

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	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 and Cautionary Contacts procedures have been provided on the Council's Health and Safety Microsite	20	Awaiting funding agreement for Trial and subsequent use of Lone Working electronic devices for designated staff where required.	12	Jan-15	Funding agreed for pilot of Lone Worker devices and pilot currently being undertaken.	8	Jun-15
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	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 with current strategy of engaging with HoS and Line Managers and supporting them to have good H&S in place to manage their risks.	16	Jan-15	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. This is now bearing fruit & improvement in H&S culture but more work to be done.	8	Jun-15
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	Jan-15	No further action required.	6	Jun-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/4	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"> >Reputational damage >Financial penalties > Failure to comply with the civil contingencies Act 2004 > Impact on staff and services 	15	<ul style="list-style-type: none"> > Emergency Plan in Place > Reviewed annually > Rest centre staff trained and ready for deployment > Close liaison with Essex Emergency Planning Services 	10	No further action required other than that already identified.	10	Jan-15	No further action required other than that already identified.	10	Jun-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	Further required actions/controls	Last Review Date	Last Review Date
RSK/1	Illegal encampments	Head of Legal Services	<ul style="list-style-type: none"> > Financial cost to the Council legally > Reputational impact > Clear up costs 	10	Out of hours processes in place to take swift action should encroachment occur	10	Review cost effectiveness of current system	3	Legal action should be taken to obtain pre-emptive borough wide injunctions of known vulnerable sights to prohibit future incursions. Use of Civil & Magistrates court procedure, the latter to be preferred as have sanctions for reincursions within 3 months of magistrate order.	Jan-15	Jun-15

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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	Further required actions/controls	Last Review Date	Last Review Date
RSK/1	Breach of security by members	Head of Customer Service	<ul style="list-style-type: none"> > Loss of data > Financial fines to the Council > Reputational loss 	12	Training for members	8	Data loss prevention tools are in place i.e. firewalls, antivirus, data backups, Information security policies	8	Further training for new members	Jan-15	Jun-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	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	> Information, processes and procedures in place > Experienced staff in place to oversee events	12	No further action required as Event Management Plans are updated for each event	12	Jan-15	No further action required as Event Management Plans are updated for each event	12	Jun-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	Updated Safeguarding and Procedures agreed at 17 December 2014 Community Committee. Updated staff training to be delivered in 2015.	2	Jan-15	Updated webpages and safeguarding microsite. 6 staff safeguarding training already delivered. E-learning module currently being updated. However the e-learning corporate induction module does need to be revised urgently. Date of member safeguarding training tbc.	2	Jun-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	In Kind Policy is before F & R Committee on 13 January 2015. Separate Community Let Policy/Room Hire going to Asset & Enterprise Committee. Commissioning Prospectus launched 9 January 2014 for tenders for services.	4	Jan-15	No further action required, other than that already identified	4	Jun-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/4	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	Invitation for a Community organisation to take over the running of the building is being advertised through Assets January 2015	6	Jan-15	Heads of terms of lease to be agreed with community organisation and agreed by Members. Date report comes to committee to be confirmed.	6	Jun-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	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	> Duplicate checks of weekly list > Review of weekly list to take place	8	No further action required.	8	Jan-15	Implement principles of the 'Modern Planning' agenda	8	Jun-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	Jan-15	Develop a training programme for staff linked to Appraisals	15	Jun-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	Jan-15	Implement the recently adopted Enforcement Plan	8	Jun-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	Jan-15	Implement principles of the 'Modern Planning' agenda	8	Jun-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	Jan-15	Contribute to development of Corporate staff retention programme.	15	Jun-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	Further required actions/controls	Last Review Date	Last Review Date	Revised Risk Score
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	3	No further action required	3	No further action required	Jan-15	Jun-15	3
RSK/2	Depot's diesel/petrol supply suspended	Operations Manager	> Delivery of services affected > Reputation undermined	4	Discuss as priority area with national agencies	3	No further action required	3	No further action required	Jan-15	Jun-15	3
RSK/3	Total loss of the Vehicle Maintenance workshop	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	2	No further action required	3	No further action required	Jan-15	Jun-15	3
RSK/4	Public injury/death whilst using Council Services > Playgrounds > Sports Pitches > Public Open Spaces > Golf	Service Coordinator Parks & Open Spaces	> Financial loss > Reputation > Corporate Manslaughter charge	3	> Regular evidenced inspections carried > Proactive works maintenance programme	2	No further action required other than that already identified	2	No further action required other than that already identified	Jan-15	Jun-15	2
RSK/5	Deficiencies in Health & Safety Policies/Procedures > injury or death to employee	Operations Manager	> Financial loss > Reputation	3	> Risk assessments completed in > Appropriate training for staff	2	Ongoing review from D Wellings	2	Ongoing review from D Wellings	Jan-15	Jun-15	2
RSK/6	Risk of unmaintained trees wholly or partly falling on persons/property and other infrastructure	Service Coordinator Parks & Open Spaces	> Harm or injury to member of public > Reputational damage > Corporate Manslaughter charge	15	An assessment has been carried out on all of the Council's sites regarding the state of the trees and footfall & prioritised accordingly	15	No further action required other than that already identified	15	No further action required other than that already identified	Jan-15	Jun-15	15
RSK/7	Inability to provide statutory burial service	Service Coordinator Parks & Open Spaces	> Build up of burials waiting to take place > Reputational risk and damage > Loss of income > Failure to provide statutory service	4	> Liaison with contractors to provide back up service if > Open communication with funeral directors and hospitals	4	No further action required other than that already identified	4	No further action required other than that already identified	Jan-15	Jun-15	4

OPERATIONAL RISK REGISTER

SERVICE: Business Transformation

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	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"> > Slippage on key projects/initiatives > Deadlines and targets not met > Lack of focus > Workloads increase > staff de-motivated 	10	<ul style="list-style-type: none"> > Monitor recruitment process > Review the external market > Sickness levels monitored 	10	<ul style="list-style-type: none"> 1) Continue to review structure of ICT delivery 2) Develop partnerships to resolve key resource/skill set shortages 	10	<ul style="list-style-type: none"> 1) Confirm governance and reporting structure on all key projects 2) Develop partnerships to resolve key resource/skill set shortages 	10	Jun-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"> > Breach of corporate governance > Increased costs and legal implications > Reputation damage 	20	<ul style="list-style-type: none"> > Data compliance policies in place > E-learning courses available > Technology to stop breaches are in place 	12	<ul style="list-style-type: none"> Continue to promote hosted systems ensuring that effective and reliable controls are in place (and defined in relevant contracts) 	12	<ul style="list-style-type: none"> Continue to promote hosted systems ensuring that effective and reliable controls are in place (and defined in relevant contracts) 	10	Jun-15
RSK/3	ICT Strategy cannot be implemented due to lack of funding	Contract & Corporate Project Manager	<ul style="list-style-type: none"> > System fails > Lack of service delivery 		<ul style="list-style-type: none"> > Review strategy with HoS > Clear budget parameters 		<ul style="list-style-type: none"> Ensure that all projects (and services) incorporate clear funding sources and ongoing maintenance costs - this to be extended to any shared service offering 		<ul style="list-style-type: none"> 1) Update ICT strategy 2) Review delivery and control mechanisms within ICT 	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	Further required actions/controls	Last Review Date	Last Review Date	Revised Risk Score
RSK/1	Treasury Management > Reduction in investment interest > Transactions undertaken which are outside the terms of the Treasury Management Policy	Financial Services Manager	Negative impact on the budget Higher risk transactions e.g. Unapproved Counterparty	16	> Treasury Management Policy that is reviewed yearly and monitored regularly > Ensure staff are well trained and adequate cover in place	9	No change - money on call accounts.	4	No further action require other than that already identified	Jan-15	Jun-15	4
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	No further action require other than that already identified	Jan-15	Jun-15	8
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	No Further action required	4	CP training giving to all budget holders	Jan-15	Jun-15	4
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	> Interim resources in place for Maternity Cover	5	Interim resources in place for Maternity Cover. Recruitment in progress for Principal Accountant, Financial Accounting	Jan-15	Jun-15	8
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	Robust annual renewals completed. Risk assessments completed to manage its activities and regular inspections.	6	Reviewing RM Handbook and providing training on Risk Management in consultation with Zurich	Jan-15	Jun-15	6

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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/6	Failure to maintain adequate internal controls	Financial Services Manager	<ul style="list-style-type: none"> > Increased risk of fraud activity > Inappropriate use of Council resources 	8	<ul style="list-style-type: none"> > Effective Internal Audit arrangements > Staff training 	6	Resource issue to be addressed with further recruitment	6	Jan-15	Procedures updated. Staff training provided. Internal Audit review in progress	6	Jun-15
RSK/7	Failure to implement changes to Benefit rules and regulations in a timely manner	Revenues & Benefits Manager	<ul style="list-style-type: none"> > Incorrect levels of Benefits paid to customers > Subsidy claims not signed off > Reputational damage > Claimants could suffer financial hardship/loss 	15	<ul style="list-style-type: none"> > Regular review and implementation of updates from DWP > Robust testing of software changes 	15	No Further action required	10	Jan-15	No further action require other than that already identified	10	Jun-15
RSK/8	Failure to meet income collection targets in respect of Council Tax & Business Rates	Revenues & Benefits Manager	<ul style="list-style-type: none"> > Lower than anticipated income will impact on the Council's Medium Term Financial Plan 	12	<ul style="list-style-type: none"> > Regular monitoring > Robust debt recovery procedures 	8	Additional temporary ICT and financial management support now in place	10	Jan-15	No further action require other than that already identified	10	Jun-15
RSK/9	Revenues & Benefits Software Conversion	Revenues & Benefits Manager	<ul style="list-style-type: none"> > Unable to pay benefit/support to customers > Unable to bill Crax & NNDR > Impact on the LA's income > Rev's & Ben's BAU impacted reputational damage > Customers could suffer financial hardship/loss 	15	<ul style="list-style-type: none"> > Robust testing of software changes > Effective project management & regular monitoring > Ensure staff are included, trained and on board and additional resources can be obtained if required > Effective resource planning in place. additional resources are planned & available from Civica & Basilidon BC 	15		15		Ongoing conversion process, lead time of 10 months, due to complete mid Jan 16	15	Jun-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	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	New KPI, monitored at Hsg Cttee. Meeting with Corporate Health & Safety Advisor last week to produce/review procedures and processes	5	Jan-15	We have reviewed out gas servicing procedure and processes during Q4 2015/16. we are now 100% compliant. The revised risk score is a 2 - impact remains high.	10	Jun-15
RSK/2	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	Programme set for next 12 months and advertised in Newsletter. Monitored regularly by Estates Team.	10	Jan-15	HG/SC have reviewed the progress on the Fire Risk Assessments. New temp surveyor employed will inspect all blocks wk commencing 15 June 2015. action plan and costings will be worked through with our Wates contractor. Tenant consultaion will take place. Plan to invite the Fire service to attend resident consultation.	15	Jun-15

OPERATIONAL RISK REGISTER

SERVICE: ASSETS

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
RSK/1	Defective gas installations	Strategic Asset Manager	Gas leaks, explosions Reputational impact Financial impact	10	Annual proactive preventative maintenance and servicing to all gas installations.	4	Jan-15	No further action required	4	Jan-15
RSK/2	Fire in Corporate buildings	Strategic Asset Manager	Possible death or injury. Members of the public or staff would have to be relocated Relocation costs Reputational impact	15	Fire risk assessments and are due to be revised.	4	Jun-14	Risk assessment programme ongoing	4	Jan-15
RSK/3	Legionella outbreak in corporate buildings	Strategic Asset Manager	Possible death or serious illness Reputational impact	15	Monthly water monitoring contract in place. Records kept in each building	4	Jun-14	No further action required	4	Jan-15
RSK/4	Asbestos contamination in corporate buildings	Strategic Asset Manager	Possible death or serious illness Reputational impact	15	Asbestos surveys completed and remedial measures completed	4	Jun-13	Yearly review due	4	Jan-15
RSK/5	5 yearly Circuit testing in corporate buildings	Strategic Asset Manager	Possible death or serious injury Reputational impact	15	5 yearly circuit testing completed 2012/13 and remedial measures completed	4	Jun-13	5 Yearly review due 2017	4	Jan-15
RSK/6	Missed rental payments on existing leases and licenses	Strategic Asset Manager	Loss of income and reputational impact	12	Programme of renewing leases and licenses in place	9	Jun-15	Ongoing work to reduce backlog underway	2	Jan-15