

REPORT TO:	Audit Committee
DATE:	30th November 2020
REPORT AUTHOR:	Stuart Sambrook (Policy Manager)
TITLE OF REPORT:	Risk Management Monitoring Report

1. **Purpose of Report**

To inform Audit Committee of the outcome of the review of the Strategic, Generic and Operational Risk Registers.

2. **Recommendation**

I recommend that Audit Committee notes the report

3. **Background**

- At its meeting on 29th September 2003, Standards Committee was presented with details of the Council's Risk Management Policy and associated Strategic and Operational Risk Registers.
- The report also set out a protocol for updating the risk registers in addition to ensuring that the risks already identified are monitored and action plans are in place to mitigate against these risks wherever possible.
- Management Team received a report on 15th March, 2006 regarding the transfer of responsibility for updating the Risk Register to the Policy team.
- The protocol for updating the risk tables has been followed and the information gathered forms the basis of this report and any associated documents.
- November 2019 Internal Audit published a report of their review of Risk Registers / Management to determine if they are established and managed effectively. The audit report recommended that some refresher training for Risk Management be carried out for All Service Managers. It was also agreed that it would be beneficial to carry out a mapping exercise across all areas of the Council to identify new risks as part of the risk register review process. To date these recommendations have only been partly worked on and the process will carry on in 2021.
- The changes to the risk registers reflected in this report are correct as at Friday 6th November 2020.
- A separate report was presented to Management Team on the 11th November, 2020.

4. **Reasons for Recommendations**

To inform Audit Committee of the amendments arising from the review of Strategic, Generic and Operational Risk Registers.

5. Changes to the Strategic Risk Register

There have been three major changes (new risks covering the pandemic impacts on the Council, local community and democracy) to the Strategic Risk Register these are summarised below and one minor change that has been made which is detailed in Appendix 1 (Page 5).

Area	Change	Risk Rating With Controls
NEW RISK		
Customers / Citizens (Page 5)	<u>Risk</u> Pandemic can cause harm to the health and wellbeing of the local Hyndburn community. <u>Risk Owner</u> Chief Executive	High
Economic / Reputation (Page 6)	<u>Risk</u> Pandemic effect on Council's financial services, staffing arrangements and service delivery. <u>Risk Owner</u> Chief Executive	High
Political / Legal (Page 6)	<u>Risk</u> Pandemic impact on local democracy, decision making process, accountable procedures, transparency and local elections. <u>Risk Owner</u> Chief Executive	Medium

6. Changes to the Generic Risk Register

There have been no major changes to the Generic Risk Register but a number of minor changes (eight) that have been made to the Generic Risk Register. The amended risks are summarised below with full details shown in Appendix 2 (Page 7).

7. Changes to the Operational Risk Register

There have been five major changes to the Operational Risk Register these are summarised below and a number of minor changes have been made which are detailed in Appendix 3 (Page 11).

Area	Change	Risk Rating With Controls
CHANGE OF RISK RATING		
Legal (Page 21)	<u>Risk</u> Failure to produce final accounts on time to appropriate legal & professional standards e.g. current Accounts & Audit Regulations, IFRS (International Financial Reporting Standards) <u>Risk Owner</u> Head of Accountancy Services	Original Rating Low Revised Rating Medium
NEW RISK		
Contractual (Page 11)	<u>Risk</u> Access and availability to HBC data stored in the Cloud, should contractual obligations change or not be renewed. <u>Risk Owner</u> Head of ICT	Low
Physical (Page 11)	<u>Risk</u> Non-availability on-site of ICT Officers due to illness and/or self-isolation during pandemic. <u>Risk Owner</u> Head of ICT	Medium

Area	Change	Risk Rating With Controls
Legal (Page 12)	Risk Failure to complete food programme in 2020/21 due to Covid-19 Risk Owner Executive Director (Environment) / Food Safety Manager	Medium
Financial (Page 12)	Risk Project Phoenix 1D – Site Preparation Works Grant Homes England default funding event resulting in grant clawback for not achieving completion milestones and State aid compliance Risk Owner Head of Regeneration & Housing	Medium

8. Summary Risk Register

A summary list of all risks contained in the Generic, Operational and Strategic Risk Registers is given in Appendix 4 Page 24.

9. Alternative Options considered and Reasons for Rejection

Not applicable

10. Consultations

Consultation with Directors and Heads of Service has taken place.

11. Implications

Financial implications (including any future financial commitments for the Council)	.
Legal and human rights implications	
Assessment of risk	n/a
Equality and diversity implications <i>A Customer First Analysis should be completed in relation to policy decisions and should be attached as an appendix to the report.</i>	n/a

12. Local Government (Access to Information) Act 1985: List of Background Papers

Strategic Risk Register
Generic Risk Register
Operational Risk Register

13. Freedom of Information

The report does not contain exempt information under the Local Government Act 1972, Schedule 12A and all information can be disclosed under the Freedom of Information Act 2000.

14. Exempt Report

The report **does not** contain exempt information under the Local Government Act 1972 Schedule 12A

Appendix 1 – Amendments to Strategic Risk Register

CHANGES TO STRATEGIC RISK REGISTER

KEY
<i>New or amended text</i>
Deleted text

New Risk made by Management Team

Risk Owner: Chief Executive

CUSTOMERS/CITIZENS RISK

2027

Pandemic can cause harm to the health and wellbeing of the local Hyndburn community

Associated Risk Officers: Management Team

Risk Rating

Likelihood

Regularly occurs daily or weekly

Impact

Fatality, financial loss in excess of £2,000,000, non-delivery of service exceeding 3 weeks and/or adverse international media coverage

Priority

High

Controls - Measures Currently in Place to Manage Risk

- Full / active participation with the Lancashire Resilience Forum
- Critical incident team set up by the Council
- Supporting local businesses (Business Support Grants)
- Providing businesses with advice, support and enforcement around covid-safe guidelines
- Supporting local people through setting up Community Hub providing support / food need where needed
- Regular communications / campaigns to increase awareness of Covid-19 guidelines and other health support (e.g. flu vaccinations, mental health support)
- Establishment of a multi-agency Local Taskforce and Community Action Network
- The formation of a Local Track and Trace team
- Engaged Business Information Officers / Covid Marshalls across the Borough
- Suspended mass gathering Council events

Risk Owner: Chief Executive

ECONOMICAL/REPUTATIONAL RISK

2028

Pandemic effect on Council's financial services, staffing arrangements and service delivery

Associated Risk Officers: Management Team

Risk Rating

Likelihood

Regularly occurs daily or weekly

Impact

Fatality, financial loss in excess of £2,000,000, non-delivery of service exceeding 3 weeks and/or adverse international media coverage

Priority

High

Controls - Measures Currently in Place to Manage Risk

- Critical Incident Team set up
- Participation with the Lancashire Resilience Forum
- Updated Business Continuity Plans & Risk Assessments
- Pandemic related review of critical services
- Regular staff communications and guidance
- Process to enable contact tracing of work colleagues where a positive case reported and follow-up infection control measures
- Changes to staff working arrangements including enabling homeworking where possible
- Monthly monitoring of additional Covid expenditure and reduction in income
- Creation of Covid safe workplaces and implementation of new working practices for Council Staff

Risk Owner: Executive Director Legal and Democratic Services

POLITICAL/LEGAL RISK

2029

Pandemic impact on local democracy, decision making process, accountable procedures, transparency and local elections

Associated Risk Officers: All Service Managers

Risk Rating

Likelihood

Likely to happen over next 1 to 2 years

Impact

Serious disabling injury/ill health, financial loss between £500,000 and £2,000,000, significant disruption to service exceeding 1 week and/or adverse national media coverage

Priority

Medium

Controls - Measures Currently in Place to Manage Risk

- Updated regulation
- Business Continuity Plans & Risk Assessments
- Online meetings
- Regular briefings / members
- Review of conduct of elections

Amendments made by Executive Director (Environment)

Risk Owner: Deputy Chief Executive Resources

ENVIRONMENTAL RISK

1018

Warranted environmental / asbestos problems in land / properties following the 2006 LSVT

Associated Risk Officers: ~~Executive Director (Environment)~~ Head of Regeneration and Housing

Risk Rating

Likelihood

Rarely or never happened before

Impact

Fatality, financial loss in excess of £2,000,000, non-delivery of service exceeding 3 weeks and/or adverse international media coverage

Priority

Medium

Controls - Measures Currently in Place to Manage Risk

- Asbestos Survey
- Contaminated Land Survey
- Environmental Warranty until 24/07/2027
- Contribution to special reserve (£3 million)

Appendix 2 – Amendments to Generic Risk Register

CHANGES TO Generic RISK REGISTER

KEY

New or amended text

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Amendments made by Executive Director (Environment) / Head of Policy & Organisational Development / Head of Regeneration & Housing

PHYSICAL RISK

2008

Failure to ensure health and safety of employees and members of the public and comply with Health & Safety Legislation both in, around and outside the workplace.

Associated Risk Officers: Management Team

Risk Rating

Likelihood

Rarely or never happened before

Impact

Fatality, financial loss in excess of £2,000,000, non-delivery of service exceeding 3 weeks and/or adverse international media coverage

Priority

Medium

Controls - Measures Currently in Place to Manage Risk

- Health & safety is part of employee induction
- Health & Safety Policy & Procedures
- Regular Training - eg several managers achieved IOSH in 2018.
- Implement rolling Corporate H&S plan
- Annual Programme Health & Safety refreshers
- The ~~Head of Environmental Services~~ **Executive Director (Environment)** manages Health & Safety in accordance with Corporate Health & Safety Policies through the Safety Committee.
- Corporate Health and Safety Officer
- Six monthly reports to CMT
- ~~TUC~~ **Union** Safety Officer and Safety Representatives
- Comprehensive Risk Assessments
- Pre use safety inspection system for all operations, equipment and vehicles
- **Safe Systems of Work procedures issued for Waste Services, Parks and Cemetery, Vehicle Maintenance and other staff undertaking high risk manual operations**
- Conflict Resolution training for front line staff dealing with members of the public
- **Safety Improvement Group (SIG) Established, with operational safety improvement subgroup** group looking at high risk service areas
- ~~Events Safety Group to review corporate liability issues around events on council property.~~
- Comprehensive Accident / Incident reporting system looking at Root Cause Analysis and trend analysis
- Workplace Wellbeing Charter, awarded excellent status
- Protocols for working alone
- Programme of Risk Assessment Reviews appropriate to Service
- Site specific risk assessments give consideration to both employees and others who may be affected by the Council's operations
- Provision of suitable support, counselling and training
- **Corporate** Health and Safety Committee
- Business Continuity Plans
- Routine safety inspections for playgrounds, trees, headstones etc.
- Driver safety policy and handbook
 - Regular Driver Competent Assessment Programme
 - Annual Licence Checks
 - Vehicle Safety Checks

- Reverse Assistant Training
- ~~Safety Improvement Group (SIG) Established~~
- External qualified consultants have undertaken fire risk assessments to the Council's 7 main (staffed) buildings
- Drug and Alcohol policy with random testing for safety critical roles.
- Provision of trained First Aiders.
- Clear responsibilities for Building Managers.

Amendments made by Executive Director (Environment) / Head of Policy & Organisational Development

Risk Owner: All Service Managers

LEGAL RISK

45

Risk of poor procurement practice resulting in breach of procurement regulations, standing orders or inefficient use of resources.

Associated Risk Officers:

Risk Rating

Likelihood

Likely to happen over next 1 to 2 years

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage

Priority

Low

Controls - Measures Currently in Place to Manage Risk

- Project Management
- Contract Management Skills
- Procurement Strategy, ~~Policy and Equality Standard~~
- Collaborative procurement e.g. ~~AGMA, Lancashire Procurement Hub, BwD~~, YPO.
- Contract Procedures Rules in place
- Procurement Strategy in place
- Training provided on procurement procedures
- Developing procurement opportunities especially E-procurement is identified as one of the primary objectives

Amendment made by Executive Director (Environment)

Risk Owner: All Service Managers

ENVIRONMENTAL RISK

2016

Failure to conserve energy and reduce emissions thus resulting in excess costs to the Council and a negative impact on the environment

Associated Risk Officers: Management Team

Risk Rating

Likelihood

Rarely or never happened before

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage

Priority

Low

Controls - Measures Currently in Place to Manage Risk

- Display Energy Certificates for all main public buildings
- Energy monitoring in place
- Use of energy efficient lighting, presence detection & voltage optimisation.
- Energy efficient asset improvement program.
- Dedicated officer dealing with energy performance.
- Regular benchmarking and interrogation/reporting of energy data.
- Independent energy broker used to tender/procure energy on multi- site contracts.
- Car mileage claims being monitored
- Climate Emergency Pledge
- **Green Procurement**

LEGAL RISK

2007

Risk of litigation arising from poor advice or work carried out by Officers or non-compliance with legislation

Associated Risk Officers: Management Team**Risk Rating****Likelihood**

Likely to happen over next 1 to 2 years

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage

Priority

Low

Controls - Measures Currently in Place to Manage Risk

- Competent / Qualified Staff
- Management & Supervision of Staff
- Staff Training
- Continue existing processes
- Legislation reviews for updates
- Performance Appraisals with training requirements identified
- External advice sought where necessary / internal expertise is not available

Risk Owner: Executive Director Legal and Democratic Services**LEGAL RISK**

2021

Failure to comply with CDM Regulations

Associated Risk Officers: Management Team, All Service Managers**Risk Rating****Likelihood**

Rarely or never happened before

Impact

Fatality, financial loss in excess of £2,000,000, non-delivery of service exceeding 3 weeks and/or adverse international media coverage

Priority

Medium

Controls - Measures Currently in Place to Manage Risk

- CDM Group established
- Written corporate guidance and documentation to be prepared by external CDM Specialist Consultant
- CDM Training to be provided to relevant officers in 2018
- External consultant to undertake review / audit 2020

Amendment made by Head of Policy & Organisational Development**Risk Owner: All Service Managers****LEGAL RISK**

2022

Council staff at risk of attack of lone working outside core hours and / or attending out of hours call outs

Associated Risk Officers: Line Managers and Team Leaders**Risk Rating****Likelihood**

Rarely or never happened before

Impact

Serious disabling injury/ill health, financial loss between £500,000 and £2,000,000, significant disruption to service exceeding 1 week and/or adverse national media coverage

Priority

Low

Controls - Measures Currently in Place to Manage Risk

- Council appointed lone worker monitoring contact centre, where staff log on/off when working outside core office hours.
- Council appointed alarm response contractor who deploys their own staff to attend alarm activations within Council buildings/depots.
- Managers to review need for out of hours working and consider 'buddying up' staff and amend time for known high risk work.
- Staff to carry mobile phone and personal alarm.
- Risk assessments for individual services.
- Training on lone working and conflict management.

Risk Owner: Head of Policy and Organisational Development

FINANCIAL RISK

2025

Risk of failure to comply with our duty under the Finance Act 2017 to ensure any contractors we take on are complying with "IR35" legislation (off-payroll working arrangements)

Associated Risk Officers: Payroll and Pensions Manager

Risk Rating

Likelihood

Likely to happen over the next 1 to 2 years

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and / or adverse local media coverage

Priority

Low

Controls - Measures Currently in Place to Manage Risk

- Recruitment and Selection Policy advises managers to contact HR before taking on workers under these circumstances. **HR will escalate any unresolved concerns to Management Team.**
- Managers are told that they must complete the HR Revenue & Customs 'Employment Status Indicator' to check the employment status of the worker before the contract starts as the status will need to be included in the contract
- We have a document giving Guidance on the Use of Self-Employed Workers

INFORMATION RISK

2023

There is a risk that ICT hardware, e.g. laptops, smart phone or tablet, could be lost or stolen, exposing confidential information.

Associated Risk Officers: All Service Managers

Risk Rating

Likelihood

Likely to happen over next 1 to 2 years

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage

Priority

Low

Controls - Measures Currently in Place to Manage Risk

- Encryption of council provided ICT equipment to prevent/limit unauthorised access
- Use of passcodes to access smart phones and tablets
- Virtual security in place on tablets and smart phones to enable device to be locked and/or wiped remotely if required
- User security policies updated and available on Hytranet
- Awareness raised at staff and Councillor induction
- **Cyber security e-learning module rolled out to appropriate staff**
- Continued promotion of incident reporting culture to allow timely remedial action
- Personal Commitment statement signed by all staff to reinforce clear ownership as a business issue not solely and ICT responsibility

Appendix 3 – Amendments to Operational Risk Register

CHANGES TO Operational RISK REGISTER

KEY

New or amended text

~~Deleted text~~

New Risk made by Head of ICT

Risk Owner: Head of ICT

CONTRACTUAL RISK

2030

Access and availability to HBC data stored in the Cloud, should contractual obligations change or not be renewed.

Associated Risk Officers:

Risk Rating

Likelihood

Rarely or never happened before

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage

Priority

Low

Controls - Measures Currently in Place to Manage

- If contractual obligations change and/or HBC cease to procure services from the current provider, the council will still have access to stored data for 1 month after the expiry date of the contract. In addition to this, HBC data will be archived for 2 additional months before the provider permanently deletes it.

Risk Owner: Head of ICT

PHYSICAL RISK

2031

Non-availability on-site of ICT Officers due to illness and/or self-isolation during pandemic.

Associated Risk Officers:

Risk Rating

Likelihood

Likely to happen over next 1 to 2 years

Impact

Serious disabling injury/ill health, financial loss between £500,000 and £2,000,000, significant disruption to service exceeding 1 week and/or adverse national media coverage

Priority

Medium

Controls - Measures Currently in Place to Manage

- Pre-arranged rota of ICT staff attending office to maintain operational services, whilst remaining staff work from home. If more staff required or a different skill-set required, attendance planned and arranged beforehand. Increased use of remote working software to allow remote support where possible.
- PPE (masks and gloves) used when service demands work within 1m of another staff member. Perspex screens used between desks and staff seated at least 2m apart. Use of additional space within the HBC estate to allow more ICT staff to work onsite if required.
- Thorough and regular cleaning of desk space, touch points (Start and end of shift, prior to and following a visit to office to leave/collect equipment, and at regular intervals throughout the day).
- 3 day quarantine of all equipment delivered to site. Quarantine area clearly signed and all staff notified of deliveries via e-mail.
- Clean down of all equipment (PCs, laptops, mobile phones) prior to starting work and prior and/or handing over to user.

- Migration of physical servers to virtual environment to reduce need for onsite visits to maintain the server room.
- Upskilling of users to reduce reliance on physical presence of ICT staff.
- Weekly online team briefing and regular 1-to-1 online meetings with all staff to monitor staff health and identify possible adverse effects of home working.

New Risk made by Deputy Head of Environment Services

Risk Owner: Executive Director (Environment)

LEGAL RISK

2032

Failure to complete food programme in 2020/21 due to Covid-19

Associated Risk Officers: Food Safety Manager

Risk Rating

Likelihood

Likely to happen over next 1 to 2 years

Impact

Serious disabling injury/ill health, financial loss between £500,000 and £2,000,000, significant disruption to service exceeding 1 week and/or adverse national media coverage

Priority

Medium

Controls - Measures Currently in Place to Manage

- FSA ceased food inspections between March – July 2020
- Risk based approach from July onwards looking at high risk business if resource allows
- Additional resource funded to enable team to start looking at high risk businesses from November 2020.
- Dependant on infection rate and further directions from the FSA.

New Risk made by Head Regeneration & Housing Services

Risk Owner: Head Regeneration & Housing Services

FINANCIAL RISK

2033

Project Phoenix 1D – Site Preparation Works Grant Homes England default funding event resulting in grant clawback for not achieving completion milestones and State aid compliance

Associated Risk Officers: Deputy Chief Executive and Executive Director (Legal and Demographic services)

Risk Rating

Likelihood

Rarely or never happened before

Impact

Serious disabling injury/ill health, financial loss between £500,000 and £2,000,000, significant disruption to service exceeding 1 week and/or adverse national media coverage

Priority

Low

Controls - Measures Currently in Place to Manage

- Specialist advice on State aid obtained
- The Council is entering into contract arrangements for works and construction of the site – legal arrangements with Keepmoat will seek to mitigate or share the risk with Keepmoat
- HBC to set aside reserves to cover any claw back risk

Amendments made by Deputy Head of Environment Services

Risk Owner: Deputy Head of Environmental Services

ENVIRONMENTAL RISK

74

Failure to manage cremator operations in accordance with authorisation leading to excessive emissions

Associated Risk Officers: Cemetery and Crematorium Supervisor

Risk Rating

Likelihood

Rarely or never happened before

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage

Priority

Low

Controls - Measures Currently in Place to Manage

- Trained Technician
- Regular maintenance
- Emission monitoring to IPPC
- Covid-19 Risk Assessment and agreed operational working plans in place, allowing staff to continue working safely
- Cremator manufacturers consulted about increased use during the pandemic
- Covid19 support from Lancashire Resilience Forum to restrict numbers of people attending funerals in line with government guidance
- New member of staff completed streamlined training package to safely use cremators

PHYSICAL RISK

125

Risk of injury to the public due to the headstones and other memorials in the Borough's cemeteries being in an unsafe condition

Associated Risk Officers: Cemetery Supervisor, Cemetery & Crematorium Officer

Risk Rating

Likelihood

Rarely or never happened before

Impact

Fatality, financial loss in excess of £2,000,000, non-delivery of service exceeding 3 weeks and/or adverse international media coverage

Priority

Medium

Controls - Measures Currently in Place to Manage

- The headstones and memorials in each cemetery are inspected using a nil defects system. The inspection process is undertaken on a plot by plot basis, with the headstones in a particular plot being inspected and those which do not pass the safety test being recorded.
- All memorials which have been found defective are repaired – larger memorials by a monumental mason, smaller memorials are repaired by cemetery staff.
- Cemetery staff have been on training courses in relation to this activity
- Covid-19 Risk Assessment and agreed operational working plans in place, allowing staff to continue working safely

PHYSICAL RISK

Risk of injury to the public, especially children and young people, due to the council's play areas and young people's facilities being in an unsafe condition.

Associated Risk Officers: Senior Parks Development Officer

Risk Rating

Likelihood	Impact	Priority
Likely to happen over next 1 to 2 years	Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage	Low

Controls - Measures Currently in Place to Manage

- Maintain existing inspection regime and repair/take out of use any damaged/dangerous equipment ASAP
- Maintenance programme
- Weekly inspection regime with prompt reaction to any reports of faulty or broken play equipment.
- Trained staff
- Capital investment in modern play equipment meeting European standards
- Prompt reaction to any reports of faulty or broken play equipment.
- Monitoring to ensure equipment meets H&S requirements
- Covid-19 Risk Assessment and agreed operational working plans in place, allowing staff to continue working safely
- Play area inspection operations reviewed in light of play areas re-opening after lockdown
- Play areas inspected and any repair work undertaken in readiness for play areas re-opening after lockdown

PHYSICAL RISK

Risk of injury to the public due to the council's tree stock being unsafe, diseased or dying.

Associated Risk Officers: Arboriculture and Conservation Officer

Risk Rating

Likelihood	Impact	Priority
Rarely or never happened before	Fatality, financial loss in excess of £2,000,000, non-delivery of service exceeding 3 weeks and/or adverse international media coverage	Medium

Controls - Measures Currently in Place to Manage

- Continue existing arrangements
- Maintenance programme
- Surveys
- Inspections
- Designated officer with specific remit for tree inspections. Necessary work is identified and action taken on a priority basis subject to available resources. Cemeteries have a tree survey and maintenance programme in place.
- Contacts for 'out of hours' tree work in place
- Covid-19 Risk Assessment and agreed operational working plans in place, allowing staff to continue working safely to undertake tree inspections and general arboricultural work

Risk Owner: Executive Director (Environment)

ENVIRONMENTAL RISK

77

Pollution of canal or local environment resulting in suspension of waste transfer at CVMU/Willows Lane

Associated Risk Officers: Transport Manager, Waste Services Officers and Vehicle Coordinator

Risk Rating

Likelihood

Rarely or never happened before

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage

Priority

Low

Controls - Measures Currently in Place to Manage

- Continue existing arrangements
- EA inspections and site licence compliance checks
- Trained competent staff
- Comprehensive maintenance regimes
- On-site Management & Supervision of operational staff
- Low risk materials on site
- Arrangement with LCC to empty drainage gullies
- Executive Director (Environment) holds a certificate of technical competence to operate the waste transfer facilities as required by the site licence issued by the Environment Agency. **Second member of staff, within Waste Services, undertaking training.**

ENVIRONMENTAL RISK

78

Pollution or adverse effect on public health due to failure of refuse collection service

Associated Risk Officers: Waste Services Manager

Risk Rating

Likelihood

Rarely or never happened before

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage

Priority

Low

Controls - Measures Currently in Place to Manage

- Use of proven collection methods and systems in place
- Trained Operatives and Supervisors hold LGV licences
- Daily Management & Supervision of staff
- Contingency plans for service continuity of critical services in place, which include other disposal sites and contact details for agency providers and hired vehicles providers
- Operatives can multi-task
- Additional operational staff available from the wider Environmental Services team
- **Collection vehicles on a 4 year replacement Contract Hire agreement**
- **Covid-19 Risk Assessment and agreed operational working plans in place, allowing staff to continue working safely**
- **Covid-19 Member support to suspend no essential services such as Bulky Collections to ensure the priority waste collections will continue.**
- **Covid-19 LGV driver refresher training given to other drivers within the wider Environmental Services / CVMU team**
- **Covid-19 Additional agency staff engaged to cover increased loss of staff due to positive test result / self-isolation requirements**

ENVIRONMENTAL RISK
Unacceptable vehicle emissions

76

Associated Risk Officers: Transport Manager

Risk Rating

Likelihood

Rarely or never happened before

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage

Priority

Low

Controls - Measures Currently in Place to Manage

- Comprehensive maintenance regimes
- Mayoral car to be a Plug-in Electric / Petrol Hybrid low emissions vehicle.
- As from January 2014 new waste collection vehicles will include Euro 6 engines and from 2020 will have electric bin lifters
- Higher staff rates for cars purchased through the Council's lease / loan scheme for vehicles with higher CO2 levels
- Lower mileage payments to staff for vehicles with higher CO2 levels
- Regular Vehicle and Plant Replacement Programme normally range from 3 to 7 years

FINANCIAL RISK

122

Market Hall loss of income due to low take up of market hall stalls

Associated Risk Officers: Market Manager

Risk Rating

Likelihood

Likely to happen over next 1 to 2 years

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage

Priority

High

Controls - Measures Currently in Place to Manage

- Promote / advertise market hall
- Advertising strategy
- Measures in place to attract new and retain existing stall holders
- Consider removing excess capacity
- Consider options for redevelopment of indoor Market Hall
- Covid-19 Compliance with government guidelines to ensure safe shopping
- Covid-19 Financial support with rents for market hall stall holders for financial year 2020/21

LEGAL RISK

53

Suspension of the Council's vehicle operator's licence

Associated Risk Officers: Transport Manager, Vehicle Co-ordinator

Risk Rating

Likelihood

Rarely or never happened before

Impact

Serious disabling injury/ill health, financial loss between £500,000 and £2,000,000, significant disruption to service exceeding 1 week and/or adverse national media coverage

Priority

Low

Controls - Measures Currently in Place to Manage

- Trained competent maintenance staff
- Transport Manager and Deputy Head of Environmental Services both trained to hold National Operator Licence
- Comprehensive vehicle maintenance and inspection regime (in line with FTA guidance) and records in place
- 'FleetMaster' fleet management software installed April 2006 in order to improve quality and security of records - updated September 2015
- Driver policy and handbook
- Fleet driver assessment in place for new starters and all staff updated on a three yearly basis
- Transport Manager maintains knowledge and keep abreast of legislative change through membership of national transport organisation and attends North West Transport managers meetings
- All driver documentation checked each year (once – grey fleet / four times fleet driven) to ensure all drivers documentation is up to date, meets current legislation and O license requirements
- Fleet Management meetings are in place to identify any O license compliance issues and implement necessary

changes in working practice

- Revised recording of driver hours to comply with FTA guidelines
- Each vehicle has been assessed and license required to operate that vehicle identified
- The specifications of all new vehicles brought onto the fleet will be checked to ensure O license

PHYSICAL RISK

36

Risk of assault whilst collecting, counting and banking Market Rents

Associated Risk Officers: Markets Manager

Risk Rating

Likelihood

Rarely or never happened before

Impact

Serious disabling injury/ill health, financial loss between £500,000 and £2,000,000, significant disruption to service exceeding 1 week and/or adverse national media coverage

Priority

Low

Controls - Measures Currently in Place to Manage

- Cash collections by external company – **no staff walking to bank to deposit money**
- Doors are kept locked and cash counted in rear of office
- Health & Safety Policy and Procedures
- **All lease/licence traders have to make ~~Move towards~~ payments by Direct Debit**
- **Increased office security to be reviewed for 2021**
- **New safe and door access codes allocated Additional CCTV cameras installed in office areas**
- **On-line payments to be progressed in 2021 for all other traders not required to pay by Direct Debit**

PHYSICAL RISK

60

Theft or damage to vehicles and equipment

Associated Risk Officers: Transport Manager, Vehicle Co-ordinator and Regeneration Manager

Risk Rating

Likelihood

Likely to happen at some point over the next 1 to 2 years

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage

Priority

High

Controls - Measures Currently in Place to Manage

- Alarm / camera systems and maintenance programmes in place **as part of the Council's partnership contract with BwD**
- Security fences and alarm system upgraded/**increased** at CVMU and vehicle compound 2007, 2010, 2015 **and 2020**.
- Constant review of key and alarm code holders
- Camera system upgraded/**replaced** at Willows Lane and vehicle compound Feb 07, 2010 **and 2020 and at CVMU in 2020**.
- New keyholder and response contract with KeyPlus
- Trackers fitted to all council vehicles
- ~~Reviewing security again in 2020~~ **New HD CCTV camera system at vehicle compound now linked to the Hub monitoring station in BwD**

TECHNOLOGICAL RISK**Breakdown of equipment or vehicles****Associated Risk Officers:** Transport Manager, Foreman Mechanic**Risk Rating****Likelihood**

Likely to happen over next 1 to 2 years

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage

Priority

Low

Controls - Measures Currently in Place to Manage

- Robust Vehicle Replacement Programme in place
- Hire in vehicle if repair cannot be promptly undertaken.
- Regular maintenance regimes. Service vehicles in accordance with schedules to reduce vehicle downtime.
- Trained maintenance staff
- Working foreman to prioritise vehicle repairs in order to reduce impact on service users.
- Drivers daily pre-use check, greasing and cleaning procedures in place
- Reduced in-life operating period of **waste collection vehicles RCV's from 7 to 3 or 4 years.**
- Vehicle chassis / under body wash equipment installed
- **4 3** years **waste-collection** vehicle warrantee taken out

Amendments made by Head of Benefits, Revenues and Customer Contact

Risk Owner: Head of Benefits, Revenues and Customer Contact

FINANCIAL RISK

5

Failure to initiate prompt recovery action

Associated Risk Officers: Revenues Manager

Risk Rating

Likelihood	Impact	Priority
Rarely or never happened before	Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage	Low

Controls - Measures Currently in Place to Manage

- Clear documented timetable for collection and recovery processes.
- Automated reminder system within set parameters
- System automated reminder based on set parameters.
- Timetable updated annually for billing and recovery process.
- Annual liaison with local Magistrates Clerk to set and agree timetable for Ctax/NNDR Liability courts
- Continue to review and monitor debts outstanding and ensure all avenues of recovery are exhausted.
- Quarterly reports to CMT on collection rates performance.
- Text reminders issued 4 days prior to payment date and again if payment missed.
- Targeted proactive contact with customers who fail to pay their Council Tax/Business Rates
- Monthly meetings with Deputy Chief Executive to track collection rates and income.
- Review of Revenues structure to consider most effective split of resources for collection and recovery purposes.
- Increase of proactive measures to aid collection rates in conjunction with the Revenues Team and the Contact Centre Team.
- Clear documented timetable for direct debit transmissions.
- Annual review of policies that aid the collection and recovery of Council Tax and Business rates.
- Annual review of Code of Conduct and SLA agreements between the Council and Enforcement Agents who act on behalf of the Council in the recovery of Council Tax, Business Rates and Housing Benefit Overpayments.
- **Current restrictions due to COVID-19 on recovery since March 2020. Magistrates` courts closed from March to December 2020. No confirmation of December Magistrates court date yet and due to second national lockdown this may not take place. (Nov 5th to Dec 2nd)**
- **During the period we have still being maintaining recovery process up to the pre-summons stage.**
- **CMT/Members have been notified and are aware of reduction in collection rates due to COVID-19**
- **Business Continuity plan updated and Revenues staff are currently working from home with access to all network facilities.**

FINANCIAL RISK

4

Errors in Cashiering i.e. posting monies to the wrong account

Associated Risk Officers:

Risk Rating

Likelihood	Impact	Priority
Likely to happen over next 1 to 2 years	Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage	Low

Controls - Measures Currently in Place to Manage

- Staff awareness of potential risk if postings are incorrect
- Daily balancing of monies to alleviate error risk
- Cash receipting process now fully automated removing the risk of postings to incorrect accounts.
- Automation of bank files and other associated payments files, ie. Bailiffs, DWP. Removes manual intervention and risk of error.
- Monthly meetings with colleagues from Accountancy to agree accounts and rectify discrepancies.
- Suspense account managed on a regular basis where no automatic receipt onto customer's account.
- **Currently in the process of upgrading cash receipting system from PARIS to Civica Pay. The new system has enhanced facilities and will allow all departments to input transactions direct into the system removing the requirement to update spreadsheets and therefore removes the risk of error for departmental cash transactions. All other files received will continue to be fully automated.**

LEGAL RISK

18

Failure to react to changes in Benefit Legislation

Associated Risk Officers: Benefits Manager / System Manager

Risk Rating

Likelihood

Rarely or never happened before

Impact

Serious disabling injury/ill health, financial loss between £500,000 and £2,000,000, significant disruption to service exceeding 1 week and/or adverse national media coverage

Priority

Low

Controls - Measures Currently in Place to Manage

- Regular liaison with ICT colleagues to agree planned upgrades to all core systems. i.e Capita / Civica
- Implement all changes in legislation within planned timescale
- Keep abreast of changes in legislation through circulars, DWP Website and associated legislation
- Ensure competent workforce by reinforcing training for new and current legislation.
- Processes built into Business Plan to ensure operational processes are adhered to in this area.
- Clear understanding of the impact changes in legislation have on customers and the Council and update Members and Management Team accordingly.
- **Business Continuity plan updated and Benefits staff are currently working from home with access to all network facilities.**

Amendment made by Head of Policy and Organisational Development

Risk Owner: Head of Audit and Investigations

FINANCIAL RISK

1

Failure to complete audit plan and associated work to give sufficient assurance to External Audit in their Final Accounts Audit

Associated Risk Officers:

Risk Rating

Likelihood

Rarely or never happened before

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage

Priority

Low

Controls - Measures Currently in Place to Manage

- Continue existing arrangements
- Plan is monitored monthly & reported to management
- At least quarterly meetings with External Auditors
- Regular reports to Management Team and Audit Committee
- Professional / Competent trained staff
- **Will initiate conversations with service managers in relation to succession planning for critical posts**

Change in priority made by Head of Accountancy Services

Risk Owner: Head of Accountancy Services

LEGAL RISK

23

Failure to produce final accounts on time to appropriate legal & professional standards e.g. current Accounts & Audit Regulations, IFRS (International Financial Reporting Standards)

Associated Risk Officers:

Risk Rating

Likelihood

Likely to happen over next 1 to 2 years

Impact

Serious disabling injury/ill health, financial loss between £500,000 and £2,000,000, significant disruption to service exceeding 1 week and/or adverse national media coverage

Priority

Medium

Controls - Measures Currently in Place to Manage

- Continue existing Arrangements
- Timetable
- Professional Staff
- Weekly progress meeting
- Professional Guidance
- Liaison with external audit
- **Ensure sufficient staff resources, early planning, possible use of tools to be purchased**

Amendment made by Head of Regeneration and Housing

Risk Owner: Head of Regeneration and Housing

FINANCIAL RISK

92

~~Failure to secure the development of the Clayton Triangle~~ **The Council ensures steps are in place to either develop or dispose of surplus sites**

Associated Risk Officers: Head of Planning and Transportation

Risk Rating

Likelihood

Rarely or never happened before

Impact

Serious disabling injury/ill health, financial loss between £500,000 and £2,000,000, significant disruption to service exceeding 1 week and/or adverse national media coverage

Priority

Low

Controls - Measures Currently in Place to Manage

- **Market sites where appropriate**
- **Secure 3rd party funding including public sector investment**
- Preparation of development agreement between landowners when the site is ready to bring forward
- Obtain planning consent
- **De-risk sites through remediation works**
- Close project management including reports to Management Team when required
- Regular site inspections to check for hazards
- Monitor and prioritise disposals through Disposals working group

FINANCIAL RISK

117

HMR Programme residual CPO and Contractual Liabilities exceeding anticipated available funding

Associated Risk Officers:

Risk Rating

Likelihood

Rarely or never happened before

Impact

Serious disabling injury/ill health, financial loss between £500,000 and £2,000,000, significant disruption to service exceeding 1 week and/or adverse national media coverage

Priority

Low

Controls - Measures Currently in Place to Manage

- Close budget monitoring with cost estimates in place
- Detailed risk register identifying individual CPO and contractual liabilities showing best and worst case scenarios and funding
- ~~Closely managing every acquisition to effectively manage costs within budget~~

CONTRACTUAL RISK

97

~~Forward funding of projects. Risk of no drawing down Action Plan allocations due to lack of forward funding projects due to lack of forward funding~~

Associated Risk Officers:

Risk Rating

Likelihood

Likely to happen over next 1 to 2 years

Impact

Serious disabling injury/ill health, financial loss between £500,000 and £2,000,000, significant disruption to service exceeding 1 week and/or adverse national media coverage

Priority

Medium

Controls - Measures Currently in Place to Manage

- Provision of forward funding by Hyndburn Borough Council subject to legal agreement in place and/or signed grant offer received
- **Secure forward funding or match funding from external sources including public and private sectors**
- Monitoring systems in place to identify at an early stage if forward funding is required
- Approved forward funding budget
- Regular monitoring of any forward funding arrangement including regular reports to Management Team

CONTRACTUAL RISK**Failure to achieve and statutory housing responsibilities in terms of homelessness and housing need****Associated Risk Officers:** Housing Advice and Homelessness Manager**Risk Rating****Likelihood**

Rarely or never happened before

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage

Priority

Low

Controls - Measures Currently in Place to Manage

- Nomination arrangements with registered providers
- Management of Housing register
- Use of Choice Based Lettings
- Case load management by Housing Advice Team
- Access arrangements in place with appropriate temporary accommodation providers in the public, private and voluntary sectors
- Partnership work via the Homeless in Hyndburn Forum

FINANCIAL RISK

81

Failure to comply with external funding regimes and programmes, notional loss and/or recovery of significant regeneration funding depending on specific arrangements.**Associated Risk Officers:** Executive Director Legal and Democratic Services and Head of Accountancy Services**Risk Rating****Likelihood**

Rarely or never happened before

Impact

Fatality, financial loss in excess of £2,000,000, non-delivery of service exceeding 3 weeks and/or adverse international media coverage

Priority

Medium

Controls - Measures Currently in Place to Manage

- Regular reports to Corporate Management Team and portfolio holders and decision-making panels
- Monthly project & programme monitoring
- Regular meetings with ~~NWDA/Elevate~~/programme sponsors
- Regular meetings with Programmes Team/Finance/Audit
- Programme monitoring
- Project Appraisal
- Competent / Trained Staff

FINANCIAL RISK

121

Cost implications of legal challenge of Selective Landlord Licensing**Associated Risk Officers:** ~~Environmental Standards Manager~~ **Environmental Protection Manager****Risk Rating****Likelihood**

Likely to happen over next 1 to 2 years

Impact

Minor injury/ill health, financial loss up to £500,000, less than 1 week service disruption and/or adverse local media coverage

Priority

Low

Controls - Measures Currently in Place to Manage

- Compliance with legislation and guidance
- Appropriate budget provision
- Dedicated project manager **and staff team**
- Procure specialist consultancy advice

Appendix 4 – Summary Risk Registers

Generic

ID	Risk	Ratings with controls
1	There is a risk that personal, sensitive, or bulk information is released into the public domain resulting in a likely GDPR fine, and a possible financial loss to the citizen. Causes include unauthorised penetration of ICT systems (external hacking); internal misuse of information (internal hacking); careless disposal of waste; loss of equipment/theft of equipment; data quality; process adherence; e-mail sent to incorrect recipient. (URN:2024)	Medium
2	Failure to insure Council buildings for rebuild value in the event of fire or other incident (URN: 2006)	Medium
3	Failure to comply with CDM Regulations (URN: 2021)	Medium
4	Failure to ensure health and safety of employees and members of the public and comply with Health & Safety Legislation both in, around and outside the workplace. (URN: 2008)	Medium
5	Unexpected system failures impacting onto the delivery of services (URN: 2014)	Low
6	Failure to manage projects effectively and ensure contracts are VFM (URN: 2004)	Low
7	Risk of litigation arising from poor advice or work carried out by Officers or non-compliance with legislation (URN: 2007)	Low
8	Financial loss arising from historic claims for industrial injury (URN: 2020)	Low
9	Failure to ensure that personal data is kept securely in accordance with Data Protection Act and Freedom of Information Act 2000 (URN: 2017)	Low
10	Risk of failure to comply with our duty under the Finance Act 2017 to ensure any contractors we take on are complying with "IR35" legislation (off-payroll working arrangements) (URN: 2025)	Low
11	Failure to deliver critical services due unavailability of a key building or facilities, lack of utilities, ICT failure or high levels of staff absenteeism resulting from infectious disease, flu pandemic or other serious incident (URN: 2013)	Low
12	Risk of poor procurement practice resulting in breach of procurement regulations, standing orders or inefficient use of resources. (URN: 45)	Low
13	Failure to monitor and ensure spending is within budgetary limitations (URN: 2003)	Low
14	Failure to conserve energy and reduce emissions thus resulting in excess costs to the Council and a negative impact on the environment (URN: 2016)	Low
15	Failure to adequately protect against IT abuse (e.g. virus infection, hacking, sabotage, accessing unsuitable material, unlicensed software, misuse of personal data, breach of law, theft, fraud) (URN: 2015)	Low
16	Council staff at risk of attack of lone working outside core hours and / or attending out of hours call outs (URN: 2022)	Low
17	There is a risk that ICT hardware, e.g. laptops, smart phone or tablet, could be lost or stolen, exposing confidential information. (URN: 2023)	Low

Operational

ID	Risk	Ratings with controls
18	Failure to complete to complete food programme in 2020/21 due to Covid-19 (URN:2032)	High
19	Failing to recruit and retain suitably qualified staff (URN: 2001)	High
20	Theft or damage to vehicles and equipment (URN: 60)	High
21	Non-availability on-site of ICT Officers due to illness and/or self-isolation during pandemic (URN: 2031)	Medium
22	Project Phoenix 1D – Site Preparation Works Grant Homes England default funding event resulting in grant clawback for not achieving completion milestones and State aid compliance (URN: 2033)	Medium

23	Failure to complete food programme in 2020/21 due to Covid-19 (URN:2032)	Medium
24	There is a risk that ICT systems and the network could fail due to insufficient infrastructure capacity or accidental damage, resulting in the degradation or loss of ICT Services on one or more sites. Causes include insufficient bandwidth on network links to handle data and / or voice traffic; insufficient storage space to save data on servers; equipment incapable of carrying out its required function effectively; services being affected due to insufficient licences; accidental damage by 3rd parties (URN: 132)	Medium
25	Forward funding of projects. Risk of not drawing down Action Plan allocations due to lack of forward funding (URN: 97)	Medium
26	Errors in Creditor Payment processes resulting in e.g. duplicate payments, non-payment, overpayment, reduction in credit limits with firms (URN: 2)	Medium
27	Liability for injury to health caused by asbestos in council owned buildings. (URN: 15)	Medium
28	Loss of local land charges records e.g. fire (URN: 28)	Medium
29	Failure/breakdown of CCTV system (URN: 102)	Medium
30	Inadequate Treasury Management Arrangements (URN: 7)	Medium
31	Risk of injury to the public due to the headstones and other memorials in the Borough's cemeteries being in an unsafe condition (URN: 125)	Medium
32	Theft of works of art. (URN: 50)	Medium
33	Risk of injury to the public due to the council's tree stock being unsafe, diseased or dying. (URN: 61)	Medium
34	Risk of flooding from watercourses as a result of lack of maintenance (URN: 58)	Medium
35	Risks due to inadequate maintenance of car parks, bus shelters, HBC highways and lighting including Christmas Lights (URN: 59)	Medium
36	Market Hall loss of income due to low take up of market hall stalls (URN: 122)	Medium
37	Accidental or malicious deletion of data from the HBC network (including e-mail) (URN: 2026)	Medium
38	Failure to produce final accounts on time to appropriate legal & professional standards e.g. current Accounts & Audit Regulations, IFRS (International Financial Reporting Standards) (URN: 23)	Medium
39	Access and availability to HBC data stored in the Cloud, should contractual obligations change or not be renewed. (URN: 2030)	Low
40	Failure to comply with external funding regimes and programmes, notional loss and/or recovery of significant regeneration funding depending on specific arrangements. (URN: 81)	Low
41	Empty dwellings at risk of vandalism / fire damage presenting a danger to third parties (URN: 120)	Low
42	Failure to manage and control expenditure within private sector housing capital programme (URN: 82)	Low
43	Failure to protect customer's personal banking information when making payments over the internet (URN: 41)	Low
44	Failure to maintain the Council's non-housing assets due to lack of funding. (URN: 37)	Low
45	Adequately controlling temperatures of the Council's operational buildings to provide suitable working conditions for staff and prevent disruption to services (URN: 114)	Low
46	Non-delivery of statutory requirements in connection with the Equality Act and age discrimination in respect of building compliance (URN: 26)	Low
47	ICT systems failure affecting service provision due to loss of Academy / Anite / Paris (URN: 39)	Low
48	Failure to follow election procedures (URN: 19)	Low
49	Failure to meet necessary legal requirements leading to claims being made (URN: 20)	Low
50	Risk of injury to the public, especially children and young people, due to the council's play areas and young people's facilities being in an unsafe condition. (URN: 62)	Low
51	Impact on residents arising from flash flooding, sewer surcharge, infrastructure damage, rehousing, power outages etc as a result of adverse / extreme weather (URN: 113)	Low
52	Breakdown of equipment or vehicles (URN: 72)	Low
53	Ignition of flammable liquids in vehicle workshop (URN: 56)	Low
54	Cost implications of introducing Selective Landlord Licensing (URN: 121)	Low
55	Failure to meet statutory deadline for issue of Council Tax Bills at year end (URN: 21)	Low
56	Suspension of the Council's vehicle operator's licence (URN: 53)	Low
57	Loss of planning application and permission records through fire or flood (URN: 65)	Low

58	Failure to generate forecast income from the Council's investment property (URN: 11)	Low
59	Liability for costs on appeal against unreasonable refusal of planning application (URN: 55)	Low
60	Errors in Debtors Administration e.g. Incorrect posting of payments (URN: 3)	Low
61	Errors in Cashiering i.e. posting monies to the wrong account (URN: 4)	Low
62	Failure to react to changes in Benefit Legislation (URN: 18)	Low
63	Risk of assault whilst collecting, counting and banking Market Rents (URN: 36)	Low
64	There is a risk that ICT Systems may fail and affect front line services e.g. Academy, Paris, Microsoft Dynamics, resulting in council staff being unable to carry out their normal working activities impacting on the quality of service delivered to the citizens of Hyndburn. Causes include intentional modification of software, hardware or it's environment; unintentional modification of software, hardware or it's environment; unauthorised modification of software, hardware or it's environment; malicious modification of software, hardware or it's environment. (URN: 131)	Low
65	There is a risk that a computer virus / malware could infect the HBC network due to a failure of protection mechanisms to identify and treat a virus, and the failure of Council staff to observe ICT policies and recommended working practices. (URN: 130)	Low
66	Abuse of children or adults at risk by member of staff or volunteer or failure to respond properly to safeguarding concerns (URN: 52)	Low
67	Risk of claims arising from owners of houses following contracts for group repairs and home improvements supervised by Regeneration and Development Team (URN: 68)	Low
68	Failure to complete audit plan and associated work to give sufficient assurance to External Audit in their Final Accounts Audit (URN: 1)	Low
69	Pollution or adverse effect on public health due to failure of refuse collection service (URN: 78)	Low
70	Drivers not holding a valid driver's licence / the appropriate licence category / vocational licence (Driver CPC) and not carrying Driver CPC card with them when driving. (URN: 129)	Low
71	Theft of Mayoral Chains and car whilst attending official mayoral engagement with associated risk of assault on mayoral party. (URN: 127)	Low
72	Failure to manage cremator operations in accordance with authorisation leading to excessive emissions (URN: 74)	Low
73	Failure to initiate prompt recovery action (URN: 5)	Low
74	Failure to meet contractual obligations under vehicle service level and contract hire agreements (URN: 67)	Low
75	Service or business needs not met due to failure of IT system, failure of network services or other reason (URN: 40)	Low
76	Risk of Damage to the Tiffany glass and paintings whilst moving/cleaning. (URN: 49)	Low
77	Gallery staff at risk of attack on attending out of hours call outs (URN: 64)	Low
78	Unacceptable vehicle emissions (URN: 76)	Low
79	Pollution of canal or local environment resulting in suspension of waste transfer at CVMU/Willows Lane (URN: 77)	Low
80	Failure to achieve and statutory housing responsibilities in terms of homelessness and housing need (URN: 98)	Low
81	Failure to complete statutory returns e.g. VAT (URN: 6)	Low
82	Loss of title deeds or contract documents e.g. fire (URN: 119)	Low
83	Failure to complete Woodnook regeneration project leaving the council with property ownership liabilities for up to 60 empty dwellings (URN: 128)	Low
84	Risk of claims against the Council for unfair dismissal or other employment issues. (URN: 116)	Low
85	Failure of both primary and secondary Air Conditioning units in the Server Room, first floor Scatcliffe House. (URN: 133)	Low

Strategic

86	Pandemic can cause harm to the health and wellbeing of the local Hyndburn community (URN: 2027)	High
87	Pandemic effect on Council's financial services, staffing arrangements and service delivery (URN: 2028)	High
88	Pandemic impact on local democracy, decision making process, accountable procedures, transparency and local elections (URN: 2029)	Medium
89	Substantial reduction in grant from Government (URN: 1027)	Medium

90	Loss of considerable amount of cash due to deposits within banking sector that are subject to major turbulence. (URN: 1025)	Medium
91	Warranted environmental / asbestos problems in land / properties following the 2006 LSVT (URN: 1018)	Medium
92	Failure to ensure Financial Integrity (URN: 1004)	Medium
93	Failure to address unacceptable exposure from Strategic Partnerships & Joint Working (URN: 1006)	Low
94	Failure to follow correct procurement process (URN: 1015)	Low
95	Failure to safeguard and promote the welfare of children and vulnerable adults (URN: 1023)	Low
96	Failure to address citizens needs in the event of a major incident, including civil disobedience, affecting residents or infrastructure of the Borough. (URN: 1022)	Low
97	Failure to uphold high ethical standards of conduct and consequent reputational damage to the Council (URN: 1001)	Low
98	That the Councils leisure service provider Leisure in Hyndburn cease trading (resulting in the Council becoming responsible for some of their liabilities, eg. Pension deficit) or that they fail to repay debts to the Council. (URN: 1030)	Low
99	Loss of income from unpaid invoices more than 6 months old impacting on General Fund revenue Balances. (URN: 1029)	Low
100	Failure to deliver objectives set out in the Corporate Strategy (URN: 1026)	Low
101	Financial liability arising from legal claim by Rossendale BC to recover losses incurred on Pennine Lancashire Empty Homes Programme as a result of Rossendale BCs sub-contractor, AAW, going in to administration. (URN: 1032)	Low
102	Risk of Council acting unlawfully and failure to meet requirements of new and amended legislation (New legislation imposing significant new burdens will be dealt with as a separate risk if appropriate) (URN: 1014)	Low