Yorkhill HA   Strategic Risk Register   Updated February 2021   AGENDA ITEM 5.1 A

No	Risk	Grs L'hd (1-5)	Grs Imp (1-5)	Grs Risk Total	Managed by (key systems/processes)	Lead	Net L'hd (1-5)	Net Imp (1-5)	Net Risk Total	Action Required
1	Reducing membership undermining current governance model	4	4	16	Promotion of membership to new tenants and owners, and via newsletter and website	CE	2	4	8 (8)	Keep under review, consider active promotion when Covid restrictions are removed
2	Loss of required governing body members	4	5	20	Recruitment strategies via newsletter, website and external contacts	CE	3	5	15 (15)	Re-visit recruitment strategies when Covid restrictions are removed
3	Non-compliance with constitutional requirements	4	4	16	Regular review and assessment processes	CE	1	4	4 (4)	Continue with regular review of requirements and processes
4	Non- compliance with regulatory standards	4	4	16	Self-assessment scrutiny programme ongoing, 2019 external audit confirmed full Assurance	CE	1	4	4 (8)	Continue with ongoing Assurance assessments and evidence updates
5	Poor governance (SHR key risk as of 2019)	4	4	16	Clear roles and remits, code of conduct, standing orders, structured programme of meetings, regular reviews of strategy and purpose, robust planning and review systems, close scrutiny of performance outcomes, training and support, external appraisal.	CE	2	4	8 (8)	Keep assessment processes under continual review and ensure Covid guidance compliance continues.
6	Poor staff performance	3	4	12	Clear job descriptions, and role expectations. Training, appraisal and supervision systems, performance management, transparent planning. Professional qualifications. Robust recruitment systems. Regular review of roles.	CE	2	4	8 (8)	Continual review of roles, risks and remits during Covid to identify areas of concern, and requirements for revision of activities to provide essential services

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7	Poor outcomes for tenants, homeless and other service users. (SHR)	4	4	16	Clear standards, policies, monitoring systems, reports, targets, KPI's, roles, training and advice, satisfaction surveys, appropriate skills.	CE	2	3	6 (6)	Maintain high service standard targets, regular review of practices, ongoing customer satisfaction surveys. Keep essential service reviews Covid-compliant.
8	Poor quality of tenants homes and investment failures (SHR)	4	4	16	Excellent reactive, cyclical and planned maintenance. Robust financial planning and risk management	CE	2	3	6 (6)	Continue to monitor services, ensure all contractors provide Covid risk assessments and procedures
9	Poor financial performance and management. (SHR)	4	5	20	Clear financial regulations and controls, regular review of plans, external validation	CE	2	4	8 (8)	Continue with regular review of policies and practice, ensure governing body has regular appropriate information updates and relevant training.
10	Long term deterioration of property	4	4	16	Regular reactive and cyclical maintenance, robust regular inspections, long term investment programmes	PSM	2	4	8 (8)	Continue to regularly review and update Property Services' Risk Register. Identify and monitor Covid impact on reduced services.
11	Loss of availability and security of data	4	5	20	Regular backups. IT policy in place Data scanning and storage.	FM	2	3	6 (8)	Improved security and enhanced disaster recovery system planned for 2021
12	Major IT failure impacting on day to day business	4	4	16	Back-up system in place, will be improved with upgrade. Enhanced Cloud storage	FM	1	4	4 (4)	As above
13	Loss of senior staff due to retirement	4	4	16	Succession Plan last reviewed in 2018	CE	2	4	8 (6)	Updated Plan required.
14	Non-compliance with GDPR	3	4	12	External and internal training provided; required documentation in place, policy developed and practices well established.	CM	1	4	4 (4)	Continue to promote data protection, monitor policy implementation and staff practices

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15	Loss of rental income due to welfare reform/Covid	4	4	16	Benefit advice services in place, monitoring of arrears. Low rent increase levels	HM	3	4	12 (12)	Continue to monitor impact of Covid on tenants; ensure prompt referrals for benefit / money advice.
16	Failure to comply with 2014 Act allocations provisions	4	4	16	Staff training completed. Planned consultation with residents paused due to Covid.	HSM	3	4	12 (12)	Retain in strategic plan as a priority objective.
17	Failure to comply with Freedom of Information Act	3	3	9	Staff /Committee training completed. DPO appointed. Full compliance achieved,	CM	1	3	3 (6)	DPO will continue to provide update reports to committee
18	Investigation of potential development opportunities	4	5	20	Risk assessment of specific projects, monitoring of human and financial resource input. Progress reports to Committee	CE	4	4	16 (16)	Retain in strategic plan for further discussion
19	Failure to comply with Covid-safety legislation	4	5	20	Development of Covid Risk Assessment in accordance with HSE Guidance	CE	2	5	10	Ensure all staff and committee are aware of risks and controls.
20	Failure to meet legal and regulatory obligations due to Covid	4	5	20	Governance requirements assessed, reviewed and adapted in accordance with legal and sector advice.	CE	1	5	5	Continue to monitor ongoing compliance
21	Failure to meet service obligations due to Covid	4	4	16	All services reviewed and adapted for homeworking where possible	CE	2	4	8	Office attendance restricted to comply with prevailing guidance. Essential tasks regularly reviewed.

Strategic Net Risk Map February 2021

I	5	1	1	1 (1)		
M	4	4 (3)	7 (8)	2 (3)	1 (1)	
P	3	1	3 (3)			
A	2					
C	1					
T		1	2	3	4	5
		PROBABILITY				