

OPERATIONAL RISK REGISTER

SERVICE: ENVIRONMENTAL HEALTH

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	Further required actions / controls	Revised Risk Score	Further required actions / controls	Last Review Date	Last Review Date	Revised Risk Score
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 and Cautionary Contacts procedures have been provided on the Council's Health and Safety Microsite	20	Lone working & Personal Safety training now completed. Trial of electronic devices to improve controls for designated staff being planned.	12	Awaiting funding agreement for Trial and subsequent use of Lone Working electronic devices for designated staff where required.	Sep-14	Jan-15	12
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	15	All divisions have received training in risk assessment and health and safety management. The microsite provides all information and formwork relating to risk assessments/safe systems of work and how to complete them	16	Continue working with HoS and Line Managers to achieve the production of risk assessments and publishing H&S tools & guidance for use by the respective Service Areas.	16	Continue with current strategy of engaging with HoS and Line Managers and supporting them to have good H&S in place to manage their risks.	Sep-14	Jan-15	16
RSK/3	Ability to act upon 24/7 basis to serious foreseen noise complaints	Environmental Health Manager	Residents may need to wait until normal office hours until officers can respond	10	There is no out of hours noise service except during bank holidays and at Christmas	10	No further action required	10	No further action required.	Sep-14	Jan-15	10
RSK/4	Business Continuity Management > Unable to respond effectively to a business continuity incident (e.g. IT, virus/flu pandemic)	Environmental Health Manager	> 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 Plans in Place > Audited annually > Performance Measured against other Essex Authorities > Testing schedule in place > Plans reviewed annually	8	Work is currently being progressed on all parts of the workplan.	8	This risk has now been escalated to the Strategic Risk Register, RSK 3 Disaster Recovery/Continuity Planning	Sep-14	Jan-15	8

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RSK/5	Loss of life from an event identified as an emergency (where the Council has a legal responsibility)	Senior Environmental Health Officer	<ul style="list-style-type: none"> <li>&gt; Reputational damage</li> <li>&gt; Financial penalties</li> <li>&gt; Failure to comply with the civil contingencies Act 2004</li> <li>&gt; Impact on staff and services</li> </ul>	15	<ul style="list-style-type: none"> <li>&gt; Emergency Plan in Place</li> <li>&gt; Reviewed annually</li> <li>&gt; Rest centre staff trained and ready for deployment</li> <li>&gt; Close liaison with Essex Emergency Planning Services</li> </ul>	10	No further action required (subject to regular review).	10	Sep-14	No further action required other than that already identified.	10	Jan-15

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**SERVICE: GOVERNANCE**

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	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	<ul style="list-style-type: none"> <li>&gt; Contract Fails to deliver</li> <li>&gt; Loss of revenue</li> <li>&gt; Financial impact on Council</li> <li>&gt; Loss of reputation</li> </ul>	12	<ul style="list-style-type: none"> <li>&gt; Seek to implement formal contract monitoring training for staff</li> <li>&gt; Implement a review of the contract register</li> <li>&gt; Set out clear process for monitoring contracts</li> </ul>	8	This risk has now been escalated to the Strategic Risk Register, RSK 8 Contract /Partnership Failure	3	Sep-14	This risk has now been escalated to the Strategic Risk Register, RSK 8 Contract /Partnership Failure	3	Sep-14
RSK/2	Illegal encampments	Head of Legal Services	<ul style="list-style-type: none"> <li>&gt; Financial cost to the Council legally</li> <li>&gt; Reputational impact</li> <li>&gt; Clear up costs</li> </ul>	10	<ul style="list-style-type: none"> <li>Out of hours processes in place to take swift action should encroachment occur</li> </ul>	10	No further action required	3	Sep-14	Review cost effectiveness of current system	3	Jan-15
RSK/3	Failure to manage data security	Head of Legal Services	<ul style="list-style-type: none"> <li>&gt; Reputational impact</li> <li>&gt; Financial impact from fines</li> </ul>	15	<ul style="list-style-type: none"> <li>&gt; SIRO in Place</li> <li>&gt; Regular review of Data policies and security of data regularly carried out</li> <li>&gt; Training to be identified and implemented to all staff</li> </ul>	10	This risk has now been escalated to the Strategic Risk Register, RSK 5 Information Management and Security	4	Sep-14	This risk has now been escalated to the Strategic Risk Register, RSK 5 Information Management and Security	4	Sep-14

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SERVICE: ICT

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	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 Customer Service	<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	<ul style="list-style-type: none"> <li>&gt; Business Continuity Plan in place</li> <li>&gt; Resiliency site Identified and links tested</li> </ul>	5	This risk has now been escalated to the Strategic Risk Register, RSK 3 Disaster Recovery /Continuity Planning					
RSK/2	Breach of security by members	Head of Customer Service	<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	Training for members	8	No further action required	8	Sep-14	Data loss prevention tools are in place i.e. firewalls, antivirus, data backups, information security policies	8	Jan-15

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SERVICE: LOCALISM

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	Further required actions/controls	Last Review Date	Revised Risk Score	Further required actions/controls	Last Review Date
RSK/1	Failure to deliver BBC Events	Partnership, Leisure & Funding Manager	> Reputational impact > Financial impact > Loss of life or injury	20	> Information, processes and procedures in place > Experienced staff in place to oversee events	12	No further action required	Sep-14	12	No further action required as Event Management Plans are updated for each event	Jan-15
RSK/2	Failure to meet safeguarding requirements; staff unaware of their responsibilities	Partnership, Leisure & Funding Manager	Single point of failure	4	> Safe guarding micro site in place > Ensure periods of absence are covered	2	No further action required, other than that already identified	Sep-14	2	Updated Safeguarding and Procedures agreed at 17 December 2014 Community Committee. Updated staff training to be delivered in 2015.	Jan-15
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 to be implemented	4	No further action required, other than that already identified	Sep-14	4	In Kind Policy is before F & R Committee on 13 January 2015. Separate Community Let Policy/Room Hire going to Asset & Engerprise Committee. Commissioning Prospectus launched 9 January 2014 for tenders for services.	Jan-15
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	Programme of works in place to maintain/improve the Councils asset stock. First year maintenance nearing completion.	8	R&M contract in place with Wates Living. Programme being rolled out for 2014/15.	Sep-14	6	No further action required.	Jan-15

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	Further required actions/controls	Revised Risk Score	Last Review Date	Further required actions/controls	Revised Risk Score	Last Review Date
RSK/5	Hutton Community Centre	Partnership, Leisure & Funding Manager	Reputational and financial risk due to lack of use of the centre	12	Active working group, developing processes for future lease. Renovation of building nearing completion.	6	Building officially opened 30/05/14 & steady bookings are in place for the centre	6	Sep-14	Invitation for a Community organisation to take over the running of the building is being advertised through Assets January 2015	6	Jan-15

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SERVICE: PLANNING

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	Further required actions/controls	Revised Risk Score	Further required actions/controls	Last Review Date	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	> Duplicate checks of weekly list > Review of weekly list to take place	8	No further action required.	8	No further action required.	Sept-14	Jan-15
RSK/2	Lose Planning Appeal decision	Development Management Team Leader	If costs awarded maybe financial implications	15	> Ongoing monitoring and review of appeal decisions to learn > Planning training	15	No further action required.	15	No further action required.	Sept-14	Jan-15
RSK/3	Error or delay in undertaking planning enforcement	Development Management Team Leader	> Reputation undermined > Financial compensation	15	> Review of enforcement procedures > Backlog cleared	8	No further action required.	8	No further action required.	Sept-14	Jan-15
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	> Manage staff resources	20	No further action required.	8	No further action required.	Sep-14	Jan-15
RSK/5	Loss of key staff	Head of Planning	> Inability to do the work	20	> Use of agency staff > Recruitment of new staff	20	No further action required other than that already identified.	15	No further action required other than that already identified.	Sep-14	Jan-15

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SERVICE: STREET SCENE

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	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	> Winter Plan adopted > CCTV equipment linked to 24hr attended control room > Alarms and immobilisers fitted to vehicles > utilise staff from other services and contract with national agencies Discuss as priority area with national agencies	3	No further action required	3	Sep-14	No further action required	3	Jan-15
RSK/2	Depot's diesel/petrol supply suspended	Operations Manager	> Delivery of services affected > Reputation undermined	4	> Restricted Access > Trained Staff > Storage of combustibles > contract with local hire company & other authorities > Routine equipment safety checks	3	No further action required	3	Sep-14	No further action required	3	Jan-15
RSK/3	Total loss of the Vehicle Maintenance workshop	Operations Manager	> Delivery of services affected > Reputation undermined	4	> Regular evidenced inspections carried > Proactive works maintenance programme	2	No further action required	3	Sep-14	No further action required	3	Jan-15
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	> Risk assessments completed in > Appropriate training for staff	2	No further action required	2	Sep-14	No further action required other than that already identified	2	Jan-15
RSK/5	Deficiencies in Health & Safety Policies/Procedures > injury or death to employee	Operations Manager	> Financial loss > Reputation	3	An assessment has been carried out on all of the Council's sites regarding the of state of the trees and footfall & prioritised accordingly	2	Priority gaps in Risk Assessment with David Wellings	2	Sep-14	Ongoing review from D Wellings	2	Jan-15
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	> Liaison with contractors to provide back up service if with funeral directors and hospitals	15	No further action required other than that already identified.	15	Sep-14	No further action required other than that already identified	15	Jan-15
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	No further action required	4	Sep-14	No further action required other than that already identified	4	Jan-15



**OPERATIONAL RISK REGISTER**

**SERVICE: Business Transformation**

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	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	<ul style="list-style-type: none"> <li>&gt; Monitor recruitment process</li> <li>&gt; Review the external market</li> <li>&gt; Sickness levels monitored</li> </ul>	10	Jun-14	Continue to review resource requirements as project demands increase	10	Sep-14	<ul style="list-style-type: none"> <li>1) Continue to review structure of ICT delivery</li> <li>2) Develop partnerships to resolve key resource/skill set shortages</li> </ul>	10	Jan-15
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	<ul style="list-style-type: none"> <li>&gt; Data compliance policies in place</li> <li>&gt; E-learning courses available</li> <li>&gt; Technology to stop breaches are in place</li> </ul>	12	Jun-14	Need to review control mechanisms and improve monitoring. Requires regular communications updates to all staff	12	Sep-14	Continue to promote hosted systems ensuring that effective and reliable controls are in place (and defined in relevant contracts)	12	Jan-15
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>		<ul style="list-style-type: none"> <li>&gt; Review strategy with HoS</li> <li>&gt; Clear budget parameters</li> </ul>	12	Sep-14		12	Sep-14	Ensure that all projects (and services) incorporate clear funding sources and ongoing maintenance costs - this to be extended to any shared service offering	10	Jan-15

OPERATIONAL RISK REGISTER

SERVICE: FINANCE

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	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	> Use of External Adviser - Sector and £5m limit with each counterparty > Treasury Management Strategy that is reviewed yearly. Regular monitoring and training for staff > Ensure staff are well trained and adequate cover in place	9	No change - money on call accounts.	4	Sep-14	No change - money on call accounts.	4	Jan-15
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	> Regular liaison with our External Auditors and attendance at relevant training seminars	8	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	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	Jan-15
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	> Effective project management and regular monitoring	6	CP is now operational	4	Sep-14	No Further action required	4	Jan-15
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	> Good communications > Succession planning	6	> Recruitment in progress for replacement Financial Services Manager > Interim resources in place for Maternity Cover	15	Sep-14	> Recruitment in progress for replacement Financial Services Manager > Interim resources in place for Maternity Cover	15	Jan-15

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SERVICE: FINANCE

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	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	> Regular monitoring and robust annual renewals process	12	No further action required	8	Sep-14	Robust annual renewals completed. Risk assessments completed to manage its activities and regular inspections.	6	Jan-15
RSK/6	Failure to maintain adequate internal controls	Financial Services Manager	> Increased risk of fraud activity > Inappropriate use of Council resources	8	> Effective Internal Audit arrangements > Staff training	6	Resource issue to be addressed with further recruitment	6	Sep-14	Resource issue to be addressed with further recruitment	6	Jan-15
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	> Regular review and implementation of updates from DWP > Robust testing of software changes	15	No further action required	10	Sep-14	No further action required	10	Jan-15
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	> Regular monitoring > Robust debt recovery procedures	8	Not yet in place	10	Sep-14	Additional temporary ICT and financial management support now in place	10	Jan-15

OPERATIONAL RISK REGISTER

SERVICE: HOUSING

Risk Ref	Description of Risk	Risk Owner	Potential Impact	Initial Risk Score	Control Measures	Revised Risk Score	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 procured according to recognised terms and procedures. Regular contract meetings to identify threats	4	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	Emergency planning response measures in place to deal with evacuation or other mass movement of people Test rest centre procedures Review rest centre/emergency plans	5	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	Annual inspection regime - 100% access. Servicing operate on a 10 month cycle to ensure opportunity to take action where access becomes an issue. Legal action taken as necessary to ensure access.	5	Continued monitoring of delivery against PI's.	5	Sep-14	New KPI, monitored at Hsg Cttee. Meeting with Corporate Health & Safety Advisor last week to produce/review procedures and processes	5	Jan-15
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	Fire risk assessment programme currently being revised. In certain areas where there are static caretakers and particularly high rise, issues and breaches are recorded and referred to Estates Management.	10	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	Programme set for next 12 months and advertised in Newsletter. Monitored regularly by Estates Team.	10	Jan-15