

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER

Risk No.	Risk Owner	Corporate Objective	Risk	Controls and Mitigations	Out of 5 Previous Score September 2019	
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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	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
		Protecting our	Failure to develop an Environment	Strategy and action plan are in place. Introduction of new recycling scheme Environment		

Risk 2	Director (Environment)	Protecting our Environment: Developing a clean and green environment for everyone to enjoy	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	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
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.	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
				Strategic Housing Delivery Plan 21-26 now developed		

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	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
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	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
		Delivering an effective	We will be unable to react to a major incident leading to a breach of our statutory duties under the Civil	All services areas have Business Continuity Plans in		

Risk 8	Director, Communities & Health	<p>Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services</p>	<p>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>	<p>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</p>	2	3
Risk 9	Joint Acting Director of People & Governance	<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>	<p>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</p>	1	4
		<p>Delivering an effective</p>	<p>We may be unable to meet the income projections for the Council if the</p>	<p>Consultants have been engaged to advise and assist in delivery of projects</p>		

Risk 10	Director (Assets & Investments)	<p>Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services</p>	<p>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>	<p>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</p>	2	5
Risk 11	Joint Acting Director of People & Governance	<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>	<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 Data Protection Policies Training Data Protection Officer in post</p>	2	3
		<p>Delivering an effective</p>	<p>Risk of Contract/Partnership failure within the organisation as a result of</p>	<p>Service Level Agreements embedded within contract and penalties in place for non performance. Regular reporting on contract performance.</p>		

Risk 12	Director (Resources)	Delivering an effective & efficient Council: An ambitious and innovative Council that delivers quality services	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.	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.	4	4
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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.	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
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		Delivering an effective		The Medium Term Financial Strategy (MTFS) is undertaken on an annual basis, with monthly budget		
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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	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 staffing costs, it has eased in respect of energy costs which have had a major effect on budgets.	3	4
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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	Embedded roles and objectives for all directors and service managers. Established support team to ensure the programme maintains momentum and achieves milestones. Key change champions across each organisation to provide support and guidance to service reviews. Feedback on process and progress regularly sort from those involved in order to refine and improve the process and work undertaken. A governance structure that facilitates review through Check and Challenge meetings, ensures delivery through the Project Team and provides oversight through the Programme Board. Allocated budget to support the work of the partnership to ensure it delivers against its objectives	3	3
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		Delivering an effective		Treasury Management Review to improve governance		
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<p>Risk 16</p>	<p>Director (Resources)</p>	<p>& efficient Council: An ambitious and innovative Council that delivers quality services</p>	<p>The Council's high level of debt places financial pressure on the Budget and MTFS as debt repayments rise without a commensurate increase in income</p>	<p>Treasury management review to improve governance and practices. Close monitoring of the capital programme to minimise borrowing. Review options for asset disposals.</p>		
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ore 2023	Further Planned Actions	Out of 5 Current Score January 2024		
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MEDIUM	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.	1	5	MEDIUM
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LOW	Costed carbon reduction plan to be presented to working group for consideration	1	3	LOW
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MEDIUM	Leisure Strategy in place. Joint leisure procurement for BBC/RDC leisure facilities being progressed with new contract to be in place for April 2025. This new contract will set out the Council financial obligations for the operator and both Council's over the term of the contract (10+5+5years)	3	4	HIGH
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MEDIUM	Actions proceeding in line with Strategic Housing Development programme.	1	4	MEDIUM
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HIGH	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.	2	5	HIGH
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	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.			
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MEDIUM	<p>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.</p> <p>Proposals are under discussion to recruit and train Emergency Officers.</p> <p>RDC will use the BBC CCTV Room for out of hours calls and a One Team approach developed for dealing with calls.</p> <p>The Essex Resilience Forum has received additional resource.</p>	2	3	MEDIUM
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MEDIUM	<p>Supporting the reviews across both Councils to ensure job roles and career pathways are in place. New Values rolled 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.</p>	1	4	MEDIUM
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	<p>Options have been presented to officers regarding it's joint</p>			
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HIGH	<p>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.</p>	2	5	HIGH
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	<p>Provision exists within reserves to accommodate potential</p>			
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<p>VERY HIGH</p>	<p>Provision exists within reserves to accommodate potential losses from partnership failure.</p> <p>An internal audit of partnerships has been added to the 2023/24 audit plan to help ensure value for money from future partnerships.</p>	<p>3</p>	<p>4</p>	<p>HIGH</p>
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<p>VERY HIGH</p>	<p>Actively involved in Essex-wide LA cyber partnership, with response framework, sharing intelligence and good practice.</p> <p>Member of regional WARP (Warning, Advice and Reporting Point) to share and receive up-to-date advice on information security threats, incidents and solutions.</p> <p>Improving policies to direct operational resources.</p> <p>Working with commercial partners to continually improve cyber defences</p>	<p>3</p>	<p>5</p>	<p>VERY HIGH</p>
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HIGH	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.			
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MEDIUM	<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>	3	3	MEDIUM
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Further Planned Actions

Gathering evidence to inform local plan review within timeframes agreed in the council's Local Development Scheme (timetable).

Carbon Reduction pathway and principles approved, HVO trial to commence in April 2024. Further policy work underway to incorporate carbon reduction into procurement and council decision making.

Contingency arrangements are being put in place - there is a risk that no arrangements are in place in the event that the Council's choose/or have to delay procurement and therefore need an operator to operate the facilities in the meantime, in a specific and time limited basis.

Additionally, various strategic work that is required (related to the leisure contract) has been scoped and briefed.

The leisure contract has also been highlighted for internal audit.

Actions proceeding in line with Strategic Housing Development programme.

The 2023/24 Q3 forecast is to break even, with no use of reserves. The 2024/25 Budget and 2024 - 29 MTFS approved 28 February 2024. These project a balanced position for 2024/25 and 2025/26 but there are actions to be considered over the medium term, to address potential budget gaps in later years.

A meeting of Extended Leadership Team is scheduled for 19 March 2024 to provide a briefing on the Budget and its implications, as well as planned actions over the medium term to ensure delivery of the MTFS.

A One Team set of Emergency Plans is being prepared to support CLT in an Emergency. Once agreed it will replace the separate plans and training will take place.

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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.

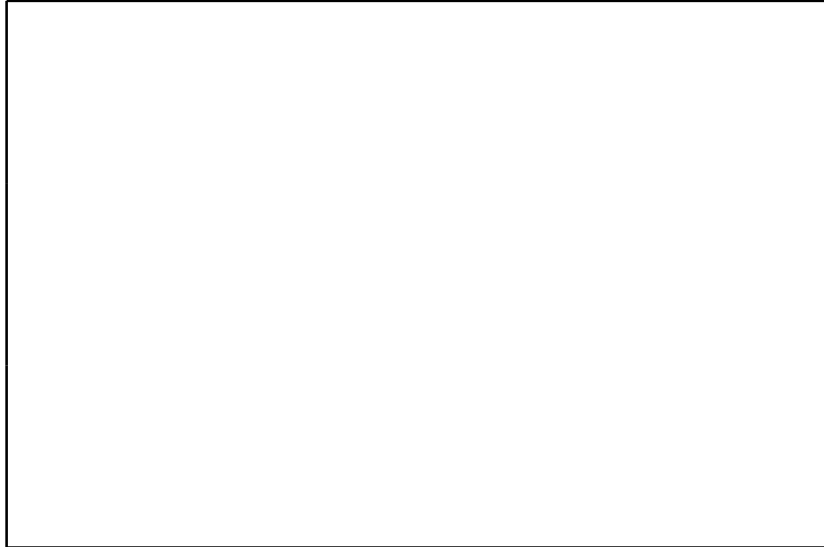
RDC now uses the BBC CCTV Room for out of hours calls and a One Team approach is being developed for dealing with calls.

The Essex Resilience Forum has received additional resource and will develop county wide plans which we will use.

New People & Culture Strategy to be launched with a focus on retention and succession planning within services. Recruitment and Selection policy being reviewed as well as process to ensure these are effective when recruiting and onboarding to roles.

The Councils wholly owned company Seven Arches Investment Limited is in partnership with the Joint Centure. SAIL are reviewing options and seeking legal advise on how to progress these options

options and seeking legal advice on how to progress these options within the JV. Any financial impact will impact SAIL and be presented as part of their business plan. The business plan and quarterly financial updates are presented to Finance Assets Investment and Recovery Committee. The Council will reflect SAIL's financial position as part of its Group Accounts. In addition to this the Council has commissioned a development partnership internal audit.



Legal advice and ongoing negotiations have resulted in a diminished financial risk of partnership failure. A review of the relationship between the Council and Seven Arches Investments Ltd will take place in 2024/25. The internal audit of partnerships is due to report in March 2024.

Continue to be actively involved in Essex-Wide LA cyber partnership, the Regional WARP.

Continue to work with our Cyber Security Partner to improve our security posture, and working with our Auditors to challenge and improve policies and procedures.

TO BE REMOVED

Initial work of the Transformation Team continues however initial savings have been made in Tiers 1 to 4 and a number of initial Service Reviews

A report will be forthcoming in January/February identifying a next phase in the work that will tackle the Services that have so far not undertaken service reviews and need to be tackled in an alternative way to create the benefits set out in the original programme

Implementation of actions in 2024/25 following the 2023 Review of Treasury Management

Treasury management.

MTFS includes specific actions to bring down the level of projected debt.

Review of the relationship with SAIL which will ensure rigorous control of large capital projects as well as monitoring of the investment portfolio.