

Row No	Risk No	Risk Description	Existing Controls	Residual Risk Rating			Residual Risk Rating			Current Risk Rating			Movement	Risk Response/Update on action required	Risk Owner
				Feb-18			Jun-18			Sep-18					
				*L	*I		*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.	5	5	25	5	5	25	5	5	25	↔	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 commercial 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 predominantly related to commercial activity. The Council still sees this financial pressure as its biggest risk. COMMENT SEPT 2018: The Council continues to monitor its MTFP. £83k pressure was reported at the latest P,P&R Committee. The Council is addressing this pressure and monitoring the funding position.	Jacqueline Van Mellaerts
2	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. FTA Debt Recover Policy was agreed to control rent arrears.	4	4	16	4	4	16	4	4	16	↔	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 with UC has now been set up. SRS forms 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. COMMENT SEPT 2018: The delay in claims processing has reduced slightly. Housing have also introduced a FTA debt recovery policy which was approved at Sept C, H & H committee. Brentwood are a priority to receive the UC portal, which should help increase control. The Council will monitor this risk again once this has been implemented.	Steve Summers
3	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	3	5	15	↔	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. COMMENT SEPT 2018: Revised NPPF published by Government July 2018 and review of the Brentwood LDP undertaken to comply with new requirements resulting in revised LDP timetable set in consultation with MHCLG.	Phil Drane

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4	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	3	4	12	↔	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. COMMENT SEPT 2018: Business Continuity Plans have now been completed for the majority of services. These service level plans will feed into an overarching corporate business contiuity plan, which is the next phase of the process for completion.	Jacqueline Van Mellaerts
5	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 Policies Training DPO with Thurrock Information Asset Owners (IAO) within Council	2	3	6	2	4	8	2	5	10	↑	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. COMMENT JUNE 2018: The project plan is now completed for GDPR, data mapping has occurred 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 existing or anticipated issues. The Risk has increased due to the significant potential financial impact on the Council, if there was a data breach. COMMENT SEPT 2018: Processes are being reviewed and embedded as access requests from the public start to be received. Regular meetings of Information Asset Owners, Chaired by the Chief Executive, take place.	Chris Leslie
6	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	↔	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. COMMENT SEPT 2018: Regular reports are presented and discussed by CLB to ensure that projects and progammes remain on track and on budget., and deliver the outcomes fo rthe Council and residents	Phil Ruck
7	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	Monitoring by finance team. Affordable housing programme in place.	1	5	5	3	5	15	2	4	8	↓	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. COMMENT SEPT 2018: The government issued the Social Housing Green Paper consultation on proposals to changes for use of right to buy receipts, the	Steve Summers

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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	2	4	8	↔	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. COMMENT SEPT 2018: learning and development opportunities referred to in June 2018, continue to benefit the Council.	Phil Ruck
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	2	4	8	↔	COMMENT FEB 2018: Good progress has been made in procuring a development partner to assist with the Council's Asset Development Programme. Additionally arrangements to establish a wholly owned company early next financial year are nearly finalised. 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. COMMENT SEPT 2018: SAIL has acquired its first investment property inline with the approved business plan. The JV procurement process remains on schedule.	Chris Leslie

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10	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	1	4	4	↔	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). COMMENT SEPT 2018: Key objectives of the Council are in line with expectations and new structures are now proving to be beneficial. An example of this is that teh Council is a finalist in three categories of teh Essex Business Excellence awards	Phil Ruck
11	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	↔	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. COMMENT SEPT 2018: The comment made in June 2018 still applies.	Phil Ruck
12	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	1	2	2	↔	COMMENT FEB 2018: No change from the Nov 17 comment. COMMENT JUNE 2018: Work continues to implement best practice. COMMENT SEPT 2018: Work continues to implement best practice	Phil Ruck
13	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			0	↓	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. COMMENT SEPT 2018: Government have now confirmed in the Green Paper that they will not bring the Higher Value Asset provisions of the Housing and Planning Act 2016 into effect. They are looking to repeal the legislation when Parliamentary time allows. Following this announcement this is no longer a risk to the Council and can therefore be closed.	Steve Summers
<p>* L = Likelihood Rating (1 = Low, 5 = High) * I = Impact Rating (1 = Low, 5 = High) Maximum Score 5 x 5 = 25</p>															