

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 November 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	5	5	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.	4	4	V High 16	decreased	Management of risks are improving but there are ongoing areas that require investment and support to reduce risks. Reviews of areas continues to identify opportunities for improvements and the use of technological digital information to reduce risks. Further work is required to support this development. Risk reduced from L4 x I5 = V.High 25	Dec-23	3	4	High 12
	Uncertain Event (Risk): The safety, health, welfare and wellbeing of individuals may be compromised		People													
	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	4	5	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	3	4	High 12	Stayed the same	Growth bid for officer submitted and awaiting outcome and conversation with place services ECC to identify if they have scope to undertake an intial survey and quote for works to be received	Ongoing	2	3	Med 6
	Uncertain Event (Risk): Risk of unmaintained trees wholly or partly falling on persons/property and other infrastructure		Reputation													
	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	4	4	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	3	3	Med 9	decreased	Can be removed from high/v.high list	December	2	2	Low 4
	Uncertain Event (Risk): Capacity of Environmental Health Pollution & Private Sector Housing Team		Reputation													
	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	3	4	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	3	4	High 12	decreased	HR to undertake Depot review of staff salaries and training of current loaders to drivers underway. One candidate at present. This risk was increased in September to L4 x L4 = V.High 16, but has since been reduced back down.	Ongoing	2	4	Med 8
	Uncertain Event (Risk): Unable to recruit LGV waste drivers		Financial & Resources													
	Consequence(s): Unable to deliver Waste and recycling collections															

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				L	I	S		L	I	S				L	I	S
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	5	5	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.	4	5	V High 20	Stayed the same	Good progress is being made in all areas of compliance and a central overview of all compliance performance reported to SLT monthly. Keystone KRM is in the testing stage with the Foundation module ready for trail/testing early December 21 to carry out FRAs and upload actions automatically. Growth bids in Capital and Revenue have been submitted and awaiting approval. This will allow the rest of the EICR test and works to be completed, lift refurbishment/upgrades, FRA works, water hygiene remedial works/tank replacements to all be completed.	Mar-23	1	5	Med 5
	Uncertain Event (Risk): The management of compliance is not effective.		Reputation													
	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	4	3	High 12	Sheltered housing review has started, with a review of the garage sites and the sites for potential regeneration to be identified.	4	3	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	Med 4
	Uncertain Event (Risk): The assets have not been reviewed to identify long-term use of the sites.		Effects on Service													
	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	3	5	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.	2	5	High 10	Stayed the same	Drake House has received a satisfactory safety inspection from the Fire service and we have now been advised we can remove the security guards/waking watch. Sprinkler funding been granted and works ongoing to tender and get works completed.	Et April 22	1	5	Med 5
	Uncertain Event (Risk): The risk is that the proposed solution cannot achieve the required sign off.		Reputation													
	Consequence(s): That residents have to be decanted until a permanent solution if 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	4	4	V High 16	A review of the existing training plan will take place and a revised training plan developed.	4	4	V High 16	Stayed the same	The review of the current training plan arrangements is currently underway with external consultants. Currently reviewing the draft 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													
	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	Stayed the same	Develop document retention processes Explore utilisation of assets database Commence programme of building schedule of property inspections to ensure compliance is being maintained	Mar-22	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	Risk has been transferred to the Strategic Risk Register	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 lose 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. Permanent 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 preferred option to manage costs and build a high performing team that will work towards the corporate 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 platform 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 ensure 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/Autumn/Winter dependencies 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													