

Risk Register - Law and Governance

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| Risk Code | Risk Event | Primary Risk Category | Secondary Risk Categories | Risk Type | Responsible Person | Active | Causes | Risk Effects | Initial Risk Rating | Proximity | Existing Controls | Risk Treatment | Revised Risk Rating | Risk Action Title |
|-----------|---|-----------------------|---------------------------|------------------|--|--------|---|--|---------------------|-----------|---|-------------------|---------------------|---------------------------------------|
| CE004 | Failure to respond to enquiries/requests for information within statutory timescales (including FOI and complaints) | Legal | | Operational Risk | Tim Langley - Head of Law and Governance | Active | Lack of resources and time pressures on staff across all departments | Escalation to formal complaints and resultant consequences. | Medium | Current | Guidance, policies and procedures. Department. representatives. Existence of Publications Scheme on Comhairle's web site which aims to reduce the number of FOI requests (not currently functioning following cyberattack). Awareness raising sessions. | Retain the threat | Medium | |
| CE005 | Resource issues on the Democratic Services during Elections. Snap Election. | Workforce | | Operational Risk | Tim Langley - Head of Law and Governance | Active | Statutory election demands. | Impact and pressures on existing administrative resources. In the event of a Snap Election unable to hold a Committee Series occurring at the same time. | Medium | Current | A special meeting of Full Council would be held for necessary Reports. Flexibility within the team. | Retain the threat | Medium | |
| CE008 | The Comhairle's procurement processes are not adhered to | Compliance | | Operational Risk | Tim Langley - Head of Law and Governance | Active | Lack of training and knowledge of procurement procedures. | Financial penalty. Inefficiencies. | Medium | Current | Procurement policy and guide held on Intranet. Staff offered procurement training. Limited trained staff have access to PCF and PCF Tender portals. Procurement risk register owned by the Steering Group. | Reduce the threat | Low | Review Procurement Training Programme |
| CE010 | Mishandling sensitive information | Legal | | Operational Risk | Tim Langley - Head of Law and Governance | Active | Human error. Remote working. Use of mobile devices. New/unknown ways of working with Case Management Systems. | Data security breach. Non-compliance resulting in fine. Harm caused to those whose data was mishandled. | Medium | Current | Policies include data security re home-working. Data Protection Training. IT lead on encryption, IT security etc. Legal Manager responsible for implementing the data protection policy. | Retain the threat | Medium | |
| CE013 | Lack of resilience within staffing levels. | Workforce | • Budget/Financial | Operational Risk | Tim Langley - Head of Law and Governance | Active | Reduced resources. Staff turnover. | Knowledge and expertise is concentrated in very small numbers of staff. Senior staff have to provide cover throughout the service. | Medium | Current | | Retain the threat | Medium | |