

**Controls Assurance
as at
12 March 2009**

Risk Ref	Risk Title	Residual Risk Priority (RL x RI)	Risk Control	Assurance Source	Assurance Given	Assurance Type	Assurance Level	Assurance Date
2	COMT The Council does not invest in or develop its staff leading to motivational problems and few service developments being delivered on time or budget.	3 2 Medium	IIP Accreditation	IIP report / certificate	Yes	Independent (Audit / 3rd party)	Adequate	10/6/08
			When the Corporate Training Programme was considered in the CPA process it was considered by the assessor to be "one of the best he had seen"	CPA process	Yes	Management	Adequate	10/6/08
6	COMT 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.	3 4 High	New server suite at Eastfield House in addition to Pathfinder House	Both suites operational. Allows transfer of physical equipment between sites &/or from outside HDC to provide emergency facilities. Together with implementation of server virtualisation project this provides substantially improved business continuity opportunities.	Yes	Management	Substantial	17/2/09
			2 telecoms switches in new accommodation and at Eastfield House	Physical evidence	Yes	Management	Substantial	17/2/09
9	COMT A civil emergency occurs that affects more than 2000 people leading to the Council's rest centre provision and support proving inadequate.	1 5 High	Pet Plan - arrangements with shelters and vets etc	Contact details held	Yes	Management	Adequate	19/2/09

1	5	High	Venues identified and agreed St Ivo LC able to deal with a maximum of 2290 people	Emergency Plan records	Yes	Management	Substantial	19/2/09		
			Annual contact with the WRVS voluntary service to provide regarding their readiness to assist HDC.	Contact details of WRVS	Yes	Management	Adequate	19/2/09		
			Staff Training	Training records held	Yes	Management	Adequate	19/2/09		
			Liaison with voluntary organisations, local PCTs, Social services etc	Contact details held and reviewed annually	Yes	Management	Limited	19/2/09		
			Out of hours contacts maintained.	Contact details	Yes	Management	Adequate	19/2/09		
			Food Plan (exercises carried out (desk top) but not formally tested)"	Contact details of providers held and annually reviewed. Leisure Centres have (limited) food stocks available for first response. Tesco open 24 hrs per day.	Yes	Management	Adequate	19/2/09		
11	COMT 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.	3	4	High	Contracts in place with employment agencies	Contract Documents held at Eastfield House	Yes	Management	Substantial	22/1/09

12	COMT The Council does not deliver against its Corporate Objectives or the National Performance Indicators resulting in adverse external audit and inspection reports and government intervention or restrictions of freedoms.	2	3	Regular reviews of data quality undertaken Data quality strategy in place	External Audit Review	Yes	Independent (Audit / Adequate 3rd party)	2/6/08	
		Medium							
130	COMT Inability to identify sufficient new income or expenditure reductions to achieve spending adjustment targets included in the MTP over the coming three years.	4	4	Progress on achievements will be reported to Cabinet during the year before they are required.		Yes	Management	Substantial	19/8/08
		Very High							

Head of Customer Services

Risk Ref	Risk Title	Residual Risk Priority (RL x RI)	Risk Control	Assurance Source	Assurance Given	Assurance Type	Assurance Level	Assurance Date
27	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.	3 3 High	Benefit system upgraded regularly;	Anite and Northgate SX3 upgrade records are held in Benefits office to show testing and implementation of new releases.	Yes	Management	Substantial	21/1/09
			Well established & tested procedures;	Housing Benefits Audit	Yes	Independent (Audit / 3rd party)	Substantial	16/4/08
			Payments are made in advance for planned interruptions to service;	Although there is no documented procedure for this control, decisions are made at managers discretion when interruptions are expected.	Yes	Management	Substantial	21/1/09
			Performance monitoring;	Housing Benefits Audit	Yes	Independent (Audit / 3rd party)	Substantial	16/4/08
			Staff development takes into account succession planning & multi-skilling of the staff	Housing Benefits Audit	Yes	Independent (Audit / 3rd party)	Substantial	16/4/08
			Dedicated Training Officer;	Housing Benefits Audit	Yes	Independent (Audit / 3rd party)	Substantial	16/4/08
			Checks made of accuracy of work with higher levels of checking on less experienced staff;	Assessment errors identified each month are recorded by individual assessment officer. These errors are fed back to them and also copied to the training officer for her to develop training plans.	Yes	Management	Substantial	21/1/09

Head of Customer Services

64	Despite receiving adequate training, employees make unintentional mistakes leading to incorrect levels of services being provided to customers.	2	2	Low	Checking of peoples work	Yes	Independent (Audit / Substantial 3rd party)		11/6/08	
					Established procedures	Internal Audit Review	Yes	Independent (Audit / Substantial 3rd party)		16/4/08
					Work is allocated to employees with sufficient experience & training	Internal Audit Review	Yes	Independent (Audit / Substantial 3rd party)		16/4/08
					full time training officer	Internal Audit Review	Yes	Independent (Audit / Substantial 3rd party)		16/4/08
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.	1	2	Low	Established BACS procedures	Internal Audit Review	Yes	Independent (Audit / Substantial 3rd party)		16/4/08
					Contingency arrangements		Yes	Management	Substantial	11/6/08

Head of Democratic and Central Services

Risk Ref	Risk Title	Residual Risk Priority (RL x RI)	Risk Control	Assurance Source	Assurance Given	Assurance Type	Assurance Level	Assurance Date
29	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.	2 3 Medium	Ongoing improvements in the guidance for candidates and staff;	Internal Audit Review	Yes	Independent (Audit / Limited 3rd party)		23/4/08
37	Governance of the Council is weak resulting in poor and ineffective decision making.	2 4 High	A formal training programme is provided for members	Document available on Members Services Page of intranet. Records retained by Democratic and Central Services Division	Yes	Management	Substantial	16/2/09
			Minimum of 2 training sessions p.a. offered to councillors	Training programme	Yes	Management	Substantial	16/2/09
			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	Document available from Democratic & Central Services Division	Yes	Management	Substantial	16/2/09
			Documentation and Guidance provided to Members	A guide to support services for Members (Signpost) available from Democratic & Central Services Division	Yes	Management	Substantial	16/2/09
			Register of financial and other interests is maintained and kept up to date	Document held in Democratic & Central Services Division	Yes	Management	Substantial	16/2/09

Head of Democratic and Central Services

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.	2	3	Medium	Effective action by Scrutiny Panel and involvement of more Councillors in budgetary process	Yes	Management	Adequate	16/6/08	
					S151 officer	Yes	Management	Adequate	16/6/08	
45	Safety of the public is endangered by licensable activities.	2	3	Medium	Medical checks for all new taxi and private hire drivers, and then at reaching the age of 55,60 and65 and at annual intervals thereafter	Yes	Independent (Audit / 3rd party)	Limited	16/6/08	
					Training is given to Members and Officers	Yes	Independent (Audit / 3rd party)	Adequate	16/6/08	
					Testing of taximeters on application and annually thereafter for all licensed taxis	Yes	Independent (Audit / 3rd party)	Adequate	16/6/08	
					Testing of all new vehicles and annual testing thereafter	Yes	Independent (Audit / 3rd party)	Adequate	16/6/08	
					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	Results of licensing audit.	Yes	Independent (Audit / 3rd party)	Adequate	16/6/08
					CRB checks of taxi and private hire drivers and personal licence holders		Yes	Independent (Audit / 3rd party)	Adequate	16/6/08

Head of Democratic and Central Services

2	3	Testing of all applicants for taxi and private hire licence for driving and local knowledge	Yes	Independent (Audit / Adequate 3rd party)	16/6/08
Medium		Checking of valid insurance for all applicants for taxi and private hire vehicle licences and annually thereafter	Yes	Independent (Audit / Adequate 3rd party)	16/6/08

Head of Environmental and Community Health Services

Risk Ref	Risk Title	Residual Risk Priority (RL x RI)	Risk Control	Assurance Source	Assurance Given	Assurance Type	Assurance Level	Assurance Date
86	Orphaned contaminated sites may fall to HDC to manage long-term high revenue costs	3 4 High	Contaminated Land Officer interatction with operators and Env. Agency (and WLFF for Warboys)	Communications records	Yes	Management	Substantial	11/2/09

Head of Environmental Management

Risk Ref	Risk Title	Residual Risk Priority (RL x RI)	Risk Control	Assurance Source	Assurance Given	Assurance Type	Assurance Level	Assurance Date
30	The Councils lack of an 'environmental' policy, leads to un-coordinated and conflicting initiatives being developed within departments.	3 3 High	Range of events and programmes re:Home energy advice etc	Records held by Env Mgt Team: Jenny thackray and Julia Blackwell key contacts	Yes	Management	Adequate	26/1/09
			Investments in appropriate projects are made	Internal Audit Review Inclusion in budgetting round/MTP process	Yes	Management	Adequate	26/1/09
			Pro-active stance taken on sustainable developments: dependent on approval by COMT, planning and members	Internal Audit Review	Yes	Management	Limited	26/1/09
			Monitoring/review of strategy	Internal Env Mgt report (Sept 09 review of first year of strategy) External audit of NI's Internal Audit Review	Yes	Management	Adequate	26/1/09
			Further work is being planned	Sign off by cabinet on 3 April of action plan for year 1	Yes	Management	Substantial	26/1/09
44	Building control customers take their business elsewhere due to the service not being carried out effectively, resulting in the eventual loss of the service.	2 4 High	Others check decisions	Mgt process in place , work routinely checked	Yes	Management	Substantial	26/1/09
			Extensive training given to both staff and members	Training records kept by BC	Yes	Management	Substantial	26/1/09

Head of Environmental Management

	2	4	High	Proactive actions taken in providing builders and developers training and information in building control issues ISO 9001 accredited	ISO 9001	Yes	Management	Adequate	26/1/09	
				Case studies are held about the decision making process		Yes	Management	Adequate	26/1/09	
				Quality control checks included in the decision making processes	External audit ISO 9001 Adhere to Quality Assurance Manual	Yes	Management	Substantial	26/1/09	
48	Project management arrangements are poor, leading to projects not being delivered on time and/or budget.	2	4	High	Rigorous project management systems are used and associated training is provided	Project Management Audit	Yes	Management	Adequate	26/1/09
					Reports to Director	quartely COMT reports highlight risks	Yes	Management	Substantial	26/1/09

Head of Financial Services

Risk Ref	Risk Title	Residual Risk Priority (RL x RI)	Risk Control	Assurance Source	Assurance Given	Assurance Type	Assurance Level	Assurance Date
24	Estimates made as part of the budget setting process are incorrect, requiring service budgets to be reduced and consequently some services in an unplanned way.	2 Low	Accountancy staff and service managers are cautious in assuming reduced expenditure or increased income		Yes	Management	Substantial	18/6/08
			The Council currently has significant revenue reserves allowing adequate time to carefully plan the actions arising from any unexpected reduction in resources available.		Yes	Management	Substantial	18/6/08
34	Sufficiently late or inaccurate provision of financial advice to managers or Members may lead to significantly incorrect decisions being made.	2 Medium	In - house function		Yes	Management	Substantial	19/8/08
			Well established and tested procedures		Yes	Management	Adequate	19/8/08
			Regular discussion between accountants and managers of emerging problems and future issues.		Yes	Management	Adequate	19/8/08
			Competent accountants		Yes	Management	Adequate	19/8/08
			Systems are backed up nightly by IMD		Yes	Management	Substantial	19/8/08

Head of Financial Services

	2	3	Quarterly budgetary control reports to Cabinet	Yes	Management	Substantial	19/8/08
	Medium						
			Monthly budgetary control reports produced for managers	Yes	Management	Substantial	19/8/08
			Additional training provided to staff following upgrades of the system	Yes	Management	Substantial	19/8/08
38	2	3	Poor communication and training on risk management means that the advantages to the Council of introducing robust risk management processes are not delivered.				
	Medium						
			Risk Register in place	Yes	Management	Substantial	19/8/08
			UOR 2 score	Yes	Management	Substantial	19/8/08
			Risk Management Strategy in place	Yes	Management	Substantial	19/8/08
			Risk Management Group in operation	Yes	Management	Substantial	19/8/08
39	4	3	The Code of Procurement is not followed correctly, leading to accusations of irregular practices and the challenging of award decisions.				
	High						
			Code in place and periodically reviewed.	Yes	Management	Substantial	19/8/08

Head of Financial Services

		2	2	Procedures in place and published on the Intranet	Yes	Management	Substantial	19/8/08
		Low		Procedures in place and published on the Intranet	Yes	Management	Substantial	19/8/08
75	Financial or other irregularities occur leading to additional financial costs, unforeseen investigation costs & reputation damage.	2	3	Procedures in place and published on the Intranet	Yes	Management	Substantial	19/8/08
		Medium		Procedure for appointment/vetting of staff	Yes	Independent (Audit / 3rd party)	Limited	2/6/08
47	Council's funds not invested appropriately leading to losses or poor returns resulting in unexpected service cuts.	2	4	Suitably qualified and experienced staff	Yes	Management	Substantial	19/8/08
		High		Police checks of relevant staff	Yes	Independent (Audit / 3rd party)	Limited	2/6/08
				Half yearly reports to Cabinet and Directors including a budgetary control statement	Yes	Management	Substantial	19/8/08
				External consultant appointed	Yes	Management	Substantial	19/8/08
				Treasury strategy in place	Yes	Management	Substantial	19/8/08
				Loans & investments audit	Yes	Management	Substantial	19/8/08
65	Council employees make poor procurement decisions resulting in increased costs of goods and services.	2	2	Training	Yes	Management	Adequate	19/8/08
		Low		Code of Procurement available and regularly updated.	Yes	Management	Substantial	19/8/08

Head of Housing Services

Risk Ref	Risk Title	Residual Risk Priority (RL x RI)	Risk Control	Assurance Source	Assurance Given	Assurance Type	Assurance Level	Assurance Date
51	Deficiencies in Housing policy / strategy	2 3 Medium	Achieve 'Fit for Purpose' rating by GO-East	Confirmation from GO-East	Yes	Independent (Audit / 3rd party)	Substantial	17/4/08
			CPA process/Annual Direction of Travel Audit/Annual Audit Letter.	Ditto	Yes	Independent (Audit / 3rd party)	Adequate	24/6/08
52	Changes in the house price market	4 3 High	The Council has a good range of measures in place, including debt counselling and good relationships with mortgagors	Individual case records and statistics for homelessness prevention. Statistics from HLC	Yes	Management	Limited	19/2/09
			Council is promoting the building of affordable housing	It is a Council Objective in Growing Success. The Council's MTP has £1m per annum allocation for the provision of affordable housing. RSLs are active in securing HCA grant for schemes in the District. In the 2008-2011 (todate) £7.2 m was secured to deliver 274units.	Yes	Management	Limited	19/2/09

Head of Information Management

Risk Ref	Risk Title	Residual Risk Priority (RL x RI)	Risk Control	Assurance Source	Assurance Given	Assurance Type	Assurance Level	Assurance Date
15	ICT Security is breached causing both the loss of data and a loss of trust in the reliability of the data being held.	2 5 Very High	Access controls	Internal Audit Review	Yes	Independent (Audit / 3rd party)	Limited	25/7/08
			Security marking of assets		Yes	Management	Substantial	29/7/08
			Locks on notebook computers	Internal Audit Review	Yes	Independent (Audit / 3rd party)	Limited	25/7/08
			Email filtering greatly reducing viruses, trojan software & spam		Yes	Management	Substantial	22/8/08
			Booking procedures for use of laptops away from the office	Internal Audit Review	Yes	Independent (Audit / 3rd party)	Limited	25/7/08
			Back up tapes		Yes	Management	Substantial	22/8/08
			Fire / security protection	Internal Audit Review	Yes	Independent (Audit / 3rd party)	Limited	25/7/08

Head of Information Management

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.	2	3	Medium	Staff development takes into account succession planning & multi-skilling of staff;	Internal Audit Review	Yes	Independent (Audit / Adequate 3rd party)	2/6/08	
					Training is supplied with system implementation;		Yes	Management	Substantial	29/7/08
					Training needs assessed through the appraisal process;	Internal Audit Review	Yes	Independent (Audit / Adequate 3rd party)	2/6/08	
					Structured approaches;	Internal Audit Review	Yes	Independent (Audit / Adequate 3rd party)	2/6/08	
					Purchase of outside consultancy	Internal Audit Review	Yes	Independent (Audit / Adequate 3rd party)	2/6/08	
58	Information or data is lost leading to an inability to provide an appropriate service, litigation against the Council and a failure to respond to requests for information	2	5	Very High	Documents held in metal filing cabinets in most cases	Internal Audit Review	Yes	Independent (Audit / Limited 3rd party)	25/7/08	
					No smoking policy in Council buildings		Yes	Management	Adequate	14/8/08
					Staff training, policies and management processes regarding the need for confidentiality	Internal Audit Review	Yes	Management	Adequate	14/8/08

Head of Information Management

2	5	Very High	Arrangements are in place for the disposal of confidential waste, including where appropriate the use of shredders. Managers and staff advised of the procedure.		Yes	Management	Adequate	14/8/08
			The Council's Information Security Policy and associated protocols are complied with	Internal Audit Review	Yes	Independent (Audit / 3rd party)	Limited	25/7/08
			All confidential documents stored in a semi-secure environment	Internal Audit Review	Yes	Independent (Audit / 3rd party)	Limited	25/7/08
			Where appropriate documents are put into the strong room	Internal Audit Review	Yes	Independent (Audit / 3rd party)	Limited	25/7/08
			Nightly back up, weekly off site back ups		Yes	Management	Substantial	14/8/08
			Regular reminders / training given to staff regarding the need for confidentiality	Internal Audit Review	Yes	Independent (Audit / 3rd party)	Limited	25/7/08
			Record access to Council property		Yes	Management	Adequate	14/8/08
			Corporate Policy for Records Management & Document Retention	Disposal of Information Audit	Yes	Management	Adequate	14/8/08
			Many records are stored electronically and computer files are backed up each day and stored in a fireproof safe in a separate building. Servers not held on same floor/building.		Yes	Management	Substantial	14/8/08

Head of Information Management

	2	5	All software is removed and hard disks wiped clean by IMD before disposal	Disposal of Information Audit.	Yes	Management	Adequate	14/8/08	
		Very High							
60	The Council does not have linked data bases leading to errors in service delivery and poor local reputation.	2	3	Training given to highlight issues with data consistency between non linked databases		Yes	Management	Adequate	14/8/08
		Medium							
				Sharing notifications of change corporately via email		Yes	Management	Limited	14/8/08
				LLPG property gazetteer, linking property and spatial data		Yes	Management	Substantial	14/8/08
				Databases can be and have been linked on the intranet		Yes	Management	Adequate	14/8/08
				EDM linking flow of information		Yes	Management	Adequate	14/8/08
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	2	4	Adequate timely consultation with Procurement Manager	Procurement Manager provide with copy of Development Programme Entry in Contracts Register Evidence of dialogue between Prog Mgr & Proc Manager	Yes	Management	Substantial	17/2/09
		High							

Head of Information Management

	2	4	High	<p>Consultation with appropriate user groups</p> <p>Evidence of workshop with users Project documentation eg PID & system specifications which have been signed off by Project Board</p>	Yes	Management	Substantial	17/2/09	
				<p>Use of appropriate elements of Prince 2 to manage procurement process</p> <p>Programme Manager reviews sample of documentation with Proj Man Project health checks undertaken by IMD Support Team</p>	Yes	Management	Substantial	17/2/09	
				<p>MTP process to ensure systems are kept up to date</p> <p>Annual review of MTP bids specifically Business Systems bid</p>	Yes	Management	Substantial	17/2/09	
				<p>Implementation approach procedures</p> <p>Programme Manager reviews sample of documentation with Proj Man Project health checks undertaken by IMD Support Team</p>	Yes	Management	Substantial	17/2/09	
122	Data (including personal and confidential data) is transferred from the Council without sufficient security (i.e. encryption)	2	4	High	<p>All data transfers involving personal data must be recorded on the business systems and database register.</p> <p>Internal Audit Review 6 monthly prompt to HoS to check/update Register</p>	Yes	Management	Substantial	17/2/09
123	Freedom of Information Act and Environmental Information Regulations Request are not successfully responded to	2	2	Low	<p>Awareness raised through FOI and EIR training for all staff, through online training and the Information Management training course, which are both essential to all staff</p> <p>This procedure gives members and officers guidelines how they should log FOI, DPA, EIR and PSI requests.</p>	Yes	Management	Limited	14/8/08
						Yes	Management	Adequate	14/8/08

Head of Information Management

2

2

Promotion of responsibilities of all staff to pass on FOI and EIR requests when received.

Yes

Management

Adequate

14/8/08

Low

Head of Law, Property and Governance

Risk Ref	Risk Title	Residual Risk Priority (RL x RI)	Risk Control	Assurance Source	Assurance Given	Assurance Type	Assurance Level	Assurance Date
33	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.	2 4 High	Corporate training programme & external training sources are used; open discussions held about training needs;	Training Record of CPD for Law Society/relevant professional association.	Yes	Management	Substantial	26/1/09
			Work allocated to employees with sufficient training / experience, staff encouraged to seek support, management intervention and monitoring, consultation with senior management, other sections or agencies where appropriate,	Report to Corvu	Yes	Management	Substantial	26/1/09
			Counsel advice and case conferences where appropriate, ongoing awareness training of when to seek in house legal advice and guidance.	Case Management System files	Yes	Management	Substantial	26/1/09
			Membership of professional bodies and/or subscription to their, or other relevant publications;	practising Certificate	Yes	Management	Substantial	26/1/09
49	Planning of work, time management and delegation are poor leading to high staff stress levels and work not being delivered on time.	2 4 High	Forward planning arrangements, including prompts on deadlines	Solcase Case Management	Yes	Management	Substantial	26/1/09
			The timetable for meeting statutory deadlines is understood and compiled with / by Legal staff	Solcase Case Management	Yes	Management	Substantial	26/1/09

Head of Law, Property and Governance

	2	4	Case management system in place	Solcase Case Management	Yes	Management	Substantial	26/1/09	
	High								
			Appraisals of staff re workload and performance	Annual appraisal	Yes	Management	Substantial	26/1/09	
			Use of external resources to assist wherre workload excessivce (subject to budgetary constraints)	Efin	Yes	Management	Substantial	26/1/09	
50	Poor management of Council owned industrial / commercial properties leading to the loss of development opportunities and reducing financial returns.	2	2	All Council property has now been registered at H M Land Registry	The deed packets for all land and property contain copies of the Land Registry documents.	Yes	Management	Substantial	16/2/09
		Low							
				Close monitoring of the portfolio is carried out, including the use of performance indicators on income generation and vacancy rates	A vacant property list is compiled each month and figures on rental income and vacancy rates are produced each quarter.	Yes	Management	Substantial	16/2/09
				A list of enquiries received about Council's ind and commer premises is maintained and each year interested parties are contacted about their continuing business needs		Yes	Management	Substantial	19/6/08
76	Insufficient review of proposals to Members leading to ineffective, inappropriate or ultra vires decisions, resulting in additional costs or loss of reputation.	2	4	Work is allocated to employees with sufficient experience and training	Professional qualification	Yes	Management	Substantial	26/1/09
		High							

Head of Law, Property and Governance

2	4	High	In appropriate circumstances advice and decisions are determined after consultation with senior management, other Council departments or other agencies. Management intervention and monitoring	Report to COMT	Yes	Management	Substantial	26/1/09
			The Council's constitutional framework is covered in local level induction training with Office Manager	Member training records	Yes	Management	Substantial	19/6/08
			Report completed by author's of Committee/Council reports confirming they have considered legal and related implications.	Report checklist submitted to Democratic Services	Yes	Management	Substantial	26/1/09

Head of Operations

Risk Ref	Risk Title	Residual Risk Priority (RL x RI)	Risk Control	Assurance Source	Assurance Given	Assurance Type	Assurance Level	Assurance Date
7	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.	3 3 High	Plans & procedures in place	Local and regional emergency plans	Yes	Management	Substantial	22/1/09
			Regular exercises undertaken to test facilities and equipment if actual events do not occur.	Records of exercises held / event records held by Street Scene Manager.	Yes	Management	Substantial	22/1/09
32	Ineffective site security arrangements at Eastfield House leads to the theft and/or loss of 'assets' and employees being concerned for their safety.	4 3 High	Ensuring security of external areas at all times.	All areas covered by 24 hr CCTV coverage with recording	Yes	Management	Substantial	22/1/09
			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.	Visitors book and access card records.	Yes	Management	Substantial	22/1/09
			Doors have remote electronic locks	Access via intercom with remote CCTV coverage of door area	Yes	Management	Substantial	22/1/09
57	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.	2 4 High	Constant maintenance	Detailed maintenance records and planned maintenance programmes available for inspection	Yes	Management	Substantial	22/1/09

Head of Operations

	2	4	Ability to use contract vehicles at short notice	Information held by Operations Senior Supervisory and Management staff.	Yes	Management	Substantial	22/1/09
	High		Planned renewal programme	Medium Term Financial Plan approved expenditure	Yes	Management	Substantial	22/1/09
126	4	3	Damage is caused to third party property due to inadequate maintenance of trees damaging our reputation and increasing expenditure.	Survey completed 2003/04 and a tree database prepared (species, age & previous maintenance work done), "problem trees identified.	Internal Audit Review	Yes	Independent (Audit / Limited 3rd party)	16/4/08
	High		Operations Division have a specialised section to carry out tree maintenance work.	Internal Audit Review	Yes	Independent (Audit / Limited 3rd party)		16/4/08
			Inspections - recorded, problems reported by the public acted upon	Internal Audit Review	Yes	Independent (Audit / Limited 3rd party)		16/4/08

Head of People, Performance and Partnerships

Risk Ref	Risk Title	Residual Risk Priority (RL x RI)	Risk Control	Assurance Source	Assurance Given	Assurance Type	Assurance Level	Assurance Date
16	A member of the public /Council employee 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	2 5 Very High	All staff who drive on Council business self-certify that they have valid driving licences, appropriate insurance and that their vehicle has an MOT (if required). Driving licence check, initial and annual. Driver training.		Yes	Management	Adequate	10/6/08
			Health and Safety issues are discussed annually Activity Managers are all trained in Health and Safety Management Health and Safety inspections Health and Safety Officer and Committee	Internal Audit Review	Yes	Independent (Audit / 3rd party)	Adequate	6/3/08
			Quarterly review of all Health and Safety risk assessments and incidents - related action plans are implemented and recorded	Internal Audit Review	Yes	Independent (Audit / 3rd party)	Adequate	6/3/08
			Induction training in Health and Safety Different training courses available, risk assessments	Internal Audit Review	Yes	Independent (Audit / 3rd party)	Adequate	6/3/08
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.	2 3 Medium	The Council provides funding for business support and monitors take-up of service	Service level agreements for certain areas of support. Performance reporting at Economic Prosperity and Skills Forum.	Yes	Management	Substantial	10/2/09

Head of People, Performance and Partnerships

	2	3	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	Local Economy Strategy and action plan saved on the Economic Development drive. Progress monitored through the Economic Prosperity and Skills Forum.	Yes	Management	Substantial	10/2/09	
		Medium							
			Through ad hoc meetings, economic prosperity and skills forum and annual business breakfast consultation.	Minutes and reports of meetings.	Yes	Management	Adequate	10/2/09	
54	Managers discriminate against certain service users by not considering the needs of all service users when delivering or developing services.	2	3	Customer service strategy designed to consider the needs of customers is in place		Yes	Management	Substantial	21/8/08
			Medium						
			The Council set out its framework for equality and inclusion in a strategy document together with an associated action plan		Yes	Management	Substantial	21/8/08	
			The Council's Equality and Inclusion policy is followed and council business is conducted in an open and transparent manner	Equality and Inclusion Audit	Yes	Independent (Audit / 3rd party)	Adequate	21/8/08	
			Equality Impact Assessments carried out in accordance with the council's three year programme		Yes	Management	Adequate	21/8/08	
			Consultation and engagement strategy is designed to obtain the views of local residents and involve them where appropriate in the provision of services.		Yes	Management	Substantial	21/8/08	

Head of People, Performance and Partnerships

56	Communications and marketing of services with employees, local residents, visitors and stakeholders is poor, leading to rumours and / or incorrect information being circulated, damaging staff morale and lower use of services and local reputation.	2	3	Medium	Good relationships with the media.	Record of all Press coverage received is documented in Hunts matters weekly.	Yes	Management	Substantial	12/3/09
					Sound mechanisms are used to consult with the public and stakeholders regarding council services	Various surveys undertaken as required.	Yes	Management	Adequate	12/3/09
					The Council's Communications and Marketing, Consultation and Engagement and Customer Service Strategies are in place to guide manager	Strategies documents on intranet.	Yes	Management	Adequate	12/3/09
71	The Council is unable to secure sufficient external funding and grants to continue existing tasks and services.	2	3	Medium	Projects requiring external funding identified with HoS and opportunities for funding sourced.	External funding Action plan saved on P&R drive	Yes	Management	Adequate	12/3/09
					six monthly reports to COMT on external funding prospects and current bids.	Internal Audit review COMT reports held on P&R drive	Yes	Management	Substantial	12/3/09

Head of People, Performance and Partnerships

73	Staffing levels are inadequate or staff are not adequately skilled to enable them to properly respond to new initiatives legislation, leading to increases in staff absences, reductions in current service levels and delays in improving service delivery	2	2	Low	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	Yes	Management	Adequate	10/6/08	
74	Robust Partnerships agreement are not effectively secured with relevant organisation and as a consequence the delivery of key objectives is not achieved.	2	4	High	Implementation of Council's Partnership review and health check process.	Internal Audit Review of Partnerships Partnership Reviews saved on P&R drive review programme on intranet	Yes	Management	Substantial	10/2/09
					Partnership Manager role to ensure effective performance management and accountability of partnerships. This is primarily for the HSP but the post holder will have an advisor role for other significant partnerships.	Performance Monitoring reports taken to HSP.	Yes	Management	Adequate	12/3/09
					ensure risks relating to partnerships are adequately registered and controlled.	Healthcheck reports	Yes	Management	Adequate	10/2/09
141	The Council does not provide effective community leadership and engagement opportunities leading to the reduced inclusion of key sections of the community.	2	3	Medium	Trained Managers Equalities steering group Equalities direction of Travel statement outlining where we are and what we need to do to achieve level three.	Minutes of meetings, Direction of Travel Statement and equalities strategy all on the P&R drive	Yes	Management	Substantial	12/3/09
						Assessment of level 2 by external body.				

Head of Planning Services

Risk Ref	Risk Title	Residual Risk Priority (RL x RI)	Risk Control	Assurance Source	Assurance Given	Assurance Type	Assurance Level	Assurance Date
40	Planning policy may be insufficient to meet government requirements	2 4 High	Well trained and experienced staff in post	Staff development plans are regularly reviewed and staff are supported in terms of gaining their relevant professional qualifications.	Yes	Management	Substantial	29/1/09
			Priority is given to developments which may result in severe impacts.	All planning decisions are subject to appropriate balancing factors.	Yes	Management	Adequate	29/1/09
			Quality control standards	Performance is reported on an annual basis via the AMR.	Yes	Management	Substantial	29/1/09
			A complete review of planning policies is to be undertaken in order to produce a Local Development Framework	Work is on-going with the Core Strategy Examination now taking place and other Development Plan Documents being prepared in accordance with our Local Development Scheme.	Yes	Management	Substantial	29/1/09
			Regular research and review of planning issues is carried out	Performance is reported via the AMR.	Yes	Management	Substantial	29/1/09
			Outside consultants used and legal advice taken where appropriate	High quality consultancy advice is taken in accordance with our approved Framework Agreement.	Yes	Management	Substantial	29/1/09

Head of Planning Services

	2	4	Government Planning Delivery grants to expand service in terms of IT, staffing and training	HDC has NOT used PDG or HPDG to fund 'core' functions - spending plan agreed by COMT and monitored via quarterly reports and meetings. There are currently no guarantees with regard to future Government grant regimes.	Yes	Management	Substantial	29/1/09	
			High						
43	Development Control decisions are challenged requiring staff and financial resources to be directed at defending the challenge resulting in a reduction in service.	2	4	Clear limits of powers are understood	The applicable Scheme of Delegation is regularly reviewed - via reports to DCP and Corporate Governance.	Yes	Management	Substantial	29/1/09
			High						
				Extensive training given to both staff and members	Staff development plans are supported. Member training is undertaken on an annual and update basis.	Yes	Management	Substantial	29/1/09
				Others check decisions	DCP and Council act as appropriate bodies for major decisions. GO may call in if necessary.	Yes	Management	Substantial	29/1/09
				Quality control checks included in the decision making processes	All decisions are supported by written reports and all decisions are subject to public scrutiny and potential subsequent appeals.	Yes	Management	Substantial	29/1/09
				Development design brief produced	A programme of work is undertaken to support our planning and regeneration strategies.	Yes	Management	Substantial	29/1/09

Head of Planning Services

	2	4	Case studies are held about the decision making process	Decisions are appeal decisions are regularly reviewed - reports to DCP. Staff are all supported in respect of their CPD.	Yes	Management	Substantial	29/1/09	
	High								
59	The Council does not react to local transport issues, developments, and needs, leading to increased chance of adverse economic impact on the District.	2	3	Delivery of the Market Town Transport Plan and the Local Transport Plan in conjunction with partner organisations		Yes	Independent (Audit / Adequate 3rd party)	23/7/08	
	Medium								
104	Delays to the construction of the new A14 may lead to a failure to achieve the longer term development/regeneration strategy for Huntingdon (see cause & effect for full risk)	2	5	Promote early implementation of the A14 by lobbying the Highways Agency and Central Government and by committing appropriate resources to the upcoming public inquiry etc.	Work is on-going with the SRO potentially being published in March in advance of a public inquiry in early 2010. Funding is approved, via the MTP, for HDC to promote its case.	Yes	Management	Adequate	29/1/09
	Very High								
131	Failure to produce water cycle study for HDC area prioritising the growth areas needs to be completed prior to march 2009	2	2	Consultants appointed Anglia Water and Environment Agency engaged in process		Yes	Management	Adequate	23/7/08
	Low								

Leisure Services

Risk Ref	Risk Title	Residual Risk Priority (RL x RI)	Risk Control	Assurance Source	Assurance Given	Assurance Type	Assurance Level	Assurance Date
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.	2 4 High	Warning signs displayed		Yes	Management	Adequate	16/6/08
			Health & Safety Co-ordinator monitors actions taken.		Yes	Management	Adequate	16/6/08
			Customers assessed for skin type (sunbeds) and undergo induction Sunbed equipment to British Standards Use of sunbed limited by length of session and number of sessions Regular monitoring of tanning equipment		Yes	Management	Substantial	16/6/08
			Bather capacity in the pools not exceeded.		Yes	Management	Substantial	16/6/08
			Defibrillators on site & staff are trained in their use.		Yes	Management	Adequate	16/6/08
			Regular breaks for lifeguards to maintain alertness		Yes	Management	Adequate	16/6/08
			Assessment of customer abilities when joining fitness centres.	No of recorded incidents resulting in injury or death to a customer	Yes	Management	Substantial	16/6/08

Leisure Services

	2	4							
			High						
				Trained first aiders on site.	Yes	Management	Adequate		16/6/08
				Trained, qualified and experienced fitness staff & lifeguards.	Yes	Management	Adequate		16/6/08
18	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.	2	3						
			Medium						
				Each centre has a Management Committee.	Yes	Management	Adequate		16/6/08
				A schedule of when agreements need to be renegotiated is in place.	Yes	Management	Adequate		16/6/08
20	An incident occurs at a Leisure Centre which requires services to be halted or dramatically reduced.	2	3						
			Medium						
				Fire alarms are routinely tested;	Yes	Management	Adequate		16/6/08
				Services & processes of competitors are monitored & prompt action is taken where necessary;	Yes	Management	Limited		16/6/08
				Quarterly reviews of income & reports to Management Committees;	Yes	Management	Adequate		16/6/08
				5 year ongoing condition survey to assess maintenance required and subsequent funding and implementation.	Yes	Independent (Audit / 3rd party)	Substantial		16/6/08
				External surveyors engaged to assess buildings and compile schedule of future maintenance					

Leisure Services

22	Users of the Leisure Centres are put at risk due to the employment of staff who are unsuitable to work with vulnerable people.	2	3	Medium	Each Leisure Centre Manager is a Designated Child Protection Officer	Yes	Independent (Audit / Substantial 3rd party)		27/8/08	
					References undertaken	Yes	Independent (Audit / Limited 3rd party)		27/8/08	
					HDC Policy and Procedures on Safeguarding Children, Young People and Vulnerable Adults in place. Structure in place to implement action plan arising from Policy.	Yes	Management	Adequate	16/6/08	
					Staff guidance issued;	Yes	Independent (Audit / Limited 3rd party)		27/8/08	
23	The procedures for the management of Special Events organised by the Leisure Centres may not be robust and result in customer complaints.	2	2	Low	A generic risk assessment is produced for events at the Burgess Hall. A judgement is made as to whether this is appropriate for each event and a further assessment undertaken where this is considered necessary	Audit of event risk assessments.	Yes	Independent (Audit / Adequate 3rd party)		16/6/08
					Competent staff involved in inspections. Health and Safety Co-ordinator monitors process.	Number of complaints received and/or incidents recorded.	Yes	Independent (Audit / Adequate 3rd party)		16/6/08
55	Leisure Centres do not keep pace with the changing expectations of their customers resulting in a loss of customers and income.	2	3	Medium	Condition surveys of facilities are carried out		Yes	Management	Adequate	16/6/08