

Row No	Risk No	Risk Description	Existing Controls	Residual Risk Rating Feb-18			Current Risk Rating Jun-18			Movement	Risk Response/Update on action required	Risk Owner
				*L	*I		*L	*I				
1	RSK1	<u>Finance Pressures</u> As Revenue Support Grant from Central Government has ceased from 2018/19, 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, although the Council still faces future funding Gaps. Commercial Activity Stream is being sought.	5	5	25	5	5	25	↔	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. COMMENT FEB 2018: Revenue Support Grant Income is confirmed as Nil for 2018/19 and subsequent years. Although The Council has set a breakeven Budget for 2018-19 utilising commerical activity as the driving force, the Council still faces financial pressures from the lack of Central Government funding. COMMENT JUNE 2018: The MTFP still foresees future funding gaps, due to the current pressures on reduced funding. The Council has saving targets in place to reduce this funding gap, which is predomantly related to commerical activity. The Council still sees this financial pressure as its biggest risk.	Jacqueline 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	↔	COMMENT AUG 2017: We have received no further information from DCLG, we will continue to monitor. COMMENT NOV 2017: We have received no further information from DCLG, we will continue to monitor. COMMENT FEB 2018: We have received no further information from DCLG, we will continue to monitor. COMMENT JUNE 2018: There has been no regulation to bring into force the primary legislation. Whilst it remains on the statute books, there is no indication from government that it will be brought into effect. From a risk respect this will remain neutral, whilst high risk if in the event regulation came in. The risk rating will be reviewed in Sept to determine if still appropriate.	Steve Summers
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	↔	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. COMMENT FEB 2018: There has been an issue with payments not being received due to a requirement for a creditor reference, which BBC did not have. This is still being looked into by Finance.COMMENT MAY 2018: Regular communication wiht UC has now been set up. SRS foms are helping with the processing of claims. Orchard is set up to flag UC making it easier to support tenants. COMMENT JUNE 2018: We are in regular communication with UC and receive the DWP updates to assist the monitoring. We are still reviewing the full impact of UC on our residents, particularly on the delay in claims being processed. We have seen a rise in arrears which is partially due to delays in claim processing. The Housing Manager is reviewing regularly and is still considered a high risk area.	Steve Summers

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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.	4	5	20	3	5	15	↓	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. 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. COMMENT FEB 2018: Revised Local Plan timetable approved at Ordinary Council (Jan 2018). Decision from Secretary of State regarding intervention still awaited. COMMENT JUNE 2018: Secretary of State response received in March 2018 stating that the Brentwood Local Plan would not be subject to government intervention, provided the Council's approved timetable was met. Work remains on course to deliver the Plan according to approved timescales.	Phil Drane
5	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	3	5	15	↑	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. 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. COMMENT FEB 2018: Further properties are being purchased to ensure the capital receipts are spent whilst a wider piece of work is carried out as part of asset review/JV. There has been a delay in the planning submission for Whittington Rd which should be resolved in the next couple of weeks. COMMENT JUNE 2018: Further properties are being purchased to ensure the capital receipt spend, while the wider piece of work is carried out as part of the asset review/JV. We are currently working with the planning team regarding the Whittington Rd plans. The risk rating has increased as we have an increased capital receipts for 19/20.	Steve Summers

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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.	3	4	12	3	4	12	↔	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. 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. COMMENT FEB 2018: The Health check has indicated that additional short-term resource is required to ensure we are fully covered (as much as we can be) and arrangements are in place to put this into effect. COMMENT JUNE 2018: We are currently implementing recommendations of the Healthcheck. In addition senior employees have been, and are planned to be on a specialist Emergency Planning course.	Jacqueline Van Mellaerts
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	↔	COMMENT AUG 2017: The Corporate Project Scrutiny Board has established the majority of the working groups to ensure that benefits / actions are not lost. 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. COMMENT FEB 2018: A recent BDO (internal audit) report resulted in the highest surety rating that can be provided,. This clearly indicates the confidence and assurance that has been generated by our project and programme control systems. COMMENT JUNE 2018: Regular reports are made internally (via CLB) and also at Committe (PPR) to ensure the organisation continues to track its main aims.	Phil Ruck
8	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	↔	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 organiations. 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. COMMENT FEB 2018: We continue to progress our work particularly on contract management. COMMENT JUNE 2018: The organisations capability in this area is reflected in two major procurement exercises we are undertaking (The J/V partner and Housing R&M). this has introduced substantial training and increased knowledge and application of good procurement practice.	Phil Ruck

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9	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	3	6	2	4	8	↑	<p>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. 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. COMMENT FEB 2018: Good progress has been made in procuring a development partner to assist with the Council's Asset Development Porgramme. Additionally arrangements to establish a wholly owned company early next financial year are nearly finalised.</p> <p>COMMENT JUNE 2018: The JV is progressing in accordance with the approved timeframe, with a shortlist of 5 bidders having been selected. SAIL property investment advisors have been appointed and are actively advising on investments. The Risk has increased due to the Council approving to Borrow up to £30m, to invest in SAIL and the potential financial impact that could effect the Council.</p>	Chris Leslie
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	2	3	6	2	4	8	↑	<p>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. 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. COMMENT FEB 2018: Compulsory training has occurred for officers regarding the DPA, with further update training to follow. GDPR Action plan has been approved by PPR committee, and data mapping exercise is underway. Project is on target according to schedule.</p> <p>COMMENT JUNE 2018: The project plan is now completed for GDPR, data mapping has occured and privacy notices reviewed, as well as training undertaken. Thurrock Council have been engaged to undertake the DPO role to add capacity and capability. They are undertaking a gap analysis to address any exisitng or anticipated issues. RSK15 has been removed and incorporated into RSK5. The Risk score has been adjusted accordingly and increased due to the significant potential financial impact on the Council, if there was a data breach.</p>	Chris Leslie

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11	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	1	4	4	↓	COMMENT AUG 2017: 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. 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. COMMENT FEB 2018: Work on this continues as we review the organisations structure, recognising the impact of the commercialisation workstream. COMMENT JUNE 2018: The organisation now reflects goals of the organisation, following two additional senior appointments, (Director of Operations and Director of Strategic Planning)	Phil Ruck
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	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	↔	COMMENT NOV 2017: This work continues via strong governance around projects and programmes. COMMENT FEB 2018: No change for the last comment (Nov 17) COMMENT JUNE 2018: Work continues on ensuring delivery through the strong programme management ethos we have instigated and embedded within the organisation.	Phil Ruck
13	RSK14	<u>Failure of Democratic Services</u> - 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	↔	COMMENT AUG 2017: All partnership arrangements are following client management best practice and any concerns are flagged to the Monitoring officer. COMMENT NOV 2017: The actions identified in August 2017 continue to be implemented. COMMENT FEB 2018: No change from the Nov 17 comment. COMMENT JUNE 2018: Work continues to implement best practice.	Phil Ruck
<div>* L = Likelihood Rating (1 = Low, 5 = High) * I = Impact Rating (1 = Low, 5 = High) Maximum Score 5 x 5 = 25</div>												