

























Quarter 1 Risk Report 2016/17

Risk Code	Risk Title	Original Impact	Original Likelihood	Current Impact	Current Likelihood	Target Impact	Target Likelihood	Latest Note	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. All minutes (except one) have been published within 4 working days of the meeting (this is an internal target rather than a statutory requirement). The minutes that were published outside the internal target deadline were published a day late. As this is an internal deadline and not a statutory requirement it does not impact on the current risk assessment.	
CS&ICT1	Failure of Data Centre Hosting and compromises to the security of information	1	F	1	F	1	F	The RBC Data Centres are certified to a Government standard (ISO27001) and have full generation on site, this is tested every week to ensure failover is working.	
CS&ICT2	Failure to ensure secure electronic transmission of documents / information.	1	F	1	F	1	F	RBC use two secure email applications to ensure secure transmission of documents, EGRESS is certified to a very secure standard (IL2/3) and provides a fully encrypted secure transmission. RBC also use the PSN email service which is also guaranteed to IL2/3 level to ensure secure transmission of documents.	
CS&ICT3	Failure to ensure Business Continuity Management.	1	C	1	D	1	C	Health and Safety Officer has completed BCM strategy. BCM Template briefed out to Senior Management Team and key users Meetings held to discuss and receive feedback.	
EG1	Failure to deliver projects.	3	D	3	D	3	E	The weighting of this risk remains appropriate. A number of schemes are dependent upon funding and/or the clarification of agreed ways forward. The housing and employment sites consultation during the next quarter will help to inform supply and demand in the borough and aid prioritisation. The impact of UK EU referendum decision on investment decisions will also be monitored.	
EG2	Failure of the Borough, its businesses and residents, to utilise available valuable external resources.	4	E	4	E	4	E	This risk is appropriate. Rossendale Borough Council will continue to promote and facilitate access to relevant support for local businesses and residents. Wider socio and economic factors can influence take up - e.g. business confidence in making investment decisions that require the bulk of funding to be found from sources other than grants, even if partial support is available.	
EG3	Failure to bring commercial sites into use.	2	D	2	D	2	E	Spinning Point - This large programme has its own risk management. A high degree of confidence is now assured in respect of phase 1 due to the funding secured during the quarter. There are still some inherent risks in terms of bus station usage levels and a the terms of the Together lease in the old town hall. The detail of phase 2 of Spinning Point is yet to be clarified and the precise nature of any risks will depend on the scope	

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								of the development and the prevailing economic environment at the time of development. Futures Park - Developments here will realise the latent value of plots that have lain dormant for some years. The planning process will ensure appropriate developments. Depending upon the terms of any sale/lease a capital receipt or rental income will be due to Rossendale Borough Council from any agreement along with ongoing non domestic rates receipts.	
EG4	Failure to improve environment and infrastructure.	3	B	3	B	3	C	Progress on most projects is subject to external funding applications without which some projects may not be in a position to proceed. Local involvement in the ongoing management of Lee Quarry is dependent upon the outcome of the Lancashire County Council Countryside Services consultation process. However Rossendale Borough Council is well placed having held two stakeholder meetings at which LCC colleagues have been represented and due to a track record of joint working at Lee and Cragg Quarries.	
EG5	Failure to improve visitor and cultural activities.	3	D	3	D	3	E	We work closely with partners and event organisers to maintain the tourist image for the borough and make it an attractive place for people to come with lots of events / places to visit.	
EG6	Failure to spend total funding allocations allocation resulting in clawback from funders.	3	D	3	D			Every effort will be made, via the multi-agency steering group, to ensure complete spend. Regular updates will be provided and the budget monitored by the budget holder so signs of underspend will be detected early.	
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			The Rossendale health and wellbeing partnership was formed in October 2015 from the Rossendale Action Partnership (formerly the Financial inclusion group). The partnership is supported by the Public Service Reform Officer and chaired by the Council's Portfolio holder for health - currently Cllr. Barbara Ashworth. The post supporting the partnership is externally funded and short term - until October 2017. The partnership has grown from strength to strength with c. 30 members organisations and has identified priorities for 2016/17 - tobacco, health lifestyles and mental health and wellbeing. Members are enthusiastic and determined to secure good quality services for Rossendale. As public sector funding has reduced, many more officers are funded short term, agency, and/or from external funding sources so guaranteeing continuing support for the partnership is impossible. However, there is a recognition of the importance of the council's contribution to health and the need for agencies to work more closely together to secure the best quality services for local people. The emerging Transforming lives work may reveal further opportunities to support and/or seeking contributions from statutory partners e.g. public health/CCG.	
EG8	Failure to meet the	3	E	3	E	3	E	Council officers attend the Pennine Lancashire Community Safety Partnership and its	

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	Council's statutory responsibilities in community safety.							sub groups to ensure that any actions are undertaken to ensure its statutory responsibilities are met.	
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	5th May Borough and PCC elections and 23 June EU Referendum were completed without incident. Several staff dropped out prior to each poll because of health or family issues but standby staff were utilised or existing staff moved to ensure the levels required by the Electoral Commission. The risk matrix will therefore remain static for 2016 assuming no further polls.	
ELEC2	Failure to ensure polling stations are DDA compliant / accessible to all.	3	C	3	C	3	D	One complaint was received at 23 June EU Referendum regarding the polling station at Bacup Family Centre (Sunnycrest) commenting that the station was on a hill and a step into the polling station. All polling stations are reviewed at each poll and consideration given to alternative locations where they are available and without making unnecessary changes which will detrimentally affect electors. This risk matrix is not expected to alter during 2016.	
ELEC3	Failure to safeguard the service/election from fraud and corruption.	2	F	2	F	2	F	5 May elections and 23 June referendum did not encounter and specific risks relating to fraud and corruption and all returns of information requested to date by outside bodies have been provided. No change to the risk matrix is anticipated during 2016.	
F&PS1	Non-payment of Benefit claims, Creditors and Staff together with robust income collection.	3	D	3	D	3	E	Alongside all service business plans the Financial service's plan is being updated. We do not expect any material changes to business continuity arrangements currently in place.	
F&PS2	Council does not align expenditure with future resources beyond 2016/17.	4	D	4	D	3	E	An update of the Council's MTFS was presented to Members in July 21016. The future funding gap remains at c. £600k. Officers and partners are developing plans to close this deficit.	
LEG1	Fraud and Corruption	2	F	2	F	2	F	This risk continues to be monitored and mitigated. We are also reviewing associated policies.	
OPS1	Failure to carry out Cemetery burials due	3	E	3	E	3	E	The risks need to be reassessed in conjunction with the Bereavement Services officer and Operations Supervisor [Parks and Gardens]. We will schedule this to be completed	

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	to flooding / other inclement weather conditions.							in time for the next quarter data entry.	
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. However, it is the opinion of the Head of Service (Operations) that the two risks be divorced from each other and be noted and assessed separately for the next quarter.	
P&P01	Litigation due to Health & Safety Breaches.	3	F	3	F	3	F	<p>Report It Cards The report it cards have been rolled out to the housing, licensing, enforcement and environmental departments to log any verbal or aggressive behaviour's they encounter. This will enable us to develop a caution register for all Lone Workers to use.</p> <p>Reversing Assistants and Driving of Refuse Collection Vehicles All refuse staff have been refreshed in Reversing Assistant training. Risk Assessments/ Safe Systems of Work (SSOW) associated with the above, have been revised and where gaps appeared new SSOW have been introduced. Reversing cameras are also being trialled on 2 refuse vehicles if these are a success all vehicles will be fitted with the cameras.</p> <p>Outside Workers Heat Guidance Advice and recommendations were given to Operations, regarding the requirements of outside workers working in hot weather. Hats and water bottles have been issued to all operations staff who work outdoors.</p> <p>Lone Worker Training A workshop for managers was held to develop a generic risk assessment and safe system of work. This has been approved by the management team, and is currently being implemented by all service areas involved in Lone Working.</p> <p>Business Continuity and Emergency Planning After the audit from LCC a new business continuity plan has been devised over the last few months. This was approved by the management team and all service areas are currently updating their plans.</p> <p>The LAMIT training was presented to the Emergency Planning team on the 6th June, this is a presentation developed by the LRF team to inform members what is expected of them in their roles. Further presentations have also been delivered at service area team meetings.</p> <p>RIDDOR We have had 3 reported incident/accidents this quarter. None were RIDDOR reportable.</p>	
PLAN 4	Monitoring delivery	3	E	3	E	3	E	Regular meetings of the S106 Monitoring group to ensure delivery.	

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	on time of requirements of Section 106 planning obligations.								
PLAN1	Failure to deliver the Local Plan.	3	D	3	D	4	F	A Process Document is being produced to guide preparation of the Local Plan. This will identify key milestones.	
PLAN2	Failure to deliver commitments to English Heritage on the programme of work.	3	E	3	E	3	E	Work in accordance with the Council's Conservation Strategy is ongoing.	
PLAN3	Failure to determine planning applications in line with government targets.	3	E	3	E	3	E	The Council is currently exceeding its targets in respect of planning applications and this is not envisaged to change in the near future.	