

STRATEGIC RISK REGISTER – Update June 2021

The Council has adopted a Strategic Plan that has the following 5 key objectives:

- Working with partners, the community and volunteers to provide services of good value (**STRONG SERVICES**)
- Helping to create strong, sustainable economic and housing growth (**STRONG ECONOMY**)
- Helping to create and sustain resilient communities (**STRONG COMMUNITIES**)
- Maintaining a sustainable, resilient and efficient organisation which is Digital by Default (**STRONG ORGANISATION**)
- Delivering our COVID19 response and recovery whilst working towards rebuilding, restoring and rehabilitating our communities (**STRONG RESPONSE AND RECOVERY**)

The key themes in respect of each objective are as follows:

1. STRONG SERVICES

- Through effective partnership working we will ensure that we procure and provide good value services that meet the needs of residents, visitors, and businesses. We will prioritise resources accordingly and operate decision-making structures that are open, transparent and accountable, ensuring we keep critical services going.

2. STRONG ECONOMY

- We will work with our public sector and private sector partners to generate jobs and economic and housing growth in Pendle in a way that secures its long-term economic, environmental and social wellbeing.

3. STRONG COMMUNITIES

- We will acknowledge and build upon the Borough's diversity, demonstrating our community leadership role by working with and empowering our partners and local people to provide clean, healthy, safe and cohesive communities. We will endeavour to maintain the quality of our green, rural and urban environment through effective and efficient services, education, community and voluntary engagement, partnership working and, where appropriate, enforcement.

4. STRONG ORGANISATION

- We will ensure that, as an organisation, we are suitably placed to deliver the priorities identified for Pendle and its residents. To do this we will employ the right people with the right skills in the right job. We will maintain robust financial processes, standards and systems optimising the technology and resources we have available to us, making us more efficient and effective in our service delivery and becoming Digital by Default.

5. STRONG RESPONSE AND RECOVERY

- We will work with our partners and the community, in line with national developments and decisions, to continue to effectively respond to the COVID19 pandemic and enable the transition to recovery via delivery of our Plan for Recovery. We will do this in a co-ordinated way whilst being supporting and sympathetic to the needs of the community and affected individuals, taking into account the resources available.

More information on each of the objectives together with details of the key projects planned in support of each is available in the Council's Strategic Plan which can be viewed [here](#).

Summary of the Risks identified in the Strategic Risk Register

Key Objective	Risk	Previous Residual Risk Score	Current Residual Risk Score
ALL KEY OBJECTIVES	The Medium Term Financial Plan is not sustainable.	A1	A1
1 - STRONG SERVICES	Failure to provide 'good' customer service, access and satisfaction.	E3	E3
	Major Disaster affecting delivery of Council services.	A2	A2
	Increased Health Inequalities – failure to deliver an improvement to the general health of Pendle's residents; Arrangements for Public Health in Lancashire fail to deliver health improvements in Pendle	B2	B2
	Incident resulting in death or serious injury or HSE investigation. (Also relates to Objective 4)	C3	C3
	Local Government Re-organisation and impact on regions with current two-tier local government structure.	B2	B2
	Financial position of Leisure Trust resulting in inability to provide existing level of Service.	A1	A1
	Climate Change, in particular the need to reduce our use of Single Use Plastics.	B2	B2
2 - STRONG ECONOMY	Failure to optimise Pendle's economic growth / development within the region.	B1	B1
	Failure to deliver a balanced housing market with reference to need and demand.	B2	B2
	Failure to deliver our Strategic Employment Site at Lomeshaye – Phase 1	E2	E2
	Failure to deliver our Strategic Employment Site at Lomeshaye – Phase 2	D2	B2
	Failure to make an impact on young people where it is necessary to improve poor educational attainment.	A2	A2
	Failure to bring development forward in line with the adopted Core Strategy leading to missed opportunities for growth in employment and housing.	A2	A2
	Failure to deliver the regeneration of Nelson	C2	C2
	Poor road, rail and digital connectivity prevents growth	B2	B2
3 - STRONG COMMUNITIES	Lack of Cohesion between Communities.	C4	C4
	Failure to Reduce Crime.	B3	B3
	Increased anti-social behaviour, crime and the perception of levels of crime.	B3	B3
	Universal Credit impacts on the Council's contract with Liberata.	B2	B2
4 - STRONG ORGANISATION			REMOVE
	Inability to continue to deliver current levels of service of waste collection and recycling.	B3	B3
	Impact on Council's capacity / viability of organisational change linked to on-going reductions in funding for local government.	B2	B2
	Risk of serious data breach and failure to comply with General Data Protection Regulation (GDPR).	A2	A2
5 – STRONG RESPONSE AND RECOVERY	National crisis affecting delivery of Council services (e.g. viral outbreak / epidemic / pandemic)	A1	A1

The Risk Score Model

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

Definitions of Likelihood	
Evaluation	Level
Almost Certain	A
Likely	B
Moderate	C
Unlikely	D
remote	E

Definitions of Impact	
Evaluation	Level
Catastrophic	1
Major	2
Moderate	3
Minor	4
Insignificant	5

RISKS APPLICABLE TO ALL KEY OBJECTIVES

Area of Risk	Inherent Risk per matrix (E5 to A1)	Risk Mitigation Procedures/Controls In place	Residual Risk per matrix (E5 to A1)	Exposures / Opportunities Identified	Actions Planned / Taken	By Whom / By When	Target Risk Score Target
<p>The Medium Term Financial Plan is not sustainable.</p> <p>(All Key Objectives)</p>	A1	<p>Review of Financial Strategy and Medium Term Financial Plan undertaken (and reported to Members on an on-going basis).</p> <p>Balances and Reserves are in place to help smooth out the impact of net expenditure reductions.</p> <p>Balances and Reserves reviewed to maximise support in achieving a self-sustained balanced budget position and reporting on the adequacy of these as required by the Local Government Act.</p> <p>Well established arrangements for budget development.</p> <p>Regular reports provided updating members of the latest budget forecasts, budget assumptions applied and potential impact of the Fair</p>	A1	<p>Significant reduction in both capital and revenue funding over period since the Comprehensive Spending Review 2010.</p> <p>Medium Term Financial Plan (revenue and capital) identifies a significant funding shortfall.</p> <p>Significant cost pressures remain (inflation, waste, planning, support for leisure services).</p> <p>Significant savings targets identified which will impact on provision of front line services, with ongoing capacity and appetite of strategic partners to sustain delivery - unknown.</p>	<ul style="list-style-type: none"> Continuous review of Financial Strategy and Medium Term Financial Plan by Members. Review of the Pension Fund with regard to achieving fully funded status. Reviews of all services and related costs as part of addressing the MTFP shortfall but also to drive value for money improvements. Achieve a positive VfM Assessment commentary from External Audit as part of the new audit requirements. Continue to bid for available funding. Lobbying of Government (through MP, LGA, SDCT) on settlement for District Councils and deprived Councils like Pendle. 	K. Turner	D3

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		<p>Funding Review and other funding regime changes as they become known, e.g. Business Rates Retention Scheme, New Homes Bonus.</p> <p>Excellent track record of achieving year on year efficiency savings.</p> <p>Development and adoption of a Commercial Strategy in 2018/19.</p> <p>Strong track record of partnership and joint working service delivery arrangements.</p> <p>Consolidation of office accommodation and co-location with partners to increase efficiency.</p> <p>Treasury Strategy and Monitoring to minimise the cost of carrying debt.</p> <p>Regular meetings of the cross-party Budget</p>		<p>Unknown Local Govt. Fair Funding Review outcomes and possibility of ongoing delays into 2021 or 2022.</p> <p>Exposure to financial risk potentially greater than other Councils within the county due to receipt and reliance on grant funding.</p> <p>75% Business Rate Retention scheme to be introduced in 2020/21 but could be potentially delayed.</p> <p>Opportunity to benefit from residential and commercial tax base growth.</p> <p>Changes to the national Benefits framework/funding.</p> <p>Potential new grant income stream to</p>	<ul style="list-style-type: none"> Commissioning of financial analysis of overall budget reductions from the Comprehensive Spending Review in 2010 to present day to demonstrate any disproportionate impact when compared to the national picture. This will provide evidence to support lobbying in attempting to influence thinking in respect of the Fair Funding Review. Consideration being given to new ways of working such as Shared Services/Channel Shift Savings 'targets' strategy established for the 2020/21 to 2022/23 MTFP period with options being developed. Various amenities such as Festive Decs, Conveniences and Community Halls, Play areas and MUGAs 		

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		<p>Working Group during budget setting process.</p> <p>Member of the Lancashire Pool Scheme to maximise revenue from NNDR.</p> <p>Updated MTFP reported to Policy & Resources Committee on at least an annual basis.</p> <p>The Pendle Leisure Trust subsidy level reviewed by Policy and Resources Committee. Approval also gained for an external specialist review to assist in achieving a financially self-sustainable position in future whilst also seeking to maintain leisure services delivered across the borough. Review now completed.</p> <p>Regular meetings of SCMT (bi-weekly) during the COVID-19 outbreak. SCMT stood down July 2020 and COVID-19 related issues subsumed</p>		<p>replace New Homes Bonus to incentivise development.</p> <p>On-going austerity programme nationally with further cuts in Local Govt. funding – Fair Funding Review.</p> <p>Continuation of Lancashire Business Rates Pooling agreement.</p> <p>Issue of Section 114 Notice by the CFO (LG Finance Act 1988) if budget savings progress is slowed or is not achieved.</p> <p>Outcomes of Fair Funding Review unknown which increases financial uncertainty and may require focus to be on short term financial decision making not long term strategic</p>	<p>transferred to Town and Parish Councils where agreed.</p> <ul style="list-style-type: none"> On-going progress being made with Town and Parish Councils and the Voluntary Sector on identification of suitable assets / services for transfer. Participation in the Lancashire based NNDR pool for 2021/22. Updated MTFP to be reported to Policy and Resources in June 2021. Regular meeting of the cross-party Budget Working Group Monthly return to be submitted to Government on the financial impacts of COVID-19 on the Council 		

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		into Management Team as standing item on the agenda. SCMT stood back up in October 2020, meeting weekly, in response to the further restrictions and lockdown measures from Government. SCMT moved to fortnightly meetings in January 2021 and was stood back down in April 2021.		<p>planning. Similarly, 1yr only financial settlements that impede longer term planning.</p> <p>Initiatives within the borough that will support growth such as improved road connectivity and re-instatement of Rail connectivity and potential for new station.</p> <p>Transfer of some services / facilities to Town & Parish Councils.</p> <p>Unknown impact on Council resources of the COVID-19 outbreak, resources and required recovery.</p>			

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<p>Failure to provide 'good' customer service, access and satisfaction.</p> <p>STRONG SERVICES (Key Objective 1)</p>	B2	<p>Pendle Customer Access Management Strategy document produced. Includes high level action plan.</p> <p>Communications Strategy and Community Engagement Framework approved by P&R December 2020 to foster strong customer service culture across the Council and its partners.</p> <p>Day to day management of contact points by Liberata using their expertise in this field.</p> <p>Council management structure groups together related services for better coordination.</p> <p>Corporate Complaints procedure.</p>	E3	<p>Failure to maintain/improve services and achieve efficiency gains.</p> <p>Potential need to STOP certain services to achieve required savings.</p> <p>People's perception of Council administration.</p> <p>Life in Pendle Survey gives varying levels of satisfaction with Council services.</p> <p>Management of customer expectations and demand.</p> <p>Insufficient Officer capacity to provide focus on improvement in customer services.</p>	<ul style="list-style-type: none"> ICT Strategy and Programme in place. ICT Roadmap regularly reviewed. Contact Centre operation well received. <p>Customer Access Strategy to be reviewed May 2022.</p> <ul style="list-style-type: none"> Programme of work on assessing customer satisfaction to be developed. Demand management initiatives and service standards across the Council to be reviewed. Digital Strategy 2020/23 approved by P&R November 2020. Progress to be monitored by the officer Transformation Board. Move to Digital by Default - website focuses on customer access and self-service. GIS facility now available to provide on-line map-based information. 	P. Mousdale	D3

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				<p>Government expectation of joined up approach to customer service with rest of public sector.</p> <p>Links to LCC Integrated Wellbeing Team.</p> <p>Commercial approach to service provision and charging.</p> <p>Use of MOSAIC profiling to target activity.</p> <p>Removal of face-to-face service due to COVID-19 outbreak</p> <ul style="list-style-type: none"> Potentially negative impact on vulnerable customers Potential opportunity to consider future of this type of service delivery 	<ul style="list-style-type: none"> Jadu Continuum CRM being implemented by officer Transformation Board to facilitate customer transactions via the website. Civica e-Store payment portal implemented to facilitate a better customer experience when making payments via the website. Vulnerable Persons Policy – Debt Recovery has been developed to specifically support vulnerable debtors. Pendle Community Hub operational to assist the residents in Pendle that are most in need of support due to the COVID-19 pandemic. Re-opening of the Number One Reception area and face-to-face service being reviewed 		

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				<ul style="list-style-type: none"> To be reviewed Summer 2021. 			
<p>Major Disaster affecting delivery of Council services.</p> <p>STRONG SERVICES (Key Objective 1)</p> <p>See also separate risk STRONG RESPONSE AND RECOVERY (Key Objective 5)</p>	A1	<p>Desk top disaster Emergency Planning exercises regularly undertaken.</p> <p>Strategic Crisis Management Plan drawn up.</p> <p>Business Continuity Management Team appointed.</p> <p>Deputy EPO attended BC masterclass March 2021. VIA Emergency Planning College</p> <p>Emergency Plan developed and updated.</p> <p>Business Continuity Plans in place for all strategic buildings and critical services.</p> <p>IT Business Continuity and Business Impact Analysis plan developed by Liberata.</p>	A2	<p>Council shown in a bad light if unable to provide statutory services within a reasonable period of time. (48 hours)</p> <p>Media and political fallout (cf Grenfell Tower).</p> <p>Liberata unable to recover IT systems for critical services.</p> <p>Financial loss due to non-delivery of income producing services.</p> <p>Loss of key staff members / staffing volumes to enable recovery / continuation of statutory / critical service delivery</p>	<ul style="list-style-type: none"> IT Business Continuity and Business Impact analysis plan to be reviewed in light of Cyber Security concerns. Business Continuity Plans to be kept updated and reviewed in conjunction with Zurich Municipal. Emergency Plan and other plans to be kept under continuous review. List of volunteers to be kept under review and refresher briefings to be held. Review of security arrangements in buildings and offices completed Refresher training in media relations for members and officers to be arranged. 	D. Walker.	B4

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		<p>Business Continuity and Strategic Crisis Management Plan to deal with Coronavirus (COVID-19) pandemic in place (March 2020)</p> <p>Business continuity and recovery plans reviewed by Management Team March and April 2021.</p> <p>Plans circulated to all relevant people and where appropriate placed on Intranet.</p> <p>County wide hub Resilience Direct in place.</p> <p>Mutual Aid agreement between Lancashire Councils in place.</p> <p>Corps of volunteers recruited to assist in emergencies.</p> <p>List of volunteers from frontline staff created February 2020.</p>			<ul style="list-style-type: none"> Emergency planning leads actively participate in Lancashire Resilience activities, LAWG Executive meetings and Pandemic response Business continuity exercise to be completed in 2021. Redeployment of staff as appropriate Exception reports, weekly forecasts and weekly reports provided to tactical co-ordinating and strategic co-ordinating groups of the LRF in response to COVID-19 pandemic, as required. Review being undertaken of arrangements and capacity in event of another emergency occurring at the same time as COVID – 19. Annual review of list of volunteers from frontline staff ongoing. 		

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		<p>Disaster recovery arrangements transferred from CTH to Fleet Street Depot.</p> <p>Agile working arrangements introduced in 2020. Agile Working Policy agreed.</p> <p>PBC multi agency exercise completed Thursday 7th November 2019.</p>					
<p>Increased Health Inequalities – failure to deliver an improvement to the general health of Pendle’s residents.</p> <p>Arrangements for Public Health in Lancashire fail to deliver health improvements in Pendle</p>	B2	<p>Officer resource has been allocated to consider Health-related activity.</p> <p>Development of Pennine Plan, ‘Healthier Pennine Lancashire’ which sets out a range of new models of care.</p> <p>Primary Care Networks established in Pendle and Clinical Leads in place.</p>	B2	<p>Impact of COVID-19 has further deepened health inequalities in Pendle.</p> <p>Pendle residents’ health outcomes are consistently poor (as it is for Pennine Lancashire).</p> <p>Lack of resources in the Health and</p>	<ul style="list-style-type: none"> • Leader and Chief Executive represents Pennine Lancashire Districts on the Pennine Lancashire Integrated Care Partnership • PLACE Planning for Pendle around the PCNs is being developed. • Chief Executive chairs the Pennine Lancashire Prevention Board. 	D Langton	C3

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STRONG SERVICES (Key Objective 1)				<p>Social Care System generally.</p> <p>Demand on acute health services continues to increase and is likely to worsen given the impact of COVID-19.</p> <p>Prevention of ill-health identified as a priority.</p> <p>Disconnect between EL locality partnerships and emerging Pennine Lancashire Primary Care Networks structures</p> <p>NHS 10 year plan includes need to move resources and decision making closer to Primary Care</p>	<ul style="list-style-type: none"> Establishment of East Lancashire District Health leads group to strengthen links with Primary Care Networks (although this needs to be re-established following the impact of COVID-19) Review PHE / NHS data to enable analysis of the impact on our communities (e.g. obesity, diabetes, BAME groups, etc.) of the COVID-19 outbreak and how this can be addressed through health inequality action plans. 		

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<p>Incident resulting in death or serious injury or HSE investigation.</p> <p>(Key Objectives 1 STRONG SERVICES and 2 STRONG ECONOMY)</p>	B2	<p>Review of Risk Assessments undertaken at least annually. New and revised assessments now placed on Intranet.</p> <p>Risk Management Working Group continue to meet on a quarterly basis.</p> <p>Health and Safety Champion (Corporate Director) appointed.</p> <p>Joint Council/ Liberata H&S Group in place.</p> <p>Structured qualification levels of H & S training provided for managers and staff with supervisory responsibilities.</p> <p>Risk Assessments completed for all Council Events.</p> <p>Events pack based on guidance by Zurich Mutual required to be completed by outside</p>	C3	<p>Council shown in bad light, danger to reputation.</p> <p>HSE inspection rules Council at fault with ensuing notices and/or prosecution.</p> <p>Fees charged to Council for HSE investigations.</p> <p>Prosecution under the Corporate Manslaughter and Homicide Act.</p> <p>Prosecution for alleged failure to discharge duties imposed upon the Council within the Health and Safety at Work Act 1974.</p> <p>Financial losses caused through fines or loss of business.</p>	<ul style="list-style-type: none"> QHS Solutions retained to provide H&S support and advice. Environmental Services Manager reports to Management Team to highlight emerging issues. Risk assessor network and working group to be revised and put in place. E-learning training solution agreement extended January 2021 to improve training provided to office based staff. Generic subjects cover DSE, office safety and manual handling. Risk Management Working Group minutes presented to Management Team on a quarterly basis. WISH guidance monitored throughout COVID-19 pandemic. 	D. Walker.	E5

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		<p>organisations using Council land.</p> <p>Events Safety Advisory Group established.</p> <p>CDM Training carried out in July 2016 for all Service Areas.</p> <p>Training on Accident Investigation by Zurich Municipal in May 2015.</p> <p>Training in Risk assessment procedures provided February 2016.</p> <p>Environmental Health inspections of Food Premises.</p> <p>Waste services externally audited by RoSPA February 2019.</p> <p>Health and Safety Officer appointed May 2019 to share H&S workloads</p> <p>E-learning training solution introduced July 2019 to improve training provided to office based</p>			<ul style="list-style-type: none"> Health & Safety Officer attends NW Health & Safety Officers Group meetings quarterly. 		

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		<p>staff. Generic subjects cover DSE, office safety and manual handling.</p> <p>Full annual H&S audit completed December 2020 with the Council receiving an overall score of Excellent.</p> <p>Audit / assessments completed by homeworkers during May & June 2020.</p> <p>Risk Assessments for individual staff members being undertaken during September 2020 pending expected return to the office from 1st October 2020. Further assessments completed April 2021 for returning staff.</p> <p>Risk Audits and Gap Analysis undertaken by QHS annually and results reported to Management Team (completed Nov / Dec 2020). Report to Management Team</p>					

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		presented February 2021.					

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<p>Local Government Re-organisation and impact on regions with current two-tier local government structure.</p> <p>(Key Objectives 1 STRONG SERVICES and 2 STRONG ECONOMY)</p>	C2	<p>Any decision on local government re-organisation will require the Secretary of State for MHCLG to invite a submission from one or more Councils (not all Councils affected will agree).</p> <p>Any submission from one or more Councils will have to be a credible proposal insofar as:-</p> <ul style="list-style-type: none"> - Will require local support (partners, MPs etc) - Will have to be credible geography and population size - Will have to improve local public services <p>Re-organisation will be subject to rigorous review and will have a reasonable lead in time allowing for an orderly transition to a new organisation.</p>	B2	<p>New Government with significant majority has a policy to create more Elected Mayors with Combined Authorities for greater devolution. White Paper due to be published September 2020.</p> <p>Local Government Reorganisation likely to proceed in North Yorkshire and Cumbria from April/May 2022.</p> <p>Government open to considering reorganisation alongside Elected Mayors and Combined Authorities where it meets their criteria</p> <p>Cross-Party support of MPs for the creation of an</p>	<ul style="list-style-type: none"> • At a meeting in March 2021, Pendle Council resolved not to submit a response to the consultation on reorganisation in North Yorkshire and Cumbria. • Pendle Council current policy as determined at Council meeting on 10th July 2020 is to oppose the creation of a Combined Authority with an Elected Mayor until further information and clarity is forthcoming from Government on a devolution deal for Lancashire and on any proposals for local authority reorganisation. • Pendle Council policy as reaffirmed at Council meeting on 17th December 2019 on a Pennine Lancashire Unitary Authority is to oppose its creation. 	D. Langton	C4

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				<p>East Lancashire Unitary Council.</p> <p>Blackburn with Darwen Borough Council have requested an 'Invitation to Submit Proposals' from the Secretary of State for MHCLG</p> <p>Any submission to Government (following an invitation for a submission from Government) does NOT require the support of all Councils involved.</p> <p>Continuing reduction in funding for Local Authorities impact on the financial sustainability of all Councils affected by the proposed East Lancashire Unitary Council</p>	<ul style="list-style-type: none"> The Council is contributing to the development of the Greater Lancashire Plan which will form the basis of a devolution submission to the Government. 		

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				<p>Significant demand pressure on Councils with Social Care (Lancashire County Council and Blackburn with Darwen Council) making both Council's financial unsustainable.</p> <p>Blackburn with Darwen 'too small' and Lancashire County Council 'too big' to remain viable</p> <p>Opportunity to achieve economies of scale.</p> <p>Financial impact of COVID 19 pandemic may increase pressure to move to unitary authorities.</p> <p>Large scale change at time of low capacity and</p>			

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				financial resilience to implement.			

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<p>Financial position of Leisure Trust resulting in inability to provide existing level of Service.</p> <p>STRONG SERVICES (Key Objective 1)</p>	A1	<p>Terms and Conditions.</p> <p>Client Monitoring of performance on a regular basis.</p> <p>Regular financial reviews take place.</p> <p>Correlation of the Financial Plan and the Business Plan undertaken by the Council's Chief Financial Officer.</p> <p>Co-location of Council and Trust Finance staff to facility joint and flexible working.</p> <p>Grant funding from the Council linked to PLT budget saving requirements – increase in subsidy agreed for 2020/21 predicated on achieving agreed savings.</p> <p>External review of Leisure facilities in</p>	A1	<p>Budget efficiencies considered outwith the Council.</p> <p>Failure of facilities to attract customers.</p> <p>Inflexibility of agreement with PLT.</p> <p>Deteriorating buildings and lack of improvement in public access with H & S implications.</p> <p>Budgeted cost of operating the ACE centre and Café is insufficient and is exceeded.</p> <p>Cash income of the PLT is demand led and impacted by matters beyond PLT's control e.g. weather conditions (excessive heat), statutory closedown, etc.</p>	<ul style="list-style-type: none"> • Development of Leisure Strategy and meaningful PL's. • Internal Audit review undertaken annually. • Regular meetings between PLT and Client. • Medium Term Financial Strategy and Plan for the Trust developed and regularly updated so that there is a clear understanding of its financial position. • Scrutiny review of Pendle Leisure Trust's provision of sports services and how they relate to Council's leisure strategy. • Aspiration for leisure Services to be 100% self-financing. • Additional capital investment has been made to improve PLT facilities in previous years. In recent 	K. Turner	A3

KEY OBJECTIVE 1 – STRONG SERVICES

Area of Risk	Inherent Risk per matrix (E5 to A1)	Risk Mitigation Procedures/Controls In place	Residual Risk per matrix (E5 to A1)	Exposures / Opportunities Identified	Actions Planned / Taken	By Whom / By When	Target Risk Score Target
		Pendle being undertaken and now complete.		<p>Business Plan aspirations will not be met.</p> <p>Subsidy currently provided by the Council for the ACE centre /café may not be affordable.</p> <p>Potential for Leisure Trust and Council support function staff to work more closely together to improve workload resilience.</p> <p>Competition provided by the private sector.</p> <p>Statutory closure of facilities has severe financial implications affecting the ‘going concern’ of the business.</p> <p>National Leisure Recovery Fund monies secured to</p>	<p>years the sinking fund provides an annual capital investment provision with currently £0.320m (2019/20) available in the Capital Programme. Indicative estimate 2020/21: £0.110m.</p> <ul style="list-style-type: none"> The MTFP includes savings contributions from the Leisure Trust which are currently being worked up into budget efficiency proposals. Specialist external advice has been commissioned to review the overarching agreements to identify scope for efficiencies. Continue to bid for available funding to support provision of services and/or assets, e.g. Sport England. Regular engagement, reporting and monitoring undertaken between the Council and PLT. 		

KEY OBJECTIVE 1 – STRONG SERVICES

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				assist with the recovery of leisure services delivered by PLT from the COVID-19 pandemic	<ul style="list-style-type: none"> Consider, and where appropriate take up, offers of specialist support from external organisations with regard COVID-19 response and recovery. 		
<p>Climate Change, in particular the need to reduce our use of Single Use Plastics.</p> <p>STRONG SERVICES (Key Objective 1)</p>	B2	<p>International treaties in place to combat climate change.</p> <p>DEFRA Resources and Waste Strategy and linked consultations on plastic packaging and deposit return of drinks containers.</p> <p>Climate Change Act 2008 amended to include new Government target of net zero by 2050.</p> <p>The Council has business continuity arrangements in place as well as emergency planning arrangements.</p> <p>Electric mechanical Schmidt sweeper tested 2020.</p>	B2	<p>Growing public concern nationally and internationally on the impacts of climate change including use of single use plastics.</p> <p>Impact on design and cost of waste/recycling collections and income to fund this.</p> <p>Climate change is expected to continue and worsen in the future, likely to result in higher temperatures, increasing frequency and severity of storms and more flooding.</p>	<ul style="list-style-type: none"> Review of Lancashire wide waste/recycling arrangements and processes to be undertaken in light of the Environment Bill. Aim to reduce contamination and increase participation in kerbside collection schemes Contamination 'project' started with funding from LCC July 2020. Project postponed due to COVID-19 in November 2020. Enforcement Officers re-deployed to deliver project in absence of project officer. Outcome to be fully reported on via LCC. 	<p>D. Walker / C. Taylor</p> <p>G. Dickson</p>	C3

KEY OBJECTIVE 1 – STRONG SERVICES

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		Electric hand-held equipment for Landscape Maintenance investigated 2020.		<p>More frequent, severe weather such as snowfall, freezing temperatures and prolonged heatwaves likely to impact on service delivery.</p> <p>Potential to build on the benefits experienced during COVID-19 lockdown of increased walking / cycling activity (thus reducing use of motor vehicles).</p>	<ul style="list-style-type: none"> PBC providing response to Government consultations released late March 2021 covering Extended Producer Responsibilities and deposit return schemes. Consultation period ends early June 2021. PBC has declared a Climate Emergency. The emerging action plan will help reduce and off set local carbon emissions. Consider how the Council can build upon the health benefits of increased walking and cycling activity experienced during the COVID-19 lockdown. Ensure the Part 2 Local Plan responds to carbon reduction as effectively as possible. 		

KEY OBJECTIVE 2 – STRONG ECONOMY							
Area of Risk	Inherent Risk per matrix (E5 to A1)	Risk Mitigation Procedures/Controls In place	Residual Risk per matrix (E5 to A1)	Exposures / Opportunities Identified	Actions Planned / Taken	By Whom/ By When	Proposed Risk Score Target
<p>Failure to optimise Pendle's economic growth / development within the region.</p> <p>STRONG ECONOMY (Key Objective 2)</p>	A1	<p>Pendle has an approved and up to date Jobs and Growth Strategy focussed on economic growth, regeneration and creating conditions for job growth.</p> <p>Renew Economic Development Recovery and Development Strategy</p> <p>Pendle is participating in the emerging Lancashire Combined Authority.</p> <p>Pendle has representation on the LEP Board.</p> <p>Pendle Vision Board remains active as a consultative and lobbying body for investment in Pendle.</p> <p>PLACE (Leaders and Chief Executives) continue to meet to make the case for investment in Pennine Lancashire.</p>	B1	<p>Northern Powerhouse Initiative may provide opportunities for investment in Pendle. Emerging LIS priorities.</p> <p>Limited funding for Regeneration given the focus on economic growth.</p> <p>Government Funding available generally being channelled through LEPs and therefore subject to national and local 'competition.'</p> <p>Devolution could provide opportunities for the Council.</p> <p>Potential change in access to other</p>	<ul style="list-style-type: none"> Pendle remains actively involved in the development of the emerging Combined Authority, the Lancashire Plan, Devolution Proposals and emerging strategies. Pendle has representation on the theme groups which are: Skills; Housing; Transport; Prosperous and Public Service Reform; for potential devolution. Joint working at PLACE on the implementation of the Growth and Prosperity Plan (which incorporates the actions within the Jobs and Growth Strategy). Renewed interest in East-West Connectivity with feasibility for Colne/ Supton railway being commissioned and feasibility study for a road connection. Growth Deal 3 and ESIF Funding awarded for Lomeshaye extension Phase 1. 	N. Watson	C3

KEY OBJECTIVE 2 – STRONG ECONOMY							
Area of Risk	Inherent Risk per matrix (E5 to A1)	Risk Mitigation Procedures/Controls In place	Residual Risk per matrix (E5 to A1)	Exposures / Opportunities Identified	Actions Planned / Taken	By Whom/ By When	Proposed Risk Score Target
		<p>Pennine Lancashire Growth and Prosperity Plan produced.</p> <p>Core Strategy approved with Strategic Employment Site (extension of Lomeshaye Industrial Estate).</p> <p>Partnerships with the private sector provide investment into the Borough of Pendle, i.e. PEARL1, PEARL2 and PEARL (Brierfield Mill).</p> <p>Adopt the Part 2 Local Plan,</p> <p>Review of Gearing up for Growth undertaken during 2017/18 with funding of c£700k to be distributed over the 3 years.</p>		<p>external funding opportunities.</p> <p>Increasing number of Enterprise Zones and extent of development elsewhere in the County diverts business from Pendle.</p> <p>Review of LEPs may provide for influencing funding opportunities.</p> <p>Refresh of the Strategic Economic Plan (SEP) and the development of the Local Industrial Strategy (LIS) could provide opportunities to access funding.</p> <p>Diluted Pendle / East Lancashire influence on LEP</p>	<ul style="list-style-type: none"> PEARL (Brierfield Mill) onsite delivering c£30m investment in Northlight (with funding from Growth Deal, Pendle and Lancashire County Council). PEARL joint venture companies delivering programme of growth and regeneration projects through alternative JV mechanism. Procurement of a further JV planned during 2021/22. Strategic review of assets approved with potential growth sites identified. Constant review of funding opportunities to maximise funding to Pendle. Ensure that COVID recovery grant funding is utilised to the maximum benefit of the Borough. Develop a strategy and bids to utilise Levelling Up Funding. 		

KEY OBJECTIVE 2 – STRONG ECONOMY							
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				<p>as membership changes.</p> <p>Move to 75% 'local' Business Rates Retention income stream by 2021.</p> <p>Review of New Homes Bonus regime is not beneficial for Pendle.</p> <p>Land values reducing and disposals of land less likely. Future High Street funding for Nelson.</p>			
<p>Failure to deliver a balanced housing market with reference to need and demand</p> <p>STRONG</p>	A2	<p>PEARL Joint Venture arrangement in place actively delivering new housing sites and a new JV has been established with Together Housing.</p> <p>Regeneration Group focused on housing</p>	B2	<p>Significant investment being made available from Government to Homes England.</p> <p>Pendle has an approved Core</p>	<ul style="list-style-type: none"> Work with PEARL2 to deliver a programme of new house building; On site at:- <ul style="list-style-type: none"> Clitheroe Road, B/field. Carry Lane, Colne. Oak Mill, Colne. Northlight. 	J. Whittaker	B3

KEY OBJECTIVE 2 – STRONG ECONOMY							
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ECONOMY (Key Objective 2)		<p>delivery (considering sites with extant planning consents, bringing forward Pendle-owned sites for development, identifying new sites etc).</p> <p>Regular meetings with Homes England to understand new funding opportunities.</p> <p>Regular monitoring of position and revisions to local housing strategies as necessary, including Empty Homes Strategy.</p> <p>Adopt Part 2 Local Plan with a housing number that stimulates the housing market.</p>		<p>Strategy (with a designated Strategic Housing Site).</p> <p>New Homes Bonus will end – review any new incentives that will / may be introduced.</p> <p>Registered providers moving to larger group structures and targeting investment to other areas.</p> <p>Homes England funding mainly targeted at areas of high demand so more difficult for Pendle to access.</p> <p>Loss of Empty Homes Officer post.</p>	<ul style="list-style-type: none"> Identifying and obtaining approval to dispose of Pendle-owned sites for residential development Sites include:- <ul style="list-style-type: none"> Further Clough Head. Harrison Drive. Bringing forward small Pendle-owned sites for Self-Build and the Developer Register. Actively working to use the Brownfield Development Fund to bring forward housing on brownfield sites. Homes England have approved £1.1m Accelerated Construction funding for Further Clough Head. Continuing to work with Registered Providers to bring forward sites for the provision of affordable housing. Use of Empty Homes Premium and Loans to encourage empty homes back into use. 		

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					<ul style="list-style-type: none"> Continue to improve poor quality housing through Housing Standards Team and enforcing Housing Act legislation. Work is underway on Part 2 of the Local Plan (Land Allocations). Working Group established. Working with Calico and LCC to bring forward an Extra Care scheme in Nelson. 		
Failure to deliver our Strategic Employment Site at Lomeshaye <u>Phase 1</u>	B2	Funding secured for infrastructure Outline planning permission granted Compulsory Purchase Order in place and land has vested with Pendle Council	E2		Pendle's Engineers are delivering the infrastructure PEARL2 selected as developer for the majority of the site and negotiations underway with another developed for the remainder of the site. Interest shown by Occupiers	J. Whittaker	D2
<u>Phase 2</u>	B2	Funding no longer available for infrastructure as	D2	Ability of landowner to bring forward the	No further actions planned now that funding is no longer available		B2[M1]

KEY OBJECTIVE 2 – STRONG ECONOMY							
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STRONG ECONOMY (Key Objective 2)		landowner could not provide adequate security. Landowner is marketing the site themselves.		site without public funding			
<p>Failure to make an impact on young people where it is necessary to improve poor educational attainment.</p> <p>STRONG ECONOMY (Key Objective 2)</p>	A1	<p>Jobs and Growth Strategy approved and being delivered.</p> <p>Renew the Strategy.</p> <p>Chief Executive sits on the Lancashire Skills and Employment Board.</p> <p>The Council is working on a Pennine Lancashire basis to tackle unemployment.</p> <p>Supporting and engaging with the Pendle Challenge Steering Group and related projects.</p> <p>Chief Executive chairs the Education in the East Steering Group, working with Lancashire County Council and partners to</p>	A2	<p>Pendle has one of the lowest average attainment 8 score in Lancashire</p> <p>Poor educational attainment may impact on the local economy as business growth needs successful workforce recruitment.</p> <p>Knock on effects e.g. increase in crime, non-payment of Council Tax.</p> <p>Average figures for December 2018 to February 2019 show a</p>	<ul style="list-style-type: none"> Jobs and Growth Strategy currently being updated. Exploring the Kick-start programme as a way to get young people into work Work with Lancashire Skills and Employment Board to reduce NEETs via specific European Social Fund (ESF) funded project; and To improve careers advice and guidance. Work with DWP on specific employment initiatives e.g. Pendle Prospects Jobs Fair. Continue to use Workstart programme (and any successor activity) in Waste Management. 	<p>S. Astin-Wood</p> <p>N. Watson</p>	C3

KEY OBJECTIVE 2 – STRONG ECONOMY							
Area of Risk	Inherent Risk per matrix (E5 to A1)	Risk Mitigation Procedures/Controls In place	Residual Risk per matrix (E5 to A1)	Exposures / Opportunities Identified	Actions Planned / Taken	By Whom/ By When	Proposed Risk Score Target
		take a systems based approach to improving outcomes.		combined NEET and not known percentage of 9.3%, which equates to 203 young people aged 16 and 17	<ul style="list-style-type: none"> Youth Employment Support (YES) Hub now operating in Nelson. Employer engagement to understand skills needs. Programme in place to boost the number of apprenticeships. Pendle Challenge and related projects underway to boost attainment, such as the Raising Aspirations programme with Positive Footprints (some delays due to COVID). Apprenticeships to be offered in Landscape Maintenance. 		
Failure to bring development forward in line with the adopted Core Strategy leading to missed opportunities for growth in employment and housing.	A1	<p>Reports on progress through Annual Monitoring Reports to Committee</p> <p>Additional staff brought in through national planning fee increases to increase capacity</p>	A2	<p>Low house building rates lead to lack of choice to local population</p> <p>Opportunity to provide the right portfolio of sites to bring housing forward</p>	<ul style="list-style-type: none"> Update Strategic Housing Market Assessment based on the new standard methodology Conclude preparation of the evidence base Prepare Statements of Common Ground with 	N. Watson	C3

KEY OBJECTIVE 2 – STRONG ECONOMY							
Area of Risk	Inherent Risk per matrix (E5 to A1)	Risk Mitigation Procedures/Controls In place	Residual Risk per matrix (E5 to A1)	Exposures / Opportunities Identified	Actions Planned / Taken	By Whom/ By When	Proposed Risk Score Target
STRONG ECONOMY (Key Objective 2)		Working with Burnley to agree the approach to our new SHMA		Opportunity to diversify the employment land portfolio of the Borough	neighbours on strategic issues <ul style="list-style-type: none"> Viability work to be commissioned to look at how development can support infrastructure 		
Failure to deliver the Regeneration of Nelson STRONG ECONOMY (Key Objective 2)	A2	Masterplan being developed Selected for Towns Fund Town Deal Board established bringing together key organisations	C2	Government funding methodology relies on land value uplift	<ul style="list-style-type: none"> Town Investment Plan submitted for £29m Draft Masterplan approved for consultation 	J.Whittaker	C3
Poor road, rail and digital connectivity prevents growth STRONG ECONOMY (Key Objective 2)	A2	Lobbying for A56 village bypass Lobbying for Colne-Skipton rail line re-instatement North Valley Route Management works being undertaken by LCC	B2	Limited influence over funding decisions Government assessment criteria favours areas of higher population (although this may change)	<ul style="list-style-type: none"> Continue to lobby for major infrastructure improvements Funding bid submitted to Restoring Your Railways for a study into a passing loop 	J.Whittaker	A2

KEY OBJECTIVE 3 – STRONG COMMUNITIES							
Area of Risk	Inherent Risk per matrix (1-9)	Risk Mitigation Procedures/Controls In place	Residual Risk per matrix (1-9)	Exposures / Opportunities Identified	Actions Planned / Taken	By Whom / By When	Proposed Risk Score Target
<p>Lack of Cohesion between Communities.</p> <p>STRONG COMMUNITIES (Key Objective 3)</p>	B3	<p>SLA and funding in place for the Building Bridges Good Neighbours Project 2017-21.</p> <p>Work closely with Building Bridges and support the Community Cohesion Action Network and Forum of Faiths.</p> <p>PBC is part of the Contest Board and Lancashire Prevent Delivery Partners Group.</p> <p>The Prevent approach is changing to encompass a Pan-Lancashire footprint, which will include the establishment of an East Prevent Group.</p> <p>Prevent Delivery Officer for East is in post.</p> <p>Currently working on Prevent Risk Assessment, Situational Analysis and updating our action plan.</p>	C4	<p>The threat to the UK from terrorism is substantial.</p> <p>Potential high levels of tension or community disturbance.</p> <p>More pressure on local services.</p> <p>Adverse national publicity and Brexit may increase the Far Right threat further.</p> <p>Impact of economic downturn, higher and rising unemployment.</p> <p>Reductions in Police Funding.</p> <p>Changes to Neighbourhood Policing across Lancashire.</p> <p>The Government's Integrated</p>	<ul style="list-style-type: none"> Continue to attend and support the Community Cohesion Action Network. Annual thematic report including cohesion and Prevent update to P&R Learning and awareness sessions for staff and Members to be organised. Involvement in the new East Prevent Group and Pan-Lancashire arrangements. Assess any evidence of increased ASB or other criminality linked to COVID-19 and consider how this can / will be addressed by us / with our partners. 	S. Astin-Wood	D4

KEY OBJECTIVE 3 – STRONG COMMUNITIES							
Area of Risk	Inherent Risk per matrix (1-9)	Risk Mitigation Procedures/Controls In place	Residual Risk per matrix (1-9)	Exposures / Opportunities Identified	Actions Planned / Taken	By Whom / By When	Proposed Risk Score Target
		<p>Staff training will follow.</p> <p>Pendle Prevent Action Plan 2020-22 approved by Policy & Resources Committee 20th August 2020.</p>		<p>Communities Strategy green paper was published in March 2018.</p> <p>COVID-19 outbreak response may have both a negative and positive effect on the cohesion of our communities.</p>			
<p>Failure to reduce crime.</p> <p>STRONG COMMUNITIES (Key Objective 3)</p>	A3	<p>Pendle Community Safety Partnership (CSP) meets quarterly.</p> <p>Community Safety Strategy and action plan developed for 2019-22, with three task groups established and delivering actions on key priorities.</p> <p>Pendle CSP is linked into other groups such as Pendle Youth Forum, Burnley and Pendle Child Exploitation Prevention Group, Pendle Domestic Abuse Forum, Pendle Transforming Lives</p>	B3	<p>Significant increases in all crime and particularly with violence against the person, including high levels of domestic related crime.</p> <p>Risk around overall perception and confidence.</p> <p>Review of Neighbourhood Policing and other ways of working by Police due to cuts in funding.</p>	<ul style="list-style-type: none"> Pendle Community Safety Strategy 2019-22 in place with actions being delivered by three multi-agency groups and reported into CSP. Community safety issues included on area committee agendas Use of the Genga approach and PAM platform to share information and deliver actions around serious organised crime and local OCGs Analytical support retained but not dedicated to Pendle 	S. Astin-Wood	C4

KEY OBJECTIVE 3 – STRONG COMMUNITIES							
Area of Risk	Inherent Risk per matrix (1-9)	Risk Mitigation Procedures/Controls In place	Residual Risk per matrix (1-9)	Exposures / Opportunities Identified	Actions Planned / Taken	By Whom / By When	Proposed Risk Score Target
		Panel and Burnley and Pendle Genga Panel. This is meeting regularly to tackle organised crime.		<p>Transfer of CCTV management and maintenance to town and parish councils.</p> <p>Continuing pressure to join the Pennine CSP, balanced against benefit of sharing knowledge as a cooperating body.</p>	<ul style="list-style-type: none"> Pendle CSP has received £10k annually from Police and Crime Commissioner to deliver Pendle Community Safety Strategy. Attendance at Pennine CSP and sub-groups. 		
<p>Increased anti-social behaviour, crime and the perception of levels of crime</p> <p>STRONG COMMUNITIES (Key Objective 3)</p>	A3	<p>Community Protection Coordinator in post.</p> <p>Full use of tools and powers under Anti-Social Behaviour, Crime and Policing Act.</p> <p>Focus on all ASB incidents, environmental crime and grotsspots.</p> <p>Introduction of ASB reporting form online for staff.</p>	B3	<p>A community which feels unsafe, in some areas of Pendle more than others.</p> <p>Poor image of the area leading to reluctance to invest.</p> <p>Impact of reduced neighbourhood policing presence.</p> <p>Increasing levels of crime.</p>	<ul style="list-style-type: none"> Regular monitoring by Area Committees. Dedicated Environmental Crime Team. Funding for SMILE mediation service on anti-social behaviour issues. Innovative use of tools and powers based on resolution rather than enforcement. Extended trial of third party enforcement provider extending duties to cover 	S. Astin-Wood / D. Walker	C4

KEY OBJECTIVE 3 – STRONG COMMUNITIES							
Area of Risk	Inherent Risk per matrix (1-9)	Risk Mitigation Procedures/Controls In place	Residual Risk per matrix (1-9)	Exposures / Opportunities Identified	Actions Planned / Taken	By Whom / By When	Proposed Risk Score Target
		Effective partnership working to manage the risk of harm and vulnerability, e.g. via the Pendle Transforming Lives Panel and Genga Panel.		Change to Police recording systems.	PSPO / ASB activities, dog fouling, dogs off lead <ul style="list-style-type: none"> • Pace interviews by letter introduced 2020 due to COVID-19. • Tendering of third party enforcement service to be completed with Member approval 2021. 		
Universal Credit impacts adversely on the Council's contract with Liberata STRONG COMMUNITIES (Key Objective 3)	A2	Universal Credit Full Service implemented in the Pendle area in November 2018. Personal Budgeting and ICT Access Support has transferred to the Citizens Advice Bureau. The Council and Liberata meet with the DWP with other agencies and stakeholders e.g. Together Housing to discuss any issues arising for residents. Welfare Reform Group set up comprising DWP	B2	Impact of Universal Credit on vulnerable people. As New Claims/Change of Circumstances occur, Benefit Workloads will diminish as claimants move onto Universal Credit. Collaborative working on welfare reforms. Changing nature of the Benefits Service	<ul style="list-style-type: none"> • Briefings provided for Council Members on Welfare Reforms and UC. • Closely monitor and work with Liberata to address the impacts of the COVID-19 outbreak, such as increased UC applications and Council Tax support caseload; contractual arrangements with Liberata; financial implications on the Council; etc. 	K. Turner	C5

KEY OBJECTIVE 3 – STRONG COMMUNITIES							
Area of Risk	Inherent Risk per matrix (1-9)	Risk Mitigation Procedures/Controls In place	Residual Risk per matrix (1-9)	Exposures / Opportunities Identified	Actions Planned / Taken	By Whom / By When	Proposed Risk Score Target
		and local stakeholders (e.g. Hsg Pendle) - looking at how agencies can work together in response to reforms. Reports to Policy and Resources updating Members on UC roll-out as appropriate.		<p>will impact on the contract Pendle has with Liberata which will need to be managed appropriately during migration. The profile of migration to UC is not known and not possible to forecast.</p> <p>Qualification for UC has changed from the original DWP migration plan dependent on DWP ICT development and associated problems with implementation.</p> <p>National crisis relating to the COVID-19 outbreak results in large increase in UC applications and thus resulting in large increase in Council Tax support caseload.</p>			

KEY OBJECTIVE 4 – STRONG ORGANISATION							
Area of Risk	Inherent Risk per matrix (E5 to A1)	Risk Mitigation Procedures/Controls In place	Residual Risk per matrix (E5 to A1)	Exposures / Opportunities Identified	Actions Planned / Taken	By Whom/ By When	Proposed Risk Score Target
<p>Inability to continue to deliver current levels of service of waste collection and recycling.</p> <p>STRONG ORGANISATION (Key Objective 4)</p>	A3	<p>Countywide Waste Partnership in place.</p> <p>Cleaner, Greener, Safer campaigns and other publicity to promote recycling.</p> <p>Fortnightly household waste collection scheme for none recyclable material continues.</p> <p>Four weekly collections of recycled materials. Plastic, glass and metal recyclables and cardboard and paper introduced to increase participation and public awareness.</p> <p>Additional wheeled bin provided for paper and cardboard.</p> <p>TEEP Assessments carried out in line with the requirements of The Waste (England and</p>	B3	<p>Potential for financial penalties if householders do not recycle and national target not achieved. Financial penalty as yet unknown</p> <p>Recycling levels plateau and we are unable to improve performance.</p> <p>Contamination levels increase within recycling containers. Paper and cardboard affected mainly.</p> <p>Need to continue to promote Reducing, Reusing and Recycling approach.</p>	<ul style="list-style-type: none"> Continue to monitor national moves on packaging. Charges for plastic carrier bags introduced nationally in 2015. Minimum charge increased from 5p to 10p from May 2021. Continue to promote 'Love Food, Hate Waste' campaign. Clarification being sought from LCC on future charges for disposal of recycling and none recycling materials and other income opportunities and arrangements related to transportation and disposal of collected materials. Continue to develop and promote Trade waste, bulky waste and garden waste services. Benchmarking to be completed to identify potential further savings, service reduction options 	D. Walker	E3

KEY OBJECTIVE 4 – STRONG ORGANISATION							
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		<p>Wales) Regulations 2011 (amended 2012).</p> <p>Household waste Recycling Centres at Barnoldswick and Burnley promoted through annual leaflet and internet</p> <p>Trade Waste service (including recycling) and Garden waste service successfully implemented.</p> <p>Introduction of administration and delivery charges for replacement containers introduced charges subsequently rescinded by Council.</p> <p>Introduction of charges for bulky household waste completed – charges subsequently rescinded by Council.</p> <p>New fleet procured November 2019</p> <p>Agency tender completed May 2019</p>		<p>Funding via LCC spring grant obtained allowing officer to be recruited for 26 weeks to assist in improving the quality of materials collected at the kerbside</p> <p>Additional items added as acceptable for co-mingled recyclable</p> <p>Cost Sharing Agreement ended</p> <p>Public Perception Surveys report high levels of satisfaction.</p> <p>Government introduce one free garden waste bin for all properties with gardens</p>	<p>and confirm whether a service tendering exercise is required.</p> <ul style="list-style-type: none"> • Further route optimisation review to be undertaken. • PBC to participate in Lancashire waste partnership working group meetings to consider introduction of new or revised collection schemes following release of DEFRA's resources and waste strategy and completion of national consultations around consistent recycling collections • Refuse collection vehicles fitted with new livery promoting recycling and paid for services. • Route optimisation exercise to be completed to identify required resource levels. • Pandemic created an increase in collected material weights. Additional 		

KEY OBJECTIVE 4 – STRONG ORGANISATION							
Area of Risk	Inherent Risk per matrix (E5 to A1)	Risk Mitigation Procedures/Controls In place	Residual Risk per matrix (E5 to A1)	Exposures / Opportunities Identified	Actions Planned / Taken	By Whom/ By When	Proposed Risk Score Target
				<p>Weekly food waste collections introduced.</p> <p>Further cuts to HWRC opening times and days increase demand on kerbside collection services</p> <p>Opportunity to produce a Reduction and Recycling Plan for LCC to consider as a part of its own strategy to increase recycling and reduce amounts of materials being sent to landfill</p> <p>The number of new developments increase to such a level that frontline resources require additional support</p>	<p>resources deployed to ensure critical services delivered.</p> <ul style="list-style-type: none"> Contamination Action Plan approved by Management Team August 2020 and presented to Policy & Resources Committee at their meeting on the 17th September 2020. A further report will be presented to MT detailing the outcomes of the project. Contamination 'project' started with funding from LCC July 2020. Project postponed due to COVID November. Enforcement Officers re-deployed to deliver project in absence of project officer. Outcome to be fully reported on via LCC PBC providing response to Government consultations released late March 2021 covering Extended Producer Responsibilities and deposit return scheme. Consultation ends early June 2021. 		

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				to deliver service within current schedules			
<p>Impact on Council's capacity / viability of organisational change linked to on-going reductions in funding for local government.</p> <p>STRONG ORGANISATION (Key Objective 4)</p>	B2	<p>Workforce Development Strategy approved which sets out the plans for the development of the current and future workforce</p> <p>Robust Strategic and Service Planning processes in place – reviewed regularly – which allows calibration of service delivery to available resources.</p> <p>Performance Management and Monitoring arrangements in place which acts as an early warning indicator to stress/pressures on service delivery.</p> <p>Performance Management Review System in place which allows staff to identify issues, training needs</p>	B2	<p>Impact of COVID-19 has been significant both in terms of additional pressures and different ways of working.</p> <p>Continuing reductions in funding will mean that further reviews of Organisational Structure are necessary.</p> <p>Co-location of all staff in Nelson Town Hall, Number One Market Street and Fleet Street Depot provides some capacity and workload resilience.</p>	<ul style="list-style-type: none"> Refresh of Workforce Development Strategy underway and will be completed by May 2021. Leadership and Management Programmes to be reviewed to ensure that Leaders/ Managers are using staffing resource effectively. This will include Aspiring Managers and Future Leaders Programmes. Extended Management Team in place to improve communication with and support to Managers at all levels. Continuous Improvement Group in place to identify and consider improvements. Regular reviews of service provision, as part of the MTFP and budget process 	D. Langton	B4

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		<p>and future careers aspirations.</p> <p>Good Employee Engagement Mechanisms in place.</p> <p>The Council's organisational structure remains under review.</p> <p>Review of Shared Services, partnership working and other ways of working to increase workload resilience and maintain service delivery.</p>		<p>Reduced/Part Time staffing resource means that some staff find it difficult to take annual leave, provide adequate cover etc.</p> <p>Agile/Flexible/Home Working will become the norm</p> <p>Reduced establishment has reduced succession planning opportunities.</p> <p>The Council's ability to recruit and retain specialist and qualified staff is becoming more of an issue.</p>	<p>to determine sustainability of services.</p> <ul style="list-style-type: none"> Targeted use and sharing of resources to deal with specific tasks, eg COVID-19, flooding issues. Department specific staffing reviews undertaken to deal with retirements, voluntary redundancy etc. Use of Staff Survey Action Plan to drive improvements in issues raised in Staff Survey. 		

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<p>Risk of serious data breach and failure to comply with General Data Protection Regulation (GDPR).</p> <p>STRONG ORGANISATION (Key Objective 4)</p>	A2	<p>Information Governance Working Group (IGWG) established and meeting regularly.</p> <p>Appropriate record keeping system established and policies drafted. Imminently to be promoted across the council.</p> <p>All staff have been trained (using Bob's Business) on issues associated with GDPR and information security.</p> <p>Refresher training continues via 'Dojo' modules.</p> <p>GDPR Audit Review undertaken early 2021, receiving a 'moderate assurance' assessment. Outcome of the review reported to Management Team April 2021.</p> <p>Agency tender completed May 2019</p>	A2	<p>Minor breaches identified and appropriately remedied.</p> <p>Internal Audit findings and level of assurance.</p> <p>No further breaches reported to ICO.</p> <p>One damages claim received. One further claim is anticipated. Insurance cover is in place.</p> <p>Council exposed to increased cyber security risks from opportunists due to majority of staff working away from the office environment during the coronavirus emergency</p>	<ul style="list-style-type: none"> Carry out requirements identified by audit through IGWG's action plan. Introduce further communications, inc case studies, to staff to continue to raise awareness with regard Information Security and GDPR. Introduction of a New Cyber / Information Security Training System / Platform (to inc GDPR) to be explored and introduced. Completion of this training is mandatory. 	H. Culshaw	A4

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		IT Guidance for Home Working issued at the outset of the pandemic when home working arrangements were being implemented. Technical IT solutions taken to safeguard the Council as much as possible include rollout of MS Teams, Mimecast registration re downloads, non-use of the FOC Zoom App, etc.					

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KEY OBJECTIVE 5 – STRONG RESPONSE AND RECOVERY							
Area of Risk	Inherent Risk per matrix (E5 to A1)	Risk Mitigation Procedures/Controls In place	Residual Risk per matrix (E5 to A1)	Exposures / Opportunities Identified	Actions Planned / Taken	By Whom / By When	Target Risk Score Target

KEY OBJECTIVE 5 – STRONG RESPONSE AND RECOVERY

Area of Risk	Inherent Risk per matrix (E5 to A1)	Risk Mitigation Procedures/Controls In place	Residual Risk per matrix (E5 to A1)	Exposures / Opportunities Identified	Actions Planned / Taken	By Whom / By When	Target Risk Score Target
<p>National crisis affecting delivery of Council services (e.g. viral outbreak / epidemic / pandemic)</p> <p>STRONG RESPONSE AND RECOVERY (Key Objective 5)</p>	A1	<p>Business Continuity, Disaster Recovery and Strategic Crisis Management Plans in place.</p> <p>Access controls in place in relation to IT systems</p> <p>Member of Lancs Resilience Forum (LRF)</p> <p>Good communication channels with staff in place with regular briefings shared.</p> <p>HR policies in place which are regularly reviewed.</p> <p>IT policies in place.</p> <p>IGWG set-up and meet regularly.</p> <p>Comprehensive insurance policies in place which are reviewed regularly.</p> <p>Extended scheme of delegation and exercise</p>	A1	<p>Exposed to increased risk of</p> <ul style="list-style-type: none"> • Pandemic • Fraud • Cyber crime • Health & wellbeing concerns relating to staff • Financial pressure <p>Loss of key staff members and councillors (e.g. SCMT members) affecting decision making capabilities.</p> <p>Impact on staffing volumes (e.g. waste collection team) to enable recovery / continuation of statutory / critical service delivery.</p> <p>Increased demand on Council services and resources.</p>	<p>Business Continuity Plan invoked in response to crisis / outbreak and shared with LRF.</p> <p>SCMT meet as required during the emergency to address key issues around staffing levels, critical service delivery, Community Hub, etc</p> <p>HR policies reviewed with SCMT to accommodate the COVID-19 response and communicated to staff.</p> <p>Home and Agile working arrangements implemented where possible and appropriate with IT access controls remaining in place.</p> <p>Consider undertaking Risk Assessment in respect of the outbreak on our key objectives and prepare and implement response plans as required.</p> <p>Closely monitor situation in relation to cyber-attacks and inform staff and customers accordingly to maintain vigilance.</p>	D. Langton	B4

KEY OBJECTIVE 5 – STRONG RESPONSE AND RECOVERY

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		of urgent powers protocol in place.		<p>Ability to procure staffing and essential supplies (e.g. IT equipment) reduced due to panic buying.</p> <p>Lack of appropriate PPE equipment to aid business / service recovery following removal of lockdown restrictions.</p> <p>Media and political fallout (e.g. 'fake news' causes panic amongst staff and customers, negative publicity for the Council).</p> <p>Different way of working could promote improved working practices.</p> <p>Unknown / unquantified financial burden placed on the Councils resources may impact on</p>	<p>Reviewed key objectives and priorities in light of current situation and information available.</p> <p>Consider possible opportunities for learning e.g. improving the way we work going forward.</p> <p>Key messages communicated to staff via briefings issued regularly, along with weekly briefings to frontline staff</p> <p>Staff Facebook page 'Team Pendle' created to keep staff informed and updated</p> <p>WhatsApp groups set-up for service areas / teams as quick and easy communication channel</p> <p>MS Teams implemented to enable video and voice calling and instant chat functionality</p> <p>Monitor government guidance and policy changes and react / respond accordingly.</p>		

KEY OBJECTIVE 5 – STRONG RESPONSE AND RECOVERY

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				<p>future service and project delivery.</p> <p>Impact on local and national economy due to the duration and widespread impact of the outbreak.</p> <p>Potential to lose sight of 'BAU' (e.g. applying for external funding opportunities) whilst dealing with the crisis.</p>	<p>Preparations commenced on recovery and review of previous work practices.</p> <p>Check insurance policy coverage and discuss with broker if required.</p> <p>Staff list monitored daily with coding structure applied to easily identify those who could be brought back into the workplace and redeployed if necessary.</p> <p>Regularly reviewing Corporate Governance and Risk Management arrangements in line with the current situation.</p> <p>Respond to any requirements to fulfil the Governments financial packages / assistance to local businesses and people.</p> <p>Business Recovery Plan developed and under regular review and update throughout response and recovery.</p> <p>Undertake a post incident review in liaison with the LRF / Produce a legacy of the</p>		

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					emergency debrief and lessons learned.		