BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER

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Risk No.	Risk Details Risk	k Owner	Risk Categorisation		r iginal Sco e any miti		Mitigations to date		Current Sco er any miti Nov 2021	gations	Direction of travel from	Furthern Articure / Comments	Planned Completion Date(s)	(followin	arget Scor Ig comple ther actic	tion of all
				L	I	S		L	I	S	previous quarter			L	I	S
Corpor	ate Strategy: Growing our Economy - A thriving	ng borough th	at welcomes a wealth	n of busine	ess and cul	lture										
	Cause: Lack of local planning policies to plan and manage development Uncertain Event (Risk):		Reputation				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).					Main Modifications consultation ended on 11 November 2021. Awaiting confirmation from				
Risk 1	Failure to adopt a Local Plan in line Director with national policy & Ecc Consequence(s): Planning applications being judged	or (Planning conomy)	Legal/Compliance	5	5	V High 25	Partnership in Association of South Essex Local Authorities (ASELA). Preparation of Community Infrastructure Levy (CIL).	3	5	V High 15		the Planning Inspectors on soundness of the plan subject to modifications, expected early 2022 ahead of being able to adopt the plan, which would bring strategic risk to target score.	20/03/2022	1	5	Med 5
	solely against national policy "in favour of sustainable development" and/or unplanned development		Effect on Project objectives				Delivery of Dunton Hills Garden Village (DHGV). Retention of permanent staff and recruitment of temporary staff to meet short-term needs when required.									

Ris) 2	Cause: Lack of engagement with communities and businesses; non delivery of our plans for waste management services Uncertain Event (Risk): Failure to develop an Environmental strategy and action plan Consequence(s): Council would be actively contributing to climate decline	Director (Environment & Communities)	Effects on Service Reputation	5	4	V High	Strategy and action plan are in progress Introduction of new recycling scheme Co Wheel Scheme implemented Electric charging pilots implemented New climate & Sustainability officer employed Brentwood Environmental Business Alliance (BEBA) launched	1	3	Low 3	Û	Climate & Sustainability Officer now employed Work continues to develop the timeline to produce the Environmental Strategy. Brentwood Environmental Business Alliance launched and first meeting to take place on 30th November 2021.	These woodlands and tree planting are long term over many years however expect Hutton Country Park to be complete by Nov 2022 Develop Strategy by March 2022		3	Low 3
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Corpor	ate Strategy: Developing our Commur	nities - Safe and stro	ong communities wher	e resident	s live happ	iy, healthy a	nd independent lives									
Risk 3	Cause: Unable to identify risk and liabilities for Brentwood Centre, Copmmunity Halls and Hartswood Golf Course, Play Areas and recommend options for the future Uncertain Event (Risk): Failure to deliver a clear Leisure facilities in Brentwood Consequence(s): Reduced leisure provision within the Borough, health and well being of residents affected, less desirable place to live or visit with poor offerring of leisure facilities. Financial failure of the leisure facilities provided causing issues with the overall budget	Director (Environment & Communities)	Effects on Service Reputation People	3	4	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.	2	4	Med 8	ţţ	Performance meetings undertaken with provider of the services at the Brentwood Centre Work continues to identify ways forward with the Communty Halls Meetings have taken place with interested parties and plans to move forward the management of the halls continues to progress	Ongoing	2	4	Med 8

Corp	orate Strategy: Improving Housing - Access to a range of	decent homes that mee	t local nee	ds										
	Cause: Resources not adequetly in place to deliver plan	Effects on Service												
Ris 4	Uncertain Event (Risk): Failure to deliver the Council's Strategic Housing Development Plan Safety)		3	5	Strategic Housing Delivery Plan 21-26 now developed to meet objectives within the Housing Strategy HRA busines plan	2	4	Med 8	⇔	Continue Implementation of project plan	Ongoing	1	4	Low 4
	Consequence(s): Fewer new homes are built within the borough	Legal/Compliance												

Risk 5	te Strategy: Delivering an efficient ar Cause: No Strategic direction provided Uncertain Event (Risk): Lack of <u>Strategic Direction</u> Consequence(s): Projects and programmes not delivered	nd effective council	Effects on Service Reputation Effect on Project	3	auncil that I	Med 9	lity services 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.	2	2	Low 4	\Leftrightarrow	Collaboration between Brentwood Borough Council & Rochford District Council is currently in its interim stage.	Feb-22	1	2	Low 2
			Effect on Project objectives													

Risk 6	te Strategy: Delivering an efficient and Cause: Unable to deliver projects as set out in the Corporate Plan. Uncertain Event (Risk): Failure to deliver objectives within the <u>Corporate Strategy</u> Consequence(s): Community benefits not delivered	effective council	- An ambitious and inn Effect on Project objectives Effects on Service Reputation	4	5	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	2	2	Low 4	~ >	A few projects currently require action but considered minor against ranking table.	Ongoing	1	1	Low 1	
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Corpo	rate Strategy: Delivering an efficient an Cause: Finances are not adequately	d effective council	- An ambitious and inn	ovative co	ouncil that	delivers qua	lity services									
Risk 7	managed Uncertain Event (Risk): General Fund budget forecasts could fall below the Minimum Level of Reserves Consequence(s): Council will be unable to deliver statutory services.	Director (Finance & Resources)	Financial & Resources Reputation	5	5		Medium Term Financial Strategic (MTFS) is undertaken on an annual basis, with monthly budget monitoring and half year reports to Committee. 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 A Funding Volatility Reserve has been created to specifically address the uncertainty of Government funding levels. Risk Assesment of Minimum level of reserves is carried out yearly.	3	5	V High 15	T	Draft MTFS was report to PRED on 24th November showing a £1.3m budget gap for 2022/23, bringing reserves down to unsustainable levels. However the budget setting process is not yet complete to reuduce the gap. Increase likelihood at this stage.	Ongoing	1	5	Med 5

Civil Contingencies Act Consequence(s): Ineffective response to an incident leading to greater inconvenience and hardship and a longer	ffective council - ector (Finance & Resources)	An ambitious and inn People Effects on Service Reputation	4	5	V High 20	All services All services areas have Business Continuity Plans in place. Support and ongoing embedding of Emergency Planning & Business Continuity Plans within service departments	2	3	Med 6	⇔	Explore further testing on emergency planning & Business Continuity Plans.	Ongoing	2	3	Med 6
		Reputation													

Risk 9	te Strategy: Delivering an efficient ar Cause: If recruitment processes are not effective and resources are adequately in place. Uncertain Event (Risk): Lack of capacity to effectively govern the organisation will result in delay in delivery of business objectives Consequence(s): Key projects not delivered. Reputation severely damaged Services not delivered	nd effective council Director (Finance & Resources)	- An ambitious and inn Effects on Service Reputation Effect on Project objectives	3	4	delivers qua	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	3	4	High 12	⇔	Workforce Strategy needs reviewing and updating Some services are struggling to recruit to specfic posts due to national shortages. Targetted recruitment plans underway Vacancy factor approximately 6%	Ongoing	2	5	Med 10	
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Corpo	rate Strategy: Delivering an efficient a	nd effective council	- An ambitious and inn	ovative co	ouncil that	delivers qua	lity services									
Risk 10	Cause: If the commercial income target from the Joint Venture and other activities are not achieved Uncertain Event (Risk): We may be unable to meet the income projections for the Council Consequence(s): Council unable to meet budget requirements Spending/service cutbacks Greater use of reserves	Director (Finance & Resources)	Financial & Resources	4	4	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 Wholley owned company - Seven Arches Investment Ltd Progress reports to Committee. Robust business modeling and financial projections. Monthly SLT & Leader meetings to monitor finances Financial Initiatives working group established	4	5	V High 20	\Leftrightarrow	Certain 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. Budget challenge process is in place, first financial initiatives working group is to meet on 29th November, to discuss future saving ideas.	Mar-22	1	4	Low 4

Risk 11 Cause: If we do governa We may data pro Conseq Fine fro Commis Risk of I	·····	irector (Law & Governance)	An ambitious and inner Legal/Compliance Reputation	5	4	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	3	4	High 12	\Leftrightarrow	Good governance is about having the correct policies and procedures in place to ensure that decisions are made in a transparent and lawful manner. The IG group will meet in December.	Ongoing	2	4	Med 8	
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Corpora Risk 12	ate Strategy: Delivering an efficient an Cause: Contract and procurement management not in place Uncertain Event (Risk): Contract/Partnership organisation Consequence(s): Negative impact on Council finances Reduction in Community benefits		- An ambitious and inn	3	4	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. Procurement strategy been adopted by the Council.	2	4	Med 8	Ŷ	Contracts management diagnostic survey has been completed. Have received a report on how effective the Council is at contract management. Training will be provided to improve contract management. SLA's review will ensure that the correct governance is in place regarding partnership working. Procurement strategy has been updated and adopted and contracts register is being reviewed.	Ongoing	2	4	Med 8
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d risk of ransomwareEffects on ServiceWe have a Managed Security Service that has b running for second year, part of this service use Security Operations Centre to monitor cyber that Immediate response plans are in place for critical threads and regular investigation review are he along with Account contract meetings.Is ervices would be down. f providing services to rs and vulnerable peopleFinancial & Resources55V High threads and regular investigation review are he along with the cyber security baked into Azure, threads across our digital platforms	a ats. , 2 AI	5	High 10	\$	Work continues on improving our security posture (details witheld for security reasons). Additional awareness training is planned Additional communication is planned	ongoing	2	5	High 10
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