

## Risk Report Appendix 6

Report for 2016-2017

Filtered by Flag: Include: \* CRR 5+ / 15+

For MDDC - Services

Not Including Risk Child Projects records or Mitigating Action records

*Key to Performance Status:*

Risks: No Data (0+) High (15+) Medium (5+) Low (1+)

### Risk Report Appendix 6

**Risk: Asbestos** Health risks associated with Asbestos products such as lagging, ceiling/wall tiles, fire control.

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Housing Services**

<b>Current Status: Medium (5)</b>	<b>Current Risk Severity: 5 - Very High</b>	<b>Current Risk Likelihood: 1 - Very Low</b>
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**Head of Service: Nick Sanderson**

**Review Note:** Risks largely restricted to trained/professional EH or PSH officers therefore overall status remains low

**Risk: Breaches in HR Legislation** Failure to keep Council policies up to date, that complement the appropriate legislation

Failure to develop staff knowledge and competence regarding legislation/changes

**Effects (Impact/Severity):** - The Council could face poor reports from assurance bodies

- Failure to meet statutory duties could result in paying penalties, stretching already thin financial resources
- Failure to comply with legislation could lead to legal challenge against individuals or the Council as a whole
- Future legislation changes, their impact on services and the cost of implementing changes to policies, procedures and service delivery

**Causes (Likelihood):**

**Service: Human Resources**

<b>Current Status: Medium (5)</b>	<b>Current Risk Severity: 5 - Very High</b>	<b>Current Risk Likelihood: 1 - Very Low</b>
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**Head of Service: Jill May**

**Review Note:** The council employs four Chartered Ins of Personnel and Development (CIPD) staff who undertake regular employment law updates. All policies are reviewed on an three year programme which has slipped lately due to pressure of work (reorganisations, consultations and redundancies) however we always prioritise legislative change. Therefore whilst this is a huge risk it is a risk which is managed.

## Risk Report Appendix 6

**Risk: Council Finances - Banking Arrangements** Problems with banks and online services may affect ability to access funds when we need to send or receive / process payments on a timely basis

**Effects (Impact/Severity):** Unable to promptly pay suppliers or treasury commitments

**Causes (Likelihood):** ICT systems down at Council or Bank so impossible to review cash position or make urgent payments

**Service: Financial Services**

**Current Status: Medium (5)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 1 - Very Low**

**Head of Service: Andrew Jarrett**

**Review Note:** We use a well established, mainstream bank headquartered in the UK and so it is very unlikely that our banking arrangements will fail for as much as a single day.

**Risk: Council Finances - Investments** Failure to invest in the Council's funds in an efficient and effective manner may cause potential of a loss of monies invested

**Effects (Impact/Severity):** • Could result in cash flow loss of up to £3M

**Causes (Likelihood):** • Future banking collapses

**Service: Financial Services**

**Current Status: Medium (5)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 1 - Very Low**

**Head of Service: Andrew Jarrett**

**Review Note:**

**Risk: Council Finances - Treasury Management** Failure to comply with the CIPFA Code of Practice on Treasury Management /local authority accounting would be a breach in statutory duty

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Financial Services**

**Current Status: Medium (5)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 1 - Very Low**

**Head of Service: Andrew Jarrett**

**Review Note:**

## Risk Report Appendix 6

**Risk: Disability** If you have a disabled employee - whether a new appointment or a change in the status of an existing member of staff - you should carry out a Risk Assessment to ensure that their health and safety needs are catered for. Some of the things you should consider in terms of the individual's needs are:

- access to toilet facilities
- access to the kitchen or other refreshment facilities
- safe evacuation in the event of fire
- comfort and ease in carrying out his or her work

**Effects (Impact/Severity):** Low (2) - A potential employee may be unable to take up a position if the council is unable to meet their specific requirements or prevent an existing employee from returning after absence.

**Causes (Likelihood):** Very Low (1) – Currently no disabled employees work within ICT. Provisions are in place including a lift, disabled toilets and an accessible refreshment area. The individual needs of any disabled officers would have to be determined on an individual basis.

**Service:** I C T

**Current Status: Medium (10)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 2 - Low**

**Head of Service: Alan Keates**

**Review Note:** Cannot be fully aware as others may have hidden disabilities.  
Employee responsibility to inform employer

**Risk: Document Retention** If documents fail to be retained for the statutory period then we may face financial penalties

**Effects (Impact/Severity):**

- The Council may be disadvantaged in taking or defending legal action if prime documents are not retained;
- Performance statistics cannot be verified;
- The external auditor may not be able to verify the Council's final accounts and subsidy may be lost.
- Mismanagement of burial records

**Causes (Likelihood):** • "Data debris" cluttering system and storage space

**Service: Customer First**

**Current Status: Medium (5)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 1 - Very Low**

**Head of Service: Liz Reeves**

**Review Note:**

**Risk: Electrical testing** Risk of electrocution or fire in Council Properties

**Effects (Impact/Severity):** Failure to carry out periodic electrical testing could result in the risk of electrocution or fire.

**Causes (Likelihood):**

**Service: Housing Services**

**Current Status: Medium (5)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 1 - Very Low**

**Head of Service: Nick Sanderson**

**Review Note:** Every Council property is tested every 5 years as part of the cyclical testing programme.

## Risk Report Appendix 6

**Risk: Failure to comply with card security standards** As an organisation we need to comply with the requirements of TrustWave to be authorised as card payment processors.

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Customer First**

**Current Status: Medium (5)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 1 - Very Low**

**Head of Service: Liz Reeves**

**Review Note:**

**Risk: Fire and Explosion** Risks associated with storage of combustible materials, fuels and flammable substances and sources of ignition, as well as emergency procedures (existence, display and knowledge of), accessibility (or obstruction) of emergency exits and walkways to. Also, risks associated with use of fire extinguishers, having correct type in location, in date and trained operatives on site.

**Effects (Impact/Severity):** Very High (5) – Although the risk is low, a fire in the server or storage room could potentially cause loss of life, have serious financial implications and severely impact the councils ability to provide services due to loss of IT infrastructure.

**Causes (Likelihood):** Very Low (1) – The likelihood of a fire within ICT is extremely low. No quantities of combustible materials are stored within the work area. There is easy access to the emergency exit and all staff have received fire awareness training.

**Service: I C T**

**Current Status: Medium (5)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 1 - Very Low**

**Head of Service: Liz Reeves**

**Review Note:**

**Risk: H&S RA - Recycling Depot Operatives** Risk assessment for role - Highest Risk scored - Vehicle Movements inside Depot

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Street Scene Services**

**Current Status: Medium (10)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 2 - Low**

**Head of Service: Stuart Noyce**

**Review Note:** No incidents or further mitigating actions added.

**Risk: H&S RA - Refuse Driver/Loader** Risk Assessment for Role - Highest risk from role RA. - Risk of RTA from severe weather conditions

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Street Scene Services**

**Current Status: Medium (10)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 2 - Low**

**Head of Service: Stuart Noyce**

**Review Note:** Annual review - No incidents or further mitigating actions added.

## Risk Report Appendix 6

**Risk: H&S RA - Street Cleansing Operative** Risk assessment for role - highest risk from role - Risk of RTA from severe weather conditions

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Street Scene Services**

**Current Status: Medium (10)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 2 - Low**

**Head of Service: Stuart Noyce**

**Review Note:** Risk with control measures added

**Risk: Homelessness** Insufficient resources to support an increased homeless population could result in failure to meet statutory duty to provide advice and assistance to anyone who is homeless. It is likely that the new Homelessness Reduction Bill currently being read in Parliament will also have an impact on service demands in its current form.

**Effects (Impact/Severity):** - Dissatisfied customers and increase in complaints.

- This will involve an increase in officer time in dealing with Homelessness prevention and early intervention.

- Possible increase in temporary accommodation usage.

**Causes (Likelihood):** - Social and economic factors like the recession and mortgage repossessions increase the number of homeless.

- Lack of private sector housing.

**Service: Housing Services**

**Current Status: High (16)**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 4 - High**

**Head of Service: Nick Sanderson**

**Review Note:** Housing Options team keep up to date with case law updates and comply with legislation changes as and when required.

**Risk: Impact of Welfare Reform and other emerging National Housing Policy** Changes to benefits available to tenants could impact upon their ability to pay.

Other initiatives could impact upon our ability to deliver our 30 year Business Plan.

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Housing Services**

**Current Status: High (15)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 3 - Medium**

**Head of Service: Nick Sanderson**

**Review Note:**

## Risk Report Appendix 6

**Risk: Inadequate gas appliance maintenance and certification** Failure to maintain service of our gas appliances on an annual basis could result in death and prosecution

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Housing Services**

**Current Status: Medium (5)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 1 - Very Low**

**Head of Service: Nick Sanderson**

**Review Note:** Legislation requires Landlords to ensure that annual gas safety checks are carried out in properties with any fixed gas appliances regardless of ownership. Within the Councils domestic housing stock this is done in line with the current standards and best practice, and is monitored by the Gas and Database Administrator.

**Risk: Information Security** Inadequate Information Security could lead to breaches of confidential information, damaged or corrupted data and ultimately Denial of Service. If the council fails to have an effective information strategy in place.

Risk of monetary penalties and fines, and legal action by affected parties

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: I C T**

**Current Status: High (20)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 4 - High**

**Head of Service: Liz Reeves**

**Review Note:** Increased awareness training for all staff and members, Information Security training calendar to ensure all year reminders.  
Trialling systems to send phishing emails to staff as training tool.

**Risk: Legionella** Legionella

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Leisure Services**

**Current Status: Medium (10)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 2 - Low**

**Head of Service: Jill May**

**Review Note:**

## Risk Report Appendix 6

**Risk: Lone Working** Risks associated with working alone (eg on site visits, call-outs, evening, weekend and emergency work and working from home).

**Effects (Impact/Severity):** Medium (3) – Particularly relates to changing the backup tapes at the St Andrews Site. Potentially, an officer may suffer an injury or accident without support and may not be able to call for assistance.

**Causes (Likelihood):** Low (2) – Limited lone working is restricted to site visits of other council buildings. Officers working off site place information in the whiteboard as to their whereabouts.

**Service:** I C T

**Current Status: Medium (10)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 2 - Low**

**Head of Service:** Liz Reeves

**Review Note:** Lone worker policy refers to checking on staff absent for overdue periods.

**Risk: Noise** Risk of hearing damage and headaches from high noise levels above 85 decibels and nuisance noise eg Printers, fans.

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service:** Street Scene Services

**Current Status: Medium (5)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 1 - Very Low**

**Head of Service:** Stuart Noyce

**Review Note:** No change

**Risk: Pannier market general risk assessment** General risk assessment for the market's day to day operation

**Effects (Impact/Severity):** Score of 5 as their appears to be a movement in the structure causing the glass doors to bow

**Causes (Likelihood):** Survey done, not weight bearing. Market manager is inspecting regularly.

**Service:** Pannier Market

**Current Status: High (16)**

**Current Risk Severity: 4 - High**

**Current Risk Likelihood: 4 - High**

**Head of Service:** Zoë Lentell

**Review Note:** A door gave in on Fri 23 December 2016 but no injuries were sustained.

**Risk: Pool Inflatable** Pool Activities

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service:** Leisure Services

**Current Status: Medium (10)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 2 - Low**

**Head of Service:** Jill May

**Review Note:**

## Risk Report Appendix 6

### **Risk: School Swimming Sessions** School Swimming Sessions

Effects (Impact/Severity):

Causes (Likelihood):

Service: Leisure Services

**Current Status: Medium  
(10)****Current Risk Severity: 5 - Very  
High****Current Risk Likelihood: 2 -  
Low**

Head of Service: Jill May

Review Note:

### **Risk: Swimming Lessons** Swimming Lessons

Effects (Impact/Severity):

Causes (Likelihood):

Service: Leisure Services

**Current Status: Medium  
(10)****Current Risk Severity: 5 - Very  
High****Current Risk Likelihood: 2 -  
Low**

Head of Service: Jill May

Review Note:

### **Risk: Swimming Pool** Swimming pool & spectator walkway

Effects (Impact/Severity):

Causes (Likelihood):

Service: Leisure Services

**Current Status: Medium  
(10)****Current Risk Severity: 5 - Very  
High****Current Risk Likelihood: 2 -  
Low**

Head of Service: Jill May

Review Note:

### **Risk: Vehicles, Transport, Driving** Risk of collisions with other moving or stationary vehicles, cycles and/or pedestrians.

Effects (Impact/Severity):

Causes (Likelihood):

Service: Street Scene Services

**Current Status: Medium  
(5)****Current Risk Severity: 5 - Very  
High****Current Risk Likelihood: 1 - Very  
Low**

Head of Service: Stuart Noyce

Review Note: No change



## Risk Report Appendix 6

**Risk: Widespread fire in block of flats** Fire in our multiple occupancy properties, could result in widespread damage, injury or even death

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Housing Services**

**Current Status: Medium  
(10)**

**Current Risk Severity: 5 - Very  
High**

**Current Risk Likelihood: 2 -  
Low**

**Head of Service: Nick Sanderson**

**Review Note:** The Corporate H & S Officer has now carried out Fire Risk Assessments in the common rooms at Broad Lane and Westfield Road.

Housing Caretakers inspect communal areas on a 5 week cycle, which includes checking fire exit doors and signage.

Any issues are reported to the relevant Neighbourhood Officer.

**Printed by: Catherine Yandle**

**SPAR.net**

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