

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER

NOVEMBER 2022

Risk No.	Risk Details	Risk Owner	Risk Categorisation	Original Scores (before any mitigations)			Mitigations to date	Current Scores November 2022			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	<b>Cause:</b> Lack of local planning policies to plan and manage development	Director (Place)	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. Adopted Local Plan	1	5	Med 5	Stayed the same	New local plan is in place (March 2022). Five Year supply confirmed by up-to-date housing monitoring. Review of local plan underway with Local Development Scheme (timetable) agreed by Policy, Resources and Economic Development Committee in July 2022, setting out timeframes for submission of the plan for examination by Q3 2024. Risk score is being managed and maintained.	Sep-24	1	5	Med 5
	<b>Uncertain Event (Risk):</b> Failure to adopt a <u>Local Plan</u> in line with national policy		Legal/Compliance	5	5											
	<b>Consequence(s):</b> 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	<b>Cause:</b> Lack of engagement with communities and businesses; non delivery of our plans for waste management services	Director (Environment)	Effects on Service			V High 20	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	Consultation has now finished, and results of survey alongside meetings with key stakeholders will influence the final strategic priorities and action plan of the Environment Strategy.	Dec-22	1	1	Low 1
	<b>Uncertain Event (Risk):</b> Failure to develop an <u>Environmental strategy</u> and action plan		Reputation	5	4											
	<b>Consequence(s):</b> Council would be actively contributing to climate decline															

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

Risk 3	<b>Cause:</b> Unable to identify risk and liabilities for Brentwood Centre, Copmmunity Halls and Hartswood Golf Course, Play Areas and recommend options for the future	Director (Communities & Health)	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	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. Halls working towards new leases Brentwood Centre under management contract	Ongoing			Med 6
	<b>Uncertain Event (Risk):</b> Failure to deliver a clear <u>Leisure Strategy</u> for the future of leisure facilities in Brentwood		Reputation	3	4			2	4					2	3	
	<b>Consequence(s):</b> 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	<b>Cause:</b> Resources not adequetly in place to deliver plan	Director (Housing)	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	Stayed the same	Housing Committee update October 22, progress approved. Larger schemes Harewood and Brookfield progressing to target. Review of viability hurdles under way to ensure all schemes are financially viable. Homes England partner status application pursued.	Ongoing - This is 5-7 year rolling programme of new build			Med 4
	<b>Uncertain Event (Risk):</b> Failure to deliver the Council's <u>Strategic Housing Development Plan</u>		Reputation	3	5			1	4					1	4	
	<b>Consequence(s):</b> Fewer new homes are built within the borough		Legal/Compliance													

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Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services																
Risk 5	<b>Cause:</b> No Strategic direction provided	Strategic Director	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	Additional Tier 3 vacancies now filled, however, some vacancies remain. New Strategic Director now in post. Some delay to Corporate Objectives - now due Nov 2022. Service Reviews as part of OneTeam starting Oct/Nov 22 however delays possible due to vacancies in Directors, HR & Finance. Service Reviews cannot be moved forward until Salaries and T & C's are harmonised - due to be taken to Committee November 2022	Ongoing	1	2	Low 2
	<b>Uncertain Event (Risk):</b> Lack of <u>Strategic Direction</u>		Reputation	3	3			2	2							
	<b>Consequence(s):</b> 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	<b>Cause:</b> 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	Projects continue to be managed via the Corporate Project Management framework and are linked to Corporate Strategy objectives. Objectives for 2022/23 are due to be approved by Members in Nov 2022.	Ongoing	1	1	Low 1
	<b>Uncertain Event (Risk):</b> Failure to deliver objectives within the <u>Corporate Strategy</u>		Effects on Service	4	5			2	2							
	<b>Consequence(s):</b> Community benefits not delivered		Reputation													
Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services																
Risk 7	<b>Cause:</b> Finances are not adequately managed	Director (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			V High 15	Stayed the same	September Policy, Resources and Economic Development Committee report shows working balances to remain at £2.874m, however a forecast outturn of £324k and reduced reserves. Preparation is underway to report Draft MTFS for 2023/24, with predicted uncertainty and future budget gaps.	Ongoing	1	5	Med 5
	<b>Uncertain Event (Risk):</b> <u>General Fund budget</u> forecasts could fall below the Minimum Level of Reserves		Reputation	5	5			3	5							



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

Risk 8	<b>Cause:</b> If we don't have in place adequate plans and procedures, understood, tested and reviewed	Director (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 Training to Extended leadership teams undertaken			Med 6	Stayed the same	Business continuity awareness training was provided to leadership teams in May 2022.	Ongoing			Med 6
	<b>Uncertain Event (Risk):</b> We will be unable to react to a <b>major incident</b> leading to a breach of our statutory duties under the Civil Contingencies Act		Effects on Service	4	5			2	3					2	3	
	<b>Consequence(s):</b> 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	<b>Cause:</b> If recruitment processes are not effective and resources are adequately in place.	Director (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 requires review. Some services are struggling to recruit to specific posts due to national shortages. Targetted recruitment plans underway Restructure of Tier 2 has been completed. Tier 3 has now 6 of the 9 posts completed with 3 interim posts in place.	Ongoing			Med 4
	<b>Uncertain Event (Risk):</b> Lack of capacity to effectively govern the organisation will result in delay in delivery of business objectives		Reputation	3	4			3	4					1	4	
	<b>Consequence(s):</b> Key projects not delivered. Reputation severely damaged Services not delivered		Effect on Project objectives													

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Risk 10	<b>Cause:</b> If the commercial income target from the Joint Venture and other activities are not achieved	Director (Assets & Investments)	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	Stayed the same	September Policy, Resources and Economic Development Committee report shows some saving targets for 2022/23 not yet met.	Ongoing	1	5	Med 5
	<b>Uncertain Event (Risk):</b> We may be unable to meet the <u>income projections</u> for the Council															
	<b>Consequence(s):</b> Council unable to meet budget requirements Spending/service cutbacks Greater use of reserves															

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Risk 11	<b>Cause:</b> If we do not have good information governance strategies and controls	Director (People & 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	Stayed the same	We have a contract for a full DPO service that alongside the Information Governance framework implementation will ensure the Council is complaint with its statutory duties.	Ongoing	2	3	Med 6
	<b>Uncertain Event (Risk):</b> We may not be compliant with <u>data protection legislation</u>		Reputation													
	<b>Consequence(s):</b> Fine from the Information Commissioner's Office (ICO) Risk of litigation challenges to decisions made		Financial & Resources													

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Risk 12	<b>Cause:</b> Contract and procurement management not in place	Director (People & 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.	Ongoing	2	4	Med 8
	<b>Uncertain Event (Risk):</b> Contract/Partnership failure within organisation															
	<b>Consequence(s):</b> Negative impact on Council finances Reduction in Community benefits															
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Risk 13	<b>Cause:</b> Increased risk of ransomware	Director (Customer & Data Insight)	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.  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	3	5	V High 15	Stayed the same	Continuing to work with partners to drive down the impact of any likely attack, data protection and improve recovery processes  Due to the nature of the continually changing threat landscape this work will be ongoing	Ongoing	3	4	High 12
	<b>Uncertain Event (Risk):</b> The Council is at risk from a critical cyber threat that would affect all areas of business															
	<b>Consequence(s):</b> All digital services would be down. Failure of providing services to customers and vulnerable people		Reputation													
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Risk 14	<b>Cause:</b> Current economic climate	Director (Resources)	Financial & Resources	3	4	High 12	Medium Term Financial Strategic (MTFS) is undertaken on an annual basis, with monthly budget monitoring management reporting 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	3	4	High 12		<b>NEW RISK</b> - Due to the current economic climate, a new risk has been identified to monitor the financial and inflationary challenges the nation is currently facing.	Ongoing	1	5	Med 5
	<b>Uncertain Event (Risk):</b> Inflationary pressures		Effects on Service													

