

BRENTWOOD BOROUGH COUNCIL OPERATIONAL RISK REGISTER 2023

Risk No.	Risk Details	Risk Owner	Risk Categorisation	Original Scores (before any mitigations)			Mitigations to date	Current Scores February 2023			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 A&I1	Cause: Lack of robust and resourced regime for addressing failures in Corporate property compliance	Facilities Manager	Financial & Resources	5	5	V High 25	Undertaking routine compliance and remedial actions when identified. Retain appropriate documentation for evidence	4	3	High 12	Stayed the same	As previous update. Develop document retention process, explore utilisation of assets database, commence programme of property inspections to ensure compliance is being maintained.		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													
	Consequences: Risk of closure of buildings, damage to buildings, reputation risk to Council, loss of earnings and life and prosecution from HSE		People													
Risk A&I2	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	Stayed the same	Actions continue to be implemented to reduce the risk, but will take time to be achieved. Exploration of digital software to improve compliance and expedite compliance knowledge and position is being undertaken. Initial research is positive and further development is being pursued with the Facilities Management Team. Review of H&S management systems in developing the #OneTeam approach and improving the opportunities for a more effective system in conjunction with People OD and I.T. across the board. H&S&W Policy being reviewed for the #One Team approach. Council investment in H&S software is required to improve current position.	Dec-25	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													

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Risk ENV.1	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	Review meeting to be arranged with Zurich to understand options available before any further commitment is made to monitoring, size of estate and estimated resource to address needs to be costed against management options	Sep-27	2	4	Med 8
	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 ENV.3	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	2	4	Med 8	decreased	Improve rates now offered to drivers have improved the recruitment situation	On going	2	4	Med 8
	Uncertain Event (Risk): Unable to recruit LGV waste drivers		Financial & Resources													
	Consequence(s): Unable to deliver Waste and recycling collections															
Risk C&H1	Cause: Challenges with staff recruitment	Communities & Health 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	4	4	V High 16	Increased	No further recruitment has been undertaken and limited likelihood of successful recruitment with current staff availability and salary range being offered. Current staff level of 4 officers, 2 from Thurrock. Agency officer cancelled w/e from 2/7/21 and no replacement agency officer appointed. Increase in formal complaints and Ombudsman investigations against the Service, LGO have found fault. Limitations in service delivery, particularly in Private Sector Housing area which was temporarily assisted by specialist agency officer but contract terminated 31/12/2020. Underspend on staff budgets in subsequent years.	On going	3	3	Med 9
	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															

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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 HSG.2	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.	3	4	High 12	Stayed the same	Good progress continues in all areas of compliance. The first compliance performance report is being prepared for Housing Committee this month and will provide members with an overview of progress in each area. Phase 1 of the FRA planned works is on track to be completed by 31 March 2023. Phase 2 of the FRA works will continue in 2023/24. Issues with the live module of Keytone foundation are still present for FRA's however officers are working through these in an attempt to resolve them.	Mar-25	1	4	Med 4
	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 HSG.3	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 7 year small sites programme is in place. The Brookfield Close decant is nearing completion. One further tenant decant is being processed and the 2 remaining buybacks are scheduled to complete at the end of February. The Harewood Regen planning application was approved at planning committee and the landlord offer is due to be presented to the Housing Committee on the 27th February for approval to begin the decant of the site. The HRA business plan is regularly reviewed to determine the viability of the programme	Ongoing	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													

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Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services																
Risk C&D.1	Cause: If we do not have the appropriate cyber security or cyber incident response plan	I.C.T. Manager	Effects on Service	4	5	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.	2	5	High 10	Stayed the same	We will continue to improve our Cyber posture, and have been working with audit to implement recommendations. We will strengthen our relationship with LA's across Essex and beyond to share intelligence and continue to invest and update systems	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													
	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 C&D.2	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	We have recruited successfully into a junior developer role, but now have 2 team members leaving. An urgent Recruitment process has begun and we may consider agency if necessary We continue to strengthen our relationship with RDC IT	31-Jan	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 C&D.3	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	Stayed the same	Although we use a continuous service improvement model and have recently launch a new Virtaul desk and corproate laptops - linked to above due to potential impact of reduced resources this may have an impact here which is why this has stayed the same. We will continue to work with RDC and also recruit	Ongoing	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 C&D.4	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 plattform to our customers.	2	5	High 10	Stayed the same	We continue to work with partners on updates and cyber resilience to minise the likelihood Due to the changing threat landscape this risk remains cautiously 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													