

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY SHEET 2016-2017

Row No	Risk No	Risk Description	Residual Risk Rating			Residual Risk Rating			Residual Risk Rating			Residual Risk Rating			Current Risk Rating			Movement	Risk Response/Update on action required	Risk Owner
			Jan-16			May-16			Aug-16			Nov-16			Jan-17					
			*L	*I		*L	*I		*L	*I		*L	*I		*L	*I				
1	RSK1	<u>Finance Pressures</u> As central government grant support to the council falls away dramatically in the next 2 years, the budget gap is a major management issue.	5	5	25	5	5	25	5	5	25	5	5	25	5	5	25	↔	COMMENT MAY 2016: The significantly challenging financial climate continues to place pressures on the Council. COMMENT AUG 2016: The impact of Brexit places further uncertainty on Local Government funding. COMMENT NOV 2016: Awaiting the announcement of the Local Government Finance Settlement. <b>COMMENT JAN 2017: Further bad news from the Local Government Finance Settlement, a £500k cut to the new homes bonus grant for 2017/18 with impact expected on subsequent years, gives the council even greater financial pressures.</b>	John Chance
2	RSK12	<u>Extension of Right To Buy to registered provider tenants</u> Funding to be provided by the LA from the sale of high value Council houses resulting in a reduction in housing stock.	4	5	20	4	5	20	4	5	20	4	5	20	4	5	20	↔	2016. COMMENT MAY 2016: HG attended DCLG briefing. There was no update on how the Government intends to implement. HG will continue to monitor. COMMENT AUG 2016: We have received no further information from DCLG. Will continue to monitor. COMMENT NOV 2016: We have received no further information from DCLG, we will continue to monitor. <b>COMMENT JAN 2017: We have received no further information from DCLG, we will continue to monitor.</b>	Angela Williams
3	RSK11	<u>Rollout of Universal Credit</u> The direct payment of universal credit to claimants (previously Housing Benefit payments) may result in a reduction on the rent roll received, increasing the level of rent arrears.	5	5	25	4	5	20	4	4	16	4	4	16	4	4	16	↔	COMMENT AUG 2016: The roll out of Universal Credit is currently moving extremely slowly and we are still awaiting a date for the second stage roll out in Brentwood. We are preparing residents for a 'payment up front culture' with the introduction of 1st week rent up front on the 18th July 2016 which is currently working effectively to reduce the number of tenants going into immediate arrears when they take on a tenancy. We continue to develop the pre-tenancy service to better prepare residents to manage their own money in line with the impending roll out of Universal Credit. COMMENT NOV 2016: There are 56 residents in the Borough, with 12 being Council tenants that are likely to be affected by the benefit cap which will be a phased roll out, potentially from the end of November – mid December 2016. An open day was held on the 12th October 2016 inviting all potentially affected tenants to attend a drop-in service. The Department for Works & Pensions (DWP) and Citizens Advice Bureau (CAB) were also at the session. However only 1 tenant attended the event. Revenues & Benefits will continue to work closely with the Housing Options Team together with DWP, CAB and Family Mosaic to agree a joint way of working to assist all tenants that may potentially be impacted by the planned benefit caps. It has been highlighted that this will place a considerable strain on the Discretionary Housing Payments (DHP) fund so further consideration is required to how the housing prevention fund can aid the DHP application process. <b>COMMENT JAN 2017: We have seen a further impact on households that are in TA, although low numbers, who are subject to the benefit cap causing tenants to fall into unintentionally fall into arrears. Further referrals are being made to HB for DHP, however not sustainable long term, further joint working with HB to help partially fund DHP from the homeless prevention fund. At present direct payments to tenants is planned for 2019.</b>	Angela Williams

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY SHEET 2016-2017

Row No	Risk No	Risk Description	Residual Risk Rating			Residual Risk Rating			Residual Risk Rating			Residual Risk Rating			Current Risk Rating			Movement	Risk Response/Update on action required	Risk Owner
			Jan-16			May-16			Aug-16			Nov-16			Jan-17					
			*L	*I		*L	*I		*L	*I		*L	*I		*L	*I				
4	RSK2	<u>Local Development Plan</u> Failure of the Council to adopt a Plan in line with National Planning Policy Framework resulting in planning applications judged against NPPF 'in favour of sustainable development'	3	5	15	3	5	15	3	5	15	3	5	15	3	5	15	↔	COMMENT JAN 2016: Draft Local Plan approved for consultation at Ordinary Council on 27 January 2016. Consultation runs from 10 Feb for a statutory six week period. COMMENT MAY 2016: Draft Local Plan consultation completed. Processing and assessment of comments and issues now being undertaken for next version of Plan. COMMENT AUG 2016: Processing of comments completed, assessment of issues raised is ongoing; to be published in a Consultation Statement document once complete and to go to committee in autumn 2016. This will inform revisions to the next stage of LDP preparation. COMMENT NOV 2016: Work is ongoing to ensure representations and evidence inform the next version of the Local Development Plan. Work now underway to consider the most appropriate next steps in light of emerging evidence and target to submit the LDP by spring 2017. <b>COMMENT JAN 2017: Report taken to Policy, Finance &amp; Resources Committee regarding implications to the LDP timetable from a number of external factors. Recommendation approved to have the LDP Member Working Group propose a revised timetable to account for these issues and present to future committee. Risk is being monitored but remains the same.</b>	Phil Drane
5	RSK13	<u>Failure to deliver key Corporate Projects</u> There are a number of projects that are vital to supporting and delivering the vision for Brentwood. Failure to implement/deliver these projects will either mean a loss to the community or a loss of income.	2	5	10	2	5	10	2	5	10	2	5	10	2	5	10	↔	COMMENT JAN 2016: Tight project controls have been introduced to assist in the control of this. Regular reporting and links to the Transformation agenda will aid clarity and transparency. COMMENT MAY 2016: New project and programme reporting now in place. COMMENT AUG 2016: A new project dashboard and reporting structure has been introduced to closely monitor the progress and dependencies of corporate projects. COMMENT NOV 2016: No change. <b>COMMENT JAN 2017: Progress is being made on a number of areas to confirm the no change status. To substantiate this a number of presentations have been made to the PFR committee and Full Council.</b>	Phil Ruck
6	RSK5	<u>Information Management and Security</u> If a data breach occurs (e.g. Unauthorised release of personal information) the Council may be fined by the ICO and be subject to damages and loss of reputation.	3	5	15	3	4	12	3	4	12	3	3	9	3	3	9	↔	COMMENT MAY 2016: Lee Henley has provided an options paper regarding Information Governance issues. COMMENT AUG 2016: Review of Data Protection Policy to occur in Sept-Dec 2016. Training for Officers and Members is to be delivered by Lee Henley in October - November 2016. COMMENT NOV 2016: The Information Manager at Thurrock Council has been commissioned in October to review existing Data Protection Policy and write a more encompassing 'Data Handling Policy'. This will form the basis of mandatory online training for all staff. <b>COMMENT JAN 2017: The Council has engaged extra resources to roll out new information governance policies and procedures to be fully in place by April 2017.</b>	Daniel Toohey

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY SHEET 2016-2017

Row No	Risk No	Risk Description	Residual Risk Rating Jan-16			Residual Risk Rating May-16			Residual Risk Rating Aug-16			Residual Risk Rating Nov-16			Current Risk Rating Jan-17			Movement	Risk Response/Update on action required	Risk Owner
			*L	*I		*L	*I		*L	*I		*L	*I		*L	*I				
7	RSK4	<u>Organisational Capacity</u> Lack of capacity to effectively govern the organisation will result in delay in delivery of business objectives	3	4	12	3	4	12	3	4	12	2	4	8	2	4	8	↔	COMMENT MAY 2016: This continues to be reviewed. COMMENT AUG 2016: A new corporate structure is being proposed, that brings service delivery, corporate goals and budgetary constraints into greater alignment. COMMENT NOV 2016: This is now in process and awaiting final HR advice. <b>COMMENT JAN 2017: We are continuing with the process in line with Corporate Procedures and policies.</b>	Phil Ruck
8	RSK3	<u>Disaster Recovery/Business Continuity</u> Failure to respond effectively to an incident/event due to lack of robust Emergency Planning & Business Continuity Plans results in service disruption and inability to deliver key services.	2	4	8	2	4	8	2	4	8	2	4	8	2	4	8	↔	COMMENT MAY 2016: The BC function was audited in January 2016. The Over-arching plan is currently being reviewed and will be reissued in 2016. Staff details in the plans are to be improved on all BC Plans which are also being revised in 2016. Once complete, the plan will be tested by Zurich Municipal. ICT will provide an updated BC plan to reflect current arrangements. COMMENT AUG 2016: All matters reported on in May remain the same and are in progress and on target. COMMENT NOV 2016: The Over-arching Plan is to be reissued in November 2016, to be followed by the Departmental Plans. Zurich Engineering conducted a desk top exercise of the Council's business continuity plan with the Gold Command team and other key parties on 2 November 2016. Further testing of Business Continuity Plans will be undertaken in February 2017. <b>COMMENT JAN 2017: The overarching plan has been completed for 2017/18 but is being re-amedended to reflect current understood delegations/titles. Departmental Plans format is being revisited to reflect changes in the way data is stored/retrieved thus making information more secure. The future organisation of some services is unclear which will impact upon the timely completion of Departmental Plans.</b>	Mark Stanbury
9	RSK7	<u>Commercial Activities</u>	2	4	8	2	4	8	2	4	8	2	4	8	2	4	8	↔	COMMENT MAY 2016: Business cases and income generation under constant review to support commercial activities. COMMENT AUG 2016: We are identifying the business cases that will take priority and are reviewing governance and structures with external advisors who specialise in this area. COMMENT NOV 2016: New Section 151 Officer appointed and actions now being taken. <b>COMMENT JAN 2017: We are currently developing the business case for this, which will involve both new service arrangements and the review of assets of the organisation.</b>	John Chance
10	RSK8	<u>Contract/Partnership Failure</u> Key to delivering efficiency benefits and outcomes relating to contracts is the way in which they are delivered. Management of contract/partnership arrangements is vital to ensure that we reach and deliver the outcomes we need.	2	4	8	2	4	8	2	4	8	2	4	8	2	4	8	↔	COMMENT MAY 2016: No change. COMMENT AUG 2016: There is no change to this. However greater emphasis is being placed upon contract management and we have engaged with procurement specialists with EELGA to ensure this work does not lose momentum. COMMENT NOV 2016: Work with East of England Local Government Association (EELGA) ongoing. <b>COMMENT JAN 2017: We have held a number of training exercises re the whole area of contract management and improvements put in place.</b>	Phil Ruck

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY SHEET 2016-2017

Row No	Risk No	Risk Description	Residual Risk Rating			Residual Risk Rating			Residual Risk Rating			Residual Risk Rating			Current Risk Rating			Movement	Risk Response/Update on action required	Risk Owner
			Jan-16			May-16			Aug-16			Nov-16			Jan-17					
			*L	*I		*L	*I		*L	*I		*L	*I		*L	*I				
11	RSK10	<u>Failure to spend Capital Receipts</u> Faiure to spend capital receipts within the deadline will result in delays in delivering Affordable Housing programme	3	5	15	3	5	15	3	5	15	1	5	5	1	5	5	↔	COMMENT JAN 2016: 4 property purchases completed, 3 x 3 bed houses, 1 x 2 bed bungalow , 1 further property purchase progressing with completion due before March deadline, 1 x 3 bed house. This will ensure the 31 March 2016 deadline is achieved. Going forward we are planning to align expenditure with our affordable housing development programme. COMMENT MAY 2016: The 31 March 2016 deadline was achieved through the purchase of 5 properties on the open market. The next deadline of 30 December 2016, will also be achieved with the Council's new housing development programme of garage sites. COMMENT AUG 2016: We have achieved the May 2016 deadline though the purchase of an additional property and pre construction costs of new development sites at Fawters Close and Magdalen Gardens. COMMENT NOV 2016: Risk Rating reduced as we have achieved the 31/12/2016 deadline. Contract for the new build development has been awarded to Borrás Construction Ltd. <b>COMMENT JAN 2017: Risk rating reduced as we have one live site and 5 x garage sites for Whittington Rd at pre-app stage. 5 further sites agreed to pursue in addition to Maple Close site. Further 2 properties are being purchased alongside development programme ahead of June 17 deadline</b>	Angela Williams
12	RSK9	<u>Lack of Strategic Direction</u> Without a clearly defined vision, the organisation is in danger of managing services only and losing the impact of much needed change supported by clear targets. If we do not follow a clear strategic path we will find ourselves falling behind and potentially failing residents	1	4	4	1	4	4	1	4	4	1	4	4	1	4	4	↔	COMMENT JAN 2016: We are now implementing the "Brentwood a better place to be ..." programme as a way of implementing the approved Vision. COMMENT MAY 2016: No change. COMMENT AUG 2016: The vision is being rolled out by a variety of key projects that are supported by strong project governance and controls. COMMENT NOV 2016: On-going. Work is reviewed on a regular basis. <b>COMMENT JAN 2017: The Vision for Brentwood is being rolled out with adherence to the budget and key strategies are being developed supporting this.</b>	Phil Ruck
13	RSK14	That outsourcing/shared service arrangements result in the Council's democratic duties not being fulfilled or ignored leading to a failure in the Council's obligations.													1	2	2		<b>NEW</b> <b>COMMENT JAN 2017: This risk is being managed on an ongoing basis by contract management and the involvement of the Monitoring Officer.</b>	Phil Ruck

\* L = Likelihood Rating (1 = Low, 5 = High)  
 \* I = Impact Rating (1 = Low, 5 = High)  
 Maximum Score 5 x 5 = 25