

NAS RISK REGISTER

Record Storage and Related Risks (3)

No	Description	Likelihood	Impact	Countermeasure	Action Officer(s)	Corporate Plan Ref.
1	NAS required to take more records from public bodies than it can process or accommodate in existing buildings.	High	High	<ul style="list-style-type: none"> • Introduce more stringent criteria for appraising incoming records; • Publish NAS selection policies to record producers; • Increase rate of existing weeding schemes; • Review existing records and dispose of those which do not fall within new criteria; • Revise SI for court records to reduce incoming numbers; 	<ul style="list-style-type: none"> • Heads of CLRB, GRB, PRB • As above • As above • As above • Head of CLRB 	<p>2.5.c</p> <p>3.4.vi</p> <p>3.4.ii</p>
2	Inability to predict accurately the rundown of legal business in NAS threatens other operations	Medium	High	<ul style="list-style-type: none"> • The Registers Archive Conversion (RAC) project being undertaken jointly with RoS will facilitate a managed rundown of NAS's legal business • Closer monitoring and analysis of trends in current business 	<ul style="list-style-type: none"> • Management Board, Heads of RSB and ICTB 	9.4.i

Record Storage and Related Risks (3) cont'd

2.1	Delays in RAC project have knock on effect in managing the rundown of legal business	High	High	<ul style="list-style-type: none"> • Work with RoS and their service provider to minimise delays; • Put in place contingency arrangements for continued manual searching facilities for legal customers 	<ul style="list-style-type: none"> • Management Board, Heads of RSB and ICTB 	
3	Legal customers continue to use GRH for access to public registers	Medium	Medium	<ul style="list-style-type: none"> • Ensure new service via Registers Direct is introduced smoothly and at lower cost than current searching • Provide a number of options for Internet access 	<ul style="list-style-type: none"> • Management Board, Head of RSB 	
4	Funding for TTH2 is not approved	High	High	<ul style="list-style-type: none"> • Investigate rental of low cost storage options for little used records • Investigate options for retaining WRH • Investigate possible partnerships for TTH2 to become a joint facility 	<ul style="list-style-type: none"> • Management Board, Head of ASB 	7.4.iv

Planning and Priorities Risks (2)

No	Description	Likelihood	Impact	Countermeasure	Action Officer(s)	Corporate Plan Ref.
5	Externally-generated projects divert us from core business	Low	Medium	<ul style="list-style-type: none"> • Use the corporate plan process for NAS to prioritise objectives for each branch; • Use priorities in plan to identify areas of work to abandon or scale down; • Management board to review regularly progress on strategic objectives; 	<ul style="list-style-type: none"> • Branch Heads and Management Board • As above • Management Board 	<p>Overview, strategic objectives</p> <p>Appendix paragraph 10</p>
6	Insufficient integration amongst different branches in NAS results in opportunities to improve our services being missed	Medium	Low	<ul style="list-style-type: none"> • Greater involvement of Branch and Section Heads in decision making e.g. marketing activities • Improve communication between branches; for example, branch heads to cascade information to staff about subjects discussed at branch head meetings, lunchtime seminars, NAS newsletter 	<ul style="list-style-type: none"> • Branch Heads and Management Board 	<p>9.5.e</p> <p>12.4.iv</p> <p>12.4.v</p>
7	Lack of a long-term IS strategy resulting in business not supported in key areas	Low	High	<ul style="list-style-type: none"> • High level review of ICT services by senior management to ensure ICT provision is in line with all business requirements 	<ul style="list-style-type: none"> • Management Board, Head of ICTB 	

Planning and Priorities Risks (2) cont'd

8	Performance measures and targets not sufficiently robust to inform how the business is doing	Medium	Medium	<ul style="list-style-type: none"> • Improved information systems, in particular electronic ordering application, will help report on key customer-focussed targets • Progress on key objectives constantly kept under review by Management Board and Governance meetings • Assign responsibility for record storage measures to CSB managers and staff 	<ul style="list-style-type: none"> • Management Board, Heads of ICTB, RSB • Head of CSB 	
---	--	--------	--------	--	---	--

Financial and Funding Risk

No	Description	Likelihood	Impact	Countermeasure	Action Officer(s)	Corporate Plan Ref.
9	Budgetary provision insufficient to meet plans and objectives	High	High	<ul style="list-style-type: none"> Use corporate plan process to agree budgets for each branch; Ensure timely and accurate monthly financial monitoring reports are available to Branch Heads; Management Board to review financial performance at each quarterly meeting; 	<ul style="list-style-type: none"> Management Board Departmental Finance Manager Management Board 	8.5.a 8.4.i
10	Unexpected calls for expenditure on acquiring records of national importance	Low	Medium	<ul style="list-style-type: none"> Investigate options for external funding Define policy on private records to ensure clear priorities for acquisition and purchase 	<ul style="list-style-type: none"> Management Board, Head of PRB 	

External Projects Risk

11	A lack of co-ordination/communication between branches involved in external projects leads to NAS being over-exposed and failing to meet expectations of outside partners	Low	Low	<ul style="list-style-type: none"> All proposals for involvement in external projects to be considered and approved by Management Board 	<ul style="list-style-type: none"> Management Board 	
----	---	-----	-----	--	--	--

Electronic Records Risks (2)

No	Description	Likelihood	Impact	Countermeasure	Action Officer(s)	Corporate Plan Ref.
12	The proliferation of electronic record systems will overwhelm our ability to cope with these.	Low	High	<ul style="list-style-type: none"> • DDA project established and scoping study set up to support possible funding for ERDM project • Produce guidance on e-record systems and promote it among public bodies; • Work with SE and Scottish Courts Service to promote good e-records practice in central government and courts; • Work with others (TNA, Digital Preservation Coalition,) to raise awareness of the opportunities and problems resulting from the increase in e-records; 	<ul style="list-style-type: none"> • Heads of ICT, GRB • Heads of GRB, PRB, CLRB, ICTB • Head of CLRB • All of above 	2.4.i, 2.4.v 2.5.a, 2.5.b 9.4.v, 9.5.k

Electronic Records Risks (2) cont'd

13	The availability of an electronic catalogue will alter the way customers search and request records, putting strain on system for production and preservation	Low	Medium	<ul style="list-style-type: none"> • Allocate CSB resource to survey condition of popular collections/series to inform copying and surrogate strategies • Target digitisation programme towards heavily-used records • Careful management of conservation resources with priority setting by archivists and conservators • Implement electronic ordering system to help speed up production 	<ul style="list-style-type: none"> • Management Board, Head of CSB • Management Board, Head of ICTB 	10.4.i, 10.4.ii
14	The development of remote access leads to relatively less numbers of on-site visitors, with disproportionate resources devoted to them	High	Medium	<ul style="list-style-type: none"> • Consider visitor numbers as a whole and plan resources accordingly • Identify proportions of electronic and physical productions and use this to manage the resources • Plans for the 'ScotlandsPeople' service aim to invigorate the on-site experience for visitors 	<ul style="list-style-type: none"> • Management Board, Head of RSB 	

Personnel Risks (2)

No	Description	Likelihood	Impact	Countermeasure	Action Officer(s)	Corporate Plan Ref.
15	Difficulty in recruiting and retaining appropriately qualified staff in sufficient numbers could detract from our organisational effectiveness	Medium	High	<ul style="list-style-type: none"> • Improve our in-house training and development facility; • Continue to raise the image of NAS and develop its role as a good employer; 	<ul style="list-style-type: none"> • Development Centre • Management Board 	12.5.b, 5.5.c
16	Work-related stress could impact adversely on operations	Low	Low	<ul style="list-style-type: none"> • Use corporate plan to allocate and manage resources to concentrate on priority tasks; • Provide training and support for staff in dealing with stress and improving time management; 	<ul style="list-style-type: none"> • Management Board • Development Centre 	12.5.c
17	High levels of sickness absence reduce service levels and put additional pressures on staff at work	High	High	<ul style="list-style-type: none"> • Implement SE policy on managing absence, including training for line managers; • Ensure accurate and on time statistics of absence to pinpoint organisational and individual problems; • Press SE HR to take swift action when problems are identified 	<ul style="list-style-type: none"> • Management Board, all line managers • Management Board, FAB, (SE HR) • Management Board, (SE ER) 	

Other Risks

No	Description	Likelihood	Impact	Countermeasure	Action Officer(s)	Corporate Plan Ref.
18	NAS maintain a separate register relating to physical security risks. These include losses and theft, terrorist threat, fire, flood, burglary and vandalism	Various	Various	<ul style="list-style-type: none"> See separate physical security risk register Disaster Contingency Planning by CSB 	<ul style="list-style-type: none"> NAS Security Officer Head of CSB 	N/A
19	NAS maintain comprehensive risk registers for all major projects	Various	Various	<ul style="list-style-type: none"> See separate project risk registers 	<ul style="list-style-type: none"> Project Boards 	N/A

Key

Management Board	–	Keeper, Deputy Keepers, Finance Manager, Senior Management Assistant
GRB	–	Government Records Branch
CSB	–	Conservation Services Branch
PRB	–	Private Records Branch
CLRB	–	Court and Legal Records Branch
ERB	–	External Relations Branch
ICT	–	Information and Communications Technology Branch
ASB	–	Accommodation Services Branch
RSB	-	Reader Services Branch