

**OPERATIONAL RISK REGISTER**

**SERVICE: Business Transformation**

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Further rquired actions / controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/1	Key objectives not delivered due to capacity issue (e.g. Insufficient HR)	Contract & Corporate Project Manager	<ul style="list-style-type: none"> <li>&gt; Slippage on key projects/initiatives</li> <li>&gt; Deadlines and targets not met</li> <li>&gt; Lack of focus</li> <li>&gt; Workloads increase</li> <li>&gt; staff de-motivated</li> </ul>	10	No further action required	10	Jan-14	No further action required	10	Jun-14	Continue to review resource requirements as project demands increase	10	Sep-14
RSK/2	Loss or theft of data >Data held by the Council ends up in inappropriate hands	Contract & Corporate Project Manager	<ul style="list-style-type: none"> <li>&gt; Breach of corporate governance</li> <li>&gt; Increased costs and legal implications</li> <li>&gt; Reputation damage</li> </ul>	20	No further action required	12	Jan-14	No further action required	12	Jun-14	Need to review control mechanisms and improve monitoring. Requires regular communications updates to all staff	12	Sep-14
RSK/3	ICT Strategy cannot be implemented due to lack of funding	Contract & Corporate Project Manager	<ul style="list-style-type: none"> <li>&gt; System fails</li> <li>&gt; Lack of service delivery</li> </ul>									12	Sep-14

OPERATIONAL RISK REGISTER

SERVICE: ENVIRONMENTAL HEALTH

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Further required actions / controls	Revised Risk Score	Last Review Date	Further required actions / controls	Revised Risk Score	Last Review Date	Further required actions / controls	Revised Risk Score	Last Review Date
RSK/1	Protection of Front Line staff	Corporate Health & Safety Advisor	Injury to member of staff in or outside the Council offices	20	Lone working/Personal safety training for staff is currently being organised.	20	Jan-14	Lone Working Training almost complete. Service Area Line Managers to complete risk assessments.	15	Jun-14	Lone working & Personal Safety training now completed. Trial of electronic devices to improve controls for designated staff being planned.	12	Sep-14
RSK/2	Health and Safety at the Town Hall and Depot Buildings	Corporate Health & Safety Advisor	Injury to member of staff, customer or visitor at a Council Building	16	The production of risk assessments for service area activities across the Council needs to be completed.	16	Jan-14	Engage with HoS and Line managers in Service Areas to identify, complete and publish risk assessments on the H&S Microsite.	16	Jun-14	Continue working with HoS and Line Managers to achieve the production of risk assessments and publicising H&S tools & guidance for use by the respective Service Areas.	16	Sep-14
RSK/3	Ability to act upon 24/7 basis to serious foreseen noise complaints	Senior Environmental Health Officer	Residents may need to wait until normal office hours until officers can respond	10	Out of hours noise service is provided on a planned basis. Gold Command will take control in any emergency	10	Jan-14	No further action required.	10	Jul-14	No further action required	10	Sep-14
RSK/4	Business Continuity Management > Unable to respond effectively to a business continuity incident (e.g. IT, virus/flu pandemic)	Senior Environmental Health Officer	> Services disrupted/loss of service > Possible loss of income > staff absence > Hardship for some of the community > Council criticised for not responding effectively	8	Business Continuity Service is presently being Audited and all outcomes will be actioned	8	Jan-14	Business Continuity Service has been audited and a full action plan has been completed	8	Jun-14	Work is currently being progressed on all parts of the workplan.	8	Sep-14
RSK/5	Loss of life from an event identified as an emergency (where the Council has a legal responsibility)	Senior Environmental Health Officer	>Reputational damage >Financial penalties  > Failure to comply with the civil contingencies Act 2004 > Impact on staff and services	15	No further action required (subject to regular review).	10	Jan-14	No further action required (subject to regular review).	10	Jun-14	No further action required (subject to regular review).	10	Sep-14

**OPERATIONAL RISK REGISTER**

**SERVICE: FINANCE**

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Further required actions / controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/1	Treasury Management > Loss of funds due to bank collapse > Reduction in investment interest > Transactions undertaken which are outside the terms of the Treasury Management Policy	Financial Services Manager	Up to £12m can be invested at any one time Negative impact on the budget Higher risk transactions e.g. Unapproved Counterparty	16	No further action required	9	Jan-14	Arrangements have been made for a new Bank Account contract	4	Jun-14	No change - money on call accounts.	4	Sep-14
RSK/2	Changes in legislation which jeopardize the Council's financial reporting position	Financial Services Manager	> Failure to produce accounts  > Accounts not signed off by the External Auditors > Staff time and costs > Reputational damage	15	No further action required	8	Jan-14	No change	8	Jun-14	The risk is less about changes in legislation now but having the knowledge and resources to prepare the SoA. Closure plan to be put in place	8	Sep-14
RSK/3	Insufficient development of the Financial Management System	Financial Services Manager	> Delay to realising system benefits resulting in inefficient use of staff time and lack of realised savings	12	> Recruitment of Systems Accountant - responsibilities include developing the financial system	4	Jan-14	No change	4	Jun-14	CP is now operational	4	Sep-14
RSK/4	Loss of key staff	Financial Services Manager	> Reduced quality of output > Errors/omissions > Additional costs incurred for Interim cover > Negative impact on remaining staff	8	> Ensuring staff are multiskilled and knowledge is shared and not with just one person	4	Jan-14	> Recruitment in progress for replacement Financial Services Manager > Interim resources in place for Maternity Cover	16	Jun-14	> Recruitment in progress for replacement Financial Services Manager > Interim resources in place for Maternity Cover	16	Sep-14

OPERATIONAL RISK REGISTER

SERVICE: FINANCE

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Further required actions / controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/5	Uninsured properties/risks	Financial Services Manager	> Financial and reputational implications in the event of any loss/damages	12	No further action required	12	Jan-14	Valuation for insurance reinstatement purposes carried out on general properties. Risk Mgt training given to Manager.	8	Jun-14	Valuation for insurance reinstatement purposes carried out on general properties. Risk Mgt training given to Managers	8	Sep-14
RSK/6	Failure to maintain adequate internal controls	Financial Services Manager	> Increased risk of fraud activity > Inappropriate use of Council resources	8	No further action required	6	Jan-14	No change	6	Jun-14	Resource issue to be addressed with further recruitment	6	Sep-14
RSK/7	Failure to implement changes to Benefit rules and regulations in a timely manner	Revenues & Benefits Manager	> Incorrect levels of Benefits paid to customers > Subsidy claims not signed off > Reputational damage > Claimants could suffer financial hardship/loss	15	No further action required	15	Jan-14	Additional resources into the Systems & Technical Team	10	Jun-14	No further action required	10	Sep-14
RSK/8	Failure to meet income collection targets in respect of Council Tax & Business Rates	Revenues & Benefits Manager	> Lower than anticipated income will impact on the Council's Medium Term Financial Plan	12	ICT that supports accurate and speedy processing. Enhanced income management to enable maximisation of collection	6	Jan-14	Additional temporary ICT and Financial Management Support in place to address areas of concern	16	Jun-14	Not yet in place	16	Sep-14

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**SERVICE: GOVERNANCE**

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Further required actions / controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/1	Failure to manage contracts effectively	Head of Legal Services	> Contract Fails to deliver > Loss of revenue > Financial impact on Council > Loss of reputation	12	Training provided & monitored by BDT legal services.	3	Jan-14	No further action required	3	Jul-14	This risk has now been escalatd to the Strategic Risk Register, RSK 8 Contract /Partnership Failure	3	Sep-14
RSK/2	Illegal encampments	Head of Legal Services	> Financial cost to the Council legally > Reputational impact > Clear up costs	10	Revised clear processes in place with Gold Command.	3	Jan-14	No further action required	3	Jul-14	No further action required	3	Sep-14
RSK/3	Failure to manage data security	Head of Legal Services	> Reputational impact > Financial impact from fines	15	Data policies are presently being reviewed. Further & updated training is being provided & to be implemented to all staff.	4	Jan-14	No further action required	4	Jul-14	This risk has now been escalatd to the Strategic Risk Register, RSK 5 Information Management and Security	4	Sep-14

OPERATIONAL RISK REGISTER

SERVICE: HOUSING

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Further required actions / controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/1	Contractor Failure	Head of Housing	Contract Fails to deliver, loss of revenue, financial impact on Council, loss of reputation	6	Contracts reprocured on similar basis. Consolidation of contracts slightly increases risk	5	Jan-14	No further action required	5	Jun-14	This risk has now been escalated to the Strategic Risk Register, RSK 8 Contract / Partnership failure.		
RSK/2	Emergency with significant homeless implications	Head of Housing	Costs to the Council should families require re-homing Reputational Risk	12	No further action required	4	Jan-14	Training for Rest Centre Volunteers and an Out of Hours notification test were held in Feb and April 2014. A live exercise is to be arranged for sometime in the near future.	4	Jun-14	This risk has now been escalated to the Strategic Risk Register, RSK 3 Disaster Recovery / Continuity Planning.		
RSK/3	Defective gas installations	Head of Housing	Gas leaks, explosions Reputational impact Financial impact	10	Key PI in revised contracts.	5	Jan-14	Access issues monitored weekly to ensure escalation as necessary	5	Jun-14	Continued monitoring of delivery against PI's.	5	Sep-14
RSK/4	Fire in residential or community areas	Head of Housing	Possible death or injury. Residents would have to be relocated Re-homing costs Reputational impact	15	Risk assessment programme ongoing	10	Jan-14	Weekly inspections by caretakers reporting issues and breaches to housing officers. Instigate estate inspection regime to include fire risk. Develop policy in conjunction with Fire Officer to deal with the management of common parts, including issuing of notices and removal of goods likely to pose a risk.	10	Jun-14	Bi-monthly estate inspections commenced 21/8/14 noting fire risks & taking action on breaches & recording conditions of site. Additional checks are to be introduced	10	Sep-14

OPERATIONAL RISK REGISTER

SERVICE: ICT

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Further required actions / controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/1	Failure of ICT Infrastructure	Head of Business Transformation	<ul style="list-style-type: none"> <li>&gt; Unable to provide services to the customer</li> <li>&gt; Staff unable to carry out their functions properly</li> <li>&gt; Financial Impact to the Council</li> </ul>	15	No further action required	5	Jan-14	No further action required. <span style="color: red;">Due to recent events this risk has now been escalated to the Strategic Risk Register.</span>	5	Jun-14 Jul-14			
RSK/2	Breach of security by members	Head of Business Transformation	<ul style="list-style-type: none"> <li>&gt; Loss of data</li> <li>&gt; Financial fines to the Council</li> <li>&gt; Reputational loss</li> </ul>	12	No further action required	8	Jan-14	No further action required	8	Jun-14	No further action required	8	Sep-14

**OPERATIONAL RISK REGISTER**

**SERVICE: LOCALISM**

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Further required actions / controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/1	Failure to deliver BBC Events	Partnership, Leisure & Funding Manager	> Reputational Impact > Financial impact > Loss of life or injury	20	Event Management Plans are updated for each event - no further action.	12	Jan-14	No further action required as event management are updated for each event	12	Jul-14	No further action required	12	Sep-14
RSK/2	Failure to meet safeguarding requirements; staff unaware of their responsibilities	Partnership, Leisure & Funding Manager	Single point of failure	4	Safeguarding Strategy & Policy currently under review with revised Strategy and Policy to be agreed by members in June 2014. Face to face / e-learning safeguarding training to be delivered to all staff/members June/July 2014	2	Jan-14	Training has been postponed to December/Jan 2015 to all staff/members	2	Jul-14	No further action required, other than that already identified	2	Sep-14
RSK/3	Failure to manage and deliver partnership opportunities	Partnership, Leisure & Funding Manager	Partnerships not managed, not deliver what they were intended to do and resulting in loss of service and reputational damage	8	Funding Strategy agreed at S & P on 8 November - implementation starts April 2014 for completion April 2014	4	Jan-14	One to one meetings undertaken and on target for completion April 2015	4	Jul-14	No further action required, other than that already identified	4	Sep-14
RSK/4	Failure to manage non housing building assets	Strategic Asset Manager	Reduction in asset value, Injuries to staff, customers, visitors Financial impact Council unaware of future costs and impacts	12	No further action required	8	Jan-14	No further action required	8	Jul-14	R&M contract in place with Wates Living. Programme being rolled out for 2014/15.	6	Sep-14
RSK/5	Hutton Community Centre	Partnership, Leisure & Funding Manager	Reputational and financial risk due to lack of use of the centre	12	No further action required	6	Jan-14	Renovation of building has been completed.	6	Jul-14	Building officially opened 30/05/14 & steady bookings are in place for the centre	6	Sep-14



**OPERATIONAL RISK REGISTER**

**SERVICE: PLANNING**

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Further required actions / controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/1	Error in making a Planning decision	Development Management Team Leader	> Financial implications - judicial review, legal costs & compensation > Reputation undermined	15	Reviewed by peer authority	8	Jan-14	No further action required	8	Jun-14	No further action required.	8	Sept-14
RSK/2	Lose Planning Appeal decision	Development Management Team Leader	If costs awarded maybe financial implications	15	Implement revised planning protocols	15	Jan-14	Member training to identify consequences of decisions	15	Jun-14	No further action required.	15	Sept-14
RSK/3	Error or delay in undertaking planning enforcement	Development Management Team Leader	> Reputation undermined > Financial compensation	15	No further action required	8	Jan-14	No further action required	8	Jun-14	No further action required.	8	Sept-14
RSK/4	Increased workload due to:- > increase in applications > changes in legislation > failure to have files sorted & uploaded	Head of Planning	> Inability to do the work	20		20		Development management staff now more effective and much improved performance	8	Jun-14	No further action required.	8	Sep-14
RSK/5	Loss of key staff	Head of Planning	> Inability to do the work	20		20		Reduction in use of agency staff	15	Jun-14	No further action required other than that already identified.	15	Sep-14

OPERATIONAL RISK REGISTER

SERVICE: STREET SCENE

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Further required actions / controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/1	Unable to collect waste due to: > shortage of vehicles > weather > strike action > pandemic > Theft or vandalism of vehicle fleet at the Depot	Operations Manager	> Piles of rubbish on street > Health risks > Financial impact > Reputation undermined > Delivery of services affected	5	Good relationship with local vehicle hire company established. Vehicle tracking systems and onboard CCTV installed on RCV's.	3	Jan-14	No further action required	3	Jun-14	No further action required	3	Sep-14
RSK/2	Depot's diesel/petrol supply suspended	Operations Manager	> Delivery of services affected > Reputation undermined	4	Account with local fuel supplier by use of fuel cards	3	Jan-14	No further action required	3	Jun-14	No further action required	3	Sep-14
RSK/3	Total loss of the Vehicle Maintenance workshop	Operations Manager	> Delivery of services affected > Reputation undermined	4	No further action required	2	Jan-14	No further action required	2	Jun-14	No further action required	3	Sep-14
RSK/4	Public injury/death whilst using Council Services > Playgrounds > Sports Pitches > Public Open Spaces > Golf	Service Co-ordinator Parks & Open Spaces	> Financial loss > Reputation > Corporate Manslaughter charge	3	No further action required	2	Jan-14	No further action required	2	Jun-14	No further action required	2	Sep-14
RSK/5	Deficiencies in Health & Safety Policies/Procedures > injury or death to employee	Operations Manager	> Financial loss > Reputation	3	Regular H&S meetings	2	Jan-14	No further action required	2	Jun-14	Priority gaps in Risk Assessment with David Wellings	2	Sep-14
RSK/6	Risk of unmaintained trees wholly or partly falling on persons/property and other infrastructure	Service Co-ordinator Parks & Open Spaces	> Harm or injury to member of public > Reputational damage > Corporate Manslaughter charge	15	The implementation of a Tree Management Strategy	15	Jan-14	In the process of introducing Tree Mgt System. Also management plans being drawn up for several of the woodlands.	15	Jun-14	No further action required other than that already identified.	15	Sep-14
RSK/7	Inability to provide statutory burial service	Service Co-ordinator Parks & Open Spaces	> Build up of burials waiting to take place > Reputational risk and damage > Loss of income > Failure to provide statutory service	4				No further action required	4	Jun-14	No further action required	4	Sep-14