

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY SHEET 2016-2017

Row No	Risk No	Risk Description	Residual Risk Rating			Residual Risk Rating			Current Risk Rating			Residual Risk Rating			Movement	Risk Response/Update on action required	Risk Owner
			Jan-16			May-16			Aug-16			Nov-16					
			*L	*I		*L	*I		*L	*I		*L	*I				
1	RSK1	Finance Pressures	5	5	25	5	5	25	5	5	25	5	5	25	↕	COMMENT JAN 2016: Increased to highest risk following the Provisional Local Government Finance Settlement 2016/17. 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.	Ramesh Prashar
2	RSK12	Extension of Right To Buy to registered provider tenants	4	5	20	4	5	20	4	5	20	4	5	20	↕	COMMENT JAN 2016: We are waiting for further announcements from Government; HG to attend a GLA/DCLG briefing in February 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.	Angela Williams
3	RSK11	Rollout of Universal Credit	5	5	25	4	5	20	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.	Angela Williams

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4	RSK2	Local Development Plan	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.	Phil Drane
5	RSK13	Failure to deliver key Corporate Projects	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.	Phil Ruck
6	RSK5	Information Management and Security	3	5	15	3	4	12	3	4	12	3	3	9	↓	COMMENT JAN 2016: Information Management Training (FOI/DPA) to be delivered by Lee Henley in February/March. The Council's Certificate of Registration with the Information Commissioner's Office has now been renewed. 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.	Daniel Toohey
7	RSK4	Organisational Capacity	3	4	12	3	4	12	3	4	12	2	4	8	↓	COMMENT JAN 2016: This is a key part of the alignment between the Transformation Agenda and the budget. 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.	Phil Ruck

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8	RSK3	Disaster Recovery/Business Continuity	2	4	8	2	4	8	2	4	8	2	4	8	↕	COMMENT JAN 2016: The over-arching plan will be reviewed to ensure it is robust. Staff details in the plans are to be improved. ICT will provide an updated BC plan to reflect current arrangements. 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.	Mark Stanbury
9	RSK7	Commercial Activities	2	4	8	2	4	8	2	4	8	2	4	8	↕	COMMENT JAN 2016: This is an area under constant review and will become clearer once key business cases have been prepared and agreed. 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.	Phil Ruck
10	RSK8	Contract/Partnership Failure	2	4	8	2	4	8	2	4	8	2	4	8	↕	COMMENT JAN 2016: This is ongoing and there are no changes to report. 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.	Phil Ruck

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11	RSK10	Failure to spend Capital Receipts	3	5	15	3	5	15	3	5	15	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 Borras Construction Ltd.	Angela Williams
12	RSK9	Lack of Strategic Direction	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.	Phil Ruck
* L = Likelihood Rating (1 = Low, 5 = High) * I = Impact Rating (1 = Low, 5 = High) Maximum Score 5 x 5 = 25																	