

Appendix 1 Council's Corporate Risk Register

Original Corporate Risk Register extract from business planning 2014-15

Risk Score: A1– Highest Risk
F5 – Lowest Risk

Likelihood	A					
	B					
	C					
	D					
	E					
	F					
		5	4	3	2	1
	Impact					

Risk Code	Risk Title	Risk Type	Responsible Officer	Original Likelihood / Impact	Current actions in place	Current Likelihood / Impact	Further actions	Target Likelihood / Impact	Impact on business
CORPORATE									
COR P1 (CR)	Failure to ensure corporate business continuity and staff capacity	Financial/ operational/ reputational/ legal	Chief Executive	D2	All service areas have business continuity plans (BCPs) in place Guidance issued to BCP plan owners on maintenance of plan Some auditing of key	E2	Regular test and review of BPCs Desktop testing complete –further scenario testing to be undertaken	E3	Service provision will be compromised Impact on the council's reputation as an employer and service provider

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					functions undertaken				
COR P2 (CR)	Risks to information assets are not effectively addressed which may lead to loss and legal challenge	Legal / financial / reputational	Director for Business and Head of ICT and Customer Services	D2	The council follows effective information governance framework based on best practice identified from the LGA Data Handling Guideline Refresher training / briefings for staff on data handling	E2	The council needs to review and finalise an effective information governance framework based on best practice identified from the LGA Data Handling Guidelines	E3	If these are not effectively addressed this would mean that there were financial and legal implications to the Council
Resources Directorate									
Finance & Property Services (F&PS) and People & Policy (P&P)									
F&P S1 (CR)	Payment of Benefit claims, Creditors and Staff together	Financial	Finance Manager	D3	Regular review	D3	Testing	E3	Adverse impact on reputation and customers / staffs

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	with robust income collection.								own finances.
F&P S2 (CR)	Council does not align expenditure with future resources beyond 2015/16	Financial	Head of Finance	D4	Implementation of identified / planned savings	D4	Seek further service efficiencies	E3	Corporate priorities are not achieved. Future sustainability of Council is severely jeopardised.
P&F S3	Failure to ensure business continuity and staff capacity for Finance and Property Services Area	Financial/ operational/ reputational/ legal	Head of Finance	E2	Business Continuity Plan in place. Test and review	E2	Continual test and review	E3	Service provision will be compromised
People & Policy (P&P)									
P&P 1	Failure to ensure business continuity and staff capacity for P&P Service Area	Financial/ operational/ reputational/ legal	Chief Executive)	D3	Up to date Business Continuity Plan in place. Payroll processing contingencies in place. HR support arrangements in place if/as	E3	Regular review of Business Continuity plans to ensure they are current Payroll contingency plan to	E4	Failure to deliver timely and effective HR advise / support advice Failure to pay salaries to RBC and third parties (RLT/CLAW)

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					<p>additional support is required</p> <p>Homeworking or remote working available for some staff. Some systems are web based and can be accessed off site</p> <p>Health and Safety arrangements in place</p> <p>Hard copy of BCP and local media contacts / web based system access kept securely off site.</p>		<p>be tested</p> <p>Continued performance management to ensure appropriate staff capacity for the workload that is within budget</p> <p>Health and Safety Contract reviewed regularly</p> <p>Utilisation of corporate support team capacity if necessary for basic cover</p>		<p>Failure to provide effective and timely communications internally and externally</p> <p>Failure to provide health and safety advise /compliance</p>

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P&P 2	Equal Pay Claims	Regulatory / legal	Chief Executive	C2	Use barrister/solicitor or opinion as appropriate Following the historic Equal Pay Claims Pay Review all of the historical claims have now been addressed. A robust Job Evaluation system is now in place to ensure fairness and consistency of approach across the Council therefore ensures the mitigation of the risk of future equal payment claims.	D3	Equal Pay Claims have an historical life of 6 yrs. All actions which can be undertaken to minimise are being taken.	E3	Incur costs which impacts on Council priorities
P&P 3	Non-payment of salaries	Reputational/Regulatory/Legal	Chief Executive	F2	Business continuity plan in place	F3	Regular review and	F3	Employees not being paid results in poor reputation

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							testing as required		and low staff morale.
P&P 4 (CR)	Litigation due to Health & Safety Breaches	Financial/ Reputational / Legal	Chief Executive	E2	Audits of services areas, health and safety reporting of concerns/ incidents	F3	Training plan in place for all H&S training. Maintaining the current risk level.	F3	Sufficient budget and staff time need to be allocated.
Operations									
Ops1	Loss of financial income and potential income due to reduction in recycle rates	Financial	Head of Operations	C3	Income for recycle is calculated against a national average benchmark. Current market values have been showing a negative trend which provides additional budget pressure. There is no mitigation	C3	Aim is to maintain the current risk level as far as reasonably possible. The roll out of area based working should improve the focus of officers/	C3	Additional financial pressure on the Council if loss of income falls below the budget line.

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					available to influence market values of materials.		operational staff to increase recycling tonnage through education and enforcement. Further distribution of leaflets including information for recycling should assist in driving recycling rates in a positive manner. With the values of material currently low, any increase in volume will help		

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							to redress the balance of the financial impact.		
Ops2	The loss of income from recycling due to drop in market prices and or involvement in the Lancashire Waste PFI	Financial	Head of Operations	C3	<p>Income for recycle is calculated against a national average benchmark. Current market values have been showing a negative trend which provides additional budget pressure.</p> <p>Market testing has been carried out to ensure we are receiving competitive income from</p>	C3	<p>Aim is to maintain the current risk level as far as reasonably possible.</p> <p>The roll out of area based working should improve the focus of officers/ operational staff to increase recycling tonnage through education and</p>	C3	<p>Additional financial pressure on the Council if loss of income falls below the budget line.</p> <p>Withdrawing from the partnership could lead to the removal of financial support from LCC under the cost share agreement.</p>

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					<p>our recycling.</p> <p>There is no mitigation available to influence market values of materials.</p>		<p>enforcement.</p> <p>Further distribution of leaflets including information for recycling should assist in driving recycling rates in a positive manner.</p> <p>With the values of material currently low, any increase in volume will help to redress the balance of the financial impact.</p>		

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Ops3	Failure to ensure corporate business continuity and staff capacity for Operations Service Area	Financial/ operational/ reputational/ legal	Head of Operations	D1	<p>Joint arrangement with Hyndburn Operations for support, advice and specific functions (e.g. transport management).</p> <p>Multi skilled trained staff / multiple staff trained for specific functions to ensure cover can be provided.</p> <p>Specific plans via Lancashire Resilience forum to cover large scale events such as flu pandemic.</p> <p>Arrangements with agency</p>	F2	None. Maintain current risk level.	F2	Inability to carry out statutory functions (waste collection, street cleansing and burials) or front line services such as grounds maintenance, provision of safe play areas and sports facilities

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					companies to allow staff cover for short term events.				
Business Directorate									
Building Control (BC)									
BC1	Failure to ensure corporate business continuity and staff capacity for Building Control Service Area	Inability to deal with statutory requirements, emergencies and corporate requests for advise	Director for Business	D1	Joint arrangement with Hyndburn Building Control service & we have the option to use of external support/advise /reports	F2	None. Maintain current risk level.	F2	Low as arrangements are in place so limited affected on customer services
Health, Housing and Regeneration (HHR)									
HHR 1	Failure to ensure corporate business continuity and staff capacity for Health, Housing & Regeneration Service Area	Operational, Legal, Reputational, Financial	Director for Business and Head of Health, Housing & Regeneration	D1	Up to date Business Continuity Plan Good working relationships with neighbouring Council Services which would be contacted to provide interim cover -	E1	Regular reviews of plans to ensure they are current. Discussions at Team Meetings to raise awareness.	F3	Failure to deliver statutory services in a timely and efficient manner. (Homelessness, Burials & Env Health) Failure to comply with legislation and practice directions Financial risk of

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					Homelessness , Burials and Env Health. Regular budget monitoring Health and wellbeing of staff monitored with risk assessments carried out where appropriate.				need to engage external agencies to undertake statutory duties. Reputational damage
Land Charges and Corporate Support (LC&CS)									
LC&CS1	Failure to ensure corporate business continuity and staff capacity for Land Charges and Corporate Support Service Area	Inability to deal with statutory searches and admin support	Land Charges Officer	D1	3 officers are trained to cover land charges in the event of holidays, sickness etc. and ongoing training and flexibility within Corporate Support is in place to ensure capacity	F2	None. Maintain current risk level.	F2	Low as arrangements are in place so limited affected on customer services

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					across the council as needed.				
Planning									
Plan 1	Failure to deliver the Local Development Framework (LDF)	Risk of adhoc planning decision making due to strategy not being in place / reputational	Planning Manager; Principal Planner Forward Planning	E3	AMR monitoring and Local Development Scheme prepared.	E3	Recruitment to maintain staffing levels and review of approach to meet shared working commitments	F4	Failure to implement / keep up to date this statutory requirement in a timely manner will impact upon the Council's ability to determine planning applications and manage development within the borough
Plan 2	Failure to deliver commitments to English Heritage re programme of work	Financial and reputational	Planning Manager	D3	Internal audit review and conservation officer redrafting strategy timetable	D3	Implement Audit recommendations and gain agreement from English Heritage on new timetable	E3	English Heritage could invoke its claw back clause for the support it has given the council.

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							for strategy		
Plan 3	Budget reduced by reduction in fees	Financial	Planning Manager; Principal Planner Development Control	D3	Monitoring of income shows ahead of budget target. Savings being made by service review and shared working	E3	Seek to maintain current risk score. Implement efficiency savings from shared working / increase income from extending and increasing pre-application tariffs	E3	Method of service delivery will need to change
Plan 4	Failure to determine planning applications in line with government targets	Financial / Reputational	Planning Manager;	D3	Monitoring of performance	E3	None further at present. Maintain current risk level.	E3	Government is proposing to take over running of Local Authority services if service falls below a certain standard and will charge the Council to do so

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Plan 5	Failure to deliver commitments on Planning Performance Agreement (PPA)	Financial	Planning Manager; Principal Planner Forward Planning Director for Business	D4	PPA currently in place for Reaps Moss – monitoring system in place	E4	Further PPAs are anticipated e.g. for Scout Moor	F4	Financial penalty due to failure to meet milestones
Plan 6	Monitoring delivery on time of requirements of Section 106 planning obligations.	Financial / reputational	Planning Manager / Principal Planner Forward Planning	D3	Monitoring group set up across internal services / Internal audit review	E3	Aim is to maintain this risk level. Implement audit recommendations where appropriate having regard to available resources	E3	Corporate impact on provision of services if financial resources provided by developers not implemented
Plan 7	Failure to ensure corporate business continuity and staff capacity for Planning Service Area	Financial / reputational	Planning Manager	D3	Shared working arrangements are in place to ensure staffing capacity is sufficient Relevant	E3	Regular review of the BCP. Project management in place for key projects	F3	Failure to meet government targets for determination leading to Standards Authority designation.

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					element of the Business Continuity Plan (BCP) is being updated		as required – e.g. Gantt chart of Local Development Framework matters has been drawn up to agree a programme of works to ensure milestones are met		Failure to capitalise on investment to encourage regeneration and development / investment in Rossendale Failure to meet customers service standards leading to higher number of complaints
Licensing Enforcement Unit (LEU)									
LEU 1	Failure to ensure corporate business continuity and staff capacity for Licensing Enforcement Unit Service Area	Operational, Legal, Reputational, Financial	Director of Business and Licensing & Enforcement Manager	D2	Improved IT systems and reliability Ongoing staff training Essential material is backed up. Disaster Recovery	E2	Improved and more frequent communication Regular Business Continuity Plan review	F3	Failure to deliver statutory services in a timely and efficient manner. (Licensing Act, Gambling Act) Failure to deliver timely and effective advice / service Reputational

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					<p>requirement (IT) in place.</p> <p>Regular budget monitoring</p> <p>Health and wellbeing of staff monitored with risk assessments carried out where appropriate.</p> <p>Regular one to ones</p>		<p>Regular discussions at team meetings</p> <p>Review of staffing levels</p>		damage
Electoral Services (EL)									
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	Legal/financial/reputational	Elections Manager	B2	Election plans are in place which document dates of each task and required dates in line with legislation. Elections are monitored by the Electoral Commission to	E2	Election plans to be updated at each election.	F2	<p>Lack of service to electors – possible disenfranchisement</p> <p>Litigation arising from failure to comply with legislation</p> <p>Loss of Electoral Commission Performance</p>

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	packs)				ensure tasks are undertaken in line with legislation.				Indicators Investigation of Service by Electoral Commission
Elec2	Failure to ensure polling stations are DDA compliant / accessible to all	Legal / financial / reputational	Elections Manager	A4	Polling station access checked by inspectors at each election and alternative venues located if necessary / available. Polling cards include an accessibility statement and offer a reasonable alternative.	B5	Aim is to maintain the current risk score level. Due to the use of external buildings in the community the council has limited ability to ensure 100% DDA compliance but reasonable adjustments are put	B5	Lack of service to electors – possible disenfranchisement Reduction in Electoral Commission Performance Indicators

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							in place where possible		
Elec3	Failure to safeguard the service/election from fraud and corruption	Legal / financial / reputational	Elections Manager	D2	Lancashire Authorities have developed an Electoral Integrity Plan which sets out a number of steps to ensure the electoral service is secure.	F2	Aim is to maintain current risk score level. The Electoral Integrity Plan will be updated annually and steps contained included in the relevant election plan.	F2	<p>Elector / candidate information could be compromised</p> <p>Litigation arising from failure to comply with legislation</p> <p>Reduction in Electoral Commission Performance Indicators</p> <p>Investigation of Service by Electoral Commission</p>
Elec4	Failure to implement individual electoral registration	Legal / financial	Elections Manager	C3	IER planning is underway with Cabinet Office taking the lead. Regular meetings are held and communication backed up in	F4	Plans for action and finance will be put in place and adherence monitored by	F5	<p>Litigation arising from failure to comply with legislation</p> <p>Financial penalties from Cabinet Office</p>

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					a variety of ways. Training on processes is being provided by Cabinet Office, election software suppliers and the Association of Electoral Administrators and base documents and plans have been provided.		Cabinet Office.		
Elec5	Failure to ensure corporate business continuity and staff capacity for Electoral Services Service Area	Legal / Fraud/ Reputational / Operational	Chief Executive	D2	Election contingency and risk register is in place. Plans are also in place for every element of the election process. Register meetings are held regularly and training is	E2	On-going training and monitoring	F3	Reputational impact and potential financial penalties may occur.

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					undertaken yearly.				
Committee and Member Services (C&MS)									
C&MS1	Failure to ensure corporate business continuity and staff capacity for Committee and Member Services Area	Operational/Legal/Reputational	Director for Business/Committee and Member Services Manager	D2	<p>Business Continuity Plan.</p> <p>Homeworking using RSA for 2 staff.</p> <p>Maintaining electronic diaries for the Leader and the Mayor.</p> <p>Electronic copies and hard copies of important documents e.g. Council's Constitution.</p> <p>Performance reviews.</p>	E2	<p>Regular Business Continuity and performance reviews.</p> <p>Individual reviews of business practices.</p>	F2	<p>Failure to provide support to the Leader/Mayor and elected members.</p> <p>Failure to support committee meetings and meet legal requirements.</p> <p>Failure to meet legal requirements e.g. FOI and Ombudsman deadlines.</p> <p>Reputational damage</p>
C&MS2	Ensuring a declaration of interest form is	Reputational / Legal	Monitoring Officer (Director for	B2	New forms are sent to councillors on	F2	Aim is to maintain this risk	F2	Reputational impact from poor audit outcomes in

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	received and reviewed by each councillor each year and details amended on the web site. To evidence sound decision making by councillors.		Business)		a yearly basis and returned forms are monitored on an ongoing basis. New councillors are informed they have 28 days after the election to complete/return forms as a legal requirement. Annual review process of all Dol forms.		level. Ongoing monitoring and follow up of non-returns are directly with councillor. Non-returned forms are reported to the Monitoring Officer for further action.		relation to sound decision making.
Legal Services (Legal)									
Leg1	Fraud and Corruption	Financial/ legal/ Reputational	Director for Business	E2	<ol style="list-style-type: none"> 1. Awareness raised at induction. 2. Training awareness for all employees to include e-modules. 3. Current strategy in 	F2	No further actions are being undertaken. Maintain current risk level.	F2	<p>Loss of revenue which could impact on corporate priorities.</p> <p>Poor reputation and lack of confidence in Council.</p>

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					<ul style="list-style-type: none"> place. 4. Communications via Team Brief. 5. Regular enforcement meetings to discuss legal issues. 6. Promote prosecutions in the press. 7. Fraud liaison meetings with partners. 8. Legal liaison meetings to share good practice. 				
Leg2	Failure to ensure corporate business continuity and staff capacity for Legal Services Area	Legal/Financial/Reputational	Director for Business and Legal Services Manager	D2	<p>Up to date Business Continuity Plan</p> <p>Joint working with neighbouring authorities</p>	E2	<p>Regular reviews of plans to ensure the same are current</p> <p>Continued performance</p>	F2	<p>Failure to deliver timely and effective advice</p> <p>Failure to comply with legislation and practice directions</p> <p>Failure to</p>

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					<p>Good working relationships with Counsels' Chambers</p> <p>Regular budget monitoring</p> <p>Health and wellbeing of staff monitored with risk assessments carried out where appropriate.</p>		<p>management to ensure appropriate staff capacity for the workload that is within budget</p>		<p>represent the Council in Courts and Tribunals</p> <p>Financial risk of wasted cost awards being made against the Council</p> <p>Reputational damage</p>