

Operational Risks Summary Sheet

Update on High Level Risks

Risk Ref	Risk Description	Existing Controls	Current Risk Rating			Movement	Risk Response/Update on action required
			Mar-21				
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SC7 Street Care	Risk of unmaintained trees wholly or partly falling on persons/property and other infrastructure resulting in an increase in the likelihood of prosecution by HSE or claims against the Council, as well as reputational risk.	Woodland management plans that have been negotiated over the last 4 years have now been approved and are beginning to be implemented to manage woodland edge trees over a 10-year period. However, a risk remains for non-woodland trees such as all parks, country parks, Housing properties allotments, and commercial properties where we are landlord, for which there is no proactive system All tree works at present carried out are on a reactive basis.	4	5	20	↔	COMMENT MARCH 2021: Further incident where a tree fell into a public child's play area causing damage to structure, but no injuries as it was empty. The Council is recruiting a tree surveyor on a 1 year contract and upgrading the software to enable data capture.
EH1 Env. Health	Breach of Health & Safety Regulations from council activities caused by insufficient management of risk or activity controls to enable safe service delivery	<ul style="list-style-type: none"> Review of current data systems for H&S compliance and Director level (GC) support requested to facilitate robust software systems to maintain compliance for Corporate and Housing. All service areas have received training in risk assessment and health and safety management New activities and events are supported and overseen to enable proportionate controls and measures to be put in place to reduce or eliminate the Council's exposure to the risks of service delivery. 	3	5	15	↔	COMMENT MARCH 2021: There has been no further development with regard to Corporate Facilities Management still requiring investment with Technical Officer posts, to deliver compliance, which requires Director approval, to address the current risks.
EH5 Env. Health	Capacity of Environmental Health Pollution and Private Sector Housing Team insufficient to maintain adequate response to service requests.	Recruitment of staff to replace leavers within a reasonable time frame - currently post vacant since January 2019. Remaining staff have to cover workload until recruitment completed.	4	4	16	↔	COMMENTS MARCH 2021: (Risk increased at the last review in January from Likelihood 3 x Impact 4 = 12) Continuing to operate at a level of 3 FTE in Environmental Health & Private Sector Housing compared to 5.2 in 2018 with increasing numbers of formal complaints reported.

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<p>H8 Housing</p>	<p>Failure to manage assigned budgets effectively resulting in financial loss. Potential causes are: - poor contract management - poor monitoring of costs - lack of adequate cost approval controls - incorrect coding</p>	<ul style="list-style-type: none"> • Repairs contract meetings • Budget holders trained in Collaborative Planning & Procurement • Accountant assigned to department • Regular CP/budget meetings 	<p>3</p>	<p>5</p>	<p>15</p>	<p>↔</p>	<p>COMMENT MARCH 2021: Current capital underspend, SMT involved with Axis negotiations to confirm FRA project costs (1.6m-2.4m) and we have requested a consultant to check communal plant room costs (2.7m-3.8m) as per director which is all current underspend due to auditing and VFM purposes. Booster sets x 3 @ 300k ready to proceed.</p>
<p>SC6 Street Care</p>	<p>Risk of subsidence to private, commercial and borough owned properties due to water abstraction by Council owned trees, resulting in an increase in claims against the Council</p>	<p>All tree works at present carried out are on a reactive basis.</p>	<p>3</p>	<p>4</p>	<p>12</p>	<p>↔</p>	<p>COMMENT MARCH 2021: Two further subsidence claims have been received by the Council. The Council is recruiting a tree surveyor on a 1 year contract and upgrading the software to enable data capture.</p>
<p>H3 Housing</p>	<p>Fire in residential or community areas resulting in relocation of residents and possible death or serious injury, caused by: - Accidental fire in property or communal areas - Arson - Failure to remove bulk refuse from estates - Uncompliant or missing Fire Risk Assessments</p>	<p>Fire risk assessments programme in place. Properties fitted with hard wire smoke alarms. Annual check of smoke alarms as part of Gas safety check Approved Fire Safety Policy Safety first major works to ensure compliant with Fire risk assessments. Implemented Clear Area Management policy Estates staff trained on FRA disciplines Bi-monthly estate inspections</p>	<p>3</p>	<p>4</p>	<p>12</p>	<p>↔</p>	<p>COMMENT MARCH 2021: The CAMP and Estates Inspection schedule continues to be carried out by Housing Officers. Due to some restraints on resources due to our current lockdown, we have devised a new rationale for prioritising and inspecting our Estates. This has meant that our limited resources are being utilised efficiently and ensures we comply with our insurer's guidelines for identifying potential risk. We are slightly behind on our target to arbitrarily inspect all blocks, but we are now confident that inspections that are highest priority, will take place.</p>

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H2 Housing	Failure to comply with asbestos regulations resulting in possible death or serious illness from asbestosis, due to: - works undertaken without proper protection - incidental damage to structures where asbestos is present - incomplete asbestos register	Asbestos Management Surveys being undertaken in all void properties and Major works properties. All communal area Management surveys completed. Incidents notified as per regulations H&S asbestos Steering Group considers asbestos risk, management and reporting of incidents. Licensed asbestos removal company contracted. CUBE appointed to complete all surveys. All staff receive asbestos awareness training annually. Monthly Asbestos Steering groups implemented to track compliance, issues, management and improvements required.	2	5	10	↔	COMMENT MARCH 2021: All high risk and medium risk items that have been surveyed are being costed to be removed and encapsulated to remove risk. Asbestos survey programme on hold to properties not communal due to Covid restrictions and tenant not allowing access to undertake a full property survey. Register up to date and shared with Axis and awaiting for keystone mini to be available. H&S manager is organising training for all associated staff.
CS5 Corporate Services	Loss of data or service delivery through cyber attack due to not having appropriate cyber security or cyber incident response plan	Manages Security service has been running for second year, now with an introduction of a monthly review. Azure Security services are being expanded. IT staff attended Cyber Incident Response Planning course.	2	5	10	↔	COMMENT MARCH 2021: (This risk was added to the Operational Risk Register in January). ELT have received cyber awareness training, SLT arranged for March 2021, Council Members TBC
H13 Housing	Failure to manage Drake House Fire Risk	Gerda box has been installed and all relevant documents to support the fire service placed in there. All communal areas have been cleared of bulky items Dedicated project manager in place to ensure remedial works conducted	2	4	8	↔	COMMENT MARCH 2021: (Risk reduced at the last review in January from Likelihood 4 x Impact 3 = 12) Guards on site, smoke detection installed, 1st phase completed, phase 2 to start and PM in place to facilitate and site set up in place. Risk is getting it completed before the fire service visit in Feb/March. Risk reduced from Impact 3 x Likelihood 4 = 12
PL6 Planning	Increased workload due to: - Increase in applications - Changes in legislation - Failure to have files sorted and uploaded - Loss of key staff - Difficulty recruiting to vacant positions	Keep up to date with legislation proposals and changes. Contribute to development of corporate staff retention programme. Ensure temporary staff resource is in place in case of loss of staff and advertise for permanent replacement of vacant post	2	3	6	↔	COMMENT MARCH 2021: (Risk reduced at the last review in January from Likelihood 4 x Impact 3 = 12) Two Planning assistants started within the administration team at beginning of January, with the planning assistants also starting at this time. Due to specialised nature of roles it will be a number of months before they are up and running so will cause disruption to service. Planning applications are up by 6% from last year. Risk reduced from Impact 3 x Likelihood 4 = 12

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