

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER

JANUARY

Risk No.	Risk Details	Risk Owner	Risk Categorisation	Original Scores (before any mitigations)			Mitigations to date	Current Scores			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	Stayed the same	Awaiting Inspectors Final Report with conclusions on soundness subject to modifications. Working to bring the plan to Full Council in March 2022 for adoption. This decision would reduce the strategic risk to target score.	Mar-22	1	5	Med 5
	Uncertain Event (Risk): Failure to adopt a Local Plan 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 New climate & Sustainability officer employed Brentwood Environmental Business Alliance (BEBA) launched			Low 3	Stayed the same	Brentwood Benvironmental Business Alliance continue to meet. Environmental and Sustainability Strategy ready for consultation being taken to Committee in March 2022 Tree planting schedule in place and work continues towards the Hutton Country Park Scheme	On going	1	3	Low 3
	Uncertain Event (Risk): Failure to develop an Environmental strategy and action plan		Reputation	5	4			1	3							
	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, Copmmunity 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	Stayed the same	Work continues to identify future provision of communiy halls. Identified priority halls to be considered first Lesiure strategy update 2021, continue discussions on the development of the future of the Brentwood Centre taking place	On going			Med 8
	Uncertain Event (Risk): Failure to deliver a clear <u>Leisure Strategy</u> 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 offerring of leisure facilities. Financial failure of the leisure facilites 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 4	decreased	Risk decreased from L2 x I4 = Med 8. Programme progressing with no concerns.			Med 4
	Uncertain Event (Risk): Failure to deliver the Council's <u>Strategic Housing Development Plan</u>		Reputation	3	5			1	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	Stayed the same	Both Councils have now approved the Partnership between Brentwood Borough Council and Rochford District Council. The first phase of the programme will begin.	Jul-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	Stayed the same	A few projects currently require action 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	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.			V High 15	Stayed the same	Balanced Budget for 2022/23 was reported at Full Council on 23rd February, however still showing future financial uncertainty of £1.3m budget gaps for 2023/24 and beyond bringing reserves down to below minimum levels, unless earmarked reserves are utilised.	Ongoing	1	5	Med 5
	Uncertain Event (Risk): <u>General Fund budget</u> forecasts could fall below the Minimum Level of Reserves		Reputation	5	5			3	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	All services areas have Business Continuity Plans in place. Support and ongoing embedding of Emergency Planning & Business Continuity Plans within service departments			Med 6	Stayed the same	Explore further testing on emergency planning & Business Continuity Plans. Training to be provided for Leadership Teams	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			2	3							
	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 Review Group between Finance & HR			High 12	Stayed the same	Workforce Strategy needs reviewing and updating Some services are struggling to recruit to specific posts due to national shortages. Targetted recruitment plans underway	Ongoing	1	5	Med 5
	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 Financial Initiatives working group established			V High 20	Stayed the same	Certain saving targets and baseline income due to COVID-19 are not yet achieved in Medium Term Financial Strategy and will not be met. However balanced budget reported to Full Council on 23rd February and Income projections have been rebased for 2022/23.	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	Stayed the same	The IG group has now met. A Framework will be presented to SLT, data gap analysis and a documents library are being updated	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. Procurement strategy been adopted by the Council.			Med 8	Stayed the same	Contract management training as a result of the diagnostic survey is being procured. The Procurement forward plans are being updated with specific procurement plans being identified for strategic projects to minimise risk to the Council.	Ongoing	2	4	Med 8
	Uncertain Event (Risk): Contract/Partnership failure within organisation		Effect on Project objectives	3	4			2	4							
	Consequence(s): Negative impact on Council finances Reduction in Community benefits															

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

Risk 13	Cause: Increased risk of ransomware	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. Along with the cyber security baked into Azure, threats and unusual behaviour are gathered and AI tools look for complex patterns to look for further threats across our digital platforms			V High 15	Stayed the same	As previously stated we have invested in technology to monitor across digital platforms, along with a SoC service for intervention. Currently project to further this protection as there is a continuous threat from ransomware - costs are being reviewed. The likelihood of an attack will always remain reasonable high, we are working with partners on driving down the impact of such an attack.	ongoing	3	4	High 12
	Uncertain Event (Risk): The Council is at risk from a critical cyber threat that would effect all areas of business		Financial & Resources	5	5			3	5							
	Consequence(s): All digital services would be down. Failure of providing services to customers and vulnerable people		Reputation													