

REPORT TO:		Audit Committee	
DATE:		24 June 2024	
PORTFOLIO:		Councillor Vanessa Alexander - Resources and Council Operations	
REPORT AUTHOR:		Stuart Sambrook (Policy Manager)	
TITLE OF REPORT:		Risk Management Monitoring Report	
EXEMPT REPORT (Local Government Act 1972, Schedule 12A)	Options	Not applicable	
KEY DECISION:	Options	If yes, date of publication:	

1. **Purpose of Report**

To inform Audit Committee of:

- the outcome of the Strategic, Generic and Operational Risk Registers review;

2. **Recommendation**

That Audit Committee note:

- the content of the report;
- and changes and additions to the Strategic Risk Register (Appendix 1, Page 6), Generic Risk Register (Appendix 2, Page 8) and the Operational Risk Register (Appendix 3, Page 9)

3. **Background**

Report Background:

- The Councils mission statement in regards to Risk Management is as follows:
 - *The Council is committed to adopting best practices in the identification, evaluation, and cost-effective control of risks to ensure that they are eliminated or reduced to an acceptable level. It is acknowledged that some risks will always exist and will never be eliminated. All employees must understand the nature of risk and accept responsibility for risk associated with their area of work. In doing this they will receive the necessary support, assistance and commitment from Senior Management and Members.*
- The Council's risk management policy is a long-term commitment and is an inherent part of good management and governance practices.
- The Audit Committee is responsible for the review and monitoring of the Council's risk management arrangements.
- The Council has adopted the following definition produced by the Institute of Risk Management, which states:-
 - *Risk Management is the identification, measurement, control and financing of risks which threaten the existence, the assets, the earnings of the personnel of an organisation, the services it provides, the achievement of its corporate priorities or which may cause undue harm to the public.*

The Risk Management Process:

- Risk management must not be the responsibility of just a few specialists. It must be a primary management responsibility for all managers and supervisors and must be a consideration for all employees.
- Risk assessments are about asking:-
 - What can go wrong
 - What is the likelihood of it going wrong
 - What is the impact should it go wrong
 - What can be done to eliminate the threat
 - What should be done to reduce the threat's likelihood or impact
- This 5-point approach can be applied to decisions made every working day, at all levels of the Council.
- The Council risk assessment scoring is based on the guidance of the Institute of Risk Management:
 - 3 being a high risk;
 - 2 being a medium risk;
 - 1 being a low risk.
 - The definitions of High, Medium and Low are also based on the guidance of the Institute of Risk Management and aid assessing Impact and Likelihood.

	High 3	Medium 2	Low 1
Assessing the Likelihood	Very likely to happen. Regular Occurrence. Loss-causing circumstances frequently encountered daily/weekly.	Likely to happen. Likely to happen at some point over the next two years. Loss-causing circumstances encountered few times a year.	Unlikely to happen. Has happened rarely/never before. Loss-causing circumstances rarely encountered.
Assessing Impact	May result in: Fatality Financial loss in excess of £2 million. Non-delivery of service for more than 3 weeks. Adverse international media coverage.	May result in: Serious disabling injury / ill health financial loss in excess of £500,000, significant disruption to provision of service eg. more than 1 week. Adverse national media coverage.	May result in: Minor injury / ill health, Minimal financial loss of less than £500,000. Minor disruption to provision of service for short time eg. less than 1 week. Adverse local media coverage.

Risk Matrix

Risks falling within the table as 6 and 9 are classified as HIGH risk.
 Risks falling within the table as 3 and 4 are classified as MEDIUM risk.
 Risks falling within the table as 1 and 2 are classified as LOW risk.

		IMPACT		
		HIGH	MEDIUM	LOW
L I K E L I H O O D	HIGH	9	6	3
	MEDIUM	6	4	2
	LOW	3	2	1

Types of Risk:

- The Corporate Risk Register outlines the key strategic risks facing the Council and the controls currently in place to respond to these risks.
- The Councils Risk Register is summarised as follows:
 - 17 Generic risks - (1 high 4 medium and 12 low)
 - 67 Operational risks - (1 high 21 medium 45 low)
 - 20 Strategic risks - (5 high 5 medium and 10 low)

4. Reasons for Recommendations

To enable Audit Committee to:

- review the amendments to the Strategic, Generic and Operational Risk Registers since the submission of the last risk management report (November 2023);

5. Changes to the Strategic Risk Register

There has been two major change made to the Strategic Risk Register and one minor change, highlighted below and in Appendix 1 (Page 6).

Area	Change	Risk Rating With Controls
NEW RED FLAG RISK		
Financial / Reputation (Page 6)	Failure to progress and support development at Huncoat Garden Village after signing up and receiving government funding leading to extraordinary significant implications, unknown financial impact, loss of £30 million government infrastructure grant towards new housing, 1,800 new homes, reputation damage, risk of litigation, loss of faith from funders, impact on local plan, potential loss of staff, and unregulated development potentially leading to development on green field and green belt. <u>Risk Owner</u> Chief Executive	High <i>(Red Flag)</i>
NEW RISK		
Financial	As the waste contract at Whinney Hill tip is coming to an end in March 2026, Lancashire County Council (waste disposal authority) are asking HBC to find a waste transfer solution or take waste to Farrington Waste Recovery Park. Both	High

(Page 6)	solutions will cost millions of pounds.	
	Risk Owner Head of Environmental Services	

6. Changes to the Generic Risk Register

There has been one minor change made to the Generic Risk Register as shown in Appendix 2 (Page 8).

7. Changes to the Operational Risk Register

There have been 2 major change made to the Operational Risk Register (below) and a number of minor changes (21). The amended risks are shown in Appendix 3 (Page 9)

Area	Change	Risk Rating With Controls
NEW RISK		
Legal (Page 11)	Third party suppliers/organisations cease trading or change business strategy, with risks including amendment to terms and conditions outside of contract, change in standards of provision, cessation of contract/non-renewal of existing contract, and provision of return of data to HBC. Risk Owner Head of ICT	Medium
NEW RISK		
Technological (Page 12)	Vital electronic information becomes unreadable due to technical obsolescence. Risk Owner Head of ICT	Low

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 14).

9. High Risks

We have one Generic risk with a rating classed as “High” – *Failure to conserve energy and reduce emissions thus resulting in excess costs to the Council and a negative impact on the environment (URN: 2016).*

One Operational risks have a rating classed as “High” -; *Theft or damage to vehicles and equipment (URN: 60);*

Five Strategic risk classed as “High” - *Failure to progress and support development at Huncoat Garden Village after signing up and receiving government funding leading to extraordinary significant implications, unknown financial impact, loss of £30 million government infrastructure grant towards new housing, 1,800 new homes, reputation damage, risk of litigation, loss of faith from funders, impact on local plan, potential loss of staff, and unregulated development potentially leading to development on green field and green belt (URN:2044); Failing to recruit and retain suitably qualified staff (URN: 2001); Failure to deliver on Council’s Climate Declaration pledge and achieve Council operations Carbon Zero by 2030 (URN: 2035); The acquisition of key town centre buildings and delivery of a £22 million regeneration project within Accrington Town Centre (URN: 2036); As the waste contract at Whinney Hill tip is coming to an end in March 2026, Lancashire County Council (waste disposal authority) are asking HBC to find a waste transfer solution or take waste to Farrington Waste Recovery Park. Both solutions will cost millions of pounds (URN: 2041)*

10. Alternative Options considered and Reasons for Rejection

Not applicable

11. Consultations

Consultation with Service Managers has taken place.

15. Implications

Financial implications (including any future financial commitments for the Council)	N/A
Legal and human rights implications	N/A
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

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

Strategic Risk Register
Generic Risk Register
Operational Risk Register

17. 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.

18. 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

New or amended text

Deleted text

Risk Owner: Chief Executive

FINANCIAL / REPUTATIONAL RISK

2044

Failure to progress and support development at Huncoat Garden Village after signing up and receiving government funding leading to extraordinary significant implications, unknown financial impact, loss of £30 million government infrastructure grant towards new housing, 1,800 new homes, reputation damage, risk of litigation, loss of faith from funders, impact on local plan, potential loss of staff, and unregulated development potentially leading to development on green field and green belt.

Associated Risk Officers:

Risk Rating

Likelihood

Likely to happen over the next 1 to 2 years

Impact

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

Priority

High

Controls - Measures Currently in Place to Manage Risk

- Zero Mitigation.

Risk Owner: Head of Environmental Services

FINANCIAL RISK

2041

As the waste contract at Whinney Hill tip is coming to an end in March 2026, Lancashire County Council (waste disposal authority) are asking HBC to find a waste transfer solution or take waste to Farrington Waste Recovery Park. Both solutions will cost millions of pounds.

Associated Risk Officers:

Risk Rating

Likelihood

Likely to happen over the next 1 to 2 years

Impact

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

Priority

High

Controls - Measures Currently in Place to Manage Risk

- The Council has made representation about LCC's decision and will continue to do so.
- Consultants will be engaged to look at the possible re-development of Willows Lane depot as a waste transfer station. The consultants will look at the cost and environmental factors for this to happen.

Risk Owner: Chief Executive

REPUTATIONAL RISK

1026

Failure to deliver objectives set out in the Corporate Strategy

Associated Risk Officers: All Service Managers and Directors

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

- Key objectives defined in Corporate Strategy monitored on annual basis
- **Comprehensive Performance Management Framework**
- Regular monitoring of delivery at service level
- Reporting of key projects and objectives to Management Team
- Annual Review
- Report to Scrutiny Committee

Appendix 2 – Amendments to Generic Risk Register

CHANGES TO GENERIC RISK REGISTER

KEY

New or amended text

~~Deleted text~~

Risk Owner: All Service Managers

FINANCIAL RISK

2003

Failure to monitor and ensure spending is within budgetary limitations

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

- Budget Statements issued to Heads of Service by Accountants
- *New Civica system includes committed spend and auditing of authorisations, as well as links with Payroll system*
- Competent/Qualified Staff
- Improved Management Information
- Regular review meetings between budget holders and accountancy staff
- Appropriate training for budget holders
- Regular (monthly) budget monitoring and forecasting addressing under/overspends
- Financial implications (current financial year and longer term / whole life costs / income) on reports prepared in conjunction at draft stage with respective HBC accountant

Appendix 3 – Amendments to Operational Risk Register

CHANGES TO OPERATIONAL RISK REGISTER

KEY

New or amended text

~~Deleted text~~

Risk Owner: 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 by cremator manufacturer including regular servicing and rapid call out for repairs
- Annual Emission monitoring to IPPC undertaken as part of maintenance contract to ensure cremators are operating to permitted standards
- ~~New member of staff completed streamlined training package to safely use cremators~~
- All cemetery operational staff trained to safely use cremators as backup to crematorium technician

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 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

- Regular inspections, maintenance/repairs around waste transfer bays/depot infrastructure to prevent pollution
- 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 *Monks Contractors* ~~CJ Jetz~~ 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. Head of Environmental Services and *a Waste Services Supervisor Manager* are working towards certificate of technical competence to operate waste transfer facilities for business continuity purposes.

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 Head of Environmental Services both trained to hold National Operator Licence
- Transport Manager and Head of Environmental Services attend regular Transport Manager CPC refresher courses
- Comprehensive vehicle maintenance and inspection regime (in line with FTA guidance) and records in place
- 'FleetMaster' fleet management software installed and updated in order to improve quality and security of records
- Driver policy and handbook
- Fleet driver assessment in place for new starters and all staff updated on a **five ~~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
- **Fleet and Driver Gate checks are in place**
- **Vehicles fitted with on-Board weighing and an overload procedure is in place**
- 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 conditions are adhered to

PHYSICAL RISK

56

Ignition of flammable liquids in vehicle workshop

Associated Risk Officers: Transport Manager, Mechanic Supervisor

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

- Continue existing arrangements
- Only small quantities kept in workshop
- Fire safety measures
- No smoking
- Supervisors has responsibility to ensure adherence to control measures

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, **skips and large items of mowing machinery**
- New HD CCTV camera system at vehicle compound now linked to the Hub monitoring station in BwD

- New Cemetery building includes secure area for vehicles

LEGAL RISK

129

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.

Associated Risk Officers: Transport Manager, Vehicle Co-ordinator, **Managers**, Supervisors, Drivers

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

- Physical list of each driver's driving licence expiry date, Driver CPC licence expiry date and Tachograph Driver Card expiry date on wall in **Waste Managers**, **Transport Managers**, Supervisors and Vehicle Co-ordinators offices.
- All vehicles have sticker on driver door confirming which licence category and if a Driver CPC is required to drive that vehicle.
- Reminder letter sent to driver 3 months prior to their driving licence expiry date, highlighting the driver needs to renew.
- Email to supervisor(s) and section head 2 weeks prior to licence expiring warning member of staff cannot driver Council vehicle if no replacement is forthcoming by expiry date.
- Supervisors and external training partner maintain records of all Driver CPC training and organise ongoing training.
- Fleet driver licence checks every 3 months.
- Grey fleet driver documentation checks every 12 months.
- Regular gate checks and random spot checks to confirm drivers are carrying Driver CPC card and **Tachograph card**.

Risk Owner: Head of Environmental Health

LEGAL RISK

2032

Failure to complete food programme in **2024/25**

Associated Risk Officers: Food Safety Manager

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

- There is a food service plan in place for **2024/25** and appropriate resource to meet the demands
- Risk based approach to inspections is undertaken in line with FSA guidelines

LEGAL RISK

2042

Third party suppliers/organisations cease trading or change business strategy, with risks including amendment to terms and conditions outside of contract, change in standards of provision, cessation of contract/non-renewal of existing contract, and provision of return of data to HBC.

Associated Risk Officers: All Service Managers; CIO

Risk Rating

Likelihood	Impact	Priority
Likely to happen over next 1 to 2 years	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	Medium

Controls - Measures Currently in Place to Manage

- Map of key suppliers and their associated information asset linkages, and their risks
- Clear standards of provision stated prior to signing of contractual agreement
- Contractual obligations on suppliers clarifying standards to be met, and remedial action in case of termination of current arrangements
- System accreditation to recognised standards, e.g. Cyber Essentials Plus, ISO27001, PSN

TECHNOLOGICAL RISK

2043

Vital electronic information becomes unreadable due to technical obsolescence.

Associated Risk Officers: All Service Managers; CIO

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

- Clear identification of information that needs to be held and accessed beyond 5 to 7 years
- Processes in place to convert data to a more accessible format prior to storage
- Central storage area for data that may need to be accessed at a future date

PHYSICAL RISK

64

Gallery staff at risk of attack on attending out of hours call outs

Associated Risk Officers: Art Gallery 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

Medium

Controls - Measures Currently in Place to Manage

- Dynamic risk assessments for lone workers attending out of hours call outs
- ~~Basic self-defence course for Gallery staff members~~
- Trained staff
- Out of hours security arrangements in place
- Regular review of risk assessments
- Mobile phones issued to staff to communicate out of hours

Risk Owner: Head of Accountancy Services

FINANCIAL RISK

6

Failure to complete statutory returns e.g. VAT

Associated Risk Officers: Payroll and Pensions 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

- Professional & Experienced Staff
- Professional advice from PS Tax.
- Group member of PS Tax Forum

Risk Owner: Head of Policy and Organisational Development

LEGAL RISK

52

Abuse of children or adults at risk by member of staff or volunteer or failure to respond properly to safeguarding concerns

Associated Risk Officers: All Service Managers

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

Priority

Low

and/or adverse national media coverage

Controls - Measures Currently in Place to Manage

- Risk assessment conducted for all posts prior to advertisement to establish whether DBS (Disclosure and Barring Service) check required
- DBS (Disclosure and Barring Service) Checks Performed where relevant
- Self-assessment audit completed for Lancashire Safeguarding Board each year **or when relevant**
- Regular training provided for all relevant staff
- Safeguarding briefing in place as part of induction **and in Newsround**
- Procurement procedures include child and vulnerable adult protection
- All taxi drivers receiving training at College involving CSE (Child Sexual Exploitation) issues which is assisted by Licensing
- Safeguarding Policy updated August 2014
- Leisure Trust confirm procedures in place
- Clause in SLA (Service Level Agreement) with 3rd sector organisations ensuring they comply with legal requirements of child protection
- Training on CSE (e-learning) for relevant staff
- Designated Safeguarding Officer (and deputy) in place and trained.
- Part of Lancashire DSO network.
- ~~Good links with Lancashire Safeguarding Board.~~
- List of local contacts kept up to date to ensure concerns raised with most appropriate agency and in most effective way.
- **Regular internal audits to test awareness amongst staff of what, when and how to report.**

Appendix 4 – Summary Risk Registers

Generic

ID	Risk	Ratings with controls
1	Failure to conserve energy and reduce emissions thus resulting in excess costs to the Council and a negative impact on the environment (URN: 2016)	High
2	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
3	Failure to insure Council buildings for rebuild value in the event of fire or other incident (URN: 2006)	Medium
4	Failure to comply with CDM Regulations (URN: 2021)	Medium
5	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
6	Unexpected system failures impacting onto the delivery of services (URN: 2014)	Low
7	Failure to manage projects effectively and ensure contracts are VFM (URN: 2004)	Low
8	Risk of litigation arising from poor advice or work carried out by Officers or non-compliance with legislation (URN: 2007)	Low
9	Financial loss arising from historic claims for industrial injury (URN: 2020)	Low
10	Failure to ensure that personal data is kept securely in accordance with Data Protection Act and Freedom of Information Act 2000 (URN: 2017)	Low
11	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
12	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
13	Risk of poor procurement practice resulting in breach of procurement regulations, standing orders or inefficient use of resources. (URN: 45)	Low
14	Failure to monitor and ensure spending is within budgetary limitations (URN: 2003)	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	Theft or damage to vehicles and equipment (URN: 60)	High
19	Failure to meet statutory timescales for delivery of planning decisions (URN:2038)	Medium
20	Non-availability on-site of ICT Officers due to illness and/or self-isolation (URN: 2031)	Medium
21	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
22	Failure to complete food programme in 2023/24 due to Covid-19 (URN:2032)	Medium

23	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
24	Forward funding of projects. Risk of not drawing down Action Plan allocations due to lack of forward funding (URN: 97)	Medium
25	Errors in Creditor Payment processes resulting in e.g. duplicate payments, non-payment, overpayment, reduction in credit limits with firms (URN: 2)	Medium
26	Liability for injury to health caused by asbestos in council owned buildings. (URN: 15)	Medium
27	Loss of local land charges records e.g. fire (URN: 28)	Medium
28	Failure/breakdown of CCTV system (URN: 102)	Medium
29	Inadequate Treasury Management Arrangements (URN: 7)	Medium
30	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
31	Theft of works of art. (URN: 50)	Medium
32	Risk of injury to the public due to the council's tree stock being unsafe, diseased or dying. (URN: 61)	Medium
33	Risk of flooding from watercourses as a result of lack of maintenance (URN: 58)	Medium
34	Risks due to inadequate maintenance of car parks, bus shelters, HBC highways and lighting including Christmas Lights (URN: 59)	Medium
35	Market Hall loss of income due to low take up of market hall stalls (URN: 122)	Medium
36	Accidental or malicious deletion of data from the HBC network (including e-mail) (URN: 2026)	Medium
37	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
38	Huncoat Garden Village risks associated to greater capital costs than identified in Business case and unable to agree terms with landowners that means land does not come forward for development as per the Masterplan. (URN 2040)	Medium
39	Third party suppliers/organisations cease trading or change business strategy, with risks including amendment to terms and conditions outside of contract, change in standards of provision, cessation of contract/non-renewal of existing contract, and provision of return of data to HBC. (URN: 2042)	Medium
40	Access and availability to HBC data stored in the Cloud, should contractual obligations change or not be renewed. (URN: 2030)	Low
41	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
42	Empty dwellings at risk of vandalism / fire damage presenting a danger to third parties (URN: 120)	Low
43	Failure to manage and control expenditure within private sector housing capital programme (URN: 82)	Low
44	Failure to protect customer's personal banking information when making payments over the internet (URN: 41)	Low
45	Failure to maintain the Council's non-housing assets due to lack of funding. (URN: 37)	Low
46	Adequately controlling temperatures of the Council's operational buildings to provide suitable working conditions for staff and prevent disruption to services (URN: 114)	Low
47	Non-delivery of statutory requirements in connection with the Equality Act and age discrimination in respect of building compliance (URN: 26)	Low
48	ICT systems failure affecting service provision due to loss of Academy / Anite / Paris (URN: 39)	Low
49	Failure to follow election procedures (URN: 19)	Low
50	Failure to meet necessary legal requirements leading to claims being made (URN: 20)	Low
51	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
52	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
53	Breakdown of equipment or vehicles (URN: 72)	Low
54	Ignition of flammable liquids in vehicle workshop (URN: 56)	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	Risk of claims against the Council for unfair dismissal or other employment issues. (URN: 116)	Low
84	Vital electronic information becomes unreadable due to technical obsolescence. (URN: 2043)	Low

Strategic

85	Failure to progress and support development at Huncoat Garden Village after signing up and receiving government funding leading to extraordinary significant implications, unknown financial impact, loss of £30 million government infrastructure grant towards new housing, 1,800 new homes, reputation damage, risk of litigation, loss of faith from funders, impact on local plan, potential loss of staff, and unregulated development potentially leading to development on green field and green belt. (URN:2044)	High
----	---	------

86	As the waste contract at Whinney Hill tip is coming to an end in March 2026, Lancashire County Council (waste disposal authority) are asking HBC to find a waste transfer solution or take waste to Farrington Waste Recovery Park. Both solutions will cost millions of pounds. (URN: 2041)	High
87	Failing to recruit and retain suitably qualified staff (URN: 2001)	High
88	Failure to deliver on Council's Climate Declaration pledge and achieve Council operations Carbon Zero by 2030 (URN:2035)	High
89	The acquisition of key town centre buildings and delivery of a £22 million regeneration project within Accrington Town Centre (URN:2036)	High
90	Financial Overreach :--The Council is embarking on a range of major investments supported by significant amounts of External Funding. Overspends or failure to deliver on these Projects could lead to significant additional costs falling on the Council, in terms of extra borrowing costs stemming from meeting additional project costs or the repayment of external funds. (URN:2037)	Medium
91	Substantial reduction in grant from Government (URN: 1027)	Medium
92	Loss of considerable amount of cash due to deposits within banking sector that are subject to major turbulence. (URN: 1025)	Medium
93	Failure to ensure Financial Integrity (URN: 1004)	Medium
94	Failure to have due regard to the need to prevent people from being drawn into terrorism as laid out in the Statutory Prevent Duty.	Medium
95	A future pandemic can impact council services and cause harm to the health and wellbeing of the Hyndburn community (2039)	Low
96	Failure to address unacceptable exposure from Strategic Partnerships & Joint Working (URN: 1006)	Low
97	Failure to follow correct procurement process (URN: 1015)	Low
98	Failure to safeguard and promote the welfare of children and vulnerable adults (URN: 1023)	Low
99	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
100	Failure to uphold high ethical standards of conduct and consequent reputational damage to the Council (URN: 1001)	Low
101	Loss of income from unpaid invoices more than 6 months old impacting on General Fund revenue Balances. (URN: 1029)	Low
102	Failure to deliver objectives set out in the Corporate Strategy (URN: 1026)	Low
103	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
104	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