

HSB

Copy to: Jennie Smith, Chief Accountant

Quarterly Risk Report: September 2009

Purpose

1. To advise the HSB of the extreme and high risks identified by Directors.

Timing

2. Routine.

Risk Management Approach

3. Following discussion at the August Board Directors have now indicated which high levels risks are to be included on the agency register. This has increased the number of risks from 12 to 24. The risks are drawn from the group registers which also show risks which are classified as low and moderate. HSB may wish to consider if they find the level and nature of risks reported helpful and whether there are any other areas which should be covered. It should also be noted that an annual review of the register should be carried out in 2010. SMT are to discuss how this and overall risk management should be approached. This will be reported back to the HSB for further discussion.

New Risks

4. The following risks have been added to the register:
 - PIC: Damage to historic fabric: Links of Noltland
 - PIC: Damage to the collections
 - TCG: The Scottish Ten project
 - Inspectorate: Loss of political support
 - Inspectorate: Lack of support for partnership with the Local Authorities
 - Inspectorate: H & S incident
 - Inspectorate: Data security failure
 - Inspectorate: Failure to deliver phase 2 of the modernisation projects
 - Inspectorate: Loss of business continuity
 - Inspectorate: Risk to normal service caused by new casework system implementation
 - Policy: Failure to optimise grants spend / risk of overspend
 - Policy: Failure of Bill process
5. I will discuss this report further at the meeting on 29 October.

Laura Petrie
Director of Finance
21 October 2009

Historic Scotland Risk Register and Records September 2009

Responsible Business Area	Risk Description	Current Status	Previous Status
Short Term Risks			
Human Resources	1. Major Incident Planning – Pandemic Planning	High	High
Finance Group	2. 2010-11 Budgetary constraints affect delivery of programme and risk of overspend across the agency. Immediate pressure – grants batching.	High	Extreme
Finance Group	3. Failure to meet efficiency KPT	High	High
Finance Group	4. Lack of Business Continuity Planning – IT systems	High	High
All	5. Inadequate information, physical and personnel security.	Extreme	Extreme
PIC	6. Reduced visitor numbers / Income KPT not achieved	High	Extreme
PIC	7. Breakdown in technology: retail system	High	High
PIC	8. PCIDSS: Credit Card Compliance of Galaxy Admissions System. Risk of not meeting requirements and banks withdraw support / impose fine.	High	High
PIC	9. Damage to historic fabric: Links of Noltland	Extreme	Extreme
PIC	10. Changes to the cost/programme/scope/quality of PIC Major Projects	High	High
PIC	11. Damage and deterioration to the collections	High	High

Responsible Business Area	Risk Description	Current Status	Previous Status
TCG	12. Relocation of South Gyle	High	High
TCG	13. Scottish 10 project	High	N/A
Inspectorate	14. Loss of political support	High	High
Inspectorate	15. Lack of support for partnership working with Local Authorities	High	High
Inspectorate	16. H&S incident	High	High
Inspectorate	17. Data security failure	High	High
Inspectorate	18. Failure to deliver phase 2 of modernisation projects	High	High
Inspectorate	19. Loss of business continuity	High	High
Inspectorate	20. Risk to normal service caused by implementation of new casework management system	High	High
Policy Group	21. Failure to optimise spend from grants budget or overspend budget	High	N/A
Long Term Risks			
Chief Executive	22. Loss of reputation	High	High
PIC	23. Damage to historic environment (deterioration, weather, vandalism etc)	High	High
Policy Group	24. Failure of the Bill process – i.e. the Bill either falls, is enacted in a form inconsistent with financial and policy scope, or leads to damage to the current system	High	N/A