

APPENDIX A: BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER

Risk No.	Risk Owner	Corporate Objective	Risk
Risk 1	Director (Place)	<p>Growing our Economy: A thriving borough that welcomes a wealth of business and culture</p>	<p>Failure to adopt a Local Plan in line with national policy due to a lack of local planning policies to plan and manage development will result in planning applications being judge solely against national policy "in favour of sustainable development" and/or unplanned development</p>
Risk 2	Director (Environment)	<p>Protecting our Environment: Developing a clean and green environment for everyone to enjoy</p>	<p>Failure to develop an Environment Strategy and action plan due to lack of engagement with communities and businesses and non delivery of our plans for waste management services will result in the Council actively contributing to climate decline</p>

<p>Risk 3</p>	<p>Director (Communities & Health)</p>	<p>Developing our Communities: Safe and strong communities where residents live happy, healthy and independent lives</p>	<p>Failure to delivery a clear Leisure Strategy for the future of leisure facilities in Brentwood due to an inability to identify risk and liabilities for Brentwood Centre, Community Halls and Hartswood Golf Course, Play Areas and recommend options for the future. Resulting in reduced leisure provision within the Borough and health and well being of residents affected. Financial failure of the leisure facilities provided causing issues with the overall budget.</p>
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<p>Risk 4</p>	<p>Director (Housing)</p>	<p>Improving Housing: Access to a range of decent homes that meet local needs</p>	<p>Failure to deliver the Council's Strategic Housing Development Plan due to resources not adequately in place to deliver the Plan, resulting in fewer new homes being built within the borough</p>
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<p>Risk 5</p>	<p>Strategic Director</p>	<p>Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services</p>	<p>Lack of Strategic Direction due to no strategic direction provided by senior officers resulting in projects and programmes not delivered</p>
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<p>Risk 6</p>	<p>Strategic Director</p>	<p>Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services</p>	<p>Failure to deliver objectives within the Corporate Strategy due to non delivery of projects as set out in the Corporate Plan resulting community benefits not delivered</p>
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<p>Risk 7</p>	<p>Director (Resources)</p>	<p>Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services</p>	<p>General Fund budget forecasts could fall below the minimum level of reserves due to finances not being adequately managed, resulting in the Council being unable to deliver statutory services</p>
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<p>Risk 8</p>	<p>Director (Communities & Health)</p>	<p>Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services</p>	<p>We will be unable to react to a major incident leading to a breach of our statutory duties under the Civil Contingencies Act if we don't have in place adequate plans and procedures, understood, tested and reviewed, resulting in ineffective response to an incident leading to greater inconvenience and hardship and a longer timescale for return to normal</p>
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<p>Risk 9</p>	<p>Strategic Director</p>	<p>Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services</p>	<p>Lack of capacity to effectively govern the organisation if recruitment processes are not effective and resources are not adequately in place resulting in a delay in delivery of business objectives and key projects not delivered</p>
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<p>Risk 10</p>	<p>Director (Assets & Investments)</p>	<p>Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services</p>	<p>We may be unable to meet the income projections for the Council if the commercial income target from the Joint Venture and other activities are not achieved resulting in the Council unable to meet budget requirements, spending/service cutbacks and greater use of reserves</p>
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<p>Risk 11</p>	<p>Director (People & Governance)</p>	<p>Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services</p>	<p>There is a risk of non-compliance with Data Protection legislation if we do not have good information governance strategies and controls in place, resulting in fines from the Information Commissioner's Office (ICO) and litigation challenges to decisions made</p>
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<p>Risk 12</p>	<p>Director (Resources)</p>	<p>Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services</p>	<p>Risk of Contract/Partnership failure within the organisation as a result of contract and procurement management not in place, resulting in negative impact on Council finances and reduction in Community benefits-the Council may not be able to comply with its statutory, strategic or service delivery obligations.</p>
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<p>Risk 13</p>	<p>Director (Customer & Data Insight)</p>	<p>Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services</p>	<p>There is a threat of loss of data or access to network due to cyber attack that may result in digital disruption with a loss of productivity and service provision to residents.</p>
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<p>Risk 14</p>	<p>Director (Resources)</p>	<p>Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services</p>	<p>Inflationary pressures due to the current economic climate, resulting in increased costs (putting additional pressure on the MTFS) and services could be disrupted</p>
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Risk 15	Director (Policy & Delivery)	Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services	Partnership with Rochford District Council does not deliver the benefits originally envisaged
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Risk Category	Controls and Mitigations	Pr Fe L
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<p>Reputation</p> <p>Legal/Compliance</p> <p>Effect on Project objectives</p>	<p>Meeting targets set out in the Local Plan timetable (Local Development Scheme, approved September 2019).</p> <p>Ongoing discussion with neighbouring Local Planning Authorities and key stakeholders (Duty to Cooperate).</p> <p>Partnership in Association of South Essex Local Authorities (ASELA).</p> <p>Preparation of Community Infrastructure Levy (CIL).</p> <p>Delivery of Dunton Hills Garden Village (DHGV).</p> <p>Retention of permanent staff and recruitment of temporary staff to meet short-term needs when required.</p> <p>Adopted Local Plan</p>	<p>1</p>
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<p>Effects on Service</p> <p>Reputation</p>	<p>Strategy and action plan are in place.</p> <p>Introduction of new recycling scheme Environment Strategy & Action Plan agreed by Council</p> <p>Co Wheel Scheme implemented.</p> <p>Electric charging pilots implemented.</p> <p>New Climate & Sustainability officer employed.</p> <p>Brentwood Environmental Business Alliance (BEBA) launched.</p>	<p>1</p>
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Effects on Service	<p>Leisure Strategy reviewed and updated Feasibility/business plan in progress for King George's Playing Fields.</p> <p>Budget agreed for KGPF and 5-year Play Area Improvement programme</p> <p>Workstream established for transition of Brentwood Centre to Council.</p>	2
Reputation		
People		

Effects on Service	<p>Strategic Housing Delivery Plan 21-26 now developed to meet objectives within the Housing Strategy.</p> <p>Effective governance board in place. On course to deliver all homes in phase 1 as of May 23. HRA reviewed and has financial capacity to fund the current programme.</p>	1
Reputation		
Legal/Compliance		

Effects on Service	<p>Corporate Strategy</p> <p>Training and Development for Officers and Members.</p> <p>Code of Conduct.</p> <p>Consultation / surveys.</p> <p>Project and performance Management Framework.</p> <p>Business recovery plans in place and monitored with senior management & members.</p>	2
Reputation		
Effect on Project objectives		

Effect on Project objectives	<p>PRED Committee appointed as Programme Board. Continued communication on Corporate Strategy within organisation.</p> <p>Ownership of delivery of projects identified at all levels within the Council.</p> <p>Business Plan is monitored by the Senior Leadership Team and the Leader regularly through project management techniques i.e RAG ratings</p>	2
Effects on Service		
Reputation		

Financial & Resources	<p>Medium Term Financial Strategic (MTFS) is undertaken on an annual basis, with monthly budget monitoring and quarterly reports to Committee.</p> <p>Meetings are in place to review and challenge budget managers as well as regular reporting to CLT and Committee.</p> <p>A Funding Volatility Reserve has been created to specifically address the uncertainty of Government funding levels.</p> <p>Risk Assessment of Minimum level of reserves is carried out yearly and monitored throughout the year.</p> <p>Draft 2022/23 accounts show a small underspend and protection of working balances.</p>	3
Reputation		

People	<p>All services areas have Business Continuity Plans in place.</p> <p>Support and ongoing embedding of Emergency Planning & Business Continuity Plans within service departments</p> <p>Training to Extended leadership teams undertaken</p>	2
Effects on Service		
Reputation		

Effects on Service	<p>Monitor vacancy factor within Medium Term Financial Strategy (MTFS)</p> <p>Communications Protocol & Strategy</p> <p>Workforce Strategy</p> <p>Regular meetings between senior members & officers.</p> <p>Review options for alternative service delivery model</p> <p>Recruitment service brought in house</p> <p>Establishment Review Group between Finance & HR</p>	1
Reputation		
Effect on Project objectives		

Financial & Resources	<p>Consultants have been engaged to advise and assist in delivery of projects</p> <p>Appropriate governance arrangements have been set up for the Council's Wholly owned company - Seven Arches Investment Ltd</p> <p>Progress reports to Committee. Robust business modeling and financial projections.</p> <p>Monthly SLT & Leader meetings to monitor finances</p> <p>Financial Initiatives working group established</p>	2
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Legal/Compliance	<p>Information Governance Group set up to ensure that the Council has the correct controls in place to ensure good governance in all decision making</p> <p>Data Protection Policies</p> <p>Training</p> <p>Data Protection Officer in post</p>	2
Reputation		
Financial & Resources		

<p>Legal/Compliance</p>	<p>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 completed in 2021, recommending contract and relationship management training. Contract and Relationship Management training completed in May 2022, included risk management within contracts. Procurement and contract manager meetings in place. Procurement strategy been adopted by the Council.</p>	<p>2</p>
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<p>Effects on Service</p> <p>Financial & Resources</p> <p>Reputation</p>	<p>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.</p> <p>A suite of cyber security policies and procedures have been finalised, technical staff briefed and are available centrally on the service desk.</p> <p>Cyber security roadshows for staff and Members are still in preparation stage.</p> <p>Most recent extensive cyber audit provided moderate assurance.</p>	<p>3</p>
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<p>Financial & Resources</p> <p>Effects on Service</p>	<p>The Medium Term Financial Strategy (MTFS) is undertaken on an annual basis, with monthly budget monitoring and quarterly reports to Committee. Meetings are in place to review and challenge budget managers as well as regular reporting to CLT and Committee.</p> <p>Whilst inflation continues to have an impact on</p>	<p>3</p>
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Effect on Project objectives	staffing costs, it has eased in respect of energy costs which have had a major effect on budgets.	
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Effect on Project objectives	<p>Embedded roles and objectives for all directors and service managers.</p> <p>Established support team to ensure the programme maintains momentum and achieves milestones.</p> <p>Key change champions across each organisation to provide support and guidance to service reviews.</p> <p>Feedback on process and progress regularly sort from those involved in order to refine and improve the process and work undertaken.</p> <p>A governance structure that facilitates review through Check and Challenge meetings, ensures delivery through the Project Team and provides oversight through the Programme Board.</p> <p>Allocated budget to support the work of the partnership to ensure it delivers against its objectives</p>	
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Out of 5 Previous Score February 2023		Out of 5 Current Score June 2023			Further Planned Actions
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5	MEDIUM	1	5	MEDIUM	Gathering evidence to inform local plan review, to inform stages of plan preparation within timeframes agreed in the council's Local Development Scheme (timetable).
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3	LOW	1	3	LOW	To implement the recommendations of the internal audit report -April 2023
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4	MEDIUM				
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4	MEDIUM	1	4	MEDIUM	
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2	LOW	2	2	LOW	
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2	LOW	2	2	LOW	
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5	VERY HIGH	2	5	HIGH	Continuing monitoring of budgets and reserves. The Medium Term Financial Strategy for 2024-27 will be formulated in the autumn for approval in February 2024.
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3	MEDIUM				
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4	MEDIUM	1	4	MEDIUM	
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5	HIGH	2	5	HIGH	There has been no movement in the risk since last reported. Officers continue to review the arrangement with the joint venture. The current income from all investment made is now within the base budget.
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3	MEDIUM	2	3	MEDIUM	
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4	MEDIUM	2	4	MEDIUM	
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5	VERY HIGH	3	5	VERY HIGH	<p>Continuing to work with partners to drive down the impact of any likely attack and improve recovery processes.</p> <p>Action plan in response to cyber audit recommendations is in place.</p>
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4	HIGH	3	4	HIGH	<p>Continued monitoring of the outcome of the 2023 pay award. Any additional burden on 2023/24 budgets may be mitigated by savings in non-staffing budgets. The next MTFS will incorporate these impacts, and inflation</p>
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					projections, over the next three years.
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		3	3	MEDIUM	Revised and updated programme of reviews to be proposed to Programme Board.
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