

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
				*L	*I	Sep-20			
1	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.	4	4	16	↑	<b>COMMENT OCT 2020: At the beginning of March there were 220 applicants on UC and there are now 293, another 50+ cases pending assessment. HB accounts have reduced from 46% to 34% and the transitional period between HB finishing and the new UC application will ordinarily cause more account to go into arrears. UC is now responsible for £328,047 arrears, which is an increase of approx £100k since the last report. The average debt for a UC claimant is £1,120, whereas the average debt for an account without welfare support of £700. Although rent collection for accounts without welfare support is continuing to reduce, the rate of collection is slowing and will potentially start to increase. Rent Sense continues to be useful as supervision and reporting tool but we believe that it will not yet be able to demonstrate its true potential until we can take further legal action. The pandemic has caused all Courts to close and new legal actions such as possession and hearing applications have ceased. In addition to this, all Notices have been extended from 28 days to 6 month and new hearings are not being listed until March 2021.</b>	Tracey Lilley
2	RSK1	<u>Finance Pressures</u> 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.	3	5	15	↓	<b>COMMENT OCT 2020: In year position continues to be monitored, although the Council has made positive progress with its commercial activities, it is uncertain the Council may fall below minimum level of reserves within the next 3 years due to COVID-19 pressures. A report is due to be updated at the next PRED committee.</b>	Jacqueline Van Mellaerts
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 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	↔	<b>COMMENT OCT 2020: Topic papers and examination notes published in response to the Inspectors' initial questions. Examination process is progressing. Expected timeframes for hearing sessions is awaited for confirmation.</b>	Phil Drane
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	↔	<b>COMMENT OCT 2020: Officers continue to monitor and work on risks and measures as information on the government's EU options become better known.</b>	Steve Summers

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5	RSK15	<u>Failure to deliver a clear Leisure Strategy</u> for the future of leisure facilities in Brentwood. Unable to Identify risk and liabilities for Brentwood Centre, Community Halls and Hartswood Golf Course, Play Areas and recommend options for the future	Leisure Strategy has been agreed by Members Feasibility/business plan in progress for King George's Playing Fields. Budget agreed for KGPF and 5year Play Area Improvement programme Workstream established for transition of Brentwood Centre to Council.	3	4	12	↔	<b>COMMENT OCT 2020: Report to Ordinary Council on 7 October set out recommendations to cease support, delegate authority to negotiate exit strategy. Workstreams have been established to provide a smooth transition</b>	Steve Summers
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.	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	↔	<b>COMMENT OCT 2020: Monthly monitoring of projects is undertaken by the Senior and Extended Leadership Teams. The risk score was increased previously and remains at this level due to the Covid-19 pandemic.</b>	Steve Summers
7	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.	2	4	8	↓	<b>COMMENT OCT 2020: Business continuity plans have been reviewed as part of the Council Business Recovery Plans. Recent reports taken to Committee show the Councils positive reaction to the current major Incident COVID-19</b>	Jacqueline Van Mellaerts
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 Committee. Robust business modeling and financial projections.	2	4	8	↓	<b>COMMENT OCT 2020: SAIL has draw down the balance of their £60m loan facility, which ensures the Council is now on target to meet its Commercial Activitiy Income target within the Medium Term Financial Strategy.</b>	Jacqueline Van Mellaerts
9	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	↔	<b>COMMENT OCT 2020: Data Protection arrangements continue to be provided by a specialist external provider until a review and options can be recommenced and concluded.</b>	Amanda Julian
10	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	↔	<b>COMMENT OCT 2020: Contracts are being reviewed to include all appropriate current legislation e.g. COVID-19 clauses</b>	Amanda Julian
11	RSK9	<u>Failure to deliver the Council's Strategic Development Plan</u> Failure to deliver the Council's Strategic Housing Development Plan (approved at E, E & H committee 13.10.20)	Monitoring by finance team. 7 year Affordable housing delivery programme approved at E,E & H committee 13.10.20). Maximising opportunities of right to 1st refusal buy back of former RTB properties Pursuing options of development on19 sites	2	4	8	↔	<b>COMMENT OCT 2020: Barnston Way site is currently out to tender and progressing well. Brookfield Close is progressing well and due to submit a planning application for the site in December 20. 19 sites overall are currently being considered for re-development. The Strategic Housing delivery programme was approved at E, E &amp; H Committee on the 13.10.20 which provides a 7 year delivery programme for new homes</b>	Tracey Lilley

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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 (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	↔	<b>COMMENT OCT 2020: The Council is carrying a number of vacancies that have been difficult to recruit to. HR performance measures continue to be embeded and will improve upon implmetation of new payroll system in the new financial year.</b>	Jacqueline Van Mellaerts
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 relevent officers Good relationship with TM advisors Borrowing Strategy Review underway	1	5	5	↔	<b>COMMENT OCT 2020: Finance continue to liaise with our TM advisors Link services. This service area is well managed and monitored.</b>	Jacqueline Van Mellaerts
14	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	↔	<b>COMMENT OCT 2020: The Council has established Business recovery Plans, in line with the Corporate Strategy and response to the COVID-19 Pandemic.</b>	Steve Summers
<p>* L = Likelihood Rating (1 = Low, 5 = Very High) * I = Impact Rating (1 = Low, 5 = Very High)  Maximum Score 5 x 5 = 25</p>									