

Risk Register

ARCHIVE SCANNING PROJECT

As at: (06.12.24)

Ref	Title	Risk Description	Opp / Threat	Cause	Consequence	Risk Treatment	Date Raised	Owner	Gross			Current			Target			Comments	Control / Mitigation Description	Date Due	Action Status	% Progress	Action Owner
									P	I	S	P	I	S	P	I	S						
1	Availability of Resource	The proposed project (particularly Phase 1) will rely on the timely and coordinated input of many staff members across multiple Service Areas. If resource is not available at the required time, this could quickly have knock on effects and delays to the programme.	Threat	Internal resource, critical to the programme, is not available at the required time	Knock on effects to programmed activities and resource leading to delays to the project.	Contingency Plans	29.11.24	Project Sponsor and Project Manager				3	3	9				Phase 1 of the project will not move forward until there is adequate resourcing in place. Relevant Heads of Service have been consulted to define the resource requirements and strategy for the project. The recruitment of temporary support staff during Phase 1 has been embedded into the project programme (as a critical path item) and the budget sum requested. A dedicated Project Manager will also be resourced to the project. They will define robust systems and processes for the coordination of the required resource. Relevant Heads of Service will be responsible for ensuring the agreed resource is provided when required. Given the complex resourcing required, a 30% contingency has been applied to estimated internal costs.		Not yet started	0%	Project Manager, Heads of Relevant Services	
2	Speed and Efficiency of Phase 1 - Creating a Catalogue of Documents	The creation of a catalogue of documents will involve multiple processes. These will likely include reviewing, recording, labelling and potentially disposing of documents. Estimated resourcing is based on the average time for undertaking this process for a typical archive box. If this average time is longer than expected, it could impact the time, resource and cost requirements.	Threat	The average time to catalogue a typical archive box of files is longer than estimated.	More time and /or resource will be required	Contingency Plans	29.11.24	Project Sponsor and Project Manager				3	3	9				A contingency of 30% has been applied to the internal resource costs to mitigate inefficiencies in Phase 1. During the Project Definition Phase, we will undertake further test runs of the Cataloguing process (physical and digital) to verify assumed times and develop the most efficient processes		Not yet started	0%	Project Manager	
3	Compliance with Legislation	Many of the documents included in the project are bound by legal retention requirements. The Council needs to ensure that does not dispose of or keep (in the case of GDPR) relevant documents.	Threat	The Council either disposes of files that must be kept for legal reasons or retains files (containing personal data) which should be disposed of in accordance with GDPR regulations	Legal fines and reputational damage	Reduce	29.11.24	Heads of Relevant Services and Information Governance				2	4	8				The Cataloguing process will be guided and governed by the Councils Records Retention Policy. Each Service Area will have an assigned Information Asset Owner who will be responsible for agreeing clear protocols for the Cataloguing process and approving the disposal of relevant documents. These files will be confidentially disposed of by a suitably qualified third-party supplier		In Progress	10%	Project Manager, Heads of Relevant Services, Information Governance	
4	Confidential Data Breach	The Project will involve the processing of confidential data. There is a risk that there is a data breach via internal staff or by third-party supplier.	Threat	Breach of confidential data, either by internal staff or by third-party supplier.	Legal fines and reputational damage	Reduce	29.11.24	Project Sponsor, Project Manager and Information Governance				1	4	4				Any third-party supplier delivering Phase 2 will need to comply with strict data confidentiality requirements. Any temporary staff hired to carry out Phase 1 of the project must abide by Council's policies on confidentiality and data protection, and will sign any agreements and undertake any necessary mandatory corporate training as required.		Not yet started	0%	Project Manager, Heads of Relevant Services, Information Governance	
5	Poor Quality Digital Files	There is a risk that some of the files received back from the third-party supplier are not of suitable quality to be of use by the Council.	Threat	Files received back from third-party supplier are not of suitable quality to be of use by the Council.	Failure to achieve a key objective and benefit of the project which has required significant resource. Further and more serious consequences if the paper copy of the file has already been destroyed	Reduce	29.11.24					2	4	8				The project will include various quality control processes. These include quality approval in the early stages as well as checking files when received from the third-party supplier, prior to any paper-files being confidentially disposed of		Not yet started	0%	Project Manager, Assigned staff from relevant Service Areas.	
6	Integration of Files into Council's Digital Filing Systems	There are ongoing and planned changes to digital filing systems being used both within relevant Service Areas and across the Council. There is a risk that the integration of digitised files could be complicated by changes to a new system.	Threat	Changes in Service Area or Council-wide digital filing systems.	Delays to programme and increased resource requirement	Reduce	29.11.24	Project Sponsor, Project Manager, ICT and Heads of Relevant Services				2	3	6				A Project Board will be established with representation from the Council's ICT, Finance and Change Teams. This board will be used to plan and coordinate the digital file integration within existing and future filing systems. Key issues will be reported up to Organisation Change Board. Once a catalogue has been produced and the type and volume of files to be scanned is confirmed, a detailed file storage strategy will be agreed by the board.		Not yet started	0%	Project Sponsor, Project Manager, ICT and Heads of Relevant Services	
7	Fire Risk	A Fire Risk Assessment has highlighted the risk of paper files stored in the Town Hall Basement.	Threat	Large volume of combustible, paper files stored in the Town Hall Basement	Fire risk	Reduce	29.11.24	Project Sponsor, Project Manager, Facilities Team				1	4	4				Access to the Town Hall Basement and Flat is strictly controlled by the Facilities Team. There is an evacuation plan in place to ensure staff can be evacuated in the event of a fire. These protocols will remain in place for the Project. All staff involved in Phase 1 of the project will be inducted in fire evacuation protocols. Once the project commences the volume of files will start to be reduced through the cataloguing process. This will start to reduce the associated fire risk.		Ongoing	10%	Project Sponsor, Project Manager, Facilities Team	
8	Manual Handling	The cataloguing process will involve the manual handling of multiple files and boxes, creating the risk of injury.	Threat	Manual handling of multiple files and boxes	Injury to staff member	Reduce	29.11.24	Project Sponsor, Project Manager				2	3	6				All staff (existing and new) involved in the cataloguing process to be comfortable with the requirement for Manual Handling involved. All staff involved will be required to complete the staff Manual Handling Training.		Not yet started	0%	Project Sponsor, Project Manager	

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