

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 January 2022			Direction of travel 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.	3	4	High 12	decreased	Risk decreased from L4 x I4 = Very High 16. Development of interventions to reduce the current risks are being implemented. Some actions will take time due to budget constraints.	Dec-23	2	4	Med 8
	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	Reviewing Tree officers work load to allow 2 days per week to start tree survey. Spoken to pear tree surveys to find a solution that reduces manual input via handheld device	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&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	Stayed the same	HR undertaking review. One loader accepted to be trained and long term sick driver now obtained his licence	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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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. Further testing on the Foundation module due for mid-Feb to ensure all data is being captured correctly. 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	The review of various sites is ongoing to determine the approach as part of the SHDP which will determine the long term investment required to support the HRA business plan		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	4	Med 8	decreased	Risk decreased from L2 x I5 = High 10. Phase 1 completed. Sprinkler system agreed and being designed before tender.	Dec-22	1	3	Low 3
	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													

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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.			Low 4	decreased	Risk decreased from L4 x I4 = Very High 16 The matrix training document is now complete which highlights all training requirements and dates for review. This document is held centrally which all Managers can view.	31.01.22	1	4	Low 4
	Uncertain Event (Risk): That the service is not delivered effectively (e.g. compliance).		Reputation	4	4											
	Consequence(s): A mistake occurs due to a lack of awareness or training		People													
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 process, explore utilisation of assets database, commence programme of property inspections to ensure compliance is being maintained.	31.03.22	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											
	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 10	decreased	Risk decreased from L3 x I5 = Very High 15. Working with security sector to continue to improve our security posture	Ongoing	2	5	High 10
	Uncertain Event (Risk): The Council may be at risk of loss of data or service delivery through cyber attack		Financial & Resources	4	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													

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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	4	5	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	3	5	V High 15	Stayed the same	Delayed recruitment to allow savings. Issues recruiting across Essex. Working with other LA's to mitigate Also considering options to work with Rochford joint recruitment	Jul-22	2	5	High 10
	Uncertain Event (Risk): The Council may be at risk of delivering an effective service		Reputation													
	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	3	5	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.	3	4	High 12	decreased	Risk decreased from L3 x I5 = High 15. We are working with partners to accelerate the cloud desktop project and improve resilience. Project is at the point to beta test with General Users. Also updating Thin Clients in preparation. Linked with Hybrid working project	May-22	2	4	Med 8
	Uncertain Event (Risk): The Council may be at risk of delivering an effective service		Reputation													
	Consequence(s): Failure of providing services to customers and vulnerable people		Legal/Compliance													
Risk D&C4	Cause: Loss of Customer facing digital platforms	I.C.T. Manager	Effects on Service	3	5	V High 15	Similar to Risk 3 using the principle "High Availability by design" we have invested in cloud technology to build customer facing digital platforms to our customers.	2	5	High 10	Stayed the same	Work continues with improving resilience of digital platforms and cyber testing Additional options and partners are being reviewed to mitigate outages We can manage the likelihood but the impact will always remain high	on-going	2	5	High 10
	Uncertain Event (Risk): The Council may be at risk of delivering an ineffective service		Reputation													
	Consequence(s): Failure of providing services to customers and vulnerable people		Legal/Compliance													