

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER

														FEBRUARY 2023		
Risk No.	Risk Details	Risk Owner	Risk Categorisation	Original Scores (before any mitigations)			Mitigations to date	Current Scores February 2023			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	No change. Risk score is being managed and maintained. The council's CIL is progressing towards submission in support of the local plan and infrastructure delivery.	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	Strategy and Action Plan approved in December.				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	On going			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	Brookfield/Courage Court on target for 2023 start on site. Harewood landlord offer for approval at Feb Housing Committee. Ark working with BBC on Homes England partner status. Ingleton House progress to next stage agreed by Housing Committee. Local Authority Housing Fund expression of interest submitted.	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				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	Recruitment underway for 3 vacant director roles. (These are currently covered by interims). 2022/23 Corporate Objectives being completed and will be reported to appropriate committees and Ordinary Council in March 2023. Service Reviews are being undertaken and on track with programme.				
	<b>Uncertain Event (Risk):</b> Lack of <b>Strategic Direction</b>		Reputation	3	3	Med 9		2	2	Low 4			1	2	Low 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				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	Projects continue to be managed via the Corporate Project Management framework and are linked to Corporate Strategy objectives. Objectives for 22/23 will be reported to Council in March 2023.				
	<b>Uncertain Event (Risk):</b> Failure to deliver objectives within the <b>Corporate Strategy</b>		Effects on Service	4	5	V High 20		2	2	Low 4			1	1	Low 1	
	<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				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	Latest 2022/23 budget monitoring, 2023/24 budget and medium term financial strategy to 2025/26 is in progress. This work updates the overall financial risks to the council and presents a medium term position that is financially sustainable. Over the medium term, working balances are projected to be maintained in excess of £2.5 million which exceeds the minimum of £2 million as per council policy.				
	<b>Uncertain Event (Risk):</b> <b>General Fund budget</b> forecasts could fall below the Minimum Level of Reserves		Reputation	5	5	V High 25		3	5	V High 15			1	5	Med 5	
	<b>Consequence(s):</b> Council will be unable to deliver statutory services.															

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Risk 8	<b>Cause:</b> If we don't have in place adequate plans and procedures, understood, tested and reviewed	Director (Communities & Health)	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.	On going			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.	Strategic Director	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			Med 4	Stayed the same	The recruitment for the remaining three permanent Director roles is underway and deadline for applying is 13 February. The People Strategy is currently being developed by the People and OD Service Manager and will address our recruitment and retention strategy. A review of the Constitution has started.				Med 4
	<b>Uncertain Event (Risk):</b> <b>Lack of capacity</b> to effectively govern the organisation will result in delay in delivery of business objectives		Reputation	3	4			1	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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Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services																
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	2	5	High 10	decreased	Review of budget setting for 23.24 has aligned all commercial income. The income from SAIL is only for the £60m loan plus the Service Level Agreement. JV income has been removed from the base budget therefore the current MTFS has no reliance on this income. A review of SAIL Governance has been commissioned and will be carried out by Birketts. Regular SAIL and BBC meetings have been reestablished. The next review is on how SAIL will repay back the £60m loan under the new MRP guidance ensuring no effect to the GF bottom line. Options are being considered regarding the JV to develop the assets. Baytree and Childerditch developments also look to increase the Council's income once developed. However economic markets on borrowing and government policies could effect the income.	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															
Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services																
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 compliant 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															
Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services																
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  Cyber security roadshows planned (with RDC) for staff and Members in coming months.  Cyber security audit underway to provide assurance, and a policy is in draft to formally recognise the actions we take in relation to cyber security	Ongoing  June 2023  April 2023	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															
Corporate Strategy: Delivering an efficient and effective council - An ambitious and innovative council that delivers quality services																
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 Cost of living action plan Inflation & Finance mitigation Earmarked Reserve established	3	4	High 12	Stayed the same	Latest 2022/23 budget monitoring, 2023/24 budget and medium term financial strategy to 2025/26 is in progress. This work takes into account the current levels of inflation and strives to make adequate provision for inflation over the medium term, using the latest available data. Financial projections aim to take into account the additional direct costs on council spending as well as the potential impact of the cost of living resulting in additional demand for council services and income loss regarding fees and charges, council tax and business rates.	Mar-23	1	5	Med 5
	<b>Uncertain Event (Risk):</b> Inflationary pressures															
	<b>Consequence(s):</b> Financial projections would increase and services could be disrupted															