

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				
1	RSK10	<u>Impact 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 MARCH 2021: The debt relating to the 294 tenants (11% of total stock) claiming UC, is now accountable for 45% of Brentwood's arrears. These accounts have the highest percentage of applicants for Discretionary Housing Payments and other debt advice or assistance. Court applications have re-started but evictions are now suspended until August 2021. Just over 60% of our pending court cases are made up of accounts that have made new applications for UC. Arrears for UC cases has begun to slow as applications have begun to reduce and people have started to terminate their UC assistance. Additionally, within the last quarter, we have made arrangements with Basildon DWP and they have allocated £40,000 in assistance for tenants with the worst financial difficulty. We are now seeing accounts making use of this assistance but this is not enough on its own and we have projected that the accounts currently not paying rent will continue to stop us reducing arrears until the courts re-open fully. In the meantime we are making as much contact and offering as much support as possible.</b>	Tracey Lilley
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	↔	<b>COMMENT MARCH 2021: Following submission to the Secretary of State (February 2020), the LDP is now undergoing examination. Hearing sessions began in December 2020. The risk is being managed to enable the Council to adopt a plan in line with national policy and guidance.</b>	Phil Drane
3	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 MARCH 2021: Officers continue to monitor and review the risks and measures of EU legislation.</b>	Steve Summers
4	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 MARCH 2021: Plans are in place for the various workstreams of the Leisure Strategy including the Brentwood Centre.</b>	Steve Summers
5	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 MARCH 2021: 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

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6	RSK1	<u>Finance Pressures</u> General Fund budget forecasts could fall below the Minimum Level of Reserves.	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	2	5	10	↓	<b>COMMENT MARCH 2021:</b> The Budget was approved at Ordinary Council on 24th February 2021. The Medium Term Financial Strategy is forecasted that balances will not fall below minimum level of reserves of £2.5m. Therefore risk has assessed to unlikely and has been reduced from L3xI5=15	Jacqueline Van Mellaerts
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 MARCH 2021:</b> A recent internal audit has been carried out and reported that plan designs were substantial. Therefore risk is scored that plans are unlikely to fail.	Jacqueline Van Mellaerts
8	RSK6	<u>Commercial 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 MARCH 2021:</b> SAIL has draw down the balance of their £60m loan facility, which ensures the Council is now on target to meet its Commercial Activity Income target within the Medium Term Financial Strategy.	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. Not having information governance practices in place will mean the Council's decision making processes could be open to challenge.	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 MARCH 2021:</b> Information Governance Group will be presenting a strategy to ensure best practice is being followed	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 MARCH 2021:</b> Procurement and contract managers meetings are in place, strategies being updated and contracts register being updated.	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	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 on 19 sites	2	4	8	↔	<b>COMMENT MARCH 2021:</b> The Barnston Way development is now underway following the successful tender award to SEH French. The planning application was submitted for Brookfield Close in December 2020, and will be referred for decision to the planning committee in 2021. The review of several small sites is currently underway by the Strategic Housing Team. The review of all sheltered sites has also been commissioned in February 2021. The Council's revised Housing Strategy is due to be presented at E, E & H committee in March 2021 for adoption.	Tracey Lilley
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 between Finance & HR	2	3	6	↔	<b>COMMENT MARCH 2021:</b> The Council is carrying a number of vacancies that have been difficult to recruit to. HR performance measures continue to be embedded and will improve upon implementation of new payroll system in the new financial year.	Jacqueline Van Mellaerts

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13	RSK14	<b>Treasury Management</b> 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	↕	<b>COMMENT MARCH 2021:</b> Finance continue to liaise with our TM advisors Link services. This service area is well managed and monitored.	Jacqueline Van Mellaerts
14	RSK8	<b>Lack of Strategic Direction</b> 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 MARCH 2021:</b> The Council has established Business Recovery Plans, in line with the Corporate Strategy and response to the COVID-19 Pandemic.	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>									