

Environment & Community Services (ECS) Risk Register (Appendix B)

											DATE LAST REVIEWED:	03/04/2018	
REF	DIVISION	RISK TITLE & DESCRIPTION	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING			EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING			FURTHER ACTION REQUIRED	RISK OWNER
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1	All ECS	Emergency Response Failure to respond effectively 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/or organisational issues Effect(s): - Failure to fulfil statutory duties in timely manner - Disruption to 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. Training, Testing and Exercising 7. Multi-agency assessment of emergency risks	2	3	6	1. Greater Corporate awareness and support 2. Development of risk-specific arrangements in accordance with Minimum Standards for London and informed by the Borough Risk Assessment 3. Implement 'on-call rota' for Emergency Response Manager 4. Recruit and train more Emergency Response Volunteers	All ECS
2	All ECS	Central Depot Access Major incident resulting in loss of / reduced Depot access affecting service provision (LBB's main vehicle depot)	Cause(s): Fire, explosion, train derailment, strike etc. Effect (s): Significant service disruption (Waste, Street Cleaning, Gritting, Fleet Management, Streetscene & Greenspace service management etc.)	Service Delivery	2	3	6	1. Contingency plans for: - Alternative vehicle parking - Temporary relocation of staff - Storage of bulky materials 2. Implement Business Continuity Plans 3. Close liaison with other Depot users (e.g. Waste Contract, Street Cleansing) and Highways Winter Service Team 4. 'Central Depot Users Group' (Health & Safety forum for all site users) 5. Work Place Risk Assessments in place	1	3	3	1. Consideration of issue as part of proposed Environmental Services Contract	Paul Chilton
3	All ECS	Fuel Availability Fuel shortage impacting on transport fleet and service delivery	Cause(s): National or local fuel shortage caused by picketing or other external factors Effect (s): Failure to provide services impacting on residents and other 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 other London Boroughs concerning collaboration and assistance	1	2	2	1. Ensure contractors have adequate arrangements	Paul Chilton
4	All ECS	Business Continuity Arrangements Lack of up-to-date, tried and tested, BCP for all Council services	Cause(s): Failure to implement and keep up-to-date effective service and corporate Business Continuity Plans Effect (s): Non-provision of critical services following an incident (internal or external)	Service Delivery	2	4	8	1. Corporate Risk Management Group (Chaired by Dave Hogan) now encompasses Business Continuity 2. Undertaking Business Impact Analyses of all services to identify priorities 3. Developing a Corporate Business Continuity Plan and updating service BCPs	2	3	6	1. Conduct training exercises to ensure that BCP work in real life	Laurie Grasty
5	Public Protection	Infectious Disease Pandemic outbreak leading to staff shortages potentially coupled with increased service demand	Cause(s): Major pandemic (e.g. 'flu') outside of Bromley's control. Effect(s): Disruption to normal services due to staff sickness and high demand on services from community	Health & Safety	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	1. Regular multi-agency review of Protocols 2. Consider immunisation of key staff 3. Director should ensure BCP plans provide for service continuity in the event of a major outbreak affecting key staff	Joanne Stowell
6	Streetscene and Greenspace	Industrial Action Contractors' staff work-to-rule / take strike action impacting on service delivery	Cause(s): Union dissatisfaction over pay and conditions (particularly in Waste) Effect (s): Temporary disruption to service / reduced customer satisfaction	Service Delivery	2	3	6	1. Ongoing monitoring / meetings regarding workforce issues 2. Joint development of Business Contingency Plans with contractor	2	1	2	1. Review public communications to be used in the event of a strike	Dan Jones
7	All ECS	Line of Business Systems Temporary loss of key systems such as CONFIRM / UNIFORM etc. due to IT failure	Cause(s): Network, software, hardware failure Effect (s): Impact on contractor liaison and service delivery	Service Delivery	3	3	9	1. Paper-based system implemented when network problems occur 2. Ongoing discussion with Corporate IT to reduce likelihood of IT failure	3	3	9	1. Review and refresh ICT Quality Assurance Procedures accounting for more mobile working 2. Ensure issue addressed in future contracting arrangements	Dan Jones
8	All ECS	Health & Safety (E&CS) Ineffective management, processes and systems within E&CS departmentally	Cause(s): Failure to take departmental action to reduce likelihood of accidents, incidents and other H&S issues Effect (s): HSE investigation / prosecution leading to fines, increased insurance claims, and reputational damage	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. Regular Footway inspections	2	3	6	1. Ensure Workplace Risk Assessments (inc. Homeworking) updated annually and biennial reviews conducted 2. Encourage reporting of all significant accidents and incidents using AR3 form (and reporting of RIDDOR incidents) 3. Use of newly-revised Contractor Inspection Reporting forms (and consideration of electronic forms) 4. Ensure resource exists to discharge statutory functions	All ECS

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9	Public Protection	Health & Safety (Council) Ineffective management, processes and systems across all Council departments	<p>Cause(s): Capacity to discharge the Council's H&S responsibilities</p> <p>Effect (s): Potential prosecution of Council and / or civil claims for compensation</p>	Health & Safety	2	4	8	1. 0.6 fte Corporate Safety Advisor employed (Post temporarily filled) 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. Departmental Safety Committees meet regularly 7. Property-related HSW matters now provided through Amey	1	3	3	1. Escalate to Corporate H&S Group? 2. Recruit permanent Corporate H&S advisor	Joanne Stowell
10	Streetscene and Greenspace	Environmental Services Contract (General) Failure to procure tendered services to schedule and to budget	<p>Cause(s): - Tender programme not keeping to schedule - Lotting structure and/or timetable unattractive to tenderers - Unfamiliarity with new contract model (client & contractors) - Lack of client capacity to process contract documentation - Significant service change requiring service-user consultation - Tendered costs being higher than budget / forecast</p> <p>Effect(s): - Procurement timetable slippage - Reduced negotiation time - Risk of challenge - Reputational damage - Failure to achieve best value - Lack of competition / bids - Failure to deliver service to requirements / KPIs / expectations</p>	Service Delivery	3	4	12	- Tested attractiveness at Bidders Day - Procurement Strategy Report (ES17002): 21/04/17 - PIN issued 17/11/17 - OJEU notice issued 08/01/18 - Programme Plan regularly updated by Programme Management Team - Regular progress reports to Environmental Services Commissioning Board (includes Service Owner, Project Sponsor and Programmer Manager) - Price / growth pressure to be flagged in four-year forecast and actual costs to be included in 2019/20 budget - Programme Resourcing: Project Manager vacancy on Adecco (May) and funding identified for Waste Expert	2	3	6	Risk mitigated by phasing activity: 1. Stage 2 (ISIT & Evaluation) commenced (March to June 2018) 2. Stage 3: Feedback & Negotiation (July-Sept. 2018) 3. Stage 4: Final Tender & Authorisation (October 2018) 4. Stage 5 (Award) Contract Award & Transition/Mobilisation (November 2018) 5. Contract Start date: 01/04/19	Dan Jones
11	Transport & Highways	Highways Management Deterioration of the Highway Network due to under-investment	<p>Cause(s): Failure to manage Highways in respect of traffic volumes, winter weather, financial resources leading to deteriorating condition</p> <p>Effect (s): Leading to increased maintenance costs, insurance claims (trips, falls and RTAs) and reputational damage</p>	Financial	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. Improved customer expectation management 6. Asset management technique (e.g. Highway Asset Management Plan) 7. New capital programme to reduce reactive works	3	2	6	1. Review frequency of Highways Inspections and adjust as deemed appropriate to effectively manage the risk in line with revised Code of Practice (published 2016) 2. Additional inspections carried out and repairs undertaken as necessary 3. Modernisation of contractor's programming and completion of maintenance repairs involving remote working ICT technology	Gary Warner
12	Streetscene and Greenspace	Arboricultural Management Failure to inspect and maintain Bromley's tree stock leading to insurance claims etc	<p>Cause(s): Failure to ensure that trees are managed as safely as reasonably practicable</p> <p>Effect (s): Leading to blocked highways, reputational damage and financial liabilities</p>	Financial	4	3	12	1. Tree care and safety contract (commenced July 2008) with Gristwood & Toms Tree Contractors Ltd 2. Full asset Survey of ~30% of street and park trees (and 50% of school trees) 3. Risk trees identified and registered increased inspection frequency using asset management database (Confirm) 4. Implement remedial works to address risk associated defects	3	3	9	1. Review the 'Storm Strategy' annually (last reviewed Feb 2018) to be able to respond quickly and call in additional staff, equipment and contractors 2. Provide a cyclical safety survey and remedial works schedule commensurate to budget availability and potential prioritisation 3. Review Tree Risk Management Strategy	Julian Fowgies
13	All ECS	Income Variation Loss of income when the Council is looking to grow income to off-set reduced funding	<p>Cause(s): - Improved Street Works performance by utility companies (reduced fines) - Under-achievement of expected car parking income and parking enforcement, due to 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 (new Parking contractor) to provide contracted services (e.g. strikes) - Removal of Council exemption for charging VAT on commercial waste impacting on pricing and therefore income</p> <p>Effect (s): Loss of income with potential to reduce service delivery funds</p>	Financial	3	2	6	1. Regular income monitoring 2. Monitoring contractor performance (e.g. only issue good quality PCNs) 3. Good debt recovery systems 4. Monitoring parking use and avoid excessive charge increases 5. Provide attractive, safe clean car parks 6. Reviewed fees and charges to optimise Trade Waste income 7. Regular contractor meetings	2	2	4	1. Refine procedure for resolving disputes with utilities 2. Review parking tariff structures annually 3. Monitor income trends 4. Monitor success in achieving enforcement objectives 5. Benchmark Parking charges against other authorities and local private sector competitors 6. Intelligence-led targeting of hotspot sites for enforcement	All ECS

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14	Streetscene and Greenspace	Waste Budget Increasing waste tonnages resulting in increased waste management costs	Cause(s): - Failure to anticipate/manage waste management financial / cost pressures due to increasing landfill 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): - Budgets being exceeded and potential knock-on impact on other Council services	Financial	3	4	12	1. Cost pressures recognised in Council's Financial Strategy 2. Landfill tonnages falling - offsets any tax increase 3. 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 campaign - 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	1. Consideration of alternative disposal routes e.g. Veolia's MBT plant 2. Reviewing and benchmarking operational costs to identify options 3. Achieving BV tenders under new contract	Dan Jones
15	S&G	Environmental Services Contract (Waste) Waste growth and proposed management solutions / technologies fail to control waste costs	Cause(s): - Failure to secure sufficient Waste Disposal facility capacity to handle / process future needs - Over-reliance of waste tenders on unproved technology or unbuilt plant - Changing government requirements regarding collection frequencies / segregation / containers - Tenders found to be more expensive than existing service Effect (s): - Higher service costs (and pressure on other aspects of the Contract)	Financial	3	4	12	1. Programme Board aware of issues e.g. need to scrutinise unproved / unbuilt proposals 2. LBB input to Defra Waste Collection Harmonisation Steering Group and will Provide early feedback on any possible changes 3. Process & frequency plan for each service 4. Programme Board: aware of need to secure sufficient guaranteed but flexible capacity	2	2	4	1. 'Ensure responsibility to secure assured capacity is clearly placed on contractor in contract specification 2. Assess tenders to ensure sufficient capacity (including capacity to accommodate future waste growth)	Dan Jones
16	Public Protection	Food Standards Agency Audit Failure to meet required service standards as required by Food Standards Agency Audit (April 2017)	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	Health & Safety	4	4	16	1. Current levels of resourcing 2. Prioritised according risk	3	3	9	1. Executive agreed to fund 5 additional posts 2. Recruitment underway but risk of not being able to recruit to these posts. 3. Update 15/11/17: 2 contractors engaged. 1 full-time, 1 part-time for temporary posts. Interviews held 6 & 7 Nov 2017 for full-time staff. 2 offers made 4 Update 3/4/18. 2 Full-time permanent Food Safety Officer posts filled and both have started. One Adecco contractor agreed to continue for a further 12 months on a short-term Bromley Contract. Other part-time Adecco contractor extended to 30/9/18. Interview planned for 3/4/18 for further staff. One staffer went on maternity leave at the end of March and we need to cover this vacancy. Staffing position is positive. In the next 12mths we need to show a positive impact in the backlog of inspections.	Joanne Stowell
17	All ECS	Town Centre Businesses Loss of town centre businesses to competition	Cause(s): Failure to redevelop high streets coupled with competition from 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	3	4	12	- 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	1. Ongoing review of market provision linked to outsourcing service provision to Bromley Business Improvement District 2. Detailed annual action plan to be drawn up for each town centre	Jim Kehoe Colin Brand Dan Jones
18	Transport & Highways	New Parking Schemes Failure to deliver new Parking schemes resulting income loss and congestion	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	1. Set up register of agreed schemes with designated officers and timescales 2. Develop and agree financial appraisal framework with finance department 3. Software procured (2013/14) to help improve project and programme management	2	3	6	1. Consideration to be given to better balancing the cost of scheme design against parking charges	Angus Culverwell

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19	All ECS	Staff Recruitment and Retention Loss of corporate memory and ability to deliver as key staff leave (good new staff are at a premium)	Cause(s): Availability of suitably qualified / experienced staff to replace retirees and leavers. Particular problem within Planning, Environmental Health and Traffic professionals (TfL offers better remuneration and career progression). Effect (s): Loss of organisational memory, greater reliance on contracted staff, delays in delivering services / plans (e.g. Transport Local Implementation Plan)	Service Delivery	3	3	9	1. Ongoing programme to find and retain quality staff through internal schemes such as career grades and ongoing CPD	2	2	4	1. Consider potential for contractors to supply necessary skills	All ECS
20	Streetscene and Greenspace	Burial Space Insufficient Council-operated burial space for long-term demand	Cause(s): Potential lack of acceptable local space for burials (ashes interment not a problem) Effect (s): Leading to reputational damage	Reputational	3	3	9	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 Council-owned burial space	2	2	4	1. Monitor availability of private sector capacity 2. Consider what further burial alternatives are being provided by the private sector i.e. new cemetery at Kemnal Manor, Chislehurst	John Bosley
21	All ECS	Climate Change Failure to adapt the borough and Council services 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	1. Adopt best adaptation practice as 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	2	3	6	1. Liaise with Public Health on cross-cutting issues e.g. excess summer deaths and vector-borne disease etc	All ECS

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