

Environment & Community Services (ECS) Risk Register

												DATE LAST REVIEWED:	09/10/17
REF	DIVISION	RISK TITLE & DESCRIPTION (a line break - press shift & return - must be entered after the risk title)	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING (See next tab for guidance)			EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING (See next tab for guidance)			FURTHER ACTION REQUIRED	RISK OWNER
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1	All ECS	Emergency Response An ineffective response to a major emergency / incident internally or externally	Cause(s): Emergency may be triggered by storms, floods, snow , extreme heat or other emergency. Ineffective response could be caused by capacity and organisational issues Effect(s): - Failure to fulfil statutory requirements and recovery role - Major disruption to highways infrastructure and service provision in general	Service Delivery	2	4	8	1. Corporate Major Emergency Response Plan 2. E&CS Incident Plan 3. Service Business Continuity Plans 4. Out-of-Hours Emergency Service 5. Winter Service Policy and Plan reviewed annually 6. Corporate Risk Management Group 7. Corporate Emergency Response Plan 8. Training, Testing and Exercising 10. Multi-agency assessment of emergency risks	2	3	6	- 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	All ECS
2	All ECS	Loss of Central Depot Major incident resulting in loss of access or total / partial loss of the borough's main vehicle depot	Cause(s): Fire, explosion, train de-railing etc. Effect (s): Significant service disruption (Waste, Street Cleaning, Fleet management etc.)	Service Delivery	2	3	6	1. Contingency plans for: - Alternative vehicle parking - Temporary relocation of staff - Storage of bulky materials 2. Key Business Continuity Plan agreed 3. Close liaison with Waste Contract management, depot users e.g. Kier (Street Cleansing) and Highways Winter Service Team 4. Health & Safety forum across site users. 5. Inspection regime in place.	1	3	3	- Consideration of issue as part of Environmental Services Contract	Paul Chilton
3	All ECS	Fuel Shortage Fuel shortage impacting on transport fleet and service delivery	Cause(s): National fuel shortage caused by picketing or other external factors. Effect (s): Failure to provide critical services and impact on residents and customers	Service Delivery	1	3	3	1. Identified alternative fuel supplies at contractors and neighbouring boroughs 2. Designated Filling Station identified under National Emergency Plan by London Resilience Team as designated fuel supply for LBB logoed vehicles 3. Fuel store at Central Depot 4. Ongoing liaison with London Boroughs concerning collaboration and assistance	1	2	2	- Ensure contractors have adequate arrangements	Paul Chilton
4	All ECS	Ineffective Business Continuity arrangements	Cause(s): Failure to implement and keep up to date effective corporate Business Continuity Plans Effect (s): Non provision of critical services following a major incident	Service Delivery	3	4	12	1. Corporate Risk Management Group (Chaired by Pete Turner) now encompasses Business Continuity 2. Review of current status of BCPs	3	3	9	- Re-establish BCM Programme Management - Corporate BCM Review (underway) - Enhance understanding of the risks - Consider additional central resources to support and coordinate BCM	Laurie Grasty
5	Public Protection	Outbreak of an infectious disease	Cause(s): Numerous external causes outside of Bromley's control. Effect(s): Disruption to normal services due to staff sickness and high demand on services from community	Service Delivery	1	5	5	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	1	5	5	- 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	Paul Lehane
6	Streetscene and Greenspace	Industrial Action by contractor's staff	Cause(s): Union dissatisfaction over pay and conditions (particularly in Waste) Effect (s): Temporary loss of service and disruption to residents.	Service Delivery	2	3	6	1. Ongoing monitoring / meetings regarding workforce issues 2. Joint development of contingency plans with contractor	2	1	2		Dan Jones
7	All ECS	Line of business systems IT failure	Cause(s): Network, software, hardware problems Effect (s): Impacting on service delivery and contract liaison	Service Delivery	3	3	9	1. Paper-based system implemented when network problems exist 2. Ongoing discussion with Corporate IT to reduce likelihood of IT failure	3	3	9	- Review and refresh ICT Quality Assurance Procedures accounting for more mobile working - Ensuring issue addressed in future contracting arrangements	Dan Jones
8	All ECS	Health & Safety (Department) Ineffective management, processes and systems within ECS	Cause(s): Failure to take departmental action to reduce likelihood of accidents, incidents and other H&S issues (inc. slips, trips and falls) Effect (s): Fines from HSE and increased insurance claims.	Health & Safety	2	4	8	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 5. Annual audits and annual paths surveys (parks) 6. Cyclical 5 year survey of park trees and highway trees 7. Footway inspections	2	3	6	- 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	All ECS
9	Public Protection	Health & Safety (Council) Ineffective management, processes and systems across Bromley	Cause(s): Capacity to discharge the Council's H&S responsibilities Effect (s): Potential prosecution of council and / or civil claims for compensation	Health & Safety	2	4	8	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 Anev	1	3	3	Propose dedicated Corporate H&S Group?	Paul Lehane

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10	Streetscene and Greenspace	Environmental Services Contract Procurement Failure to effectively procure services	Cause(s): - Tender programme not keeping to schedule - Lotting structure and/or timetable unattractive to tenderers - Unfamiliarity with Sharpe Pritchard contract model - Lack of client capacity to complete all contract documentation required by OJEU - Lack of client capacity to deliver contract - Significant service change requires service user consultation - Costs are significantly higher than annual / four-year budget / forecast. Effect(s): - Procurement timetable slippage - Reduced negotiation time - Out of contract costs - Reputation damage - Failure to achieve value for money - Lack of competition - Failure to deliver service to requirements / KPIs / expectations. - Budgetary pressures	?	3	4	12	- Undertook an early view that tenderers have understood the contract model -Test attractiveness at Bidders Day and one-to-ones with contractors - Programme Plan (on Team Site) regularly updated - Regular progress reports to Programme Board and LBB Commissioning Board (DJ) - Build flexibility into the lotting strategy - Build possibility of staggered start dates into procurement timetable - Critical path timetables created. - Project Sponsor and Programme Board aware of in flight project issues - Consideration by Programme Board to restrict unnecessary growth and to impress vfm on tenderers - Consideration by Programme Board whether working with other boroughs will achieve economies of scale / income streams to mitigate cost increases - Ensure possible price / growth pressure flagged up in four-year forecast - Ensure 2019/20 budget accommodates tendered costs - Lotting to drive best value and allow benchmarking and flexibility - Three-year programme to allow sufficient time for market engagement and a phased approach to procurement - Programme management team identified - Expert Programme Board to advise Commissioners - Project Risk Register created	2	3	6		Dan Jones	
11	Transport & Highways	Inadequate management of Highways	Cause(s): Failure to appropriately manage highways due to deteriorating condition (winter weather etc.) and lack of resourced Effect (s): Leading to increased maintenance costs, insurance claims (trips, falls and RTAs) and reputational damage	?	2	4	8	1. Strategy to mitigate insurance claims 2. Inspection regime and defined intervention levels for maintenance repairs and monitoring 10% of works for compliance. 3. Winter Maintenance procedures (gritting / salting) 4. Increased salt storage capacity 5. Improvement management of customer expectations 6. Asset management technique (e.g. Highway Asset Management Plan) 7. New capital programme to reduce reactive works	3	2	6	- 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	Gary Warner	
12	Streetscene and Greenspace	Inadequate management of Trees	Cause(s): Failure to ensure that trees are managed as safely as reasonably practicable Effect (s): Leading to lack of capacity to clear blocked highways / make environment safe, reputational damage and financial liabilities	?	4	3	12	1. Tree care and safety contract (commenced July 2008) with Gristwood & Toms Tree Contractors Ltd 2. Annual targeted inspections of high risk areas (Dead, Dying & Dangerous Survey) 3. Full asset Survey of ~30% of street and park trees (and 50% of school trees) 4. Implement remedial works to address risk associated defects	3	3	9	- 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 - Complete the Tree Strategy which includes a Risk Management appendix	Julian Fowgies	
13	All ECS	Budgetary variations due to reduced income	Cause(s): - Improved Street Works performance by utility companies (reduced fines) - Under-achievement of expected car parking income and parking enforcement, due to economic climate or resistance to price increases and reduced incidents. - Loss of income from Penalty Charge Notices for Bus Lane Enforcement activity - Reduction in Street Enforcement activity (Fixed Penalty Notices) - Failure of APCOA to provide contracted services (e.g. strikes) - Removal of council exemption for charging VAT on commercial waste impacting on pricing and therefore income. Effect (s): Loss of income to council with potential to impact availability of funds to deliver services.	Financial	3	2	6	- Regular monitoring - monitoring of contractor performance (e.g. only issue good quality PCNs) - good debt recovery systems - monitoring parking usage and avoid excessive charge increases - Provide attractive, safe clean car parks - Reviewed fees and charges to optimise Trade Waste income - Regular contractor meetings where required - APCOA for the Shared parking contract	2	2	4	- Refine procedure for resolving disputes with utilities - Review parking tariff structures annually - Monitor income trends - Monitor for signs of success in achieving enforcement objectives - Benchmark charges against other authorities and local private sector competitors - Work with Contractor to explore economies of scale - Intelligence-led targeting of hotspot sites for enforcement	All ECS	

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14	Streetscene and Greenspace	Failure to achieve Waste budget	Cause(s): <ul style="list-style-type: none"> - Failure to anticipate/manage waste management financial / cost pressures due to increasing landfill tax, incineration tax, increasing property numbers, declining recycling income (lower paper tonnages) and limited incineration capacity - Failure to achieve contract payment mechanism targets for the proportion of waste sent to landfill / incineration / recycling / composting - Waste tonnage growing faster than budgeted or operational factors (i.e. Adverse weather conditions, etc) Effect (s): <ul style="list-style-type: none"> - Budgets being exceeded and knock on impact on council services 	Financial	3	4	12	<ul style="list-style-type: none"> - Cost pressures recognised in Council's Financial Strategy (FSD17005) - Landfill tonnages falling - offsets tax increase - Continued focus on promoting waste minimisation and recycling (e.g. in Environment Matters) - Monthly monitoring of recycled tonnages and projection to yearly figures - Regular and sustained recycling awareness campaign - Consolidation of Compositing for All - Continuing investigation of waste minimisation and recycling initiatives - Monthly monitoring of all waste tonnages and projection to yearly figures. - Monthly monitoring of all collection costs and figures - Ongoing analysis of collection and disposal methodology 	2	3	6	<ul style="list-style-type: none"> - Consideration of alternative disposal routes such as Veolia's MBT plant - Reviewing and benchmarking of operational costs to explore and develop options to reduce costs where possible regarding market operational costs - Achieving BV under new contract 	Dan Jones
15	All ECS	Delivery of 2019 Environment Services Strategy (technical issues) Failure to deliver on the following: - Secure sufficient capacity at Waste Disposal Facilities to handle / process future need - Address over-reliance of waste tenders on unproved technology or unbuilt plant - Defra waste collection methodology harmonisation review may require changes to frequencies / segregation / containers - Failure to provide sufficient finance to meet the public's aspirations for improved street cleanliness - Improving the Street Scene - 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)	Cause(s): Technical issues constaining the Environmental Services contract procurement process Effect (s): <ul style="list-style-type: none"> - Higher service costs - Reduced capacity - Reduced satisfaction in the Council leading to reputational damage 	Financial / Operational	3	4	12	<ul style="list-style-type: none"> - Programme Board aware of issue and need to scrutinise unproven / unbuilt proposals - LBB input to Defra Waste Collection Harmonisation Steering Group and will Provide early feedback on any possible changes - Process & frequency Plan for each service - Consideration by Programme Board: e.g. secure sufficient guaranteed but flexible capacity 	2	2	4	<ul style="list-style-type: none"> - 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. - 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) 	Dan Jones
16	Public Protection	Food Standards Agency Audit Failure to meet required service standards as required by Food Standards Agency Audit (April 17) due to a	Cause(s): Lack of resource to meet code of practice service standards Effect(s): Leading to reputational damage and possible use of power of direction	Service Delivery, Health and Safety, Reputational	4	4	16	<ul style="list-style-type: none"> - Current levels of resourcing - Prioritised according risk 	3	3	9	<ul style="list-style-type: none"> - Executive agreed funding for 5 additional posts - Recruitment is underway but there is a high risk of not being able to recruit to these posts. 	Paul Lehane
17	All ECS	Loss of businesses from town centres	Cause(s): Failure to redevelop high streets Out of town developments and online shopping Effect(s): Reduction in high street business and market stall occupancy Loss of income (Business rates and market stalls) Poor public perception and negative publicity	Financial / Reputational	3	4	12	<ul style="list-style-type: none"> - BID Teams organise town centres events - Investment in Orpington High Street and Bromley North (done) - Regular advertising / promotion of Markets and availability of stalls - Review of Market operational costs to reduce costs where possible - Regular maintenance and renewal of market infrastructure 	2	3	6	<ul style="list-style-type: none"> - Ongoing review of market provision linked to outsourcing service provision to Bromley Business Improvement District - Detailed annual action plan to be drawn up for each town centre 	Jim Kehoe Colin Brand Dan Jones
18	Transport & Highways	Failure to deliver new parking schemes	Cause(s): Increasing demand from residents for parking schemes coupled with decreasing grant funding from TfL Effect (s): Increased congestion and reduced income	Service Delivery	3	4	12	<ul style="list-style-type: none"> - Set up register of agreed schemes with designated officers and timescales - Develop and agree financial appraisal framework with finance department - New software procured 13/14 to help improve project and programme management 	2	3	6		Angus Culverwell
19	All ECS	Recruitment and retention of quality staff	Cause(s): Unavailability of suitably qualified / experienced staff to replace retirees and loss of staff. Particular problem within Planning, Environmental Health and Traffic (to TfL which offers better remuneration and career progression) divisions. Effect (s): 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	3	3	9	<ul style="list-style-type: none"> - Ongoing programme to find and retain quality staff through internal schemes such as career grades and ongoing CPD 	2	2	4	<ul style="list-style-type: none"> - Consider potential for contractors to supply necessary skills 	Angus Culverwell

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20	Streetscene and Greenspace	Lack of burial space within the borough	Cause(s): Potential lack of acceptable local space for burials (ashes internment not a problem) Effect (s): Leading to reputational damage	Service Delivery	3	3	9	- Burial plots are available at St Mary Cray and Biggin Hill (with some limited capacity in other sites for partners of deceased) - New cemetery provided by the private Sector at Kemnal Manor Chislehurst, which will alleviate pressures of lack of Borough owned burial space.	2	2	4	- 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	Rob Schembri
21	All ECS	Climate change Failure to adapt to our changing climate	Cause(s): Severe weather events including extreme heat, storms, floods etc Effect (s): Resulting in threats to service provision, environmental quality and residents' health	Service Delivery	3	3	9	- Adopt best adaptation practice identified through London Climate Change Partnership, UK Climate Impacts Programme, and the Local Adaptation Advisory Panel - LBB Surface Water Management Plan and Draft Local Flood Risk Strategy	2	3	6	- Liaise with Public Health on cross-cutting issues e.g. excess summer deaths and vector-borne disease etc	All ENV ADs

Remember to consider current Internal Audit priority one recommendations when identifying, assessing and scoring risks.