

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER

Risk No.	Risk Details	Risk Owner	Risk Categorisation	Original Scores (before any mitigations)			Mitigations to date	Current Scores (After any mitigations Sept 2021)			Direction of travel from previous quarter	Further Actions / Comments	Planned Completion Date(s)	Target Scores (following completion of all further actions)		
				L	I	S		L	I	S				L	I	S
Corporate Strategy: Growing our Economy - A thriving borough that welcomes a wealth of business and culture																
Risk 1	Cause: Lack of local planning policies to plan and manage development	Director (Planning & Economy)	Reputation			V High 25	Meeting targets set out in the Local Plan timetable (Local Development Scheme, approved September 2019). Ongoing discussion with neighbouring Local Planning Authorities and key stakeholders (Duty to Cooperate). Partnership in Association of South Essex Local Authorities (ASELA). Preparation of Community Infrastructure Levy (CIL). Delivery of Dunton Hills Garden Village (DHGV). Retention of permanent staff and recruitment of temporary staff to meet short-term needs when required.			V High 15	↔	Examination hearing sessions complete. Next stage is to undertake consultation on main modifications required to make the plan sound, which will take place for six weeks from mid-September 2021. Anticipated adoption of plan early 2022, which would bring strategic risk to target score.	20/03/2022	1	5	Low 5
	Uncertain Event (Risk): Failure to adopt a <u>Local Plan</u> in line with national policy		Legal/Compliance	5	5			3	5							
	Consequence(s): Planning applications being judged solely against national policy "in favour of sustainable development" and/or unplanned development		Effect on Project objectives													
Corporate Strategy: Protecting our Environment - Developing a clean and green environment for everyone to enjoy																
Risk 2	Cause: Lack of engagement with communities and businesses; non delivery of our plans for waste management services	Director (Environment & Communities)	Effects on Service			V High 20	Strategy and action plan are in progress Introduction of new recycling scheme Co Wheel Scheme implemented Electric charging pilots implemented			V High 16	↔	Continue to develop plans to plant more trees Working to use recycled electricity in Council buildings Develop the Carbon Neutral Strategy	These woodlands and tree planting are long term over many years however expect Hutton Country Park to be complete by April 2025 Develop Strategy by March 2022	1	5	Low 5
	Uncertain Event (Risk): Failure to develop an <u>Environmental strategy</u> and action plan		Reputation	5	4			4	4							
	Consequence(s): Council would be actively contributing to climate decline															

Corporate Strategy: Developing our Communities - Safe and strong communities where residents live happy, healthy and independent lives

Risk 3	Cause: Unable to identify risk and liabilities for Brentwood Centre, Copmunity Halls and Hartswood Golf Course, Play Areas and recommend options for the future	Director (Environment & Communities)	Effects on Service			High 12	Leisure Strategy reviewed and updated Feasibility/business plan in progress for King George's Playing Fields. Budget agreed for KGPF and 5-year Play Area Improvement programme Workstream established for transition of Brentwood Centre to Council.			Med 8	↔	Review, update and develop the Voluntary, Faith and Communities Sector Support Strategy and take to September committee			Med 8
	Uncertain Event (Risk): Failure to deliver a clear Leisure Strategy for the future of leisure facilities in Brentwood		Reputation	3	4			2	4				2	4	
	Consequence(s): Reduced leisure provision within the Borough, health and well being of residents affected, less desirable place to live or visit with poor offering of leisure facilities. Financial failure of the leisure facilities provided causing issues with the overall budget		People												

Corporate Strategy: Improving Housing - Access to a range of decent homes that meet local needs

Risk 4	Cause: Resources not adequetly in place to deliver plan	Director (Housing & Community Safety)	Effects on Service			V High 15	Strategic Housing Delivery Plan 21-26 now developed to meet objectives within the Housing Strategy HRA busines plan			Med 8	↔	Continue Implementation of project plan			Low 4
	Uncertain Event (Risk): Failure to deliver the Council's Strategic Housing Development Plan		Reputation	3	5			2	4				1	4	
	Consequence(s): Fewer new homes are built within the borough		Legal/Compliance												

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services																
Risk 5	Cause: No Strategic direction provided	Chief Executive	Effects on Service			Med 9	Corporate Strategy Training and Development for Officers and Members Code of Conduct. Consultation / surveys. Project and performance Management Framework. Business recovery plans in place and monitored with senior management & members.			Low 4	↑	Collaboration between Brentwood Borough Council & Rochford District Council is currently in its interim stage.	Feb-22	1	2	Low 2
	Uncertain Event (Risk): Lack of <u>Strategic Direction</u>		Reputation	3	3			2	2							
	Consequence(s): Projects and programmes not delivered Community benefits not delivered		Effect on Project objectives													

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services																
Risk 6	Cause: Unable to deliver projects as set out in the Corporate Plan.	Strategic Director	Effect on Project objectives			V High 20	PRED Committee appointed as Programme Board. Continued communication on Corporate Strategy within organisation Ownership of delivery of projects identified at all levels within the Council. Business Plan is monitored by the Senior Leadership Team and the Leader regularly through project management techniques i.e RAG ratings			Low 4	↓	A few projects on hold or not yet started, but considered minor against ranking table	Ongoing	1	1	Low 1
	Uncertain Event (Risk): Failure to deliver objectives within the <u>Corporate Strategy</u>		Effects on Service	4	5			2	2							
	Consequence(s): Community benefits not delivered		Reputation													

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services

Risk 7	Cause: Finances are not adequately managed	Director (Finance & Resources)	Financial & Resources			V High 25	<p>Medium Term Financial Strategic (MTFS) is undertaken on an annual basis, with monthly budget monitoring and half year reports to Committee.</p> <p>Budget Challenge meeting are in place for Senior Officers to review and challenge Budget Managers as well as regular reporting to SLT and Committee chairs</p> <p>A Funding Volatility Reserve has been created to specifically address the uncertainty of Government funding levels.</p> <p>Risk Assessment of Minimum level of reserves is carried out yearly.</p>	2	5	High 10	↔	<p>Budget monitoring of Period 5 will be reported to PRED on 30th September with a breakeven forecast for General Fund position, therefore reporting an overspend of £240k. The Council reserves still remain within the minimum levels. Regular monitoring of saving targets within the MTFS is still underway.</p>	Ongoing	1	5	Med 5
	Uncertain Event (Risk): General Fund budget forecasts could fall below the Minimum Level of Reserves		Reputation	5	5											
	Consequence(s): Council will be unable to deliver statutory services.															

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services

Risk 8	Cause: If we don't have in place adequate plans and procedures, understood, tested and reviewed	Director (Finance & Resources)	People			V High 20	<p>All services areas have Business Continuity Plans in place.</p> <p>Support and ongoing embedding of Emergency Planning & Business Continuity Plans within service departments</p>	2	3	Med 6	↔	<p>Explore further testing on emergency planning & Business Continuity Plans.</p>	Ongoing	2	3	Med 6
	Uncertain Event (Risk): We will be unable to react to a major incident leading to a breach of our statutory duties under the Civil Contingencies Act		Effects on Service	4	5											
	Consequence(s): Ineffective response to an incident leading to greater inconvenience and hardship and a longer timescale for return to normal		Reputation													

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services

Risk 9	Cause: If recruitment processes are not effective and resources are adequately in place.	Director (Finance & Resources)	Effects on Service			High 12	Monitor vacancy factor within Medium Term Financial Strategy (MTFS) Communications Protocol & Strategy Workforce Strategy Regular meetings between senior members & officers. Review options for alternative service delivery model Recruitment service brought in house Establishment Control Team between Finance & HR			High 12	↔	Workforce Strategy needs reviewing and updating Some services are struggling to recruit to specific posts due to national shortages. Targetted recruitment plans underway Vacancy factor approximately 6%	Ongoing	2	5	Med 10
	Uncertain Event (Risk): Lack of capacity to effectively govern the organisation will result in delay in delivery of business objectives		Reputation	3	4			3	4							
	Consequence(s): Key projects not delivered. Reputation severely damaged Services not delivered		Effect on Project objectives													

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services

Risk 10	Cause: If the commercial income target from the Joint Venture and other activities are not achieved	Director (Finance & Resources)	Financial & Resources			V High 16	Consultants have been engaged to advise and assist in delivery of projects Appropriate governance arrangements have been set up for the Council's Wholly owned company - Seven Arches Investment Ltd Progress reports to Committee. Robust business modeling and financial projections. Monthly SLT & Leader meetings to monitor finances			V High 20	↑	SAIL has draw down the balance of their £60m loan facility, which ensures the Council is now on target to meet its Commercial Activity Income target within the Medium Term Financial Strategy. Certain other saving targets and baseline income due to COVID-19 are not yet achieved in Medium Term Financial Strategy and at this stage are not likely to be met.	Mar-22	1	4	Low 4
	Uncertain Event (Risk): We may be unable to meet the income projections for the Council		4	4	4			5								
	Consequence(s): Council unable to meet budget requirements Spending/service cutbacks Greater use of reserves															

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services

Risk 11	Cause: If we do not have good information governance strategies and controls	Director (Law & Governance)	Legal/Compliance			V High 20	Information Governance Group set up to ensure that the Council has the correct controls in place to ensure good governance in all decision making Data Protection Policies Training Data Protection Officer in post			High 12	↔	Good governance is about all the policies and procedures in place to ensure that decisions are made in a transparent and lawful manner. Work required by information Governance Group to any identify weaknesses in policies and processes.	Ongoing	2	4	Med 8
	Uncertain Event (Risk): We may not be compliant with <u>data protection legislation</u>		Reputation	5	4			3	4							
	Consequence(s): Fine from the Information Commissioner's Office (ICO) Risk of litigation challenges to decisions made		Financial & Resources													

Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services

Risk 12	Cause: Contract and procurement management not in place	Director (Law & Governance)	Legal/Compliance			High 12	Service Level Agreements embedded within contract and penalties in place for non performance. Regular reporting on contract performance. Escalation and governance in place Contract management diagnostic survey underway Procurement and contract manager meetings in place			Med 8	↔	Contracts management diagnostic survey has been started. Will receive a report on how effective the Council is at contract management. SLA's review will ensure that the correct governance is in place regarding partnership working. Review of procurement strategy and contracts register	Ongoing	2	4	Med 8
	Uncertain Event (Risk): Contract/Partnership failure within organisation			3	4			2	4							
	Consequence(s): Negative impact on Council finances Reduction in Community benefits															