

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	Stage 2 of the pilot is commencing and evaluation of stage 1 is taking place.	8	Aug-15	Review of pilot completed and identifying other lone working devices that would be more appropriate for users and the work they undertake	8	Oct-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	Continuing strategy to engage with HoS and Line Managers and supporting them to have good H&S in place to manage their risks. This is now improving the H&S culture & systems but there are areas that still need to be reviewed & improved.	8	Aug-15	Continuing strategy to engage with HoS and Line Managers and supporting them to have good H&S in place to manage their risks. This is now improving the H&S culture & systems but there are areas that still need to be identified, reviewed & improved.	9	Oct-15
RSK/3	Ability to react immediately on 24/7 basis to serious foreseen environmental health hazards such as unforeseen noise nuisance, food poisoning outbreaks, unfit food premises and health and safety hazards presenting a risk to the public	Environmental Health Manager	Residents may need to wait until normal office hours until officers can respond	10	There is no immediate reactive out of hours service. During bank holidays an improved service is provided particularly for noise nuisance. However arrangements are made on a planned basis to monitor suspect noise nuisances out of hours and intervene where appropriate. A cascade call out system is also provided which relies on availability and good will of officers.	10			Aug-15	Revised risk score in line with new risk scoring matrix.	8	Oct-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	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	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 re-incursions within 3 months of magistrate order.	6	Jun-15	Planned expenditure to protect likely sites from incursions - revised risk score	8	Nov-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 as Event Management Plans are updated for each event	Aug-15	12	No further action required as Event Management Plans are updated for each event	Oct-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 from previous update. Date still to be confirmed for Member training and finalising the safeguarding e-learning package for staff.	Aug-15	2	No further action from previous update. Date still to be confirmed for Member training and finalising the safeguarding e-learning package for staff.	Oct-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	Revised Partnership Strategy, Policy and Procedures to be approved by Policy, Finance and Resources Committee on 15 September 2015.	Aug-15	4	Revised Partnership Strategy, Policy and Procedures is scheduled to go to December Policy, Finance and Resources Committee for sign off by Members which will strengthen the governance around the Council's Partnership working.	Oct-15
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	Heads of terms of lease to be agreed with community organisation and agreed by Members. Date report comes to committee to be confirmed.	Aug-15	6		Oct-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	3	No further action required	3	Aug-15	No further action required	3	Oct-15
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	Aug-15	No further action required	3	Oct-15
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	Aug-15	No further action required	3	Oct-15
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	Aug-15	No further action required other than that already identified	2	Oct-15
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	Aug-15	Ongoing review from D Wellings	2	Oct-15
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	Aug-15	No further action required other than that already identified	15	Oct-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	Aug-15	No further action required other than that already identified	4	Oct-15

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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	Last Review Date	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) Partnership/resource arrangements in place 2) Regular review of associated plans and timescales 	10	<ul style="list-style-type: none"> 1) Partnership/resource arrangements in place 2) Regular review of associated plans and timescales 	Aug-15	10	Oct-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 contacts) 	10	<ul style="list-style-type: none"> Continue to promote hosted systems ensuring that effective and reliable controls are in place (and defined in relevant contacts). Engaged with Microsoft. 	Aug-15	10	Oct-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"> 1) ICT Strategy updated 2) Regular reviews of progress 	10	<ul style="list-style-type: none"> 1) ICT Strategy updated 2) Regular reviews of progress 	Aug-15	10	Oct-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/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 further action required other than that already identified	4	Aug-15	No further action required other than that already identified	4	Oct-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	No further action required other than that already identified	8	Aug-15	No further action required other than that already identified	8	Oct-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	Using CP has been made simpler for budget managers. Further training in August	4	Aug-15	Using CP has been made simpler for budget managers. Budgeting option has also been added and training provided to budget managers.	4	Oct-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	Interim resources in place for Maternity cover. Principal Accountant, Financial Accounting has been appointed. Start date to be agreed.	8	Aug-15	Interim resources in place for Maternity cover. Principal Accountant, Financial Accounting has been appointed and started in October	8	Oct-15
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	Reviewing RM Handbook and providing training on Risk Management in consultation with Zurich	6	Aug-15	This has been implemented.	6	Oct-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	Further required actions/controls	Last Review Date	Last Review Date	Revised Risk Score
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	Internal Audit review complete and recommendations implemented.	6	Internal Audit review complete and recommendations implemented.	Aug-15	Oct-15	6
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 other than that already identified	10	No further action required other than that already identified	Aug-15	Oct-15	10
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	No further action required other than that already identified	10	No further action required other than that already identified	Aug-15	Oct-15	10
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 Ctax & 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 & Basildon BC 	15	Ongoing conversion process, we are in line with project plan deliverables, the project is due to complete mid Jan 16	15	Ongoing conversion process, we are in line with project plan deliverables, the project is due to complete mid Jan 16	Aug-15	Oct-15	15

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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	We continue to monitor on a monthly basis. Performance at the end of Q1 was 99.84%. The reduction in performance is a result of non-attendance of one property due to tenant being in hospital	10	Aug-15	We continue to monitor our defective gas installations. We are 100% compliant as of the End of Q2	5	Oct-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	All blocks have been surveyed and works identified. We are currently working with Wates to agree costs. Works will commence once costs have been agreed and leaseholders / Tenants have been consulted.	15	Aug-15	We have identified all works and have allocated funding to proceed with non critical works as of the 16/ 17. All critical works will be completed by the end of the current financial year.	10	Oct-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	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	Gas maintenance contracts in place	4	Aug-15	Gas maintenance contracts in place	4	Oct-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	Jan-15	Risk assessment programme ongoing	4	Aug-15	Risk assessment programme ongoing	4	Oct-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	Jan-15	No further action required	4	Aug-15	No further action required	4	Oct-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	Jan-15	Yearly review due	4	Aug-15	Asbestos reviews currently in progress by consultant	4	Oct-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	Jan-15	5 Yearly review due 2017	4	Aug-15	Currently in progress by Oakray.	4	Oct-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	Jan-15	A number of negotiations underway with some now resolved	2	Aug-15	Plans in place moving forward for all lease renewals and rent reviews	2	Oct-15

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SERVICE: CUSTOMER SERVICES

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	Customer Access Strategy	Head of Customer Services	Non realisation of savings, (£200k over 3 years) and benefits. Failure to provide effective Customer Services		Customer Access Strategy and Action Plan approved by Finance & Resources Committee on 14th January 2015. Progres to be monitored by CLB.	12	No further action at this stage required.	12	Aug-15	No further action at this stage required.	12	Oct-15