

Row No	Risk No	Risk Description	Existing Controls	Residual Risk Rating			Residual Risk Rating			Current Risk Rating			Current Risk Rating			Movement	Risk Response/Update on action required	Risk Owner
				Feb-18			Jun-18			Sep-18			Nov-18					
				*L	*I		*L	*I		*L	*I		*L	*I				
1	RSK1	<p><u>Finance Pressures</u></p> <p>As Revenue Support Grant from Central Government has ceased from 2018/19, the budget gap is a major management issue.</p>	<p>Medium Term Financial Planning (MTFP) is undertaken on an annual basis, with monthly budget monitoring and half year reports to Members.</p> <p>A Funding Volatility Reserve has been created to specifically address the uncertainty of Government funding levels.</p> <p>Currently healthy reserves and working balances held.</p>	5	5	25	5	5	25	5	5	25	5	5	25	↔	<p>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's is addressing this pressure through Budget Challenge sessions and monitoring the funding position. COMMENT NOVEMBER 2018: There still presents a funding gap for the Council of £413k in 2019/20 of the Draft MTFP, which is being reported to PPR in November.</p>	Jacqueline Van Mellaerts
2	RSK15	<p><u>Brexit</u></p> <p>Economic uncertainty of Brexit</p>	<p>Strategic Weekly meetings with Executive Board</p> <p>Strong Leadership team</p> <p>Links with Blue lights and Emergency Planning working on Tuesday meetings (WOT)</p> <p>Government Technical notices</p>										4	4	16	↔	<p>NEW RISK COMMENT NOVEMBER 2018:</p> <p>The situation continues to be monitored with senior officers.</p>	Phil Ruck

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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. FTA Debt Recover Policy was agreed to control rent arrears. new portal helps reduces claim processes	4	4	16	4	4	16	4	4	16	3	4	12	↓	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. COMMENT NOVEMBER 2018: Brentwood have recently gone live with a new portal which reduces the amount of time taken to process claims and allows payments to be made quicker. we also have access to a highlighting tool within the Housing Management System which we can run reports to assist in managing UC tenants.	Steve Summers
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	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 continuity plan, which is the next phase of the process for completion. COMMENT NOVEMBER 2018: Out of Hours options is under review before Emergency Plans can move forward to put further controls in place.	Jacqueline Van Mellaerts

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5	RSK2	Local Development Plan 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	2	5	10	↓	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. COMMENT NOVEMBER 2018: Reg 19 LDP approved by Council for public consultation and revised timetable approved. MHCLG have been engaged throughout.	Phil Drane
6	RSK5	Information Management and Security 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 Improvement Plan	2	3	6	2	4	8	2	5	10	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. COMMENT NOVEMBER 2018: An improvement plan to strength processes has been implemented and progress is monitored and is being reported to R&G Committee in November.	Chris Leslie

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7	RSK13	<p><u>Failure to deliver key Corporate Projects</u></p> <p>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.</p>	<p>PP&R Committee appointed as Programme Board.</p> <p>Continued communication on all projects.</p> <p>Owenship of delivery of projects identified at all levels within the Council.</p>	2	5	10	2	5	10	2	5	10	2	5	10	↔	<p>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 Committee (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 programmes remain on track and on budget., and deliver the outcomes for the Council and residents. COMMENT NOVEMBER 2018: The reporting and mitigation process has resulted in good progress, on-time and on-budget has been the effect of such tight control</p>	Phil Ruck
8	RSK7	<p><u>Commerical Activities - Failure of Asset Development Programme in identifying areas of sustainable development and revenue savings for the Council.</u></p>	<p>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.</p>	2	3	6	2	4	8	2	4	8	2	4	8	↔	<p>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. COMMENT NOVEMBER 2018: Further investment properties have been indentified with offers submitted. The JV procurement continues to progress on schedule.</p>	Chris Leslie
9	RSK16	<p><u>Treasury Management</u></p> <p>The Treasury Management function could fail, with increasing commercial activity.</p>	<p>Treasury Management (TM) Annual Review included in the Medium Term Financial Plan (MTFP)</p> <p>TM half yearly and Outturn Reviews as part of MTFP</p> <p>Strong TM due diligence with relevent officers</p> <p>Good relationship with TM advisors</p> <p>Borrowing Strategy Review underway</p>									2	4	8	↔	<p>NEW RISK COMMENT NOVEMBER 2018:</p> <p>With increasing Commerical activity of £30m Loan to SAIL, there is a risk that the TM function could fnot meet the Council's needs. However we are currently putting in place a Long Term Borrowing Strategy to review the impact of the £30m. The current £6m Loan can currently be sourced through the Council's current Cash balances.</p>	Jacqueline Van Mellaerts	

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10	RSK8	Contract/Partnership Failure 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 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. COMMENT NOVEMBER 2018: The focus by officers on this area has benefited the organisation particularly as we near the end of two major procurements (Housing R&M and the Joint Venture partner)	Phil Ruck
11	RSK10	Failure to spend Capital Receipts 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	2	4	8	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 summary of which are (a) Potential for current receipts to be spent in 5 years instead of 3. (b) future receipts remain at 3, (c) A potential window to repay the receipts that we cannot spend with no interest payable, (d) Restrict future acquisitions as they do not provide for 1 on 1 replacement as they cost more than building new homes. The Whittington Rd plans are currently being prepared for re-submission, anticipated for end of Sept. The wider piece of work is being carried out around the wider housing strategy and a joint working group between planning and housing meet fortnightly to progress. Multiple build streams are currently being evaluated, which include modular, wiki and traditional build methods together with legal frameworks around procurement. COMMENT NOVEMBER 2018: The Whittingdon Road planning application is due for submission by the end of the year. The wider Housing Strategy work continues reviewing multiple work streams.	Steve Summers

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12	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	1	3	3	↓	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 the Council is a finalist in three categories of the Essex Business Excellence awards. COMMENT NOVEMBER 2018: Key objectives of the Council are in line with expectations and new structures are now proving to be beneficial. The Council continues to review structures however, to ensure operational, financial and governance efficiencies are maintained.	Phil Ruck
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	2	2	↓	COMMENT FEB 2018: This work continues via strong governance around projects and programmes. 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: Work continues on ensuring delivery through the strong programme management ethos we have instigated and embedded within the organisation. COMMENT NOVEMBER 2018: The Sept 2018 comment still applies. Work continues on ensuring delivery through the strong programme management ethos we have instigated and embedded within the organisation	Phil Ruck
14	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	1	2	2	↔	COMMENT FEB 2018: All partnership arrangements are following client management best practice and any concerns are flagged to the Monitoring officer. COMMENT JUNE 2018: Work continues to implement best practice. COMMENT SEPT 2018: Work continues to implement best practice. COMMENT NOVEMBER 2018: Work continues to implement best practice.	Phil Ruck
<p>* L = Likelihood Rating (1 = Low, 5 = High) * I = Impact Rating (1 = Low, 5 = High) Maximum Score 5 x 5 = 25</p>																		