

BRENTWOOD BOROUGH COUNCIL STRATEGIC RISK REGISTER SUMMARY SHEET 2020-2021

Row No	Risk No	Risk Description	Existing Controls	Current Risk Rating			Movement	Risk Response/Update on action required	Risk Owner
				Jun-20					
				*L	*I				
1	RSK1	<u>Finance Pressures</u> As Revenue Support Grant from Central Government has ceased from 2018/19, general fund budget forecasts could fall below the Minimum Level of Reserves of £2.2m.	Medium Term Financial Strategic (MTFS) is undertaken on an annual basis, with monthly budget monitoring and half year reports to Committee. Budget Challenge meeting are in place for Senior Officers to review and challenge Budget Managers. 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.	4	5	20	↔	COMMENT JUNE 2020: Reporting breakeven outturn on General Fund & £831k deficit on HRA to Audit & Scrutiny. 3rd COVID-19 return submitted to HMRC shows potential £2.1m pressure on MTFS.	Jacqueline Van Mellaerts
2	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 September 2019) 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	3	5	15	↔	COMMENT JUNE 2020: LDP submitted and undergoing examination in public. Timeframes being met. Examination process is now in the hands of appointed planning inspectors. Initial questions received and the Council is working to two deadlines for responses (24 July and 28 August 2020).	Phil Drane
3	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 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 instill a payment culture. Monthly rent arrears campaign to target high risk areas.	5	3	15	↔	COMMENT JUNE 2020: We have just approved for the Council to enter into a contract with Mobyssoft to provide vital technology to allow the officers to process accounts more efficiently without the need to manually work this out. We anticipate that this technology (rent sense) will be available for June 2020.	Tracey Lilley
4	RSK13	<u>Brexit</u> Organisation is not equipped to handle the potential of any negative impacts on Brentwood following the decision to leave the EU 31st January	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.	3	4	12	↔	COMMENT JUNE 2020: This is continually being developed and adapted as leaving EU options become better known.	Steve Summers

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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 Emergency Planning & Business Continuity Plans.	3	4	12	↔	COMMENT JUNE 2020: COVID-19 reported as major incident; Office staff working remotely; operational staff able to continue providing services. Business Continuity Plans are being reviewed alongside recovery/re-imaging plans.	Jacqueline Van Mellaerts
6	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 Committee. Robust business modeling and financial projections.	3	4	12	↔	COMMENT JUNE 2020: Work continues at a steady pace through SAIL and JV.	Jacqueline Van Mellaerts
8	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	PRED Committee appointed as Programme Board. Continued communication on all projects. Ownership of delivery of projects identified at all levels within the Council.	3	4	12	↑	COMMENT JUNE 2020: Monthly monitoring of projects is undertaken by the Senior Leadership Team. The risk score has been increased for this particular risk due to the recent pandemic, Covid-19, which has impacted on the Council's resources and delivery over the past 3 months which in turn could have an impact on the delivery or a delay in the Council's key Corporate Projects.	Steve Summers
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 Interim Arrangements in place until new Monitoring Officer is in Post.	2	4	8	↔	COMMENT JUNE 2020: Data Protection arrangements continue to be provided by a specialist external provider until a review and options can be recommended and concluded.	Amanda Julian
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	↔	COMMENT JUNE 2020: Contracts are being reviewed to include all appropriate current legislation e.g. COVID-19 clauses	Amanda Julian
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 by finance team. 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 3 garage sites	2	4	8	↔	COMMENT JUNE 2020: The Council are continuing to develop the Housing Strategy and will be setting up a series of workshops both internally, members, RP's, Parish Councils and external other stakeholders in April in order to develop the strategic vision for the Borough. The Barnston Way development is progressing well and we will be tendering for the works in or around July and refer to PRED in September for contract award. Brookfield Close is progressing well and we have received the initial feasibility studies for the site. Additional sites have also been identified for potential re-development which includes Four Oaks and Ingleton House and feasibility studies for these sites are underway. We are continuing to purchase properties on the open market to spend the capital receipts in the short to medium term.	Tracey Lilley

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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 (MTFP) Communications Protocol & Strategy Workforce Strategy Regular meetings between senior members & officers. Review options for alternative service delivery models In house recruitment Establishment Control Team	2	3	6	↔	COMMENT JUNE 2020: The Council now manages recruitment in-house, which will enable the Council to target specific areas with vacancy pressures. This risk will be reviewed alongside HR performance measures going forward to monitor the Council's vacancy rate.	Jonathan Stephenson
13	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 relevant officers Good relationship with TM advisors Borrowing Strategy Review underway	1	5	5	↔	COMMENT JUNE 2020: Finance continue to liaise with our TM advisors Link services. This service area is well managed and monitored.	Jacqueline Van Mellaerts
12	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 Strategy Training and Development for Officers and Members Code of Conduct. Consultation / surveys. Project and performance Management Framework.	2	2	4	↔	COMMENT JUNE 2020: Brentwood 2020-25 (Corporate Strategy) was agreed by Ordinary Council in February 2020 with key objectives set for 2020/21. These objectives, and the strategy, is monitored regularly by the Senior Leadership Team and the administrative executive team. An annual review of the strategy will take place with performance reporting being provided to the most appropriate committee or full council.	Jonathan Stephenson
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.			0	↔	COMMENT JUNE 2020: Officers agreed to remove this Risk as it can be incorporated with other Strategic Risks.	Amanda Julian
<p>* L = Likelihood Rating (1 = Low, 5 = Very High) * I = Impact Rating (1 = Low, 5 = Very High) Maximum Score 5 x 5 = 25</p>									