

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY SHEET 2018-2019

Row No	Risk No	Risk Description	Existing Controls	Original Risk Rating			Current Risk Rating			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 falls below the Minimum Level of Reserves.	Medium Term Financial Planning (MTFP) is undertaken on an annual basis, with monthly budget monitoring and half year reports to Committee. A Funding Volatility Reserve has been created to specifically address the uncertainty of Government funding levels. Risk Assessment of Minimum level of reserves is carried out yearly.	5	5	25	5	4	20	COMMENT FEBRUARY 2019: The Council continues to face financial pressures, however within the recently proposed 2019/20 budget, plans are in place to reduce the funding gap by under £1 million over the next three financials years.	Jacqueline Van Mellaerts
2	RSK13	<u>Brexit</u> To ensure that the organisation is equipped to handle the potential of any negative impacts on Brentwood following the decision to leave the EU 29th March	Brentwood are heavily involved with the Essex Resilience Forum (ERF) whose focus at the moment is planning to cope with a variety of scenarios. The ERF, is a multi agency approach, including as an example all Essex Authorities and the Police. The ERF has reviewed food, fuel and highways conditions in a range of scenarios and BBC officers are attending on a regular basis, briefing sessions and participate in exercises.	5	5	25	4	4	16	COMMENT FEBRUARY 2019: The position is monitored regularly with Senior Officers at Exec Board and our Emergency Planning Officer.	Phil Ruck
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 Local Plan timetable (Local Development Scheme, approved November 2018) Ongoing discussion with neighbouring Local Planning Authorities and key stakeholders (Duty to Cooperate). Partnership in Association of South Essex Local Authorities (ASELA) Preparation of Community Infrastructure Levy (CIL) Delivery of new garden village community, Dunton Hills Garden Village (DHGV) Retention of permanent staff and recruitment of temporary staff to meet short-term needs when required	5	5	25	3	5	15	COMMENT FEBRUARY 2019: Pre-Submission Local Plan (Regulation 19) published for consultation (Feb-Mar 2019). Post consultation steps will be taken to prepare submission material to the Secretary of State. Now that the Plan has been "published" a Service Level Agreement has been received from the Planning Inspectorate to begin examination proceedings (once the Plan is submitted). Project remains on course.	Phil Drane

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4	RSK10	<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 (UC) are being monitored by Housing Officers regularly. Ability to refer externally/internally for budgeting advice. Updated income Management procedure to become more client based. Introduction of new Pre-Tenancy Service to instil a payment culture. Monthly rent arrears campaign to target high risk areas. Portal access to immediately identify who has applied for UC. Joined Housemark, to benchmark arrears performance against other Local Authorities. Auditing individual tenant accounts. Fortnightly performance review meetings with housing officers to review arrears.	4	4	16	3	4	12	COMMENT FEBRUARY 2019: The increase on the number of tenants transferring onto universal credit remains a risk. Following portal access to identify who has applied for UC, we are currently liaising with DWP to identify who may/should apply for UC in future. We are also independently discussing with other Local Authorities (LA's) to identify what measures they have in place to mitigate the impact of UC. We have recently joined Housemark which will provide us with further opportunity to benchmark our arrears performance against other LA's. We are currently in the process of auditing individual tenant accounts to review our individual processes and whether we can streamline these further, to date we have audited approximately 700 accounts. We hold fortnightly performance review meetings with all Housing Officers and review arrears performance for individual officers.	Steve Summers
5	RSK3	<u>Disaster Recovery/Business Continuity</u> Failure to have in place adequate plans and procedures, understood, tested and reviewed, to react to a major incident leading to a breach of our statutory duties under the Civil Contingencies Act.	All services areas have up-to-date Business Continuity Plans in place. Support and ongoing embedding of EP & BC Plans by Basildon Council	4	5	20	3	4	12	COMMENT FEBRUARY 2019: Strategic review continues to be undertaken by Basildon Council. All service business continuity plans are in place and up to date. The Council continues to reviews out of hours options for Emergency Planning.	Jacqueline Van Mellaerts
6	RSK11	<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.	PP&R Committee appointed as Programme Board. Continued communication on all projects. Ownership of delivery of projects identified at all levels within the Council.	4	5	20	2	5	10	COMMENT FEBRUARY 2019: Regular reports are presented and discussed by CLB to ensure the organisation continues to monitor its projects and programmes, and that they are on track and are linked with the budget.	Phil Ruck
7	RSK5	<u>Information Management and Security</u> Non-compliance with data protection legislation resulting in disclosure of personal information and/or inability to comply with individuals' legal rights.	Data Protection Policies Training 3rd party review of arrangements Data protection support provided by Thurrock Council	5	4	20	2	4	8	COMMENT FEBRUARY 2019: Controls continue to be strengthened with a recent review of polices being completed and annual training for 2019 having been issued to all staff. Member training is scheduled to take place in March. Processes and compliance is continually reviewed.	Chris Leslie

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8	RSK6	<u>Commerical Activities</u> - Commercial income target from the Joint Venture and other activities are not achieved	Experienced consultants have been engaged to advise and assist in delivery Appropriate governance arrangements have been set up. Progress reports to Project Board and Committee. Robust business modeling and financial projections	4	4	16	2	4	8	COMMENT FEBRUARY 2019: The procurement process for the Joint Venture has remained on schedule and is now entering the final stage. SAIL is due to purchase its second investment property and is generating returns in excess of the original business plan.	Chris Leslie
9	RSK7	<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 FEBRUARY 2019: The organisations capability in this area is reflected in two major procurement exercises that we have undertaken in 2018. (The Joint Venture partner and Housing Repars & Maintenance). This has introduced substantial training and increased knowledge and application of good procurement practice as we continue into mobilisation and optimisation of both contracts.	Phil Ruck
10	RSK9	<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 spend by Finance department. Affordable housing programme in place. Purchase of properties on open market Maximising opportunities of right to 1st refusal buy back of former RTB properties Pursuing options of development on garage sites	3	5	15	2	4	8	COMMENT FEBRUARY 2019: The wider Housing Strategy work continues reviewing multiple work streams to mitigate this risk. Two development sites have been identified at Brookfield Close & Sir Francis Way and are due to be referred to Community, Health & Housing Committee on the 5th March 2019 to approve that delegated authority be given for feasibility report to be prepared. The parking application for Coram Green was approved at Planning Committee on the 19th February. The Housing development for Barnston way is due to be submitted to planning committee. We have purchased 6 properties on the private market and currently have 5 further properties been purchased.	Steve Summers
11	RSK14	<u>Treasury Management</u> The Treasury Management function could fail, with increasing commercial activity.	Treasury Management (TM) Annual Review included in the Medium Term Financial Plan (MTFP) TM half yearly and Outturn Reviews as part of MTFP Strong TM due diligence with relevent officers Good relationship with TM advisors Borrowing Strategy Review underway	5	5	25	1	5	5	COMMENT FEBRUARY 2019: With increasing Commerical Activity, there is a risk that the TM function will not meet the Council's needs. Although this could result in a high impact, this area is well managed and monitored.	Jacqueline Van Mellaerts

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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 (MFTP) Communications Protocol & Strategy Workforce Strategy Regular meetings between senior members & officers. Review options for alternative service delivery models	3	4	12	1	3	3	COMMENT FEBRUARY 2019: Key objectives of the Council are in line with expectations and new structures are now proving to be beneficial. The Council has recently approved a senior management structure to ensure operational, financial and governance efficiencies are maintained.	Phil Ruck
13	RSK8	<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.	3	3	9	1	3	3	COMMENT FEBRUARY 2019: Work continues on ensuring delivery through the strong programme management ethos we have instigated and embedded within the organisation. A recently approved senior management structure underpins the organisations vision while recognising the impact of the commercialisation workstream.	Phil Ruck
14	RSK12	<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.	3	3	9	1	2	2	COMMENT FEBRUARY 2019: All partnership arrangements are following client management best practice and any concerns are flagged to the Monitoring/Deputy Officer.	Phil Ruck
<p>* L = Likelihood Rating (1 = Low, 5 = Very High) * I = Impact Rating (1 = Low, 5 = Very High) Maximum Score 5 x 5 = 25</p>											