

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER

JUNE 2022

Risk No.	Risk Details	Risk Owner	Risk Categorisation	Original Scores (before any mitigations)			Mitigations to date	Current Scores May			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				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. Adopted Local Plan	1	5	Med 5	decreased	Inspectors Final Report published on 23 February 2022, concluding that the plan was sound with recommended modifications following examination. The plan was adopted with modifications at Extraordinary Council on 23 March 2022. This provides the Council with an up-to-date plan, meeting development needs and consistent with national policy. Therefore, the strategic risk is reduced in line with the target score. A review of the local plan is underway to ensure this risk score is maintained for the longer term.	N/A	1	5	Med 5
	Uncertain Event (Risk): Failure to adopt a <u>Local Plan</u> in line with national policy		Legal/Compliance	5	5	V High 25										
	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				Strategy and action plan are in place 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	Stayed the same	Strategy Draft Complete, out to consultation and being referred back to committee in Autumn 2022. EV Chargers Procurement ceased and started again to get traction and more chargers in place by December 2022	Strategy Nov 2022 EV Charging Procurement Phase 1 Two Car parks Dec 2022	1	3	Low 3
	Uncertain Event (Risk): Failure to develop an <u>Environmental strategy</u> and action plan		Reputation	5	4	V High 20										
	Consequence(s): Council would be actively contributing to climate decline															

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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				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.				Stayed the same	Restructure of Tier 2 and Tier 3 for both councils underway and due to be reported in July 22. Corporate priorities for 2022/23 being developed.	Jul-22	1	2	Low 2
	Uncertain Event (Risk): Lack of Strategic Direction		Reputation	3	3	Med 9		2	2	Low 4						
	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				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				Stayed the same	A few projects currently require action but considered minor against the ranking table.	Ongoing	1	1	Low 1
	Uncertain Event (Risk): Failure to deliver objectives within the Corporate Strategy		Effects on Service	4	5	V High 20		2	2	Low 4						
	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				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.				Stayed the same	Balanced Budget for 2022/23 was reported at Full Council on 23rd February, however still showing future financial uncertainty of £1.4m 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): General Fund budget forecasts could fall below the Minimum Level of Reserves		Reputation	5	5	V High 25		3	5	V High 15						
	Consequence(s): Council will be unable to deliver statutory services.															

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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	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 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	3	5	V High 15	decreased	Balanced budget reported to Full Council on 23rd February and Income projections have been rebased for 2022/23. Risk score slightly reduced to monitor against the new year forecasting cycle. .	Mar-22	1	5	Med 5
	Uncertain Event (Risk): We may be unable to meet the <u>income projections</u> for the Council															
	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	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	2	3	Med 6	decreased	We have a contract for a full DPO service that alongside the Information Governance framework implementation will ensure the Council is compliant with its statutory duties. The risk has decreased from L3 x I4 = High 12.	Ongoing	2	3	Med 6
	Uncertain Event (Risk): We may not be compliant with <u>data protection legislation</u>		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. Contract management training	2	4	Med 8	Stayed the same	Contract management training has been provided and follow up training identified.	Mar-22	2	4	Med 8
	Uncertain Event (Risk): Contract/Partnership failure within organisation															
	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	5	5	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.	3	5	V High 15	Stayed the same	Continuing to work with partners to drive down the impact of any likely attack.	Ongoing	3	4	High 12
	Uncertain Event (Risk): The Council is at risk from a critical cyber threat that would affect all areas of business															
	Consequence(s): All digital services would be down. Failure of providing services to customers and vulnerable people		Reputation													