

BRENTWOOD BOROUGH COUNCIL OPERATIONAL RISK REGISTER 2021

Risk No.	Risk Details	Risk Owner	Risk Categorisation	Original Scores (before any mitigations)			Mitigations to date	Current Scores September 2021			Position from previous quarter	Further Actions / Comments	Planned Completion Date(s)	Target Scores (following completion of all further actions)		
				L	I	S		L	I	S				L	I	S
Corporate Strategy: Protecting our Environment - Developing a clean and green environment for everyone to enjoy																
Risk E&C1	Cause: If we fail to protect our employees and other persons to whom we owe a duty of care	Health & Safety Officer	Legal/Compliance			V High 25	All areas have received training and ongoing support in risk assessment and Health and Safety management. Regular monthly meetings are undertaken for compliance across Corporate and Housing Directorates, to ensure arrangements and systems are inbedded and robust, or if not, then adjustments and improvements are made. Separate operational compliance risks have been identified for Corporate and Housing Directorates respectively. The Council's H&S Microsite provides information and respective forms for risk assessment and Safe Systems Of Work. H&S Standards and Policies and reviewed and updated as legislation or organisational changes develop.			V High 20	Stayed the same	Reviews of existing systems and arrangements are being undertaken to improve implementation and more effective systems of working to improve risk management. Risks will reduce over time for service delivery as known risks are improved and managed. Investment will be key to manage on going maintenance of systems and capital investment to support improved risk reduction and management.	Dec-23	3	4	High 12
	Uncertain Event (Risk): The safety, health, welfare and wellbeing of individuals may be compromised		People	5	5			4	5							
	Consequence(s): Injury or harm to employees, tenants or visitors. Fines from the HSE. Insurance claims. Reputational impact to the Council		Financial & Resources													
Risk E&C2	Cause: Lack of inspection and maintenance regime to manage trees	Arboricultural Officer	People			V High 20	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 for which there is no proactive system			High 12	Stayed the same	Recruiting of survey officer is being reviewed to source finances for a new post. lack of survey data may result in identifiable defect causing tree failure resulting in death ,injury or damage , this may in turn result in prosecution , even corporate manslaughter.	Ongoing	2	3	Med 6
	Uncertain Event (Risk): Risk of unmaintained trees wholly or partly falling on persons/property and other infrastructure		Reputation	4	5			3	4							
	Consequence(s): Increased likelihood of prosecution by HSE and claims against the Council		Financial & Resources													
Risk E&C4	Cause: Challenges with staff recruitment	Environmental Health Manager	Legal/Compliance			V High 16	Environmental Health Technician acting up in EHO role confirmed position, agency officer covering one other role until 2/7/21 Two additional newly qualified staff from Thurrock covering two EH roles part time plus EH Manager covering four districts in Brentwood			Med 9	decreased	No further recruitment undertaken level of team maintained at four officers two employed by BBC and 2 part-time officers from Thurrock DC, looking to recruit apprentice officer but no current plans to recruit qualified officers	December	2	2	Low 4
	Uncertain Event (Risk): Capacity of Environmental Health Pollution & Private Sector Housing Team		Reputation	4	4			3	3							
	Consequence(s): Unable to respond to service requests, resulting in further formal complaints and unable to meet statutory duties															
Risk E&C5	Cause: National shortage of drivers and ageing workforce	Waste and recycling Manager	Reputation			High 12	Nationally there is a shortage of HGV drivers and this has been evident in recruitment at Brentwood and many other local authorities. Staff are reaching retirement age or leaving for higher paid jobs. Attempts to up skill loaders to drivers has been advertised but not had any impact due to salary difference			V High 16	Increased	National shortage has created private sector to offer greater pay and rewards. This has produced a greater pay disparity amongst private sector and local government pay. Advert produced by HR to highlight benefits for working for LG. pension, life balance etc.	Ongoing	2	4	Med 8
	Uncertain Event (Risk): Unable to recruit LGV waste drivers		Financial & Resources	3	4			4	4							
	Consequence(s): Unable to deliver Waste and recycling collections															

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Corporate Strategy: Improving Housing - Access to a range of decent homes that meet local needs																
Compliance - the risk is that the Council will not achieve the plans to deliver compliance for the key areas and the delivery of the compliance project plan.																
Risk H&C2	Cause: Not achieving the plans to improve compliance by the required timescale.	Compliance Manager	Legal/Compliance			V High 25	A specific compliance risk register has been produced with detail on the risks. A new performance reporting template has been produced which identifies the areas of non-compliance and the gap to compliance. Actions are in place to reduce the gaps in the known compliance issues. Regular meetings are in place to address the concerns.			V High 20	Stayed the same	Risk has stayed the same as there is ongoing works to all compliant areas. More surveys have been completed, which has uncovered more works to be completed. Housing stock has not been touched for over 20 years and there are lots of works to be completed to bring the properties up to compliance standards	Mar-22	1	5	Med 5
	Uncertain Event (Risk): The management of compliance is not effective.		Reputation	5	5			4	5							
	Consequence(s): Compliance is not achieved by March 2022.		Effects on Service													
Decisions on HRA stock - the risk is that the Council does not make timely decisions on the retention and investment in the HRA stock.																
Risk H&C3	Cause: Decisions on the HRA stock not taken, leading to additional expenditure.	Corporate Manager	Financial & Resources			High 12	Sheltered housing review has started, with a review of the garage sites and the sites for potential regeneration to be identified.			High 12	Stayed the same	Decisions are required on a number of sites, to identify the approach (i.e. retain as is, regenerate, sale/dispose). This will help with identifying the investment required in the long-term and provide clarity for the HRA's business plan.	Mar-22	1	4	Low 4
	Uncertain Event (Risk): The assets have not been reviewed to identify long-term use of the sites.		Effects on Service	4	3			4	3							
	Consequence(s): That resources are used on properties that the Council does not wish to retain in the long-term.		Reputation													
Drake House - the risk is that the building will need to be evacuated before the planned fire safety works are completed.																
Risk H&C7	Cause: The lack of an agreed solution for the second phase of works Drakes House.	Contract Manager	Legal/Compliance			V High 15	The Fire Brigade is aware of the situation and attends regular meetings. The solution will be designed by a third party, with the solution signed off by the installers and building control.			High 10	decreased	Phase 1 near to completion, 24/7 onsite watch still in place, fire service agreed to a sprinkler system that is being designed and funding requested to help with costs, once the sprinkler system is in place this will mitigate risks in line with FRA assessment criteria and fire service protocols, still high risk until fitted due to the nature of the block being high rise	TBC	1	5	Med 5
	Uncertain Event (Risk): The risk is that the proposed solution cannot achieve the required sign off.		Reputation	3	5			2	5							
	Consequence(s): That residents have to be decanted until a permanent solution is achieved.		Financial & Resources													
Training - the risk is that the housing team do not receive the right level of training and personal development to support the current plans for the service.																
Risk H&C9	Cause: The level and type of training does not meet the needs of the service.	Corporate Manager	Effects on Service			V High 16	A review of the existing training plan will take place and a revised training plan developed.			V High 16	Stayed the same	The review of the current training plan arrangements is currently underway with external consultants. Currently liaising with HR for a central matrix document to record all training requirements for staff	Mar-22	1	1	Low 1
	Uncertain Event (Risk): That the service is not delivered effectively (e.g. compliance).		Reputation	4	4			4	4							
	Consequence(s): A mistake occurs due to a lack of awareness or training		People													

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Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services																
Risk F&R3	Cause: Lack of robust and resourced regime for addressing failures in Corporate property compliance	Facilities Manager	Financial & Resources			V High 25	Undertaking routine compliance and remedial actions when identified. Retain appropriate documentation for evidence			High 12	decreased	Continue to reinforce response to compliance issues Develop document retention processes Explore utilisation of assets database	Dec 2021	2	3	Med 6
	Uncertain Event (Risk): Risks to the Council, its staff and its residents where key compliance checks have not been satisfactorily completed for corporate buildings, etc. and any issues address (e.g. fire, water, gas, etc)		Legal/Compliance	5	5			4	3							
	Consequences: Risk of closure of buildings, damage to buildings, reputation risk to Council, loss of earnings and life and prosecution from HSE		People													
Risk D&C1	Cause: If we do not have the appropriate cyber security or cyber incident response plan	I.C.T. Manager	Effects on Service			V High 20	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.			High 15	Stayed the same	We now have 3 certified staff for Cyber Incident Response Planning and have ongoing work to update the Cyber incident plan and the support documentation. Working with Partners we are implementing further technology to strengthen our security posture. Additional resourcings to fill vacant posts	TBC	3	4	Med 12
	Uncertain Event (Risk): The Council may be at risk of loss of data or service delivery through cyber attack		Financial & Resources	4	5			3	5							
	Consequence(s): Loss of key systems/inability to provide key services Loss or corruption of data Financial Loss Cost/time spent to recover		Reputation													
Risk D&C2	Cause: If we don't have the level of resourcing to provide an effective service or deliver Corporate Objectives and the Digital Strategy	I.C.T. Manager	Effects on Service			V High 20	We have several vacant posts across IT, Digital and projects and if we loose any further resources or have any sickness we will struggle to provide an effective service. We have relationships to leverage to help provide services and potential use of agencies if required. Permanant staff is a preferred option			High 15	Stayed the same	Discussions with Digital Director are progressing to build a resourcing plan within budget. Recruiting permanent staff is the preferrend option to manage costs and build a high performing team that will work towards the coporate objectives and Digital strategy delivery	TBC	2	5	Med 10
	Uncertain Event (Risk): The Council may be at risk of delivering an effective service		Reputation	4	5			3	5							
	Consequence(s): It will result in service delivery failure affecting many services across the council		Legal/Compliance													
Risk D&C3	Cause: Loss of availability of Business applications and access data	I.C.T. Manager	Effects on Service			V High 15	Using the principle "High Availability by design" we have invested in technology and built a digital plattform for officers the "Cloud Desktop". This has taken advantage of cloud technologies this has made the availability of business applications and access to data.			High 15	Stayed the same	We have launched a project to upgrade the Cloud desktop using the latest technologies to enure the continued availability to business applications and access to data. Pilot projects have started and the roll out to all staff will continue through the Summer/Atumn/Winter dependancies Risk 2	Jan-22	2	5	Med 10
	Uncertain Event (Risk): The Council may be at risk of delivering an effective service		Reputation	3	5			3	5							
	Consequence(s): Failure of providing services to customers and vulnerable people		Legal/Compliance													