

Q3 2016/17 Risks Report

Report Type: Risks Report
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Generated on: 08 February 2017



Risk Code	Risk Title	Original Impact	Original Likelihood	Current Impact	Current Likelihood	Target Impact	Target Likelihood	Latest Note	Latest Date	Status
C&MS1	Failure to ensure Committee papers are prepared to a Quality Standard and in accordance with agreed processes.	2	E	2	E	2	E	All agendas have been published in line with statutory requirements. Reports have been made available for meetings in a timely manner. 88% of minutes have been published within 4 working days of the meeting. As this is an internal deadline and not a statutory requirement it does not impact on the current risk assessment.	04 Jan 2017	
CS&ICT1	Failure of Data Centre Hosting and compromises to the security of information	1	F	1	F	1	F	RBC operate out of Tier 3 27001 data centres utilising a hybrid model. All the data centres are tested on a weekly basis for electrical failure. We have secondary data centres in different geographical locations which are also tested weekly as a back up for our main data centre.	17 Jan 2017	
CS&ICT2	Failure to ensure secure electronic transmission of documents / information.	1	F	1	F	1	F	RBC use a combination of PSN and Egress to ensure secure electronic transmission of documents/information. RBC are certified to impact level 2/3 which meets all regulatory requirements.	17 Jan 2017	
CS&ICT3	Failure to ensure Business Continuity Management.	1	D	1	D	1	C	A full business continuity management strategy and operational document has been implemented. This has been reviewed and certified by LCC Audit.	17 Jan 2017	
EG1	Failure to deliver projects.	3	D	3	D	3	E	The risk remains appropriate. A design, indicative costings and development approach have been identified for the Trail Head Centre which will either be operated by a previously interested party or an alternative provider. Housing and employment sites have a varied range of opportunities and challenges but ongoing work is providing a clearer understanding of development scope, prioritisation and opportunities. A number of sites are already being taken forward through the planning process.	10 Jan 2017	
EG2	Failure of the Borough, its businesses and residents, to utilise available valuable external resources.	4	E	4	E	4	E	This is an ongoing action to continue to help influence and shape the development of potential support programmes for businesses and to encourage Rossendale businesses to access them, as such the risk remains the same.	10 Jan 2017	

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EG3	Failure to bring commercial sites into use.	2	D	2	D	2	E	Whilst this risk remains appropriate, it is important that the Council continues to facilitate the development of key housing and employment sites both in terms of fostering economic growth and due to the changes in business rates retention to be implemented from 2020.	10 Jan 2017	
EG4	Failure to improve environment and infrastructure.	3	B	3	B	3	C	The risk remains appropriate. Progress has been made with Lee Quarry during Q3, as per the update in the Actions report.	10 Jan 2017	
EG5	Failure to improve visitor and cultural activities.	3	D	3	D	3	E	A programme of strategic events is being developed for 2017 in conjunction with local business and community organisations. The Council continues to work with partners and event organisers to promote the Borough to visitors.	10 Jan 2017	
EG6	Failure to spend total funding allocations allocation resulting in clawback from funders.	3	D	3	D			Committed at 31.12.17 is £250k, actual 105K. Plans for further spend on the agenda at the next steering group.	06 Jan 2017	
EG7	Failure to secure resource to support Rossendale Health and Wellbeing Partnership beyond the lifetime of the Living Well Living Better project	3	C	3	C			There are discussions about the development of a health forum for Tossendale in partnership with East Lancashire Clinical Commissioning Group. This may help ensure the issue is addressed going forward.	06 Jan 2017	
EG8	Failure to meet the Council's statutory responsibilities in community safety.	3	E	3	E	3	E	Council Officers continue to work with partners and attend meetings of the Community Safety Partnership and sub groups to ensure its statutory responsibilities in community safety are met.	10 Jan 2017	
Elec1	Failure to hold robust and efficient elections (including failure to recruit staff, preparation of suitable venues; acquire timely and accurate documentation within statutory timescales i.e. poll cards, postal ballot packs).	2	F	2	F	2	F	Planning for 4th May Lancashire County Council elections is well underway based on previous election experience. These elections will be run in line with Electoral Commission guidance and Lancashire County Council directions. External services will be carried out by experienced providers within a set time frame. This risk is not expected to change.	06 Jan 2017	
ELEC2	Failure to ensure polling stations are DDA compliant / accessible to all.	3	C	3	C	3	D	Most polling stations are in the same location as previous years however one or possibly two stations have been closed following Lancashire County Council cuts. New sites, if necessary, will be	06 Jan 2017	

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								checked thoroughly for their suitability and all efforts will be made to ensure they are DDA compliant. This risk matrix is not expected to change because the buildings used as polling stations are outside of our control with the exception of the Futures Park location.		
ELEC3	Failure to safeguard the service/election from fraud and corruption.	2	F	2	F	2	F	Planning is well underway for Lancashire County Council elections to be held on 4 May 2017 and a fraud plan for Lancashire will be drawn up and implemented. Regular meetings with designated electoral fraud officers will be held alongside those relating to polling stations and the count with local police officers.	06 Jan 2017	
F&PS1	Non-payment of Benefit claims, Creditors and Staff together with robust income collection.	4	D	4	D	3	E	ICON update is scheduled for Jan/Feb 2017, though full hosting is likely to be late summer/autumn 2017, once the provider has completed the PCI/DSS compliance testing.	13 Jan 2017	
F&PS2	Council does not align expenditure with future resources beyond 2016/17.	2	C	2	C	3	E	The recent changes to New Homes Bonus funding will now again the Council under significant financial pressure over the medium term. Given progress made in previous years regarding efficiencies and savings, the revised funding gap (c £1.2m) will be extremely challenging.	09 Jan 2017	
LEG1	Fraud and Corruption	2	F	2	F	2	F	This risk continues to be monitored and mitigated. We are also reviewing associated policies.	16 Feb 2017	
OPS1	Failure to carry out Cemetery burials due to flooding / other inclement weather conditions.	3	E	3	E	3	E	The risk remains the same, no changes during Quarter 3.	06 Jan 2017	
OPS2	Non-collection of residual [non- recyclable] waste for more than two weeks due to industrial action or inclement weather.	3	E	3	E	3	E	No change on this occasion. The Head of Operations will discuss with the Portfolio Holder if she is happy to divorce the two distinct elements to create two risk areas [1 x industrial action, 1 x inclement weather].	09 Jan 2017	
P&P01	Litigation due to Health & Safety Breaches.	3	F	3	F	3	F	Business Continuity and Emergency Planning - The Final version of the Civil Emergency Plan has been uploaded onto the Resilience Direct website. The Final Corporate Business Continuity Plan has been submitted to Lancashire County Council. Training - Over the last few months we have completed training in First Aid at Work and Telehandler Operator. Breathalyzer Training - A training session on how to use the Breathalyzer, took place in November 2016 with all supervisors and managers within the operations department. The recently	10 Jan 2017	

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								updated Drugs and Alcohol Policy was also discussed. Random Breathalyzer checks are to be rolled out in January 2017 and will follow on a weekly basis across the whole workforce. Futures Park Service Area Audits - Service area audits have recently taken place in Facilities Finance RIDDOR - We have had 5 reported incident/accident this quarter. One was RIDDOR reportable.		
PLAN 4	Monitoring delivery on time of requirements of Section 106 planning obligations.	3	E	3	E	3	E	A review of all s.106s is underway.	10 Jan 2017	
PLAN1	Failure to deliver the Local Plan.	3	D	3	D	4	F	Local Plan delayed from original timetable but a new Local Development Scheme (LDS) has been agreed.	05 Jan 2017	
PLAN2	Failure to deliver commitments to English Heritage on the programme of work.	3	E	3	E	3	E	The Conservation Officer has recently left the Council however the role is currently being advertised and the successful candidate will carry on the work.	10 Jan 2017	
PLAN3	Failure to determine planning applications in line with government targets.	3	D	3	D	3	E	The department continues to exceed its targets in respect of the determination of planning applications and continued work is ongoing in respect of the use of time extensions. A review of the last 2 years of determination dates is currently underway.	10 Jan 2017	