

Secondary Risk Register Number	Specify Linked Corp. Objective	Risk	Initial Risk Category	Existing controls and/or Mitigation	Residual Risk Category	Further Action Planned	By Who?	Deadline	Target Risk Category
		Heading Risk Owner and Service/Team Risk Code(s) Overview/Description of risk(s) Include any financial Implications £	Without controls L x S	Documents, Policies, controls etc. currently in place	With controls L x S	What further action is proposed/necessary to control the risk? Include costs/resources required if known £.			L x S
1	None	Vehicle Management <u>Roger Sanders Corporate Health & Safety Adviser</u> LA, RR, FL, AR, PR Poor vehicle management could lead to risk of; void insurance, claims against the Council, personal injury to employees or other road users/members of the public. Risk to Council assets e.g. vehicles. Links with insurance risks.	3 x 3	Workplace Transport Code of Practice Annual license/MOT/insurance checks Working closely with Insurance team to incorporate requirements.	1 x 3	To investigate means of recording annual checks on MYHR to ensure diarised/prompting managers	RG	01/06/2018	1 x 2
2	TBC	Workplace Health & Safety <u>Roger Sanders Corporate Health & Safety Adviser</u> LA, RR, FL, AR, PR Major non-compliance with H&S Legislative. Risk of major injury/death. Legal action - both civil and criminal. Unlimited fines, jail sentences. Corporate Manslaughter. Fee for intervention - HSE. Reputational risk as enforcing authority and community leader.	3 x 4	In-house competent H&S adviser available 24/7 Corporate H&S Policy - reviewed minimum annually. H&S Codes of Practice for key legislative risks & common approaches Ongoing annual Corporate audit programme Service H&S risk/COSHH/MH assessments 6 monthly Corporate H&S Reports Mandatory e-learning training Corporate Health, Safety & Welfare Group Accident reporting, monitoring and investigation processes in place	2 x 3	Review codes of practice to ensure Service changes are reflected. Formal review process for CoP to be implemented. Ensure H&S representatives are appointed as per Corporate Policy.	RS RS RS	21/03/2017 21/03/2017 21/03/2017	2 x 3
3	TBC	Civil Emergency - Civil Contingencies Act <u>Jon Rundle Emergency Planning</u> Risk Code(s) Risk to life and property due to major incident Failure to meet shared duty to plan for and respond to civil emergencies (duty shared with HCC) Significant reputational risk resulting from inadequate response to incident Complete loss of multiple services	3 x 4	Generic (multi-agency) Emergency Plan in place (Hampshire-wide approach to plan) Role specific training provided by HCC Annual tabletop exercise to test plan Four yearly full training exercise Ability to share staff due to generic plan across authority boundaries	2 x 3	Plan to be updated due to changes in personnel at RBC Senior staff to be trained Training for members Focus training onto the recovery phase and preparedness Exercise Control Centre Training Loggist recruitment and training Revised plan	JR HCC HCC/JR JR CE Plan Team HCC	Completed Dates being considered 05/02/2018 To feed into training 28/02/2018 Completed by 1/03/18 Within 12 mths	2 x 2
4	TBC	Business Continuity Arrangements <u>Nick Harding IT & Facilities</u> Risk Code(s) <u>Head of I.T & Facilities</u> Risk Code(s) LA,RR,FL,OR Event that could negatively impact Council operations such as interruption of services, loss or damage to critical infrastructure (e.g. assets/resources/network)	3 x 4	Business Continuity Plan in place including: Business Impact Analysis - Critical Systems defined Communications - plans & strategy Accountabilities/ownership understood Crisis Management Command Structure Data Back Ups - primary & secondary sites	2 x 2	Need to develop & include pandemic plan Contractor dependency & business continuity plans need clarifying Develop scenario planning and testing schedules Carry out scenario based test/review subject to IT cloud solution with supplier Test restoration of key IT applications from back up - awaiting changes to cloud based solution	RS RS RS RS NH	31/06/2018 31/06/2018 31/06/2018 31/12/2018 30/09/2018	1 x 2
5	TBC	SANGS <u>Keith Holland Planning</u> Risk Code(s) TBC Attribution to continued lack of local affordable housing.	TBC	TBC	TBC	TBC			
6	TBC	Contractor Taxation / PAYE Rules <u>Rachel Gray HR</u> FL, RR IR35 Contractor employment & taxation liability Change in HMRC requirements and IR35 tax rules. Previous suspended penalty based on compliance / action plan Updated HMRC guidance indicates potential corporate criminal offence for failing to prevent tax evasion	3 x 3	Management procedure for all new and existing contractors Currently no contractors in scope Finance request confirmation of contractors status before payment HR to periodically remind HoS / MMs to use ESS check tool on all new contractors Internal compliance audit carried out Q3 2016/17	3 x 3	Audit follow up review (23/11/17) found that assessments were being used but couldn't gain assurance that this was systematic. Provisional findings (Limited Assurance Opinion) - Improvements in record keeping, written procedures and providing justification where it was deemed that ESS check was	HR/RG	Q3/4 2017/18	1 x 1

7	TBC	Enforcement / Governance of mandatory training completion <u>TBC RISK OWNER</u> <u>TBC RISK CODES</u> TBC TBC TBC	TBC	TBC	TBC			TBC
8	TBC	Lack of Equalities Act Policy <u>TBC RISK OWNER</u> <u>TBC RISK CODES</u> TBC TBC TBC	TBC	TBC	TBC			TBC