

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.			Low 2
	Uncertain Event (Risk): Lack of <u>Strategic Direction</u>		Reputation	3	3			2	2				1	2	
	Consequence(s): Projects and programmes not delivered Community benefits not delivered		Effect on Project objectives												

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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 currently require action but considered minor against ranking table.			Low 1
	Uncertain Event (Risk): Failure to deliver objectives within the <u>Corporate Strategy</u>		Effects on Service	4	5			2	2				1	1	
	Consequence(s): Community benefits not delivered		Reputation												

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Risk 7	Cause: Finances are not adequately managed	Director (Finance & Resources)	Financial & Resources			V High 25	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 Assessment of Minimum level of reserves is carried out yearly.	3	5	V High 15	↑	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 reduce the gap. Increase likelihood at this stage.	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.															

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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	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
	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													

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Risk 9	<p>Cause: If recruitment processes are not effective and resources are adequately in place.</p>	Director (Finance & Resources)	Effects on Service			High 12	<p>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</p>			High 12	↔	<p>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%</p>	Ongoing	2	5	Med 10
	<p>Uncertain Event (Risk): Lack of capacity to effectively govern the organisation will result in delay in delivery of business objectives</p>		Reputation	3	4			3	4							
	<p>Consequence(s): Key projects not delivered. Reputation severely damaged Services not delivered</p>		Effect on Project objectives													

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Risk 10	<p>Cause: If the commercial income target from the Joint Venture and other activities are not achieved</p>	Director (Finance & Resources)	Financial & Resources			V High 16	<p>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 Financial Initiatives working group established</p>			V High 20	↔	<p>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.</p>	Mar-22	1	4	Low 4
	<p>Uncertain Event (Risk): We may be unable to meet the income projections for the Council</p>			4	4			4	5							
	<p>Consequence(s): Council unable to meet budget requirements Spending/service cutbacks Greater use of reserves</p>															

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Risk 11	Cause: If we do not have good information governance strategies and controls	Director (Law & Governance)	Legal/Compliance	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	↔	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
	Uncertain Event (Risk): We may not be compliant with data protection legislation		Reputation													
	Consequence(s): Fine from the Information Commissioner's Office (ICO) Risk of litigation challenges to decisions made		Financial & Resources													

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Risk 12	Cause: Contract and procurement management not in place	Director (Law & Governance)	Legal/Compliance	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	↔	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
	Uncertain Event (Risk): Contract/Partnership failure within organisation															
	Consequence(s): Negative impact on Council finances Reduction in Community benefits															

Risk 13	<p>Cause: Increased risk of ransomware</p>	Director (Digital & Customer Engagement)	Effects on Service			V High 25	We have a Managed Security Service that has been running for second year, part of this service uses a Security Operations Centre to monitor cyber threats. Immediate response plans are in place for critical threats, and regular investigation review are held, along with Account contract meetings.	2	5	High 10	↔	Work continues on improving our security posture (details withheld for security reasons). Additional awareness training is planned Additional communication is planned	ongoing	2	5	High 10
	<p>Uncertain Event (Risk): The Council is at risk from a critical cyber threat that would effect all areas of business</p>		Financial & Resources	5	5											
	<p>Consequence(s): All digital services would be down. Failure of providing services to customers and vulnerable people</p>		Reputation													