

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY SHEET 2017-2018

Row No	Risk No	Risk Description	Existing Controls	Residual Risk Rating			Residual Risk Rating			Residual Risk Rating			Current Risk Rating			Movement	Risk Response/Update on action required	Risk Owner
				Jan-17			May-17			Aug-17			Nov-17					
				*L	*I		*L	*I		*L	*I		*L	*I				
1	RSK1	<u>Finance Pressures</u> As Revenue Support Grant from Central Government dramatically reduces in the next 2 years, the budget gap is a major management issue.	Medium Term Financial Planning is undertaken on an annual basis, with monthly budget monitoring and half year reports to Members. A Funding Volatility Reserve has been created to specifically address the uncertainty of Government funding levels. Currently healthy reserves and working balances held.	5	5	25	5	5	25	5	5	25	5	5	25	↔	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. COMMENT MAY 2017: No better news has been forthcoming since December, the financial outlook still remains uncertain. Work is underway to address the 2018/19 budget deficit. COMMENT AUG 2017: Financial Pressures still ongoing, no further info has been received. Local Government Finance Settlement due in December. <b>COMMENT NOV 2017: Budget pressures still identified, however work in budget setting is underway to mitigate some of these pressures. Government have issued a Technical Consultation regarding Local Government Finance Settlement. Proposed changes to New Homes Bonus mechanism, business rates revaluation adjustment and views on council tax referendum principles have been requested. This may inform the finance settlement issued in December.</b>	Jacqui Van Mellaerts
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.	We will continue to monitor progress and update Members.	4	5	20	4	5	20	4	5	20	4	5	20	↔	COMMENT JAN 2017: We have received no further information from DCLG, we will continue to monitor. COMMENT MAY 2017: We have received no further information from DCLG, we will continue to monitor. COMMENT AUG 2017: We have received no further information from DCLG, we will continue to monitor. <b>COMMENT NOV 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.	Current tenants affected by Universal Credit are being monitored by Housing Officers on a regular basis, who can be referred for budgeting advice. Updated Income Management procedure to become more client based. Introduction of new Pre-Tenancy Service to instill a payment culture. Monthly rent arrears campaign to target high risk areas.	4	4	16	4	4	16	4	4	16	5	4	20	↔	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. COMMENT MAY 2017: No further update, position remains the same. COMMENT AUG 2017: No further update, position remains the same monthly meetings with HB are now underway to prepare for any change in position. <b>COMMENT NOV 2017: Universal credit full service went live on the 13th November which will affect HB tenants with a change in circumstance as they will automatically transfer to UC. No immediate effect has been impacted yet but is being closely monitored.</b>	Angela Williams

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY SHEET 2017-2018

Row No	Risk No	Risk Description	Existing Controls	Residual Risk Rating			Residual Risk Rating			Residual Risk Rating			Current Risk Rating			Movement	Risk Response/Update on action required	Risk Owner
				Jan-17			May-17			Aug-17			Nov-17					
				*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'	Meeting targets set out in the Plan timetable, with ongoing discussion with neighbouring Local Planning Authorities. Retention of permanent staff. Risk impact is high but controls are in place to manage this and meet targets, which means likelihood is lower.	3	5	15	3	5	15	3	5	15	4	5	20	↑	COMMENT JAN 2017: Report taken to Policy, Finance & 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. COMMENT MAY 2017: Revised timetable to be taken to Special Council meeting on 21 June 2017, along with further consultation document (Focused Consultation) on Draft Plan. COMMENT AUG 2017: Further work ongoing to better understand emerging evidence relating to development needs, with revised target to approve document for consultation in November 2017. Risk continues to be managed in line with this process. <b>COMMENT JAN 2018: Letter received from Secretary of State (DCLG) warning of intervention unless very special circumstances accepted. Response submitted with further details (and joint South Essex 2050 response) due by 31 January 2018. Elevated risk reflected, although this risk continues to be managed.</b>	Phil Drane
5	RSK15	<u>Data Protection Act 1998</u> - Non-compliance by existing third party contractors to the Council with the Principles of the Data Protection Act 1998 could result in contractor unlawfully disclosing personal data held on behalf of the Council as Data Controller.	Some, but not all, contracts, may lack DPA clauses. Checks being conducted to establish.							3	5	15	3	5	15		The General Data Protection Regulations (GDPR) come into effect in May 2018, which sets increases in potential fines for non-compliance. The council will conduct a comprehensive review of all extant contracts and the 'triaging' those involving data sharing/processing to ensure those contracts contain suitable DPA-compliant clauses going forward. 'auditing' of third parties' organisational compliance with DPA as part of the process, as required of us (as data controller) under DPA. Additional resources have been employed to conduct this. <b>COMMENT NOV 2017: This work will be done as part of the wider GDPR compliance work, following receipt of responses from every department to a GDPR questionnaire that will be distributed end of January 2018. Responses will be required from each department by mid March 2018. The contracts will then be assessed/amended for compliance during the period leading up to GDPR implementation.</b>	Daniel Toohey

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY SHEET 2017-2018

Row No	Risk No	Risk Description	Existing Controls	Residual Risk Rating			Residual Risk Rating			Residual Risk Rating			Current Risk Rating			Movement	Risk Response/Update on action required	Risk Owner
				Jan-17			May-17			Aug-17			Nov-17					
				*L	*I		*L	*I		*L	*I		*L	*I				
6	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.	Most services have Business Continuity Plans in place but likely to be outdated. Insurance cover. Alternative fuel stocks /supplies. Pandemic flu plan in place. A business continuity guide has been produced for businesses and an Emergency Planning Guide produced for residents.	2	4	8	3	4	12	3	4	12	3	4	12	↔	COMMENT JAN 2017: The overarching plan has been completed for 2017/18 but is being re-amended 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. COMMENT MAY 2017: The overarching plan requires further amendment due to all departments moving out from the Town Hall to new locations as yet to be finalised. The same applies to departmental plans. The risk score has been altered to reflect this. COMMENT AUG 2017: The Corporate Emergency Plan has been re-written and a draft submitted to the Chief Executive for approval. Basildon & Tendring DC have produced a generic Rest Centre Plan and training modules for staff and volunteers which is to be adopted by all Essex local authorities by 31 December 2017. A timetable has now been drawn up for the relocation of staff to various sites in Brentwood. Business Continuity Plans have still to be updated. <b>COMMENT NOV 2017: To ensure that robust and practical solutions are deployed, we have asked for a "Healthcheck" to be carried out by Emergency Planning Expert from Basildon Council.</b>	Phil Ruck
7	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.	PF&R Committee appointed as Programme Board. Continued communication on all projects. Ownership of delivery of projects identified at all levels within the Council.	2	5	10	2	5	10	2	5	10	2	5	10	↔	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. COMMENT MAY 2017: The newly formed Corporate Projects Scrutiny Committee will take a close look at key Corporate Projects and reflects the importance placed upon them. A paper has been prepared which will be presented to PPR committee and then forwarded to CPSC. This emphasises the importance of key projects and the close monitoring of them by members. COMMENT AUG 2017: The Corporate Project Scrutiny Board has established the majority of the working groups to ensure that benefits / actions are not lost. <b>COMMENT NOV 2017: Work continues to monitor key corporate projects to ensure they are on track, if there is a significant variance or issue within their resource, finance or timeline, whether positive or negative, it is reported to the appropriate owner or board for further scrutiny.</b>	Phil Ruck

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY SHEET 2017-2018

Row No	Risk No	Risk Description	Existing Controls	Residual Risk Rating			Residual Risk Rating			Residual Risk Rating			Current Risk Rating			Movement	Risk Response/Update on action required	Risk Owner
				Jan-17			May-17			Aug-17			Nov-17					
				*L	*I		*L	*I		*L	*I		*L	*I				
8	RSK4	<u>Organisational Capacity</u> Lack of capacity to effectively govern the organisation will result in delay in delivery of business objectives	Medium Term Financial Plan Communications Protocol & Strategy Workforce Strategy Regular meetings between senior members & officers. Review options for alternative service delivery models	2	4	8	2	4	8	2	4	8	2	4	8	↔	COMMENT JAN 2017: We are continuing with the process in line with Corporate Procedures and policies. COMMENT MAY 2107: We continue to review all structures in light of performance supported by delivery. Any variances are being closely reviewed to ensure we have a structure that delivers both services and projects. COMMENT AUG 2107: A number of service reviews have been initiated to ensure that the organisation structure and capacity matches planned delivery. The current focus of the review is on Housing and Streetscene. <b>COMMENT NOV 2017: Following the move from the Town Hall, the objective and focus on improvement in services continues. We have now commenced a review of the Depot services. The recent appointment of the Chief Operating Officer (COO) increases the focus on the reviews currently being undertaken, as the organisation continues to ensure that the delivery structure of the organisation is matched by appropriate management.</b>	Phil Ruck
9	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.	Service Level Agreements embedded within contract and penalties in place for non performance. Regular reporting on contract performance. Escalation and governance in place.	2	4	8	2	4	8	2	4	8	2	4	8	↔	COMMENT JAN 2017: We have held a number of training exercises re the whole area of contract management and improvements put in place. COMMENT MAY 2017: We have held a procurement review which has focused on the end to end procurement process, not just the pricing element. This has been supported by staff training and member training is scheduled for July 2017. COMMENT AUG 2017: A highly successful Member training session has been held and run by EELGA. The EELGA exercise clearly stated that whilst there was still work to be done there were many examples of best practice in Brentwood and we can be held as a model of what good looks like to similar organisations. <b>COMMENT NOV 2017: The recommendations of the EELA study continue to be implemented. A case study citing BBC as a good example of best practice is being finalised.</b>	Phil Ruck
10	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.	Data Protection Policy Regular training	3	3	9	3	3	9	2	3	6	2	3	6	↔	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. COMMENT MAY 2017: Information governance policies and procedures have been reviewed and concluded. A report has been published for PPR Committee approval and formal adoption of policies on 18 July 2017. COMMENT AUG 2017: PPR Committee has now formally adopted the policies. The newly adopted policies will be rolled out along with DPA training to all staff by the end of September 2017 through an all staff email from CX followed by a dedicated intranet page where the policies and training materials will be available. <b>COMMENT JAN 2018: Polices and training now rolled out to all staff as above. Moving to next stage involving GDPR 'sensitisation' training during January/February 2018.</b>	Daniel Toohey

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY SHEET 2017-2018

Row No	Risk No	Risk Description	Existing Controls	Residual Risk Rating			Residual Risk Rating			Residual Risk Rating			Current Risk Rating			Movement	Risk Response/Update on action required	Risk Owner
				Jan-17			May-17			Aug-17			Nov-17					
				*L	*I		*L	*I		*L	*I		*L	*I				
11	RSK7	<u>Commerical Activities - Failure of Asset Development Programme</u> in identifying areas of sustainable development and revenue savings for the Council.	Medium Term Financial Planning is undertaken on an annual basis, with monthly budget monitoring. Regular reports to Policy, Projects & Resources Cttee to provide close monitoring. Robust business modeling and financial projections.	2	4	8	2	3	6	2	3	6				↔	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. COMMENT MAY 2017: With the financial outlook unfavourable it is essential we explore all opportunities for enhancing commercial activities. The Council is currently working with EELGA and other partners to develop strategies. COMMENT AUG 2017: The Council has an Asset Development Programme which is being updated at the next Policy Committee, to consider further options in mitigating this risk. <b>COMMENT NOV 2017: A Project Board, supported by a Project Delivery Team has been formed. This has allowed progress to happen, such as the Soft Market Testing exercise currently being undertaken.</b>	Phil Ruck
12	RSK10	<u>Failure to spend Capital Receipts</u> Failure to spend capital receipts within the deadline will result in delays in delivering Affordable Housing programme	Monitoring by finance team. Affordable housing programme in place.	1	5	5	1	5	5	1	5	5	1	5	5	↔	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. COMMENT MAY 2017: On track, 1 further property purchased and one more being finalised. Whittington Road sites are progressing and are currently at the Stakeholder Engagement stage. COMMENT AUG 2017: 1 property purchased, Following the SE meeting and analyzing the responses revised plans are being completed for 1 site for planning submission late Sept/Oct. Identified that we require a development plan to enable financial planning for future spend. Anticipated for Dec 17. <b>COMMENT NOV 2017: Both new build sites are now complete. Whittington Rd site now due to be submitted to planning following the 2nd stakeholder engagement event and subsequent revised drawings required. 1 additional property currently being purchased. Garage site report for modular housing due for CHH on 4/12/17. Garage site development may be included in the wider piece of work being done on assets.</b>	Angela Williams
13	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	Corporate Plan. Training and Development for Officers and Members Code of Conduct. Consultation / surveys. Project and performance Management Framework.	1	4	4	1	4	4	1	4	4	1	4	4	↔	COMMENT JAN 2017: The Vision for Brentwood is being rolled out with adherence to the budget and key strategies are being developed supporting this. COMMENT MAY 2017: Delivery of the Vision is being controlled by strong and robust programme and project management. CLB now hold monthly P&P focused meetings. <b>COMMENT NOV 2017: This work continues via strong governance around projects and programmes.</b>	Phil Ruck

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY SHEET 2017-2018

Row No	Risk No	Risk Description	Existing Controls	Residual Risk Rating			Residual Risk Rating			Residual Risk Rating			Current Risk Rating			Movement	Risk Response/Update on action required	Risk Owner
				Jan-17			May-17			Aug-17			Nov-17					
				*L	*I		*L	*I		*L	*I		*L	*I				
14	RSK14	Failure of Democratic Services - 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.	Statutory returns will be built into contracts relating to any outsourcing/shared arrangements. The Monitoring Officer to be involved at all times in relation to contracts and monitoring of performance.	1	2	2	1	2	2	1	2	2	1	2	2	↔	COMMENT JAN 2017: This risk is being managed on an ongoing basis by contract management and the involvement of the Monitoring Officer. COMMENT MAY 2017: This risk continues to be managed on an ongoing basis by contract management and the involvement of the Monitoring Officer. COMMENT AUG 2017: All partnership arrangements are following client management best practice and any concerns are flagged to the Monitoring officer. <b>COMMENT NOV 2017: The actions identified in August 2017 continue to be implemented</b>	Phil Ruck
* L = Likelihood Rating (1 = Low, 5 = High) * I = Impact Rating (1 = Low, 5 = High)  Maximum Score 5 x 5 = 25																		