions being sought, leading to delays in the procurement process and software and/or 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 out of date; demand for ICT services exceeds supply; restricted availability; increased costs; new projects fail; adverse publicity; IT company is taken over & software is no longer supported, lack of leverage on software over suppliers	3	4	12	Procurement Manager; procurement procedures to secure high quality services; use of Prince 2 system; IT training programmes in place; project management strategies to manage workload; flexible budgeting for quicker decision making; MTP process to ensure systems are kept up to date; membership of user groups; testing of systems; implementation approach procedures.	3	3	9

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24 Staffing levels are inadequate or staff are not adequately skilled to enable them to properly respond to new initiatives and/or legislation, leading to increases in staff absences and reductions in current service levels and delays in improving service delivery.	Staffing impacts Overspends Marked down in CPA Changing targets Inability of the Council to achieve in all areas Priority setting may not be in line with requirements Lobbying by Members / Senior Managers Withdrawal of services to fund new initiatives Customer complaints Value for money	3	4	12	Management arrangements to prioritise work MTP process in place to bid for additional resources	3	3	9
25 The Council makes wrong judgement on self insurance resulting in unexpected costs	Financial reserves are reduced. All areas are insured in a 'knee jerk' reaction. The long term savings from self insurance are not taken.	4	3	12	Advice sought from Broker on most suitable risks to self-insure. Cautious approach to self-insurance to be adopted, incl. taking of stop-loss cover. Catastrophic coverage will be maintained. Adequate £ reserve to be set-aside to cover potential losses based on claims history. Full risk assessment process to be completed before self-insurance to take effect.	3	3	9
26 The Council has difficulties in recruiting or retaining skilled staff due to its reputation or failure to provide appropriate support to staff.	Loss of key staff and / or managers; low staff morale; staffing shortages which impact on service delivery.	3	3	9	Staff development takes into account succession planning; multi skilling of the staff where ever possible. Staff incentive schemes. Local salary scheme.	3	3	9
27 Deficiencies in the administration of elections and/or the elector registration processes leads to results being challenged and the Council being unable to operate effectively.	Failure in the conduct of elections Adverse publicity / reputation damage / customer complaints Additional costs / resources for re-running elections Loss of face / trust Inappropriate behaviour by members Staff administering the process / members do not know what they are doing Deadlines not achieved Errors in counts / results	3	3	9	Ongoing improvements in the guidance for candidates and staff; regular training sessions for staff	3	3	9
28 The Councils lack of an 'environmental' policy, leads to un-coordinated and conflicting initiatives being developed within departments.	Failure to green the business Inadequate attention given to issues relating global warming Reputation damage Social responsibilities may not be delivered by the authority / section Service provision may not meet needs Government initiatives not achieved / delivered / adhered to Resistance from the public	3	3	9	Pro-active stance taken on sustainable developments Home energy advice etc Investments in appropriate projects are made A programme of green policies has been developed and implemented Further work is being planned Pis Education of the public	3	3	9
29 Bailiffs are subject to violence & aggression resulting in injury and/or the non collection of debts.	Staff injury/assault; low morale; stress; sickness absence; litigation & insurance claim; cost ; adverse publicity	3	5	15	Bailiff service is contracted out; details of known violent incidents are passed on with other information to contractors; bailiffs take the Police with them where problems are expected.	2	4	8
30 Ineffective site security arrangements at Council premises leads to the theft and/or loss of 'assets' and employees being concerned for their safety.	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 complaints	3	5	15	Six monthly reviews of the fire safety standards in Printing Services are carried out in conjunction with the Health and Safety Adviser and Printing Manager Agreed procedures are used by new members of staff re suspect packages Activity Managers attend H&S course	2	4	8

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31 Partnerships entered into do not deliver the outcomes expected resulting in the Council failing to meet its service objectives.	Breakdown in relationship with a Housing Association partner Targets not achieved New initiatives unsuccessful Low staff morale Adverse impact on the service received by customers Financial costs to rectify problems / source other help etc Loss of support Adverse publicity arising from failures Poor value for money	3	4	12	Communication and regular liaison meetings with partners Nomination agreements with RSLs Housing Corporation governance of RSLs Contracts	2	4	8
32 The late receipt of, or inaccuracy of, information provided by departments may lead to financial information required by managers being issued late and/or be incorrect.	Deadlines are not met.	3	4	12	Staff goodwill Competent staff Well established and tested procedures In - house function Additional training provided to staff following upgrades of the system Systems are backed up nightly by IMD	2	4	8
33 The Council is unwilling to e-enable services and the opportunities to deliver improved, more cost effective services aren't realised.	Reduction in the introduction of programmes.	3	4	12	Education of Members; E-Government Board; E-Government Team; E-Government programme	2	4	8
34 Governance of the Council is weak resulting in poor and ineffective decision making.	The effectiveness of Members is not maintained Inability of Scrutiny to hold executive to account and make transparent decisions Failure to maintain high standards of conduct by District and Parish Councillors Reputation damage / loss of face Inappropriate behaviour by members <i>Insufficient candidates</i> <i>Effectiveness of publicity</i> <i>Public / councillor / political party inertia</i> <i>Lack of resources</i> <i>Poor training</i> <i>Little member time</i> <i>Poor member awareness</i> <i>Referral of member to standards board</i> <i>Members abusing their position</i>	3	4	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 A formal training programme is provided for members Training of Scrutiny Councillors to promote effectiveness of scrutiny function and efficient call in arrangements Minimum of 2 training sessions p.a. offered to councillors Effective and regular training of councillors Register of financial and other interests is maintained and kept up to date Documentation & guides provided to Members	2	4	8
35 Financial of other irregularities occur leading to additional financial costs, unforeseen investigation costs & reputation damage.	Bribing of staff and Members by developers Reputation damage Inappropriate decision making Financial / other loss Breach of confidential information Low staff morale Costs associated with recovery / investigation etc Staffing gaps	3	4	12	The Council's whistleblowing procedures are in place; staff are encouraged to report irregularities; Council procedures followed; procedure for appointment/vetting of staff; standing orders; police checks of relevant staff.	2	4	8
36 Poor communication and training on risk management means that the advantages to the Council of introducing robust risk management processes are not delivered.	Loss of opportunity Poor CPA score Reputation damage Risks aren't managed and subsequent losses (financial and otherwise)	3	4	12	Risk Management Strategy in place Risk Register in place CPA 2 score Risk Management Group in operation	2	4	8

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37 The Code of Procurement is not followed correctly, leading to accusations of irregular practices, the challenging of award decisions and increased procurement costs.	Civil action against the Council in the High Court; Court costs & unlimited fine; Officer time (legal, procurement & service area); Audit Commission investigation & adverse report; explanation & report to ODPM; Mark down in CPA; Adverse publicity & loss of reputation. Insolvency or unsuitability of a contractor Closure of a significant / specialist supplier Adverse impacts on service delivery Success of projects / initiatives may be affected Targets may not be achieved Costs incurred to rectify problems Reputation damage Deadline slippage Contractors may not comply with Health and Safety procedures Supplier delivers goods / service below minimum standards	3	4	12	Procurement Manager appointed Standing Orders Procedures in place and published on the Intranet Training delivered Competent staff	2	4	8
38 Planning policy may be insufficient to meet local and government requirements	High Court over turns Local Plan Inappropriate decisions made Disgruntled customers Reputation damage Actions taken which may adversely affect the local environment / scenery / economy etc	3	4	12	Regular research and review of planning issues is carried out A complete review of planning policies is to be undertaken in order to produce a Local Development Framework Priority is given to developments which may result in severe impacts Well trained and experienced staff in post Government Planning Delivery grants to expand service in terms of IT, staffing and training Quality control standards	2	4	8
39 Managers do not consider alternative ways of treating risks that have always been covered by insurance.	Premium too high Better methods of delivering service not considered.	3	4	12	IC Annual review	2	4	8
40 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.	Funding directed at favoured projects rather than agreed objectives Service delivery implications and targets not achieved Staff / Manager and Member disagreements Ineffective priority setting Provisions may not meet local needs - customer complaints - reputation damage Lobbying by members Overspend through bad planning	3	4	12	More effective use of Scrutiny Panel and involvement of more Councillors in budgetary process Training in local government financial systems; S151 officer	2	4	8
41 Development Control decisions are challenged requiring staff and financial resources to be directed at defending the challenge resulting in a reduction in service.	Inappropriate decisions made which adversely affect the area Health and Safety implications Stakeholder relations affected and reputation damage Financial implications associated with correction of errors etc Development does not meet needs of users	3	4	12	Extensive training given to both staff and members Quality control checks included in the decision making processes Others check decisions Case studies are held about the decision making process Clear limits of powers are understood Development design brief produced Training and experience of staff	2	4	8

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42	Building control customers take their business elsewhere due to the service not being carried out effectively, resulting in the eventual loss of the service.	Inappropriate decisions made which adversely affect the area Health and Safety implications Stakeholder relations affected Reputation damage Financial targets are not achieved Financial implications associated with the correction of errors etc Users needs are not met Reduction in building control application fee income Service delivery targets affected Staff redundancies Marketing costs Price fluctuations Section does not achieve break even requirement	3	4	12	Extensive training given to both staff and members Quality control checks included in the decision making processes Others check decisions Case studies are held about the decision making process Clear limits of powers are understood Training and experience of staff Proactive actions taken in providing builders and developers training and information in building control issues BS 5750 Accredited	2	4	8
43	Insufficient review of proposals to Members leading to ineffective, inappropriate or ultra vires decisions, resulting in additional costs or loss of reputation.	Wrong or misleading advice may be given Ultra vires?	3	4	12	The Council's constitutional framework is covered in local level induction training with Office Manager Work is allocated to employees with sufficient experience and training If in doubt staff are encouraged to seek support Management Information and Monitoring Adequate licensing controls are in place, including accurate and effective processing of applications, the thorough investigation of complaints and the monitoring of changes in circumstances Training is given to Members and Officers New software is being used	2	4	8
44	The arrangements for the management of licensing are poor.	Errors in licensing Reputation damage Costs incurred in rectifying problems Staff do not know what to do Adverse impacts on local economy Adverse impacts on local population Insufficient vetting undertaken and results from this Non - compliance with new legislation requirements	3	4	12	Ongoing improvements and integration of software system and better record management and interrogation Successful implementation of new software system; experienced staff; Land Charge system integrated with Planning	2	4	8
45	The arrangements for the management of land charges are poor.	Compensation claims relating to inaccurate information on land charges Wrong information given Reputation damage Staff time implications Staff do not know what to do Service standards not achieved	3	4	12	Treasury strategy in place External consultant appointed Suitably qualified staff External Audit reviews Quarterly reports to Cabinet and Directors including a budgetary control statement	2	4	8
46	Council's funds not invested appropriately leading to losses or poor returns resulting in unexpected Council Tax increases or service cuts	Loss of investments Significant reduction in interest rates	3	4	12	Rigorous project management systems are used and associated training is provided Use of project methodology Monitor Service Plans Reports to Director	2	4	8
47	Project management arrangements are poor, leading to projects not being delivered on time and/or budget.	Failure to manage projects effectively New initiatives / projects not implemented Cost and time over-runs Reputation damage / customer complaints Lessons are not learnt from previous projects Staff do not know what they are doing Lack of successful projects Stakeholders don't like what is provided Poor project appraisal Project creep Client not sure what is required and makes changes	3	4	12				

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48 Planning of work, time management and delegation are poor leading to high staff stress levels and work not being delivered on time.	Failure to meet statutory deadlines Other targets not achieved Service delivery impacts Customer complaints Low staff morale Reputation damage Work is not prioritised Work does not get completed	3	4	12	The timetable for meeting statutory deadlines is understood and compiled with / by Legal staff Forward planning arrangements, including prompts on deadlines Prescribed timescales Case management system in place	2	4	8
49 Poor management of Council owned industrial / commercial properties leading to the loss of development opportunities and reducing financial returns.	Loss or damage to industrial / commercial premises The council's industrial and commercial properties do not meet the needs of the business community Inaccurate information about council owned properties Inappropriate decision making Reputation damage Possible legal and financial implications Financial losses made from premises Current assets are not fit for purpose	3	4	12	Inspection arrangements and associated records are compiled Consultation with users on safety matters, particularly security and fire safety Ensure all new builds are secured by design and that the Force Architectural Officer is consulted A list of enquiries received about Council's industrial & commercial premises is maintained and each year interested parties are contacted about their continuing business needs Business start up surveys are used to monitor the Council's portfolio of premises, both in terms of suitability and quantity Plans are in place to use the GIS system A pilot project to register council owned property with the land registry has been partly implemented Close monitoring of the portfolio is carried out, including the use of performance indicators on income generation and vacancy rates	2	4	8
50 The Council does not deliver against its Corporate Objectives or the BVPI resulting in adverse external audit and inspection reports and government intervention or restrictions of freedoms.	Staff morale adversely affected Increase in the number of staff leaving, due to additional pressures to improve performance Declining services linked to increasing council tax become difficult to justify Senior management changes Council's position re Lyons and financing is weakened Poor BVPI's Management information systems are poor	3	5	15	Corporate objectives linked to Service scorecards, which are reviewed monthly by senior managers Corporate Scorecard in place and reported quarterly to Members. Regular reviews of data quality undertaken	2	3	6
51 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.	Economic implications Increasing unemployment in the district Changing degrees of support for local businesses Opportunities are lost Economy doesn't grow Insufficient / inappropriate land / premises Bad reputation Failure to convince local businesses that HDC is business friendly Poor business support Lack of trained workforce to implement policy Services not delivered Targets not achieved Low staff morale	3	4	12	A local economy strategy and an annual action plan are in place, which take into account changes in employment levels and the implications on equality and inclusion policies The Council provides funding for business support The take - up of demand for business support and the impact of the services provided are both monitored The reporting of this information will be reported to Members to facilitate further levels of support Consultation with local businesses to identify needs and demand Ensure planning policy meets those needs and demands Work with business and learning providers to identify skill and training needs and bid for funding to fill identified gaps	2	3	6
52 Managers discriminate against certain service users by not considering the needs of all service users when delivering or developing services.	Allegations relating to discrimination Services don't meet the needs of the local population Non - compliance with legislation / statutory requirements / new initiatives Reputation damage	3	4	12	The Council's Equality and Inclusion policy is followed and council business is conducted in an open and transparent manner The Council set out its framework for equality and inclusion in a strategy document together with an associated action plan	2	3	6

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53 Leisure Centres do not keep pace with the changing expectations of their customers resulting in a loss of customers and income.	Failure to provide the facilities required by the public; competitors are more successful; levels of income drop; adverse publicity. Additional efforts required to re-capture customers Increased expenditure in short-term to bring facilities back to an acceptable standard.	3	4	12	Two internal & one external customer surveys are conducted each year; competitors are monitored; attendance at Leisure Exhibitions; service plans are updated annually; staff structures reviewed; levels of income, admissions & expenditure are monitored; condition surveys of facilities are carried out; all leisure activities are monitored & reviewed.	2	3	6
54 Communications with staff and stakeholders is poor, leading to rumours and / or incorrect information being circulated, damaging staff morale and local reputation.	Failure to consult / communicate with the public and stakeholders Reputation damage Customer resistance to change Staff and external parties don't know what is happening / what to do Gossip Low staff morale	3	4	12	Good relationships with the media Sound mechanisms are used to consult with the public and stakeholders regarding council services The Council's Communications and Consultation Strategy is followed throughout the organisation	2	3	6
55 The Council's equipment and plant is not properly maintained, leading to its failure resulting in injury to staff or customers or reduction in service provision.	Failure of the refuse fleet Impacts on service delivery and achievement of targets Customer complaints Time and cost overruns Reputation damage Environmental impacts	3	4	12	Constant maintenance Planning replacement programme Ability to use contract vehicles at short notice	2	3	6
56 There is inadequate control and security over paper records and electronic information leading to the inappropriate disclosure of information.	Unauthorised access to records and information Breaches in confidentiality Leak of confidential information Loss of information and data Reputation damage Data / software not removed before IT equipment is disposed of Destruction of records Investigation by Information Commissioner (or similar) Leak of rehousing info - domestic violence case may result in death	3	4	12	All software is removed and hard disks wiped clean by IMD before disposal Documents held in metal filing cabinets in most cases All incendiary sources away from cabinets, only destruction of building should cause such loss Many records held electronically and servers not held on the same floors Staff are encouraged to challenge strangers in secure areas All confidential documents stored in a semi-secure environment; Staff aware of arrangements for disposal of confidential waste Office access controls Nightly back up, weekly off site back ups Fire alarms & CCTV Regular reminders / training given to staff regarding the need for confidentiality Where appropriate documents are put into the strong room No smoking policy in Council buildings Many records are stored electronically and computer files are backed up each day and stored in a fireproof safe in a separate building Arrangements are in place for the disposal of confidential waste, including where appropriate the use of shredders A clear desk policy, as it relates to confidential and important documents is in place The Council's Information Security Policy and associated protocols are complete Data Protection Policy adopted plus well established disciplinary rules and procedures	2	3	6
57 The Department for Communities and Local Government intervenes due to a failure to develop and implement the Local Development Framework resulting in financial restrictions and damage to reputation.	Managers unaware of these documents and impact on the development of Huntingdonshire as a whole Managers do not take account of the aims of the LDF when developing/delivering services	2	5	10	LDF Core strategy prepared, April 2006 External inspection to review legality and soundness	2	3	6
58 Localised flooding occurs after periods of heavy rainfall and due to inadequate planning and/or funding, property damage occurs and the economic life in the District is disrupted.	Resources are transferred from other services Media coverage is high, harming the Council's reputation Additional costs incurred (overtime etc) Traffic gridlock due to flooded roads	3	3	9	Plans & procedures in place. Past experience of dealing with and working with other emergency services.	3	2	6

Huntingdonshire District Council
Risk Register

	RISK <i>Threat to achievement of business objective</i>	Scope/potential consequences of risk	Assessment of Risk (likelihood x impact) <i>Assume No Controls in Place</i>			Risk Control Measures in Place	Assessment of Residual Risk (likelihood x impact) With Control Measures		
			Likelihood	Impact	Risk Score		Likelihood	Impact	Risk Score
59	The Council does not react to local transport issues, developments, and needs leading to increased chance of adverse economic impact on the District.	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 section / the authority Government initiatives may not be achieved / delivered or adhered	3	3	9	Delivery of the Market Town Transport Plan and the Local Transport Plan in conjunction with partner organisations	2	3	6
60	The Council does not have linked data bases leading to errors in service delivery and 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 account of all data & trends	3	3	9	CRM system; sharing notifications of change corporately; LLPG property gazetteer; EDM linking flow of information ; internet; intranet.	2	3	6
61	The Councils complaints procedures (incl at service level) are not robust enough so not all complaints are properly recorded leading to maladministration and loss of reputation.	Failure to investigate complaints Disgruntled customers Lessons not learnt from incidents Low staff morale Loss of reputation Service delivery may be adversely affected Targets may not be achieved Ombudsman complaints / investigations	3	3	9	All complaints received from the public about nuisances and health risks in the district are dealt with in an open and professional manner to defined standards Response times monitored	2	3	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.	Expected benefits not achieved. Increases in council tax or cuts in other services. Members' criticised by electorate. Negative local publicity Delay in progressing other schemes planned due to unavailability of staff.	3	3	9	Project planning and management used to monitor progress with projects; off-peak periods used to undertake work.	2	3	6
63	Despite receiving adequate training, employees make unintentional mistakes leading to incorrect levels of services being provided to customers.	Mistakes; adverse publicity; legal implications maladministration Unnecessary complaints having to be dealt with	3	3	9	Work is allocated to employees with sufficient experience & training; staff are encouraged to seek support if they feel out of their depth; slippage provisions are built into "time sensitive" work to reduce the likelihood of making mistakes; qualified solicitors; established procedures; limits of authority and write - off limits are clearly defined; escalation procedures; checking of peoples work, full time training officer.	2	3	6
64	Insurers will not accept liability for a loss that the Council believes it has insured, resulting in unexpected costs	Unforeseen costs Staff time required to resolve the matter Litigation	2	3	6	Insurance cover is continual, with no breaks. Changes to policy exclusions are reviewed when proposed and considered against current need. Alternative insurance to be taken, if it was felt warranted.	2	3	6
65	Council employees make poor procurement decisions on a daily basis resulting in increased costs of goods and services.	Increasing costs Unwise purchases Failure of contracts Risk of disputes & litigation Management oversight is poor	3	3	9	Competent Procurement Manager appointed Standing Orders Procedures in place and published on the Intranet Competent staff Training	2	2	4
66	Advice given to the Budget Holders by their Accountants may be inaccurate or incomplete or too late leading to budget holders taking wrong decisions that result in lower service provision or overspending.	Budgets overspent or under spent. Budget holders leave decisions to accountants. Increases in council tax/reduction in services to cover deficits.	3	3	9	Monthly performance monitoring Discussions with budget holders regarding potential problems Quarterly reports to Cabinet on expenditure	2	2	4
67	Council Tax direct debits are not collected on time (collected twice) leading to an increase (reduction) in the cost of borrowing and local reputation damage.	Overspend; adverse publicity; minor compensation payments to members of public; additional staff time to deal with queries	3	3	9	Established BACS procedures; contingency arrangements; timetable for known downtimes.	1	2	2