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## **PUBLIC PROTECTION AND SAFETY PORTFOLIO HOLDER BRIEFING**

**Meeting to be held on Thursday 29 June 2017**

### **QUESTIONS ON THE INFORMATION BRIEFING**

The Briefing comprises:

Members and Co-opted Members have been provided with advanced copies of the briefing via email. The briefing is also available on the Council website at the following link:

<http://cds.bromley.gov.uk/ieListMeetings.aspx?CId=559&Year=0>

***Copies of the documents referred to above can be obtained from***  
***<http://cds.bromley.gov.uk/>***

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E&CS RISK REGISTER MASTER COPY: JUNE 2017

[Link to Environmental Services Contract Risk Register](#)

Risk Reference	Department	Division	Section	Risk & Consequences	Risk Category	Risk Owner	Gross Impact	Gross Likelihood	Gross Risk Rating	Gross Score	Existing Controls and Proposed Actions	Net Impact	Net Likelihood	Net Risk Rating	Net Score	Financial Implications (Mainly for High or Significant Net Risks if 'financial')	Sequential Numbering	Counters	
ENV/ALL.0157	Environment and Community Services	All ENV Divisions	All ENV Sections	<b>Risk:</b> Operational Emergencies (e.g. extreme heat, storms, floods, snow or other emergency)  <b>Consequence:</b> Leading to major disruption of highways infrastructure and service provision in general	Service Delivery	All ENV ADs	5	2	Significant	10	<b>Controls:</b> 1. Corporate Major Emergency Plan 2. E&CS Incident Plan 3. Service Business Continuity Plans 4. Out-of-Hours Emergency Service: 0300 3038671 <b>Actions:</b> - Winter Service Policy and Plan reviewed annually - Needs to ensure BCP are kept up-to-date (and off-line copies available)	4	2	Medium	8		1	59	Total Risks
ENV/ALL.0110	Environment and Community Services	All ENV Divisions	All ENV Sections	<b>Risk:</b> Failure to keep up-to-date with changes in legislation  <b>Consequence:</b> Resulting in regulatory non-compliance, and possible challenge in relation to service delivery / contracts and enforcement activity	Compliance and Regulations	All ENV ADs	3	2	Medium	6	<b>Controls:</b> 1. Membership of professional bodies 2. Subscription to compliance services 3. Corporate and Departmental H&S Committees 4. Regular monitoring of new legislation 5. Professional training ----- <b>Actions:</b> - Ensure Contracts Database is updated in respect of legislative change - Ensure 'Discuss', and 'one-to-ones', identify new legislation and training needs as appropriate	2	2	Low	4		2	3	High Gross Risks
ENV/ALL.0112	Environment and Community Services	All ENV Divisions	All ENV Sections	<b>Risk:</b> Failure to achieve strategic service objectives as identified in the relevant Portfolio Plan  <b>Consequence:</b> Leading to reduced public satisfaction	Reputation	All ENV ADs	3	2	Medium	6	<b>Controls:</b> 1. Objectives set out in three Portfolio Plans (agreed by relevant Portfolio Holder) 2. Quarterly Performance Monitoring reported to DMT and local SMTs 3. 6 & 12 monthly Portfolio Plan progress reports to PDS Committee Members ----- <b>Actions:</b> - Monitor KPIs identified to achieve service objectives and record i local systems and Contracts Database - Monitor FMS and manage customer expectations	2	2	Low	4		3	0	High Net Risks
ENV/ALL.0119	Environment and Community Services	All ENV Divisions	All ENV Sections	<b>Risk:</b> Failure to take Departmental action to reduce likelihood of accidents, incidents and other health and safety issues  <b>Consequence:</b> Leading to potential fines from enforcement agencies (e.g. HSE) and or insurance claims	Health and Safety	All ENV ADs	4	2	Medium	8	<b>Controls:</b> 1. Workplace Risk Assessments (including lone and home working) 2. Accident & Incident Reporting system (AR3 & Riddor) 3. Contractor Inspection Reporting system 4. Interface with Corporate Risk Management Group ----- <b>Actions:</b> - Ensure Workplace Risk Assessments (inc. Homeworking) updated annually, and that a biennial reviews conducted - Encourage reporting of all significant accidents and incidents using AR3 form (and reporting of RIDDOR incidents) - Use of newly revised Contractor Inspection Reporting forms (and consideration of electronic forms) - Ensure resource exists to discharge statutory functions	3	2	Medium	6		4		
ENV/ALL.0408	Environment and Community Services	All ENV Divisions	All ENV Sections	<b>Risk:</b> Failure to adapt to our changing climate  <b>Consequence:</b> Resulting in threats to service provision, environmental quality and residents' health	Service Delivery	All ENV ADs	3	3	Medium	9	<b>Controls:</b> 1. Adopt best adaptation practice identified through London Climate Change Partnership, UK Climate Impacts Programme, and the Local Adaptation Advisory Panel 2. LBB Surface Water Management Plan and Draft Local Flood Risk Strategy ----- <b>Actions:</b> - Liaise with Public Health on cross-cutting issues e.g. excess summer deaths and vector-borne disease etc	3	2	Medium	6		5		
ENV/ALL.0205	Environment and Community Services	All ENV Divisions	All ENV Sections	<b>Risk:</b> Failure to deliver (through lack of capacity or otherwise) key service messages  <b>Consequence:</b> Leading to loss of customer satisfaction	Service Delivery	Andrew Rogers	2	2	Low	4	<b>Controls:</b> 1. Service messages included in Environment Matters and local press 2. Urgent service messages communicated via Facebook, Twitter and website ----- <b>Actions:</b> - Review bromley.gov.uk to ensure key messages are kept up-to-date	1	1	Low	1		6		

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ENV/SAG.0206	Environment and Community Services	All ENV Divisions	All SAG Sections Transport Ops	<b>Risk:</b> Emergency at Central Depot (e.g. fire, explosion)  <b>Consequence:</b> Leading to service disruption (e.g. vehicles can't enter / leave depot).	Service Delivery, Health and Safety	Paul Chilton	3	2	Medium	6	<b>Controls:</b> 1. Contingency plans for: - Alternative vehicle parking - Temporary relocation of staff - Storage of bulky materials 2. Key Business Continuity Plan agreed ----- <b>Actions:</b> - Maintain close liaison with Waste Contract management and depot users e.g. Kier (Street Cleansing) - Maintain close liaison with Highways Winter Service Team	3	1	Low	3	The 2006 waste fires at the Depot presented a total cost to the Insurance Fund of £120k (and created operational issues which haven't been costed)	7		
ENV/SAG.0207	Environment and Community Services	Transport and Highways	Transport Ops	<b>Risk:</b> Fuel shortage impacting on the transport fleet, Library Service, and Adult Passenger Transport  <b>Consequence:</b> Leading to failure to provide service and impact on customers	Service Delivery	Paul Chilton	3	1	Low	3	<b>Controls:</b> 1. Identified alternative fuel supplies at contractors and neighbouring boroughs 2. Designated Filling Station Pratts Bottom identified under National Emergency Plan by London Resilience Team as designated fuel supply for LBB logoed vehicles 3. Fuel store at Central Depot ----- <b>Actions:</b> - Ongoing liaison with London Boroughs concerning collaboration and assistance	2	1	Low	2		8		
ENV/PAR.0056	Environment and Community Services	Transport and Highways	Parking	<b>Risk:</b> Under-achievement of expected car parking income, due to economic climate or resistance to price increases  <b>Consequence:</b> Potential budget reduction in related services	Financial	Colin Brand	3	2	Medium	6	<b>Controls:</b> 1. Monitoring usage, avoid excessive charge increases 2. Provide attractive, safe clean car parks ----- <b>Actions:</b> - Review tariff structures annually - Monitor income trends	2	2	Low	4	A review of Parking charges was agreed in Feb 2015 to cover the period 2015/19. Members are aware of the potential impact of a further increase in charges, whilst recognising the pressure on the service to meet its budgeted income in the light of fluctuating demand and inflationary pressures.  No planned increases in Parking fees for 2017/18	9		
ENV/PAR.0057	Environment and Community Services	Transport and Highways	Parking	<b>Risk:</b> Loss of income from Penalty Charge Notices for Bus Lane Enforcement activity  <b>Consequence:</b> Potential budget reduction in related services	Financial	Colin Brand	3	2	Medium	6	<b>Controls:</b> 1. Monitoring of contractor performance (e.g. only issue good quality PCNs) 2. Good debt recovery systems ----- <b>Actions:</b> - Monitor for signs of success in achieving enforcement objectives - Report submitted to September Environment PDS with proposals to ensure effective enforcement continues for schools and bus lanes. Yet to be agreed by Executive	2	1	Low	2		10		
ENV/PAR.0197	Environment and Community Services	Transport and Highways	Parking	<b>Risk:</b> Failure of APCOA to provide contracted services (e.g. strikes)  <b>Consequence:</b> Leading to fewer PCNs being issued and a loss of income	Service Delivery	Colin Brand	4	2	Medium	8	<b>Controls:</b> 1. Default mechanism 2. Regular contractor meetings 3. APCOA for the Shared Parking Contract 4. Contract contains step-in procedures ----- <b>Actions:</b> - The Parking service is currently reviewing its own existing BCP - Number of KPIs in place to ensure performance standards (from April 2017)	3	1	Low	3		11		
ENV/H&S.0399	Environment and Community Services	Public Protection	Health and Safety	<b>Risk:</b> Health and Safety failure (e.g. injury or death)  <b>Consequence:</b> Leading to prosecution of the Council and / or civil claim for compensation	Health and Safety	Paul Lehane	4	2	Medium	8	<b>Controls:</b> 1. 0.6 fte Corporate Safety Advisor employed (Post currently vacant but plans to make it full time). 2. Safety Policy reviewed and updated regularly 3. Commitment to HSW from Chief Executive and Directors 4. Risk assessment & proactive monitoring in place to ensure highest standards for Council premises, equipment & activities. 5. Supported by H&S training programme and network of policies and procedures (regularly reviewed) 6. Divisional Safety Committees meet regularly 7. Properly related HSW matters now provided through Amey ----- <b>Actions:</b> Review of Corporate HSW presented to CE and Managers 5/2/14. Key responsibilities for Corporate Safety function outlined. Fire safety risk assessment and management has been actively addressed during 2013/14	3	1	Low	3	Corporate manslaughter attracts severe financial penalties. An appropriate penalty will seldom be less than £500k and may be several millions. Lesser, though still serious, H&S offences can cost ~£100k. Civil claims can also be up to £500k depending on the circumstances.	12		

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ENV/ALL.0209	Environment and Community Services	All ENV Divisions	All ENV Sections	<b>Risk:</b> Failure to implement and keep up-to-date effective corporate Business Continuity Plans  <b>Consequence:</b> Leading to non-provision of critical services	Service Delivery	Laurie Grasty	4	3	Significant	12	<b>Controls:</b> 1. Corporate Risk Management Group (Chaired by Pete Turner) now encompasses Business Continuity 2. Review of current status of BCPs ----- <b>Actions:</b> - Re-establish BCM Programme Management - Corporate BCM Review (underway) - Enhance understanding of the risks - Consider additional central resources to support and coordinate BCM	3	3	Medium	9	This risk potentially applies to all services and so is difficult to quantify financially.  However, as an illustration, a general failure of the Council's IT systems could lead to a loss of around £100k per day in staff productivity.	13		
ENV/ALL.0409	Environment and Community Services	All ENV Divisions	All ENV Sections	<b>Risk:</b> Failure to prepare professionally and effectively for a wide range of emergencies  <b>Consequence:</b> Leading to the inability of the organisation to fulfil its statutory response and recovery role.	Service Delivery, Health and Safety, Reputational, Compliance and Regulations, Financial	Laurie Grasty	5	1	Medium	5	<b>Controls:</b> 1. Corporate Emergency Response Plan 2. Training, Testing and Exercising 3. Corporate Risk, H&S and Resilience Group 4. Multi-agency assessment of emergency risks ----- <b>Actions:</b> - Greater Corporate awareness and support - Development of risk specific arrangements in accordance with Minimum Standards for London and informed by the Borough Risk Assessment - Implement on-call rota for Emergency Response Manager - Recruit and train more Emergency Response Volunteers	4	1	Medium	4	The cost to organisation is difficult to quantify with any certainty due to the number of ways in which this risk could manifest.  The following costs are likely to be incurred: Response (staff, contractors, welfare, shelter, transport etc). Clear up Recovery and restoration Post incident litigation and/or compensation  The Bellwin Scheme for emergency financial assistance (i.e. the point at which the authority can claim) for 2013/14 was set at £667,000. Therefore the organisation should be prepared to absorb costs of at least up to this amount. However, there are emergency scenarios which could exceed this figure and financial assistance is not guaranteed.	14		
ENV/CSU.0288	Environment and Community Services	Public Protection	Community Safety	<b>Risk:</b> Falling public confidence in Council around fear of crime leading to reputational risk.  <b>Consequence:</b> Additional statutory obligations have been introduced this year by way of the Counter Terrorism Act 2015 placing new burdens on the local authority in relation to training and reducing risk as part of the PREVENT programme.	Reputation	Rob Vale	4	3	Significant	12	<b>Controls:</b> 1. Communications strategy to raise public confidence ----- <b>Actions:</b> - Safer Bromley Partnership newsletter report on activities of the Partnership - LBB to provide PREVENT training to relevant staff	4	2	Medium	8	A reduction in resources within the Community Safety team, both at practitioner and senior level has resulted in a review of the service area priorities, which in itself may increase reputational if the outcomes are not met. In addition, there have been a number of additional demands on the service as a result of legislative change and pan London guidance e.g. Community Trigger and Integrated Offender Management and more recently the Counterterrorism Act 2015.	15		
ENV/CSU.xxxx	Environment and Community Services	Public Protection	Community Safety	<b>Risk:</b> Possible reduction in Mayoral MOPAC grant funding for ASB service, Domestic Violence services and out-of-hours service from March 2017  <b>Consequence:</b> Leading to budget shortfall, service reduction, and reputational risk  UPDATED May 2017 - VAWG services now sit with Adults Safeguarding. MOPAC funding for 2017-2021 has been reduced by 40%, which will impact the Noise Service, ASB Co-ordinator post and the Mentoring programme in April 2018.	Service Delivery, Financial	Rob Vale	3	4	Significant	12	<b>Controls:</b> 1. Outside LB Bromley control ----- <b>Actions:</b> - Explore possible alternative funding provision to maintain existing levels of service	3	4	Significant	12	The MOPAC funding framework will be based on a 2 + 2 model. The Year 1 and Year 2 funding has been granted which incorporates a 40% funding reduction in Year 2. This means April 2017 to March 2018 funding will remain the same as previous years, but a significant reduction from April 2018 to March 2021 will impact on the delivery of ASB work and the noise out of hours service. Provisions will need to be made to maintain the current levels of service.	16		
	3 Environment and Community Services	Public Protection	Environmental Protection	<b>Risk:</b> Failure to upgrade Closed Circuit Television (CCTV) system, which is no longer technically supported  <b>Consequence:</b> Leading to service loss and loss of parking income	Service Delivery, Financial	Jim McGowan	3	1	Low	3	<b>Controls:</b> 1. Regular monitoring of system by Risk Owner 2. Major problems are reported as soon as they occur ----- <b>Actions:</b> - System has been rebuilt at a cost of £340k - new system is fully supported and likelihood reduced	3	1	Low	3	The cost of upgrading the CCTV system is estimated at ~£340k. If the CCTV system failed and wasn't replaced, the financial impact would be the current CCTV-related income projection of £1,027m. If proposed legislation is enacted to restrict parking enforcement using CCTV, then cameras could only be used to enforce bus lanes and the income would fall to ~£350k.  The control room has now been upgraded and carries a full warranty	17		
ENV/FSL.0038	Environment and Community Services	Public Protection	Food, Safety and Licensing and Emergency Planning	<b>Risk:</b> Outbreak of infectious disease / flu pandemic  <b>Consequence:</b> Disruption to normal services due to staff sickness, high demand on services from community increased numbers of deaths	Service Delivery, Health and Safety	Paul Lehane	5	1	Medium	5	<b>Controls:</b> 1. Notifiable Infectious Disease Protocol in place (with Public Health England and DEFRA) including out-of-hours provision 2. Flu Pandemic Plan also in place ----- <b>Actions:</b> - Regular multi-agency review of Protocols - Consider immunisation for key staff - Implement BCPs as appropriate. Each Executive Director/Director should develop contingency plans to ensure service continuity in the event of a major outbreak affecting significant staff.	5	1	Medium	5	Difficult to determine the financial impact, as it depends on severity of the situation and extent of outbreak.  Staff absence will result in sick pay costs and a scenario could be 50% of staff off work for say 2-3 weeks.  Also a potential cost associated with loss of income from services.  More generally there would be community / business costs in the Borough	18		



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ENV/STS.0055	Environment and Community Services	Streetscene and Greenspace	Streetscene	<b>Risk:</b> Failure to provide sufficient finance to meet the public's aspirations for improved street cleanliness - Improving the Street Scene  <b>Consequence:</b> Reduced satisfaction in the Council leading to reputational damage	Service Delivery, Reputation	John Bosley	4	4	High	16	<b>Controls:</b> 1. Process & frequency plan for each service ----- <b>Actions:</b> - In partnership with Street Environment Contractor, regularly monitor and review the delivery of the revised cleansing frequencies, highlighting areas of concern, implementing necessary actions, and escalating concerns to senior management and Councillors. Programme of additional works involving deep cleaning and weekend street sweeping.	3	2	Medium	6	To manage this risk a budget of £200k is held in the street cleaning revenue budget to address any need to provide additional targeted cleans or to revise operational methodology. This budget provides flexibility to add non-scheduled programmes of works (e.g. weekend sweeping, additional litter picking and bin emptying), whilst retaining budget capacity to manage risk. A further £60k is held in Central Contingency should there be a need to increase the frequency of cleaning. At this time there has been no call upon the Central Contingency sum of £60k, suggesting that this risk has diminished since last year.	19		
ENV/STS.0165	Environment and Community Services	Streetscene and Greenspace	StreetScene	<b>Risk:</b> Highways condition issues (e.g. due to Winter weather)  <b>Consequence:</b> Leading to increased maintenance costs and insurance claims (e.g. trips & falls and RTAs)	Financial	Garry Warner	4	5	High	20	<b>Controls:</b> 1. Strategy to mitigate insurance claims 2. Inspection regime and defined intervention levels for maintenance repairs and monitoring 10% of works for compliance. ----- <b>Actions:</b> - Review frequency of Highways Inspections and adjust as deemed appropriate to effectively manage the risk in line with revised Code of Practice (published 2016) - Additional inspections carried out and repairs undertaken as necessary - Modernisation of contractor's programming and completion of maintenance repairs involving remote working ICT technology	3	2	Medium	6	Third party claims / legal costs could increase for damage to property (i.e. vehicles) and / or personal injuries. Based upon successful defence of litigation cases for a personal injury claim and court case (£60k), at one case per month, the value is estimated at £750k p.a.  The cost of an extreme weather event is estimated at £800k based on our experiences in the winters of 2009/10 ('The Big Freeze' when there large snowfalls in December and January) and 2010/11 (the coldest December in 100 years) which resulted in large overspends in each year for winter maintenance, including repairs to potholes and additional snow waste collection costs. Costs noted in Council's Financial Strategy report: FSD17005 - 11 January 2017	20		
ENV/SAG.0159	Environment and Community Services	Streetscene and Greenspace	All SAG Sections	<b>Risk:</b> Industrial Action by contractor's staff (particularly the Waste Service which is more unionised than others)  <b>Consequence:</b> Leading to temporary loss of services	Service Delivery	Dan Jones	3	2	Medium	6	<b>Controls:</b> 1. Ongoing monitoring / meetings regarding workforce issues 2. Joint development of contingency plans with contractor ----- <b>Actions:</b> - Communication with contractor to assess issues, likely outcome and time-scale for resolution	2	1	Low	2		21		
ENV/SAG.0162	Environment and Community Services	Streetscene and Greenspace	All SAG Sections	<b>Risk:</b> IT failure impacting on line-of-business systems / contractor liaison  <b>Consequence:</b> Resulting in loss of customer reporting interface and loss of data. Inability to process work electronically - reduces Division's efficiency.	Service Delivery	Dan Jones	3	4	Significant	12	<b>Controls:</b> 1. Paper-based system implemented when network problems exist. 2. Ongoing discussion with IT department to reduce likelihood of IT failure ----- <b>Actions:</b> - Review and refresh ICT Quality Assurance Procedures accounting for recent move to more mobile working across the Division	3	3	Medium	9	Low net risk: There would be a need to employ temporary admin staff to process paper orders and customer reports at around £120 per day	22		
ENV/PAG.0039	Environment and Community Services	Streetscene and Greenspace	Parks and Greenspace	<b>Risk:</b> Trees collapsing through death, disease, vehicle impact and the increasing likelihood of storm damage etc  <b>Consequence:</b> Leading to lack of capacity to clear blocked highways / make environment safe	Health and Safety	Julian Fowgies	4	3	Significant	12	<b>Controls:</b> 1. Nine-year tree care and safety contract (commenced July 2008) with Gristwood & Toms Tree Contractors Ltd ----- <b>Actions:</b> - Review the 'Storm Strategy' annually to be able to respond quickly and call in additional staff, equipment and contractors - Provide a cyclical safety survey and remedial works schedule commensurate to budget availability and potential prioritisation	4	2	Medium	8		23		
ENV/PAG.0111	Environment and Community Services	Streetscene and Greenspace	Parks and Greenspace	<b>Risk:</b> Potential lack of acceptable local space for burials (ashes internment not a problem)  <b>Consequence:</b> Leading to reputational damage	Service Delivery	Rob Schembri	3	3	Medium	9	<b>Controls:</b> 1. Burial plots are available at St Mary Cray and Biggin Hill (with some limited capacity in other sites for partners of deceased) 2. New cemetery provided by the private Sector at Kemnal Manor Chislehurst, which will alleviate pressures of lack of Borough owned burial space. ----- <b>Actions:</b> - Monitor availability of private sector capacity - Consider what further burial alternatives are being provided by the private sector i.e. new cemetery at Kemnal Manor, Chislehurst	2	2	Low	4		24		
ENV/PAG.0186	Environment and Community Services	Streetscene and Greenspace	Parks and Greenspace	<b>Risk:</b> Potential for 'errors in process' relating to burials & interments by contractor  <b>Consequence:</b> Leading to reputational risk	Reputation	Rob Schembri	3	2	Medium	6	<b>Controls:</b> 1. Monitoring contractor's performance (daily and weekly meetings) ----- <b>Actions:</b> Digitisation of burial plans, subject to resource availability	2	2	Low	4		25		

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ENV/PAG.0376	Environment and Community Services	Streetscene and Greenspace	Parks and Greenspace	<b>Risk:</b> Slips, trips and falls - due to hard surface damage / tree roots etc. (within parks and greenspaces)  <b>Consequence:</b> Leading to increased insurance and maintenance costs	Health and Safety	Rob Schembri	3	4	Significant	12	<b>Controls:</b> 1. Annual audits and annual paths surveys. 2. Cyclical 5 year survey of park trees and highway trees ----- <b>Actions:</b> - Ensure repairs undertaken as appropriate, with any necessary prioritisation, commensurate to budget availability	3	2	Medium	6		26		
ENV/PAG.0000	Environment and Community Services	Streetscene and Greenspace	Parks and Greenspace	<b>Risk:</b> Failure to ensure that trees are managed as safely as reasonably practicable  <b>Consequence:</b> Leading to reputational damage and financial liabilities	Reputation, Financial, Health and Safety	Julian Fowgies	3	4	Significant	12	<b>Controls:</b> 1. Annual targeted inspections of high risk areas (Dead, Dying & Dangerous Survey) 2. Full asset Survey of ~30% of street and park trees (and 50% of school trees) 3. Implement remedial works to address risk associated defects ----- <b>Actions:</b> - Complete the Tree Strategy which includes a Risk Management appendix	3	3	Medium	9		27		
ENV/WAS.0118	Environment and Community Services	Streetscene and Greenspace	Waste Services	<b>Risk:</b> Loss of income from Trade Waste  <b>Consequence:</b> Leading to failure to balance budget	Financial	John Bosley	3	2	Medium	6	<b>Controls:</b> 1. Monitor customer turnover 2. Reviewed fees and charges to optimise income ----- <b>Actions:</b> - Benchmark charges against other authorities and local private sector competitors - Work with Contractor to explore economies of scale	2	2	Low	4		28		
ENV/WAS.0147	Environment and Community Services	Streetscene and Greenspace	Waste Services	<b>Risk:</b> Failure to achieve contract payment mechanism targets for the proportion of waste sent to landfill / incineration / recycling / composting  <b>Consequence:</b> Leading to additional unbudgeted costs due largely to the disproportionately high and increasing cost of landfill	Financial, Reputation	John Bosley	3	3	Medium	9	<b>Controls:</b> 1. Monthly monitoring of recycled tonnages and projection to yearly figures 2. Regular and sustained recycling awareness campaign 3. Recycling for all residents ----- <b>Actions:</b> - Consolidation of Compositing for All - Continuing investigation of waste minimisation and recycling initiatives	3	2	Medium	6		29		
ENV/STS.0400	Environment and Community Services	Streetscene and Greenspace	StreetScene	<b>Risk:</b> Reduction in Market Stall occupancy (related to economy) and cancellation of markets (due to inclement weather)  <b>Consequence:</b> Leading to loss of income.	Financial	Toby Smith	2	3	Medium	6	<b>Controls</b> 1. Regular advertising / promotion of Markets and availability of stalls 2. Review of Market operational costs to reduce costs where possible 3. Regular maintenance and renewal of market infrastructure ----- <b>Action:</b> Ongoing review of market provision linked to outsourcing service provision or to Bromley Business Improvement District Consideration of more Continental / specialist market days	2	2	Low	4		30		
ENV/STS.0401	Environment and Community Services	Streetscene and Greenspace	StreetScene	<b>Risk:</b> Reduction in Street Enforcement activity (Fixed Penalty Notices)  <b>Consequence:</b> Leading to a loss of income	Financial	Toby Smith	1	4	Low	4	<b>Controls</b> 1. Weekly monitoring of figures 2. Improved admin procedures re issuing of warning letters and methods of payment 3. reviewed enforcement service and taken action to reduce operational costs ----- <b>Action:</b> Intelligence-led targeting of hotspot sites for enforcement	1	3	Low	3		31		
ENV/WAS.0168	Environment and Community Services	Streetscene and Greenspace	Waste Services	<b>Risk:</b> Failure to meet Budget due to waste tonnage growing faster than budgeted or operational factors (i.e. Adverse weather conditions, etc)  <b>Consequence:</b> Leading to overspend and/or impact on other budgets	Financial	John Bosley	4	3	Significant	12	<b>Controls:</b> 1. Monthly monitoring of all waste tonnages and projection to yearly figures. 2. Monthly monitoring of all collection costs and figures 3.Ongoing analysis of collection and disposal methodology ----- <b>Actions:</b> - Reviewing and benchmarking of operational costs to explore and develop options to reduce costs where possible regarding market operational costs	3	2	Medium	6	The Waste budget accounts for a significant amount of the Department's spend at £15m, any degree of overspend would have a significant impact on the overall budget of the department. The additional collection cost of the typical annual increase of 500 properties is £84k. And if waste arisings increased by 1% (using the average 2014/15 cost of disposal) the additional disposal cost would be £120k.	32		

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ENV/TAH.0160	Environment and Community Services	Transport and Highways	All TAH Sections	<b>Risk:</b> Unavailability of suitably qualified / experienced staff to replace retirees and loss of staff to TtL (which offers better remuneration and career progression)  <b>Consequence:</b> Leading to impact on production and delivery of Local Implementation Plan and potentially greater reliance on contracted staff and loss of organisational memory	Service Delivery	Angus Culverwell	3	3	Medium	9	<b>Controls:</b> 1. Ongoing programme to find and retain quality staff through internal schemes such as career grades and ongoing CPD  <b>Actions:</b> - Consider potential for contractors to supply necessary skills	2	2	Low	4		33		
ENV/TAH.0048	Environment and Community Services	Transport and Highways	All TAH Sections	<b>Risk:</b> Lack of resources to provide and maintain highways / street service standards  <b>Consequence:</b> Loss of public satisfaction with service and potential increase in accidents, claims and complaints	Service Delivery, Reputation	Garry Warner	4	3	Significant	12	<b>Controls:</b> 1. Ensure Members have budgetary data to make informed decisions 2. Asset management techniques (e.g. Highway Asset Management Plan (HAMP) 3. Inventory surveys 4. Condition surveys  <b>Actions:</b> - Valuation of assets - Major new Highway Investment Programme - Mapping of assets & condition (Geographic Information System (GIS)	3	2	Medium	6	Effective planned maintenance is the most cost effective way to maintain our network, with costs of around £7 per m2 for full road resurfacing compared to £26 per m2 for maintenance of smaller areas.	34		
ENV/TAH.0060	Environment and Community Services	Transport and Highways	All TAH Sections	<b>Risk:</b> Street Works: improved performance by utility companies  <b>Consequence:</b> Leading to loss of income (this income tends to be highly variable)	Financial	Garry Warner	4	3	Significant	12	<b>Controls:</b> 1. Quarterly monitoring of paid invoices against invoices issued  <b>Actions:</b> - Refine procedure for resolving disputes with utilities	3	2	Medium	6	Net income for this service amounts to ~£800k p.a. which would reduce if the utility companies improve their performance (i.e. their work is fully compliant with standards).	35		
ENV/TAH.0131	Environment and Community Services	Transport and Highways	All TAH Sections	<b>Risk:</b> Failure to adequately conduct Winter Maintenance regime (especially in the event of a sever winter)  <b>Consequence:</b> Resulting in road network blocked, car accidents, pedestrian falls. Increased risk due to any national shortage of salt and subsequent reduction in precautionary treatments.	Health and Safety	Garry Warner	4	2	Medium	8	<b>Controls:</b> 1. Winter Maintenance procedures (gritting / salting) 2. Increased salt storage capacity 3. Improvement management of customer expectations  <b>Actions:</b> - Ensure policies / procedures are followed	3	2	Medium	6	Budgets have historically been based on patterns of spend for precautionary salting, primarily for frost or ice, with relatively little actual snow clearance. Winter maintenance budgets during The severe winter of 2010/11 were overspent by £706k, with extra costs incurred for tree maintenance of £35k as well as waste collection costs of £77k. Although the trend is towards milder winters there will be significant snow events which put pressure on budgets.	36		
ENV/TAH.0208	Environment and Community Services	Transport and Highways	All TAH Sections	<b>Risk:</b> Failure to deliver new parking schemes  <b>Consequence:</b> Leading to increased congestion and reduced income	Service Delivery	Angus Culverwell	4	3	Significant	12	<b>Controls:</b> 1. Set up register of agreed schemes with designated officers and timescales 2. Develop and agree financial appraisal framework with finance department  <b>Actions:</b> 1. New software procured 13/14 to help improve project and programme management	3	2	Medium	6	Whilst the objective of introducing parking schemes is to reduce congestion on the highway network, the resulting income is important in covering the Council's costs in managing controlled parking zones.	37		
ENV/TCM.0259	Environment and Community Services	Leisure & Culture	Town Centre Management	<b>Risk:</b> Difficulty in securing income (from businesses) for TCM function for investment in joint projects  <b>Consequence:</b>	Financial	Colin Brand	2	3	Medium	6	<b>Controls:</b> 1. Town Centre Managers facilitate regular town steering groups and business forums  <b>Actions:</b> - Detailed annual action plan to be drawn up for each town centre	1	2	Low	2	Limited direct financial impact.	38		
ENV/TCM.0260	Environment and Community Services	Leisure & Culture	Town Centre Management	<b>Risk:</b> Poor public perception and negative publicity  <b>Consequence:</b> Leading to loss of town centre businesses	Reputation	Colin Brand	2	3	Medium	6	<b>Controls:</b> 1. Town Centre Managers organise events in town centres 2. Investment in Orpington High Street and Bromley North  <b>Actions:</b> - Marketing and promotion work carried out by the team - £3m TfL improvement scheme for Beckenham TC	1	2	Low	2	Limited direct financial impact on the Council - broader impact on the local economy.	39		
ENV/TCM.0261	Environment and Community Services	Leisure & Culture	Town Centre Management and Business Support	<b>Risk:</b> Out-of-town developments and online shopping  <b>Consequence:</b> Leading to loss of key town centre businesses	Financial	Colin Brand	4	3	Significant	12	<b>Controls:</b> 1. Alternative shopping experiences (e.g. specialist markets) and other events organised  <b>Actions:</b> - Detailed annual action plan to be drawn up for each town centre - Marketing and promotion work carried out by the team - Specialist	3	2	Medium	6	Limited direct financial impact on the Council	40		



Risk Reference	Department	Division	Section	Risk & Consequences	Risk Category	Risk Owner	Gross Impact	Gross Likelihood	Gross Risk Rating	Gross Score	Existing Controls and Proposed Actions	Net Impact	Net Likelihood	Net Risk Rating	Net Score	Financial Implications (Mainly for High or Significant Net Risks if 'financial')	Sequential Numbering	Counters	
ENV/XXXXX	Environment and Community Services	Streetscene and Greenspace		<b>Risk:</b> Failure to anticipate/manage waste management financial / cost pressures  <b>Consequence:</b> Leading to budgets being exceeded including: - Landfill tax (£86.1/t) which increases by inflation and potential for incineration tax - Increasing property numbers adds to waste collection and disposal costs (£175/property) - Waste tonnages starting to increase after period of decline - Declining paper tonnages and hence declining recycling income - Limited incineration capacity (increases landfill)	Financial	Dan Jones	4	3	Significant	12	<b>Controls:</b> 1. Cost pressures recognised in Council's Financial Strategy (FSD17005) ----- <b>Actions:</b> - Landfill tonnages falling - offsets tax increase - Continued focus on promoting waste minimisation and recycling (e.g. in Environment Matters) - Consideration of alternative disposal routes such as Veolia's MBT plant	3	2	Medium	6	All cost pressures recognised in Council's Financial Strategy (FSD17005).  The average additional cost per property is thus £68 + £85 + 22 = £175. At an average increase of 500 properties per year, this represents an additional annual cost of £87,500 to the Waste budget. This year's increase of 797 properties added a cost of £139,475.	41		
ENV/FSL.0039	Environment and Community Services	Public Protection	Food, Safety and Licensing and Emergency Planning	<b>Risk:</b> Failure to meet required service standards as required by Food Standards Agency Audit (April 17) due to a lack of resource to meet code of practice service standards  <b>Consequence:</b> Leading to reputational damage and possible use of power of direction.	Service Delivery, Health and Safety, Reputational,	Paul Lehane	4	4	High	16	<b>Controls:</b> 1. Current levels of resourcing 2. Prioritised according risk ----- <b>Actions:</b> - Review audit recommendations - Consider response from existing capacity and the availability of additional resources	3	3	Medium	9		42		
ENV/ESC001	Environment & Community Services	Streetscene & Greenspace	All	<b>Risk:</b> General failure to manage Procurement Strategy risks  <b>Consequence:</b> Leading to timetable slippage, potential out-of-contract costs, and reputational damage	Compliance	Dan Jones	4	2	Medium	8	<b>Controls:</b> 1. Lotting to drive best value and allow benchmarking 2. Three-year programme to allow sufficient time for market engagement and a phased approach to procurement 3. Programme management team identified 4. Expert Programme Board to advise Commissioners 5. Risk Register created ----- <b>Actions:</b> - Procurement Strategy risks itemised in Procurement Strategy Report ES17002 3.13 - 3.16 to be reviewed by Programme Board as necessary	2	2	Low	4	The ultimate risk is that a failure to follow due process leads to the contract not being awarded	43		
ENV/ESC002	Environment & Community Services	Streetscene & Greenspace	All	<b>Risk:</b> Failure to ensure the Tender Programme keeps to schedule  <b>Consequence:</b> Leading to high out-of-contract costs (post April 2019) and reputational damage with Members and partners	Financial	Dan Jones	4	2	Medium	8	<b>Controls:</b> 1. Programme Co-ordinator's role (JD) 2. Programme Plan (on Team Site) regularly updated 3. Programme Board ----- <b>Actions:</b> - Regular progress reports to Programme Board (JD) - Updates to LBB Commissioning Board (DJ)	2	2	Low	4	Negotiations would be required with existing contractors to see if they would hold to existing schedules of rates for the extension period. It is possible that an out-of-contract premium may be required especially if contractors do not consider they will win the new contract(s).	44		
ENV/ESC003	Environment & Community Services	Streetscene & Greenspace	All	<b>Risk:</b> Lotting structure and/or timetable is unattractive to tenderers  <b>Consequence:</b> Resulting in lack of competition / failure to achieve value-for-money	Financial	Dan Jones	4	3	Significant	12	<b>Controls:</b> 1. Tested attractiveness at Bidders Day and one-to-ones with contractors ----- <b>Actions:</b> - Build flexibility into the lotting strategy - Build possibility of staggered start dates into procurement timetable (JD)	2	2	Low	4	A lack of tenders (for some or all of the lots) could result in the Council paying over the odds or having to re-tender - with all of the costs that implies. However the market has not suggested this as a likely outcome.	45		
ENV/ESC005	Environment & Community Services	Streetscene & Greenspace	All	<b>Risk:</b> Lack of client capacity to deliver the contract including resources required for Competitive Procedure with Negotiation (which may involve many meetings)  <b>Consequence:</b> Leading to a poor contract or timetable slippage	Compliance	Dan Jones	4	3	Significant	12	<b>Controls:</b> 1. Project Sponsor and Programme Board aware ----- <b>Actions:</b> - Identify what resources are likely to be required in Phase 5 (negotiation) - Need to flag up any issues at early stage and identify additional capacity as required	4	2	Medium	8		46		
ENV/ESC006	Environment & Community Services	Streetscene & Greenspace	All	<b>Risk:</b> Lack of client capacity once the contract goes live  <b>Consequence:</b> Leading to failure to ensure KPIs delivered, complaints dealt with etc,	Compliance	Dan Jones	4	2	Medium	8	<b>Controls:</b> 1. Project Sponsor and Programme Board aware ----- <b>Actions:</b> - Need to flag up any issues at early stage	2	2	Low	4		47		
ENV/ESC007	Environment & Community Services	Streetscene & Greenspace	All	<b>Risk:</b> Significant service change requires service user consultation (and/or Equalities Impact Assessment)  <b>Consequence:</b> Resulting in possible delay to tender / contract	Compliance	Dan Jones	3	2	Medium	6	<b>Controls:</b> 1. Consideration by Programme Board: currently specifications are 'as is' ----- <b>Actions:</b> - Identify at an early stage a) whether significant service change is anticipated and b) whether that will require consultation - if so factor into timetable	2	2	Low	4		48		
ENV/ESC008	Environment & Community Services	Streetscene & Greenspace	All	<b>Risk:</b> Tendered costs are significantly greater than 2019/20 budget and/or four-year forecast (for whatever reason)  <b>Consequence:</b> Leading to budget pressure (and/or lower service standards)	Financial	Dan Jones	4	3	Significant	12	<b>Controls:</b> 1. Consideration by Programme Board to restrict unnecessary growth and to impress vfm on tenderers 2. Consideration by Programme Board whether working with other boroughs will achieve economies of scale / income streams to mitigate cost increases ----- <b>Actions:</b> - Ensure possible price / growth pressure flagged up in four-year forecast - Ensure 2019/20 budget accommodates tendered costs	2	2	Low	4	There would be a net financial benefit to the Council if producers had to take full financial responsibility for packaging e.g. glass, plastic, cans etc but there is significant uncertainty about when / how this might happen - though it should happen in 2019	49		

Risk Reference	Department	Division	Section	Risk & Consequences	Risk Category	Risk Owner	Gross Impact	Gross Likelihood	Gross Risk Rating	Gross Score	Existing Controls and Proposed Actions	Net Impact	Net Likelihood	Net Risk Rating	Net Score	Financial Implications (Mainly for High or Significant Net Risks if 'financial')	Sequential Numbering	Counters	
ENV/ESC009	Environment & Community Services	Streetscene & Greenspace	Waste	<b>Risk:</b> Failure to secure sufficient capacity at Waste Disposal Facilities to handle / process future need  <b>Consequence:</b> Leading to higher costs (say due to competition from other more lucrative contracts)	Financial	Dan Jones	4	2	Medium	8	<b>Controls:</b> 1. Consideration by Programme Board: e.g. secure sufficient guaranteed but flexible capacity ----- <b>Actions:</b> - Ensure responsibility to secure assured capacity is clearly placed on contractor in contract specification - Assess tenders to ensure sufficient capacity including capacity to accommodate future waste growth - Map which other councils / contracts may be let during similar timeframe (competition for capacity)	2	2	Low	4		50		
ENV/ESC010	Environment & Community Services	Streetscene & Greenspace	Waste	<b>Risk:</b> Over-reliance of waste tenders on unproved technology or unbuilt plant  <b>Consequence:</b> Leading to lack of capacity and increased costs (if waste has to be landfilled).	Compliance	Dan Jones	4	2	Medium	8	<b>Controls:</b> 1. Programme Board aware of issue and need to scrutinise unproven / unbuilt proposals ----- <b>Actions:</b> - Include clause requiring provision of alternative capacity at the same price (in any event?)	2	2	Low	4	Several waste management projects (e.g. Air Products EfW Teesside plant March 2016) have failed to secure finance, be started, or be completed. Unless the contract clearly stated the contractor had to secure similar capacity at similar costs (for tenders based on unproven / unbuilt technology),	51		
ENV/ESC011	Environment & Community Services	Streetscene & Greenspace	Waste	<b>Risk:</b> Defra waste collection methodology harmonisation review may require changes to frequencies / segregation / containers  <b>Consequence:</b> Leading to changes in processing capacity and market arrangements	Compliance	Dan Jones	4	2	Medium	8	<b>Controls:</b> 1. LBB input to Defra Waste Collection Harmonisation Steering Group and will provide early feedback on any possible changes ----- <b>Actions:</b> - Ensure the Contract has sufficient 'flex' to cope not only with this issue but potentially others	2	2	Low	4		52		
ENV/ESC012	Environment & Community Services	Streetscene & Greenspace	Waste	<b>Risk:</b> Proposed EU Waste / Circular Economy Directive should place all compliance cost on producers benefitting the Council (e.g. extra processing capacity / systems). Risk this may not happen by 1 April 2019 (or only partially happen)  <b>Consequence:</b>	Compliance	Dan Jones	4	3	Significant	12	<b>Controls:</b> 1. ESC Programme Board aware of issue ----- <b>Actions:</b> -	2	2	Low	4		53		
ENV/ESC013	Environment & Community Services	Streetscene & Greenspace	Waste	<b>Risk:</b> Legislation may be re-interpreted by HMRC (as a result of judicial review) requiring local authorities to charge VAT on commercial (trade) waste collections. Currently LBB does not charge VAT making our prices appear cheaper than the competition.  <b>Consequence:</b> Trade Waste customer numbers and income would fall as a result.	Compliance	Dan Jones	4	3	Significant	12	<b>Controls:</b> 1. Programme Board aware of issue ----- <b>Actions:</b> - Consider pricing strategy	2	2	Low	4		54		
ENV/ESC014	Environment & Community Services	Streetscene & Greenspace	All	<b>Risk:</b> 'Brexit' potentially fundamentally changes tendering and environmental regulation rules  <b>Consequence:</b> Leading to significant confusion and delay	Compliance	Dan Jones	3	3	Medium	9	<b>Controls:</b> 1. ESC Programme Board aware ----- <b>Actions:</b> - Monitor Article 50 – the formal mechanism for leaving the EU – negotiations for ending membership in case procurement rule changes proposed . Process will last at least two years but rules changes won't affect current tendering exercise	3	3	Medium	9		55		
ENV/ESC015	Environment & Community Services	Streetscene & Greenspace	All	<b>Risk:</b> Unfamiliarity of the client team and tenderers with Sharpe Pritchard contract model  <b>Consequence:</b> Leading to delays in creating contract documents (i.e. translating formers specifications into new format) and contractors misunderstanding requirements leading to incorrect bids	Compliance	Dan Jones	3	3	Medium	9	<b>Controls:</b> 1. Resources identified by Programme Board to help with creating the new style contracts ----- <b>Actions:</b> - Need to take an early view that tenderers have understood the contract model	3	3	Medium	9		56		
ENV/ESC016	Environment & Community Services	Streetscene & Greenspace	All	<b>Risk:</b> Lack of client capacity/resource to complete all contract documentation for projected deadline (September 2017 OJEU)  <b>Consequence:</b> Leading to a reduced negotiation period	Compliance	Dan Jones	3	4	Significant	12	<b>Controls:</b> 1. Project Sponsor and Programme Board aware ----- <b>Actions:</b> - Critical path timetable created.	3	4	Significant	12		57		
ENV/ESC017	Environment & Community Services	Streetscene & Greenspace	All	<b>Risk:</b> Lack of client capacity/resource to complete all contract documentation for Lot 5-7  <b>Consequence:</b> Leading to inability to complete required contract documentation for restricted process (Jan 2018 Contract Notice) in conjunction with CPN process for Lots 1-4	Compliance	Dan Jones	3	4	Significant	12	<b>Controls:</b> 1. Project Sponsor and Programme Board aware ----- <b>Actions:</b> - Critical path timetable created.	3	4	Significant	12		58		

Risk Reference	Department	Division	Section	Risk & Consequences	Risk Category	Risk Owner	Gross Impact	Gross Likelihood	Gross Risk Rating	Gross Score	Existing Controls and Proposed Actions	Net Impact	Net Likelihood	Net Risk Rating	Net Score	Financial Implications (Mainly for High or Significant Net Risks if "financial")	Sequential Numbering	Counters	
ENV/ESC018	Environment & Community Services	Streetscene & Greenspace	All	<b>Risk:</b> EA conducting a full survey on Churchfields Road and Waldo Road Depots  <b>Consequence:</b> Leading to likelihood of inspection failure and potential site closure and consequent loss of service capacity (unless/until rectified)	Financial	Dan Jones	3	4	Significant	12	<b>Controls:</b> 1. Completion of Depot Review to identify work that needs to be completed to bring sites up to EA standards  <b>Actions:</b> - Identify key areas at each location that require investment. - Complete Capital Investment bid.	3	4	Significant	12		59		
SEE TABS FOR GUIDANCE RE: RISK MATRIX, IMPACT GUIDELINES, LIKELIHOOD GUIDELINES, CORPORATE RISKS																			

INSTANT GUIDE TO RISK MANAGEMENT - CURRENTLY BEING REVIEWED - DON'T USE				
The Process	Identify your risks	Assess your risks	Control your risks	Monitor and Review your risks
<p>Risk Management is an important element of the system of internal control. It is based on a process designed to identify and prioritise risks to achieving Bromley's policies, aims and objectives.</p> <p>The Risk Management process is a continuous cycle:</p> <p>Using your objectives Identify your risks&gt; Assess your risks &gt; Control your risks&gt; Monitor and Review your risks.</p> <p>Useful definitions:</p> <p><b>Risk Management</b> is the identification, analysis and overall control of those risks which can impact on the Council's ability to deliver its priorities and objectives.</p> <p><b>Risk</b> is the chance of something happening which will have an impact on objectives.</p> <p>The message is that if you don't manage your risks then you are unlikely to achieve your objectives</p>	<p>Brainstorming session using IE&amp;E plans and departmental objectives, to identify threats and opportunities.</p> <p>Useful analytical tools:</p> <p><b>Political</b>  <b>Economic</b>  <b>Social</b>  <b>Technological</b>  <b>Legal</b>  <b>Environmental</b></p> <p><b>PESTLE</b> provides a simple and useful framework for identifying and analysing external factors which may have an impact on your service.</p> <p><b>Strengths</b>  <b>Weaknesses</b>  <b>Opportunities</b>  <b>Threats</b></p> <p>Using the <b>PESTLE</b> output <b>SWOT</b> is a technique that can help a service to focus on areas for improvement and opportunities that could be pursued.</p> <p>Remember if it can go wrong it will go wrong.</p>	<p>We use a 5 x 5 matrix to assess risks (see Risk Matrix worksheet).</p> <p>Risk is scored using the RAG traffic light system:</p> <p>Red = High  Amber = Medium  Green = Low</p> <p>There are two risk variables that make up the overall risk rating:</p> <p>Impact – how minor / severe is it when it happens?</p> <p>Likelihood – how likely is it / how often does it happen?</p> <p>The Risk Management Toolkit provides detailed guidance on how to score these.</p> <p>Some of these assessments can be based on past experience. In other cases you will need to take a view.</p> <p>We measure both gross risk (before any controls are taken into account) and net or residual risk.</p>	<p>Consider the controls you have in place to mitigate or reduce the risk.</p> <p>What further controls are required? Record these as actions until they are completed.</p> <p>Consider the cost of any controls against the potential benefit gained.</p> <p>What is our <b>Risk Appetite</b>? An element of risk is unavoidable or we would never do anything!</p> <p><b>RETAIN</b> a risk – monitor to ensure the impact and likelihood do not change</p> <p><b>REDUCE</b> a risk – put additional controls in place</p> <p><b>TRANSFER</b> a risk – by insuring or passing the risk to a third party</p> <p><b>AVOID</b> a risk – stop doing the activity</p> <p>Risk of service failure can be minimised by ensuring effective <b>Business Continuity</b> Plans are in place. For guidance contact the Emergency Planning Manager Steve Lewis x4388.</p>	<p>Risks should be reviewed at least annually and whenever your business plans change.</p> <p>Remember risks evolve and change over time. Are the controls still effective?</p> <p>Your aim should be to:</p> <p>Manage <b>threats</b> that may hinder delivery of priorities and maximise <b>opportunities</b> that will help to deliver them.</p> <p>The Bromley Risk Register is maintained centrally by Audit and includes details of the risks, risk owners, controls and actions.</p> <p>Further guidance on <b>Risk Management</b> can be found in the Managers' Toolkit on onebromley. This also provides links to the <b>Risk Management Strategy, Risk Management Toolkit and Risk Register</b>.</p> <p>The site also provides a link to the <b>Health and Safety</b> Unit who carry out H&amp;S risk assessments. For guidance contact the Occupational H&amp;S Manager Elaine Pilkington x4386.</p>

RISK MATRIX

IMPACT		RISK RATING				
	Catastrophic	Medium 5	Significant 10	High 15	High 20	High 25
	Major	Low 4	Medium 8	Significant 12	High 16	High 20
	Moderate	Low 3	Medium 6	Medium 9	Significant 12	High 15
	Minor	Low 2	Low 4	Medium 6	Medium 8	Significant 10
	Insignificant	Low 1	Low 2	Low 3	Low 4	Medium 5
		Remote 10 yearly	Unlikely 3 yearly	Likely Annually	Highly Likely Quarterly	Almost Certain Monthly
LIKELIHOOD						

RISK RATING			
Low Risk 1 - 4	Medium Risk 5-9	Significant Risk 10 -14	High Score 15 - 25

Recommended actions (with an overall aim of reducing the net risk rating):  
High: Review controls and actions every month  
Significant: Review controls and actions every 3 months  
Medium: Review controls and actions every 6 months  
Low: Review controls and actions at least annually



**Impact Definitions** (for guidance, although individual services can expand on these examples {other than Financial} to match their particular circumstances)

Score / Risk Examples	Compliance and Regulations	Financial	Service Delivery	Reputation	Health and Safety
Insignificant 1	▪Minor breach of internal regulations, not reportable.	▪Less than £50,000	▪Disruption to one service for a period of 1 week or less	▪Complaints from individuals / small groups of residents  ▪Low local coverage	▪Minor incident resulting in little harm
Minor 2	▪Minor breach of external regulations, not reportable.	▪Between £50,000 and £100,000	▪Disruption to one service for a period of 2 weeks	▪Complaints from local stakeholders  ▪Adverse local media coverage	▪Minor Injury to Council employee or someone in the Council's care
Moderate 3	▪Breach of internal regulations leading to disciplinary action.  ▪Breach of external regulations, reportable.	▪Between £100,000 and £1,000,000	▪Loss of one service for between 2-4 weeks	▪Broader based general dissatisfaction with the running of the council.  ▪Adverse national media coverage.	▪Serious Injury to Council employee or someone in the Council's care
Major 4	▪Significant breach of external regulations leading to intervention or sanctions.	▪Between £1,000,000 and £5,000,000	▪Loss of one or more services for a period of 1 month or more	▪Significant adverse national media coverage.  ▪Resignation of Director(s)	▪Fatality to Council employee or someone in the Council's care
Catastrophic 5	▪Major breach leading to suspension or discontinuation of business and services	▪More than £5,000,000	▪Permanent cessation of service(s)	▪Persistent adverse national media coverage.  ▪Resignation / removal of CEX / elected Members.	▪Multiple fatalities to Council employees or individuals in the Council's care

Likelihood Definitions

Factor	Description	Expected Frequency
1	Remote	10-yearly
2	Unlikely	3-yearly
3	Likely	Annually
4	Highly Likely	Quarterly
5	Almost Certain	Monthly

**BROMLEY - CORPORATE RISKS / ORGANISATIONAL ISSUES - NOVEMBER 2016**

REF	CORPORATE RISK	RESPONSIBLE OFFICER	PRIORITY ACTIONS (TBA)
1	<p><b>FINANCIAL (failure to deliver a sustainable Financial Strategy which meets BBB priorities and failure of individual departments to meet budget)</b></p> <p><b>Issues:</b></p> <ol style="list-style-type: none"> <li>1. As a consequence of significant Government funding reductions (austerity continues until at least 2019/20), need to reduce the Council's significant 'budget gap' of £27.6m per annum by 2019/20.</li> <li>2. The Government's aim is to transform 'local government, enabling it to be self-sufficient by the end of Parliament' e.g. business rates to be fully devolved to local government by 2019/20. A future national recession could have a significant impact on income generated to fund key services within a fully devolved model.</li> <li>3. Failure to meet departmental budgets due to increased demand on key services resulting in overspends: (Housing (homelessness and cost of bed and breakfast); Social Care (welfare reform and ageing population); and Waste (growing number of households).</li> <li>4. The risk of the Council not being able to carry out its statutory duties (e.g. pupil admissions, school improvement, child protection) as a consequence of funding reductions.</li> <li>5. Dependency on external grants to fund services (schools and housing benefits are ring-fenced) - effect if grant reduces (Public Health services) or ceases.</li> <li>6. The introduction of a new national living wage will have cost implications to the Council over the next few years (e.g. care providers and carers).</li> <li>7. As the local government core grant is fully phased out, local government will take on new funding responsibilities e.g. public health, housing benefit administration for pensioners, attendance allowances etc. With ageing population there will be associated cost pressures.</li> <li>8. Impact of welfare reforms (phased replacement of housing benefit to Universal Credit). From April 2016 working age claimants in receipt of Council Tax Support (CTS) will be required to pay a minimum of 25% towards their Council Tax liability (previously 19%).</li> <li>9. Dependency on Council Tax payers paying an additional precept to specifically fund vital services e.g. adult social care, in addition to any general council tax increase.</li> <li>10. Failure to identify and highlight frauds and weaknesses in the system of internal control (which invariably have a financial impact). Overall, fraud losses are mainly benefit related (Council Tax Support / Single Person Discount).</li> </ol>	Director of Finance	<p>Regular update of forward forecast</p> <p>Early identification of future year savings required</p> <p>'Transformation' options considered early in the four year forward planning period</p> <p>Budget monitoring to include action from relevant Director to address overspends including action to address any full year additional cost</p>
2	<p><b>COMMISSIONING (failure to deliver the Council's Target Operating Model as a 'Commissioning organisation, determining who is best placed to deliver high-quality services based on local priorities and value for money principles')</b></p> <p><b>Issues:</b></p> <ol style="list-style-type: none"> <li>1. Driven by budgetary considerations.</li> <li>2. Our low cost base reduces the scope to identify efficiency savings compared with a higher cost organisation.</li> <li>3. Availability of quality data to support decisions.</li> <li>4. Capacity to deliver the Commissioning agenda.</li> <li>5. Capacity of key areas to deliver outsourcing i.e. ICT (supporting IT and information transfers), HR, procurement teams and legal services.</li> <li>6. Impact of not being able to outsource targeted services means that additional savings are required elsewhere.</li> <li>7. Ensuring that we adequately engage with Members and consult staff, residents, service users, businesses and other interested parties.</li> <li>8. Contracts and SLAs fail to deliver required quantity / quality / value for money services.</li> <li>9. Potential downside: Contracted provider fails to meet performance standards, terminates contract or ceases to trade with the result that the service has to be brought back in-house</li> </ol>	Director of Commissioning and Directors (delivery of outcomes)	<p>Ensure the organisation has the appropriate capacity and governance arrangements in place to deliver the Commissioning agenda.</p>

3	<p><b>HEALTH AND SOCIAL CARE INTEGRATION (failure to have a plan in place by 2017 for full implementation by 2020)</b></p> <p><b>Issues:</b></p> <ol style="list-style-type: none"> <li>1. Difficulty in achieving rapid change in a system as complex as health and social care.</li> <li>2. Rising social care costs due to ageing population and people living longer with increasing complex needs.</li> <li>3. Difficulties with agreeing budgets (given likely funding reductions going forward), complex governance arrangements, and workforce planning.</li> <li>4. Need to focus on collaborative working (cultural differences).</li> <li>5. Diminishing / reduced resources and changes in the way public funds are directed.</li> <li>6. Pressure for social care services to be accessible 7 days a week both in terms of our own workforce and contracts with external providers in line with NHS priority to deliver 7 day working across the health sector.</li> <li>7. LBB will need to contribute to a whole system review (led by the Bromley Clinical Commissioning Group ) to ensure that funding follows the patient.</li> </ol>	Chief Executive	<p>A commitment to delivering an integration plan for health and social care services across the borough by 2017.</p> <p>Continued work with health partners to deliver the main transformation programmes.</p> <p>Building on the work already delivered through the S.75 and being implemented through the Better Care Fund workstream i.e. <del>Reablement and Rehab</del></p>
4	<p><b>ORGANISATIONAL CHANGE (failure to manage change and maintain an efficient workforce with the result that BBB priorities are not met)</b></p> <p><b>Issues:</b></p> <ol style="list-style-type: none"> <li>1. The on-going need to reduce the size and change the shape of the organisation to secure priority outcomes within the resources available.</li> <li>2. Having the right people in place by implementing effective recruitment and retention strategies.</li> <li>3. Potential skills gap and deterioration of service quality through loss of experienced staff as a result of age profile of workforce and downsizing (failure to succession plan).</li> <li>4. Disruption while services realigned and staff appointed to new structure.</li> <li>5. Increasing demands and pressures on remaining staff given increased customer expectation levels, could lead to morale issues.</li> <li>6. Increased potential for internal controls to be bypassed due to flatter reporting structure.</li> <li>7. Lack of capacity to lead projects / manage change agenda and consequent ability to respond to change initiatives and the achievement of outcomes and benefits.</li> <li>8. Potential future shortage of professionally qualified practitioners in key areas, particularly around the Safeguarding agenda.</li> <li>9. Need to ensure that relevant staff have necessary disciplines to drive improvement and enable good practice and consistency in delivering change and the achievement of outcomes and benefits e.g. risk and performance management.</li> <li>10. Adverse industrial relations climate with individual and collective grievances including trade disputes with the unions, causing some disruptions to vital Council services.</li> <li>11. Increasing number of employment tribunal cases causing financial and administrative inconveniences.</li> <li>12. Having the right buildings and facilities to support fewer, more professional, differently organised staff.</li> <li>13. Potential changes to working relationship with Members as we move to a smaller organisation.</li> <li>14. The need to track continued changes to government strategy and policies coupled with changes in legislation to avoid compliance issues (approx. 1,300 statutory duties).</li> <li>15. Adequacy of consultation on issues that affect residents across the borough i.e. re-organisation of libraries, Biggin</li> </ol>	Director of Human Resources	<p>Continuously address the recruitment and retention of key individuals in critical posts.</p> <p>Ensure the organisation has the HR capacity and employment law expertise to manage change.</p> <p>Address the transformational and transitional capabilities (including leadership) required for a successful commissioning journey/process.</p> <p>Provide adequate resources to support and improve staff engagement and communications.</p>

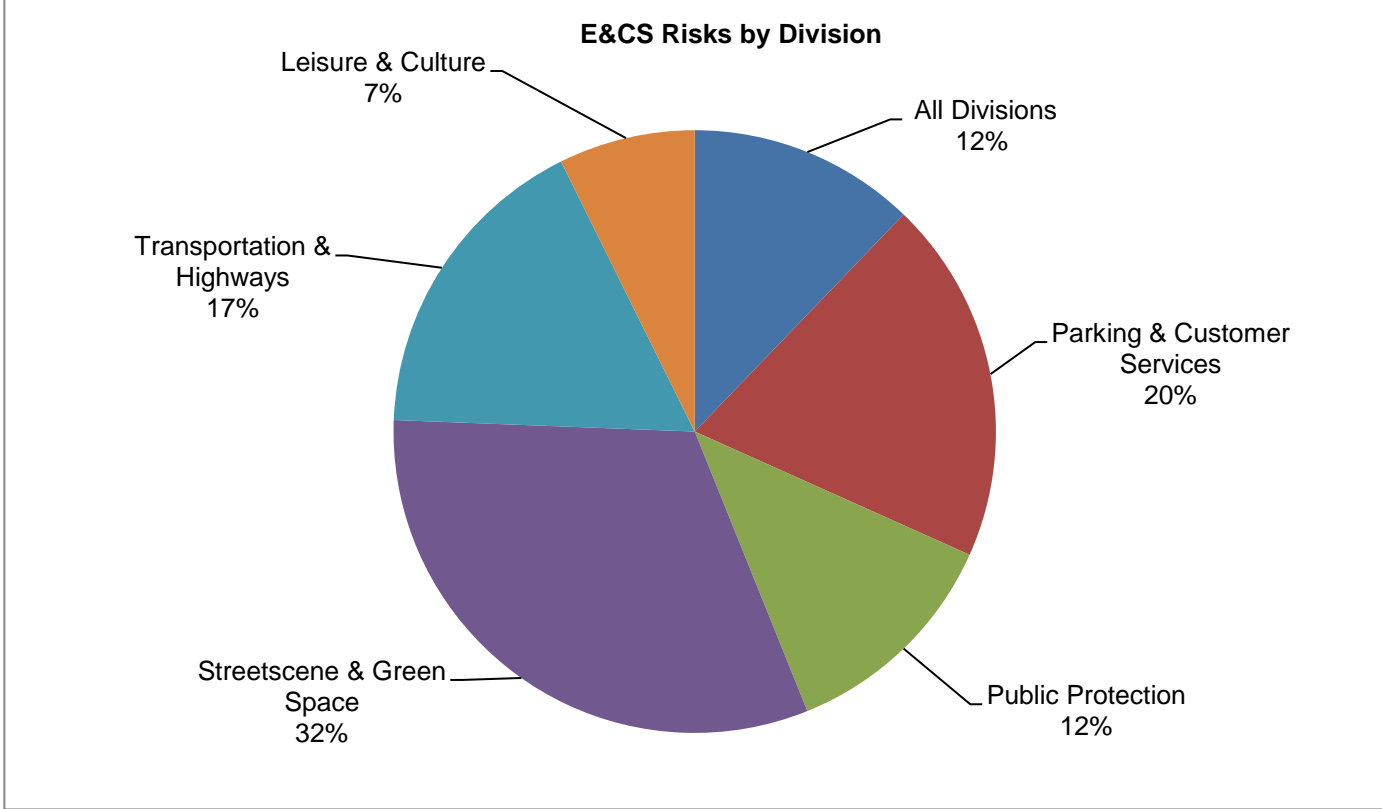
4	<p><b>CONTRACT MANAGEMENT (failure to manage and monitor contracts effectively resulting in reduced performance and increased customer complaints)</b></p> <p><b>Issues:</b></p> <ol style="list-style-type: none"> <li>1. Ensuring client side staff have the necessary training and skills to manage and monitor contracts.</li> <li>2. Ensuring effective communication channels between client and provider to ensure contract compliance.</li> <li>3. Need for monitoring officers to check quality of outsourced services and customer satisfaction levels.</li> <li>4. Lack of understanding of the contract deliverables.</li> <li>6. Short cuts in procurement processes e.g. extending contracts rather than retendering.</li> <li>7. Compatibility of different systems and availability of IT support.</li> <li>8. Failure of a contractor / partner / provider to maintain agreed service levels resulting in an interruption to or deterioration of service delivery.</li> <li>9. Potential for operational errors / omissions by contractors (responsibility remains with LBB).</li> <li>10. Managing customer expectations and dealing with complaints where there are failures.</li> </ol>	Council Directors	<p>Contract Monitoring Summary information being uploaded to Contract Database.</p> <p>CDB to be kept up-to-date by Contract Managers / Commissioners.</p> <p>Ensure relevant contract data is reported to each PDS committee and Contracts Sub-Committee as required under LBB Contract Procedure Rules.</p> <p>Review the provision of contract and procurement information on onebromley.</p>
5	<p><b>CONTRACT MANAGEMENT (failure to manage and monitor contracts effectively resulting in reduced performance and increased customer complaints)</b></p> <p><b>Issues:</b></p> <ol style="list-style-type: none"> <li>1. Ensuring client side staff have the necessary training and skills to manage and monitor contracts.</li> <li>2. Ensuring effective communication channels between client and provider to ensure contract compliance.</li> <li>3. Need for monitoring officers to check quality of outsourced services and customer satisfaction levels.</li> <li>4. Lack of understanding of the contract deliverables.</li> <li>6. Short cuts in procurement processes e.g. extending contracts rather than retendering.</li> <li>7. Compatibility of different systems and availability of IT support.</li> <li>8. Failure of a contractor / partner / provider to maintain agreed service levels resulting in an interruption to or deterioration of service delivery.</li> <li>9. Potential for operational errors / omissions by contractors (responsibility remains with LBB).</li> <li>10. Managing customer expectations and dealing with complaints where there are failures.</li> </ol>	Directors	<p>Contract Monitoring Summary templates be completed and loaded on the Contract Monitoring team site.</p> <p>Ensure that contract data is reported to each PDS committee as required under Contract Procedure Rules.</p> <p>Review the provision of contract and procurement information on onebromley.</p>
6 Page 18	<p><b>INFORMATION COMMUNICATION TECHNOLOGY (failing to maintain and develop ICT information systems to reliably support departmental service delivery)</b></p> <p><b>Issues:</b></p> <ol style="list-style-type: none"> <li>1. Need to ensure that Information systems are fit for future business purpose.</li> <li>2. Capacity and skill within Corporate ICT to maintain and support systems during a period of significant change and in the future.</li> <li>3. Increasing reliance on stability of ICT infrastructure in all areas of the Council (Lync telephony service).</li> <li>4. Council website now a major channel for the delivery of services (Pay for it, Apply for it, Report it).</li> </ol>	Director of Corporate Services	<p>Effectively manage and plan for the transition of the IT contract from CAPITA to BT. Ensure business continuity and those deadlines for major works are achieved. Appoint Transition Manager.</p>



7	<b>BUSINESS CONTINUITY AND EMERGENCY PLANNING (failure to maintain and update Business Continuity Plans, and our ability to respond to major external incidents, with the result that services are severely disrupted)</b>  <b>Issues:</b>  1. Unavailability of Council offices / depots due to explosion / fire / flood etc. 2. Operational emergencies due to severe weather conditions, fire, or major incident. 3. Availability of trained staff to respond to external emergencies (the Council is a Category 1 responder). 4. Loss of key business systems due to power problems or system failure. 5. Inadequate IT disaster recovery arrangements leading to dislocation of Council services. 6. Sustained industrial action affecting key services. 7. Lack of Business Continuity Plan testing. 8. Adequacy of contractor's business continuity plans. 9. 'Flu' pandemic which could have a widespread impact across the borough.	Director of Environment and Community Services	<p>To ensure that all Business Continuity Plans are up to date and are cross linked with one another across the Authority, specifically in relation to fall back sites, where there may be a number of departments using the same scarce resource.</p> <p>To revisit the evacuation protocols within the Civic Centre site, specifically where staff would go if there was a large cordon</p>
8	<b>Inability to deliver effective Children's Social Care services. (failure to discharge Children's Social Care functions)</b>  <b>Issues:</b>  1. Failure to deliver effective children's services to fulfil safeguarding obligations and protect those at risk of sexual exploitation or missing from care. 2. Failure to prevent a child or young person from suffering significant harm or death. 3. Following 'Statutory Direction' from DfE, failure to perform to an adequate standard, some or all of the functions to which section 497A of the Education Act 1996 ("the 1996 Act") is applied by section 50 of the Children Act 2004 ("children's social care functions"), potentially leading to the recommendation to the Secretary of State that alternative delivery arrangements are the most effective way of securing and sustaining improvement 4. Unfavourable media coverage and loss of credibility	Directors, Specifically Executive Director of ECHS	<p>Multi Agency Bromley Safeguarding Board in place to identify and prevent safeguarding issues</p> <p>Effective contract monitoring arrangements to ensure acceptable quality of service provision and Value for Money</p> <p>Appointment of Deputy Chief Executive with Director of Children's Services responsibility</p>

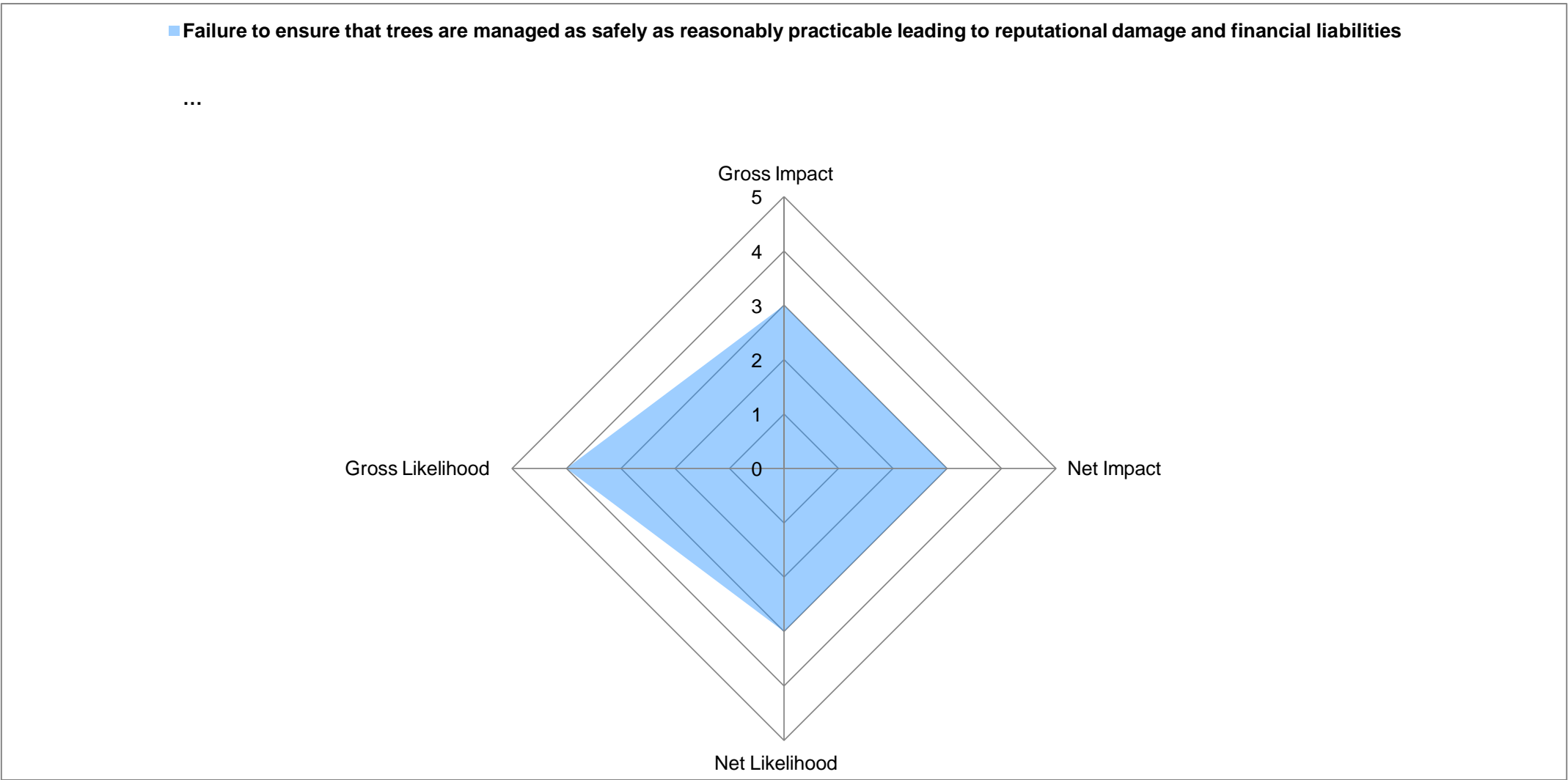
<b>CONSEQUENCES</b>
The main consequences of failing to address these risks are that we fail to deliver a balanced budget with the result that we do not achieve our Building a Better Bromley priorities. This in turn will lead to public dissatisfaction, adverse publicity and damage our reputation as an 'excellent council'.

Divisionally risks comprise:	No.	%
All Divisions	5	12%
Parking & Customer Services	8	20%
Public Protection	5	12%
Streetscene & Green Space	13	32%
Transportation & Highways	7	17%
Leisure & Culture	3	7%
	41	100%



Risk Register Look-up Table

Concatenate	Gross / Net Risk	Gross / Net Likelihood	Gross / Net Risk Rating	Gross / Net Score
1_1	1	1	Low	1
1_2	1	2	Low	2
1_3	1	3	Low	3
1_4	1	4	Low	4
1_5	1	5	Medium	5
2_1	2	1	Low	2
2_2	2	2	Low	4
2_3	2	3	Medium	6
2_4	2	4	Medium	8
2_5	2	5	Significant	10
3_1	3	1	Low	3
3_2	3	2	Medium	6
3_3	3	3	Medium	9
3_4	3	4	Significant	12
3_5	3	5	High	15
4_1	4	1	Medium	4
4_2	4	2	Medium	8
4_3	4	3	Significant	12
4_4	4	4	High	16
4_5	4	5	High	20
5_1	5	1	Medium	5
5_2	5	2	Significant	10
5_3	5	3	High	15
5_4	5	4	High	20
5_5	5	5	High	25



This shape represents a slicer. Slicers can be used in at least Excel 2010.

If the shape was modified in an earlier version of Excel, or if the workbook was saved in Excel 2003 or earlier, the slicer cannot be used.

Column Labels	
Failure to ensure that trees are managed as safely as reasonably practicable leading to reputational damage and financial liabilities	
Reputation, Financial, Health and Safety	
Medium	
Values	
Gross Impact	3
Net Impact	3
Net Likelihood	3
Gross Likelihood	4

CONTRACT SPECIFIC RISKS

[Also see CMS in ECS Contract Directory](#)

Contract	Risk Management
<a href="#">Waste Management Contracts</a>	<ul style="list-style-type: none"><li>• Failure to achieve contract targets for % of waste sent to landfill / incineration / recycling / composting leading to additional landfill costs, mitigated by monthly monitoring, public recycling campaigns, and waste minimisation initiatives</li><li>• Failure to manage increased waste arisings (as UK emerges from recession) leading to increased costs and reduced recycling rates</li><li>• Failure to prepare for industrial action by contractor's staff, leading to loss of services mitigated by ongoing monitoring &amp; meetings regarding workforce issues</li><li>• Reduced paper tonnages impacts recycling rate and paper income – mitigated by reviewing recyclate markets/ prices</li><li>• Landfill tax is high and an incineration tax is not impossible</li><li>• Increasing SELCHP maintenance downtime is resulting in increased landfill and therefore disposal costs</li></ul>
<a href="#">Street Cleansing</a>	<ul style="list-style-type: none"><li>• Failure to maintain clean streets leading to public dissatisfaction - mitigated by active monitoring of contractor performance and defaults</li><li>• Failure to meet the statutory duty to keep the streets clean – mitigated by ensuring that street cleaning frequencies are appropriate to the land use types and actively monitored by inspectors</li><li>• Contractor failure due to poor performance – mitigated by ability to terminate the contract before full term and retender to re-establish required standards of performance</li><li>• Increase in fly-tipping – mitigated by lump-sum contract payment (i.e. there is no increase in clearance costs if the number of fly-tipping incidents increase) although there is an impact on waste disposal costs.</li></ul>
<a href="#">Drainage</a>	<ul style="list-style-type: none"><li>• Failure to clean gullies leading to increased flood risk to highways and private property also leading to public dissatisfaction and insurance claims - mitigated by active contractor performance monitoring and defaults system</li><li>• Contractor failure due to poor performance – mitigated by ability to terminate the contract before full term and retender to re-establish required standards of performance</li></ul>
<a href="#">Graffiti</a>	<ul style="list-style-type: none"><li>• Failure to remove graffiti leading to public dissatisfaction and potentially increased fear of crime - mitigated by active monitoring of contractor performance and proactive removal</li><li>• Contractor failure due to poor performance – mitigated by ability to terminate the contract before full term and retender to re-establish required standards of performance</li></ul>
<a href="#">Parks &amp; Grounds Maintenance</a>	<ul style="list-style-type: none"><li>• Failure to check playground safety and cleanliness leading to injuries and claims – mitigated by daily contractor checks</li><li>• Failure to maintain grass verges &amp; shrubs leading to public complaints – mitigated by contract management / inspection</li><li>• Failure (in whole or in part) of the principal contractor (TLG) mitigated by contract monitoring and ultimately by the Council intervening</li></ul>
<a href="#">Arboriculture</a>	<ul style="list-style-type: none"><li>• Failure to ensure trees are managed as safely as reasonably practicable leading to reputational damage and financial liabilities – mitigated through effective management of this contract</li><li>• Failure of contractor to provide sufficient resources to undertake remedial works – mitigated by contract monitoring</li></ul>
<a href="#">Security (i.e. Ward)</a>	<ul style="list-style-type: none"><li>• Failure to provide a parks security service resulting in residents feeling unsafe and not using the parks – mitigated by the security presence</li><li>• Failure by contractor to provide sufficient resources leading to reduced security and possible ‘traveller’ incursions – mitigated by daily monitoring by client</li></ul>
<a href="#">Abandoned Vehicles</a>	<ul style="list-style-type: none"><li>• Failure to remove abandoned vehicles resulting in potential criminal damage and residents feeling unsafe. Because of battery acid and fluoro-elastomers in vehicles, abandoned vehicles pose a threat to physical health – mitigated by the removal and disposal process.</li><li>• Attendance by LFB for arson incidents involving abandoned vehicles – mitigated by daily monitoring by client (Neighbourhood Management).</li></ul>



