

**BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER**

Risk No.	Risk Owner	Risk	Controls and Mitigations	Out of 5 Current Score January 2024			Further Planned Actions	Out of 5 Current Score May 2024			Further Planned Actions
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Risk 1	Director (Place)	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	MEDIUM	Gathering evidence to inform local plan review within timeframes agreed in the council's Local Development Scheme (timetable).	1	4	MEDIUM	Call for sites has been completed and a revised Local Development Scheme is to be considered by committee in the summer.
Risk 2	Director (Environment)	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	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	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.	1	3	LOW	Climate Working Group to identify priorities for the year ensuring alignment with the Environment Strategy
Risk 3	Director, Communities & Health	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.	3	4	HIGH	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.	3	4	HIGH	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.
Risk 4	Strategic Director	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	Strategic Housing Delivery Plan 21-26 now developed to meet objectives within the Housing Strategy. Quarterly programme board in place to monitor governance. HRA Business plan meetings also in place to monitor the impact of the SHDP and planned programme for existing stock on long term financial strategy.	1	4	MEDIUM	Resource plan reviewed to increase capacity to deliver programme. Due to the current financial climate the overall programme and individual scheme plans are being reviewed to ensure viability and to control any financial implications.	2	4	MEDIUM	Some previously discussed sites connected to the SHDP have been removed and will now form part of the wider Asset Strategy for the HRA to make the scope the SHDP manageable with the resource and financial capacity available. Short term additional Project Management support is being brought on board to review programme plan.

Risk 7	Director (Resources)	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>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.</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. Draft 2022/23 accounts show a small underspend and protection of working balances.</p>	2	5	HIGH	<p>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.</p>	2	5	HIGH	<p>The 2023/24 provisional outturn is pending, but it is not anticipated that there will be the need to use reserves. The 2024/25 Budget and 2024 - 29 MTFS was approved on 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.</p>
Risk 8	Director, Communities & Health	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>All services areas have Business Continuity Plans in place.</p> <p>Support and ongoing embedding of Emergency Planning &amp; Business Continuity Plans within service departments</p> <p>Training to Extended leadership teams undertaken</p>	2	3	MEDIUM	<p>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.</p> <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 now uses the BBC CCTV Room for out of hours calls and a One Team approach is being developed for dealing with calls.</p> <p>The Essex Resilience Forum has received additional resource and will develop county wide plans which we will use.</p>	2	3	MEDIUM	<p>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.</p> <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 now uses the BBC CCTV Room for out of hours calls and a One Team approach is being developed for dealing with calls.</p> <p>The Essex Resilience Forum has received additional resource and will develop county wide plans which we will use.</p>
Risk 9	Joint Acting Director of People & Governance	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>Monitor vacancy factor within Medium Term Financial Strategy (MTFS)</p> <p>Communications Protocol &amp; Strategy</p> <p>Workforce Strategy</p> <p>Regular meetings between senior members &amp; officers.</p> <p>Review options for alternative service delivery model</p> <p>Recruitment service brought in house</p> <p>Establishment Review Group between Finance &amp; HR</p>	1	4	MEDIUM	<p>New People &amp; 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.</p>	2	3	MEDIUM	<p>Work continues on reviewing the recruitment and retention policies to ensure the processes in place are effective and ensure effective recruitment and onboarding.</p>
Risk 10	Director (Assets & Investments)	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>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 &amp; Leader meetings to monitor finances</p> <p>Financial Initiatives working group established</p>	2	5	HIGH	<p>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 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.</p>	2	5	HIGH	<p>Following the LGA Peer Review, an agreed recommendation was for the Council to conduct a review of Seven Arches Investment Limited, to determine whether this vehicle was still the appropriate vehicle for the Council in a backdrop of public finance changes. Officers are conducting an independent review of the wholly owned company.</p>
Risk 11	Joint Acting Director of People & Governance	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>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	4	MEDIUM	<p>Fully implement and resource the agreed action plan</p>

Risk 12	Director (Resources)	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.	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.	3	4	HIGH	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. New partnership Policy and precedures being developed for ratification by CLT and Members	3	4	HIGH	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 the summer. The internal audit of partnerships is due to report in July 2024. New partnership policy and procedures as well as a review of contract procedure rules are being developed for ratification by CLT and Members.
Risk 13	Director (Customer & Data Insight)	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	VERY HIGH	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.	3	5	VERY HIGH	We continue to work with Partners across Essex, sharing best practice and intelligence. Work continues on data protection and recovery and we work with external parties on advice and good practice. We will continue to educate Officers and share information on current threat. We are looking to NCSC and LGA for support and good practice.
Risk 15	Director (Policy & Delivery)	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	MEDIUM	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	3	3	MEDIUM	Work between the two authorities continues and where benefits of joint working are achievable these are encouraged and implemented, for example joint procurement opportunities. Development of Transformation Plans has begun which will be complete in September with clear projects and targets as to where change across the organisation will happen. This will enable resources to be allocated to support change and enable clear outcomes to be identified and monitored to ensure on track. Further this work and the financial savings will be aligned with the financial targets and the MFTP
Risk 16	Director (Resources)	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	Treasury Management Review to improve governance and practices. Close monitoring of the capital programme to minimise borrowing. Review options for asset disposals.	2	4	MEDIUM	Implementation of actions in 2024/25 following the 2023 Review of 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.	2	4	MEDIUM	Implementation of actions in 2024/25 following the 2023 Review of 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.
Risk 17	Director (Resources)	Vacancies and uncertainty for the Finance service coupled with a lack of available supply undermines the Council's financial management and control	Prioritise financial services that are statutory. Ensure the new finance structure has sufficient resilience. Be prepared to offer enhancements to recruit and retain staff. Post-restructure, develop a plan to recruit to vacancies and maintain resilience.	3	4	HIGH		3	4	HIGH	The consultation on the review of the finance service is scheduled to be complete by the end of June 2024, after which existing staff will be incorporated into the new structure and vacant posts will be filled. Parallel with this, recruitment to the Director of Resources post is aimed to be complete in the summer.