

Risk No.	Risk Owner	Corporate Objective	Risk	Risk Category	Controls and Mitigations	Out of 5 Previous Score June 2023				Further Planned Actions	Out of 5 Current Score September 2023				Further Planned Actions		
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Risk 1	Director (Place)	Growing our Economy: A thriving borough that welcomes a wealth of business and culture	Failure to adopt a Local Plan in line with national policy, meaning a lack of local planning policies to plan and manage development that risks planning applications being judged solely against national policy "in favour of sustainable development" and/or unplanned development	Reputation Legal/Compliance Effect on Project objectives	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	MEDIUM	0	7.50	Gathering evidence to inform local plan review, to inform stages of plan preparation within timeframes agreed in the council's Local Development Scheme (timetable).	1	5	MEDIUM	0	7.50	Gathering evidence to inform local plan review within timeframes agreed in the council's Local Development Scheme (timetable). FAIR Committee approved next steps on 13/09/2023.
Risk 2	Director (Environment)	Protecting our Environment: Developing a clean and green environment for everyone to enjoy	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	Effects on Service Reputation	Strategy and action plan are in place. Introduction of new recycling scheme Environment Strategy & Action Plan agreed by Council Co Wheel Scheme implemented. Electric charging pilots implemented. New Climate & Sustainability officer employed. Brentwood Environmental Business Alliance (BEBA) launched.	1	3	LOW	0	3.90	To implement the recommendations of the internal audit report -April 2023	1	3	LOW	0	3.90	Costed carbon reduction plan to be presented to working group for consideration
Risk 3	Director, Communities & Health	Developing our Communities: Safe and strong communities where residents live happy, healthy and independent lives	Failure to deliver 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.	Effects on Service Reputation People	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.	2	4	MEDIUM	0	11.20		2	4	MEDIUM	0	11.20	
Risk 4	Strategic Director	Improving Housing: Access to a range of decent homes that meet local needs	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	Effects on Service Reputation Legal/Compliance	Strategic Housing Delivery Plan 21-26 now developed to meet objectives within the Housing Strategy. 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.	1	4	MEDIUM	0	5.60		1	4	MEDIUM	0	5.60	

Risk 5	Strategic Director	Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services	Lack of Strategic Direction due to no strategic direction provided by senior officers resulting in projects and programmes not delivered TO BE REMOVED	Effects on Service Reputation Effect on Project objectives	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.	2	2	LOW	0	4.80					0	0.00	
Risk 6	Strategic Director	Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services	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 TO BE REMOVED	Effect on Project objectives Effects on Service Reputation	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	2	2	LOW	0	4.80					0	0.00	
Risk 7	Director (Resources)	Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services	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	Financial & Resources Reputation	Medium Term Financial Strategic (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. 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 and monitored throughout the year. Draft 2022/23 accounts show a small underspend and protection of working balances.	2	5	HIGH	0	15.00	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.	2	5	HIGH	0	15.00	Continuing monitoring of budgets and reserves. The Medium Term Financial Strategy for 2024-29 will be formulated in the autumn for approval in February 2024.
Risk 8	Director, Communities & Health	Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services	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	People Effects on Service Reputation	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	2	3	MEDIUM	0	7.80		2	3	MEDIUM	0	7.80	A One Team set of Emergency Plans is being prepared to support CLT in an Emergency. Once agreed it will replace two plans and training will take place. A One Team Business Continuity Plan has been agreed and work is underway to support this with Service BC Plans. Once finalised the plan will be tested. Proposals are under discussion to recruit and train Emergency Officers. RDC will use the BBC CCTV Room for out of hours calls and a One Team approach developed for dealing with calls. The Essex Resilience Forum has received additional resource.
Risk 9	Joint Acting Director of People & Governance	Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services	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	Effects on Service Reputation Effect on Project objectives	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	1	4	MEDIUM	0	5.60	A review of job descriptions, ensuring that there are clear expectations for roles. Regular 1:1s to ensure employees have clear goals and objectives. Aspiring Managers Programme to ensure managers and aspiring managers have the right skills. Use of apprenticeship levy to support development and grow/nurture early careers	1	4	MEDIUM	0	5.60	Supporting the reviews across both Councils to ensure job roles and career pathways are in place. New Values roled out need to embed behaviours. Review of reward and recognition packages, new website for careers. Introduction of OneYou conversations, digital exit questionnaire to be introduced.

Risk 10	Director (Assets & Investments)	Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services	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	Financial & Resources Reputation Financial & Resources	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	0	15.00	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.	2	5	HIGH	0	15.00	Options have been presented to officers regarding it's joint venture. Officers are seeking legal advice in the first instance on these options and understanding any financial impact. Financial review is being undertaken on the Council's wholly owned company to review the company in the current economic climate. Regular reporting is established and members are updated quarterly under the committee system.
Risk 11	Joint Acting Director of People & Governance	Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services	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	Legal/Compliance Reputation Financial & Resources	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	MEDIUM	0	7.80		2	3	MEDIUM	0	7.80	
Risk 12	Director (Resources)	Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services	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.	Legal/Compliance	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.	2	4	MEDIUM	0	11.20		4	4	VERY HIGH	0	22.40	Provision exists within reserves to accommodate potential losses from partnership failure. An internal audit of partnerships has been added to the 2023/24 audit plan to help ensure value for money from future partnerships.
Risk 13	Director (Customer & Data Insight)	Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services	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.	Effects on Service Financial & Resources Reputation	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. A suite of cyber security policies and procedures have been finalised, technical staff briefed and are available centrally on the service desk. Cyber security roadshows for staff and Members are still in preparation stage. Most recent extensive cyber audit provided moderate assurance.	3	5	VERY HIGH	0	22.50	Continuing to work with partners to drive down the impact of any likely attack and improve recovery processes. Action plan in response to cyber audit recommendations is in place.	3	5	VERY HIGH	0	22.50	Actively involved in Essex-wide LA cyber partnership, with response framework, sharing intelligence and good practice. Member of regional WARP (Warning, Advice and Reporting Point) to share and receive up-to-date advice on information security threats, incidents and solutions. Improving policies to direct operational resources. Working with commercial partners to continually improve cyber defences
Risk 14	Director (Resources)	Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services	Inflationary pressures due to the current economic climate, resulting in increased costs (putting additional pressure on the MTFS) and services could be disrupted	Financial & Resources Effects on Service	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. Whilst inflation continues to have an impact on	3	4	HIGH	0	16.80	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	3	4	HIGH	0	16.80	Continued monitoring of the outcome of the 2023 pay award. Any additional burden on 2023/24 budgets may be mitigated by savings in vacancies and non-staffing budgets. The next MTFS will incorporate these impacts, and inflation projections, over the next five years.

	services	Effect on Project objectives	staffing costs, it has eased in respect of energy costs which have had a major effect on budgets.					projections, over the next three years.				
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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	Financial & Resources	<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>	3	3	MEDIUM	0	11.70	Revised and updated programme of reviews to be proposed to Programme Board.	3	3	MEDIUM	0	11.70	<p>Ongoing and continual review of the progress of the service reviews</p> <p>Reviewing financial outcome against expected outcome</p> <p>Seeking Peer Review to gain an insightful view of the partnership and how it works for both organisation</p>
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