

CORPORATE STRATEGIC RISKS																
ID	CAT.	RISK IDENTIFICATION (Describe risk and underlying cause)	IMPACT (Consequences of risk maturing)	Risk Owner	Inherent (raw) risk			Existing Controls	Sources of Assurance	Residual (net) risk			Movement Indicator	Further Actions	Deadline	Responsible Officer
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S1	Political	Failure to recognise and plan for coalition government's future vision for Local Government - Greater role in partnerships and strategic commissioning; diminishing role in direct service provision (e.g. Education, joint health and social care services; removal of responsibility for housing benefit delivery.	Inadequate planning for reduced direct service provision role and increased commissioning role may lead to poor service outcomes for users, increased complaints, poor value for money. Large scale reductions in resources, forced shared services / amalgamation, creation of a small commissioning core, reduced local political accountability, potential for London / local government restructure. Opportunities for improved services and lower cost through effective partnerships and integration not exploited.	Chief Executive	6	4	24	Ensure members and senior officers have a good understanding of central government policy and possible intentions through briefings. Relevant officers and members maintain close links with DCLG, respond to consultation where necessary and seek to influence future policy through LGA and London Councils and any other lobbying route. Ensure opportunities for partnership and shared services are considered	Reports to PCG, CMT. One Council programme	6	3	18				
S2	Political / Reputational	1st April 2013. Start date for multiple service changes, new Civic Centre, new way of working and self-service, new legislation. i.e. benefit caps, local council tax rebate, retention of business rates	Potential for major IT / customer service failure	Chief Executive	6	5	30	Regular reporting either through CMT or PMO on status of projects and adequate risk management within projects and risk escalation if appropriate.	CMT reports PMO reports	6	4	24				
S3	Economic/ Political/ Socio Cultural	Income loss due to various factors including budget reductions, change in legislation, economic recession, lack of external investment	Failure to meet statutory service demand / council objectives	Deputy Director of Finance and Corporate Services	6	6	36	Economic monitoring and market contact		6	5	30		Ongoing economic monitoring and market contact	On-going	Andy Donald - Director of Regeneration & Major Projects
S4	Economic / Socio Cultural	Economic recession / demographic change and welfare reform agenda including localised council tax benefit resulting in increase in need for council services.	Increased demand for council services / accommodation / crime / anti-social behaviour	Phil Newby Director of Strategy, Partnership and Improvement	6	6	36	Lobbying of Central Government. Partnership working with NHS. Preparing customers for impact of welfare reform through communications and proactive engagement.i.e. "Benefit are being cut" leaflet, briefing at area consultative forums and voluntary groups. Ongoing work to model impacts on housing need. Briefing reports to Executive and other political groupings on HB reforms. Contingency plans being drafted for impact on customer demand. Report to CMT 27th September 2012 includes an action plan and assessment of impacts. A welfare reform project team has been set up to implement the plan.		6	5	30				
S5	Legal / Political	The Council fails to comply with legal/statutory obligations including consultation and equality duty in implementing policy changes or failure to comply with	Increased dissatisfaction with council, increase in number of legal challenges and Judicial Reviews resulting in cost of defence and delay	Toni McConville - Director of Customer & Community Engagement Fiona Ledden Borough Solicitor	6	4	24	Area Consultative Forums; Brent Citizens Panel; User Consultative Forums; Equalities issues reported to CMT on a quarterly basis. Regular monitoring by CMT. Equalities Statement	Consultation Board.	6	3	18		Contentious issues flagged up through surgery system. New guidance on Equalities to be issued.	Dec-12	Christine Collins - Community Engagement Manager
S6	Technological	Inability to deliver technological changes to meet customer requirements and demand	Damage to reputation. Service delivery failure. Impact on savings already identified in FCS project	Toni McConville - Director of Customer & Community Engagement	6	5	30	Regular monitoring by PMO and Brent Customer Services Board.	PMO and Brent Customer Services Board.	5	3	15		CMS (content management system) specification and prototype developed and reviewed by Customer Services Board. Governance arrangements agreed by Customer Services Board. Web enhancement project to be implemented to address limitations of current CMS.	Dec-12	Jenny Dunne - Project Manager, Future Customer Services Project

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S7	Economic	Reduced ability to / reduction in scope to recruit and retain sufficient numbers of skilled staff in key areas/services. Fewer people having to work harder and do more.	Service delivery will be impacted. Increase in stress related sickness/absences. Costs and human implications.	Deputy Director of Finance and Corporate Services	6	4	24	Robust Performance Management framework for managers & staff; Effective HR policies; Management Development Programme; Development & Learning opportunities available for managers and staff; Investors in People; Succession Planning; Staff benefits (flexible working etc.). Equalities Act	Performance Management Data; LLD Attendance; Appraisals.	6	3	18		Development of better management skills amongst managers. Better monitoring of performance.	On-going	Director, People & Development.
S8	Legal / Reputational	Significant failure to comply with Health & Safety requirements.	Accidents in the work Place. Death/injury to staff and public. Increase in sickness absence. Potential for corporate and personal criminal liability.	Chief Executive; Sue Harper - Director of Environment & Neighbourhood	6	6	36	Corporate Health & Safety Policy; Health & Safety Advisory Team; Accident & incident reporting and investigations; Risk assessments; advice ; promoting positive health & safety culture;	Heath & Safety Inspections; Training for staff. Consumer & Business Protection.	6	3	18		N/A	N/A	N/A

KEY OPERATIONAL RISKS

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Regeneration and Major Projects

RMP1	Reputational	Civic Centre Project (over run in completion) and / or Move to Civic Centre (systems failure).	Risk to Council's reputation. Delays in realising expected savings. Disruption to some services where leases have been terminated. Business Continuity arrangements.	Aktar Choudhury - Assistant Director Major Projects & Civic Centre	6	5	30	Programme Governance/ Civic Centre Programme Board/ Master Programme of Works - progress is monitored on an on-going basis. New governance arrangements have now been put in place with a new Programme Manager appointed to manage the move to the Centre. A task Register has also been set up with named officers assigned with specific tasks.	Regular Progress Reports provided to Project Board.	6	4	24	↔	Move to Civic Project Governance embedded. Detailed communication plan in place for all staff.	December 2012 / April 2013	Aktar Choudhury / Caroline Rainhan
RMP2	Economic / Socio Cultural	Lack of external investment in regeneration of the borough	Reduced income receipts from business rates; reduction in housing supply within the borough. Increase in levels of poverty, unemployment and increased levels of deprivation within the borough.	Andy Donald - Director of Regeneration & Major Projects	6	6	36	De-risking by assisting with planning permissions etc. on behalf of developers; Maintaining dialogue with investors / developers. Reviewing other sources of capital finance.	Regular economic monitoring. Regular market contact.	5	5	25	↓	Ongoing economic monitoring and market contact	On-going	Aktar Choudhury/Dave Carroll
RMP3	Economic/ Political/ Socio Cultural	Welfare Reform. <i>Increase in homelessness caused by high levels of service demand caused by housing and welfare reforms as well as the current economic climate.</i>	Large-scale changes have been made or are planned to a number of welfare benefits, in particular housing benefit. LB Brent is the worst affected borough in the country impacted by these changes. <i>Council unable to manage budget within agreed limits.</i> <i>Major impact on children within homeless families</i>	Perry Singh - Assistant Director of Housing	6	6	36	A cross Council project board has been established, together with a smaller delivery team to take forward a detailed action plan. <i>Delivery of the revised Accommodation Strategy</i> <i>Detailed budget monitoring arrangements in place</i> <i>Continue to focus resources on prevention of homelessness wherever possible</i> <i>Reduction in the use of high cost temporary accommodation and introduction of new more cost effective contracts to provide temporary accommodation</i> <i>Monitoring of temporary accommodation placements</i> <i>Streamlined service will aim to manage demand and mitigate the effects of housing and welfare reform</i> <i>Tight monitoring of service demand / costs at Project board level.</i>	Regular monitoring. Reporting through to DMT and CMT.	5	6	30	New Entry	Delivery of action plan.	Apr-13	Perry Singh
RMP4	Reputational; Economic / Socio Cultural	<i>Inability to deliver enough school capacity through the Schools Capital Programme</i>	<i>Council in breach of its statutory duty. Increasing numbers of children having to be educated out of Borough</i>	Richard Barrett Assistant Director Property and Asset Management	5	6	30	<i>Work with Children & Families Dept. to identify alternative education solutions</i> <i>Scope to identify future funding/grant funding options</i>	<i>Schools Expansion Policy agreed by Executive</i>	4	5	20	↔		On going	Richard Barrett/Rajesh Sinha

Children and Families

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ASS1	Legal/ Political /Socio Cultural / Reputational	Vulnerable persons (older persons; persons with physical & learning disabilities; mental health and other vulnerable adults) are not adequately safeguarded.	Abuse, Death or injury of vulnerable persons. Reputational damage to Council.	Alison Elliot - Director Adult Social Care	6	3	18	Safeguarding of Adults Teams deal with safeguarding issues. Safer Recruitment; training; Multi - Agency Policies and Procedures for Adults; ASC Transformation Programme; Reablement. Appointeeships/Deputyship arrangements in place after client needs have been assessed. <i>Good links with with Children's & Families and Legal to ensure robust adherence to safeguarding children's policies and procedures.</i>	Care Quality Commission Inspections; Carers Survey; Internal Audit; Office of Protection.	6	2	12	↓	None	N/a	N/a
ASS4	Financial / Economic	Budget / Demand - by 2020 high level figures estimated that demand will increase budgetary requirements 26% based on projected movements in demographics and populations with people living longer	Changes in ways we deliver services and demand management strategies need to be put into place to protect the council's financial position.	Alison Elliot - Director Adult Social Care / Liz Jones, AD, Adult Social Care	6	5	30	Demand levels are continuously monitored and regular modelling and forecasting will help to keep a close watch on the situation.	Financial pressures are regularly reported and monitored through Strategic Finance Group and High Level Monitoring panel.	6	4	24	↔	None specific as routine monitoring and reporting arrangements are in place Ongoing work is required to look at how to deliver the service differently to be able for the department to be able to deal with the projected increase in demand.	31/03/2013	DMT
ASS5	Financial / Compliance / Service Delivery	Contract Management / Monitoring	<i>The high value of existing contracts and the imminent transfer of Public Health contracts means that we need to ensure we are getting the best out of the arrangements to maximise value for money and mitigate against the projected rise in demand levels. The local provider market also needs to be developed further to meet the needs of legislative changes.</i>	<i>Alison Elliot - Director Adult Social Services / Steven Forbes, Head of Commissioning, Adult Social Services</i>	6	4	24	<i>We now have a dedicated commissioning function in place to strategically manage the provider market and we are reviewing and renegotiating existing service models and contractual arrangements.</i>	<i>New procurement protocols are in place and improvements are being made through the One Council programme.</i>	6	3	18	↔	<i>Although routine monitoring and reporting arrangements are in place, additional resource is required in this team to be able us to continue to improve.</i>	31/03/2013	<i>Steven Forbes, Head of Commissioning, Adult Social Services</i>
ASS6	Financial / Economic	Education Funding Agency – Department for Education are introducing changes to the way that people with Learning Disabilities receive support funding. They have capped the rate and are introducing top up rates for those with higher levels of need.	Increased costs to supporting young people with disabilities in education	Alison Elliot - Director Adult Social Care / Liz Jones, AD, Adult Social Care	6	6	36	Current cohort of those affected and projections for the next two years have been identified and DfE returns will be submitted to ensure that correct levels of funding are received going forward.	DfE returns have been submitted to ensure that correct levels of funding are received going forward.	6	5	30	↔	To be deleted per Liz Jones - pressure is on Children's rather than Adults budget		
NEW RISKS ADDED																
Environment and Neighbourhood Services																
ENS1	Environmental / Economic	Effects of Climate Change not adequately planned for. Environmental Targets not met. Failure to understand and plan to mitigate the impact of and adapt to climate change. Failure to cope with severe weather events.	Negative impact on health & wellbeing of residents. Increase in energy costs and fees paid to the Environment Agency on Carbon Reduction Commitment Regulations and reputational risks for being at the bottom of the league table. Increase expenditure to make further adaptations and other levies.	Sue Harper - Director of Environment & Neighbourhood	6	4	24	Climate Change Strategy & Action Plan; Travel Plans; Recycling Schemes; Civic Centre; Climate Change Pledge; Waste Strategy. Carbon Management Programme and the Council's Green Charter.	Internal Audit - CRC Readiness Report. Audit by Environment Agency. Progress on Green Charter is reported to members	6	3	18	↔	N/A	Ongoing	
ENS2	Legal / Reputational / Environmetal	Major or large scale incident (accident; natural hazard; riot) business interruption affecting Council's resources and its ability to deliver critical services. Risk to safety of staff / Loss of staff.	Service delivery disruption and impact on the Council's ability to deliver critical services.	Chief Executive; Sue Harper - Director of Environment & Neighbourhood	6	5	30	Community Resilience; Civil Contingencies Register; Emergency Planning	Emergency Planning & Business Continuity	6	3	18	↔	Regular review and assessment of robustness of plans	Ongoing	Martyn Horne - Head of BCP, Env & Neighbourhood

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NEW RISKS ADDED	ENS3	Service Delivery / Financial / reputational	Financial/ bankruptcy of major service provider/contractor i.e. waste, street cleansing, trees, parking. Performance targets not met.	Catastrophic failure in service delivery/disruption. Council unable to fulfil its statutory duties. Reputational damage and financial implications.	Sue Harper - Director of Environment & Neighbourhood	6	3	18	Robust Tendering & Contracting procedures with effective contract clauses when negotiating Contracts. The requirement for financial guarantee / bond / parent company guarantee. Effective Contract Management procedures & arrangements ; regular meetings with contractor; performance monitoring; action plans to address underperformance	Auditor's Reports; Internal Audit Reports; Performance Reports; Performance information.	6	2	12	↔	N/A	On-going	Sue Harper - Director of Environment & Neighbourhood
	ENS5	Financial/Reputational	Failure to meet Administration's recycling and composting target of 60% by 2014/15. This would mean higher disposal costs and savings target not being met.	Higher disposal costs currently at £93 per tonnes and unable to deliver saving agreed. Reputational risk of being at the bottom of the league table.	Sue Harper - Director of Environment & Neighbourhood	6	5	30	Communication plan to engage with residents to ensure effective use of the service on an on-going basis. Recycling and environment officers continue to monitor performance. The One Council 'Managing the Public Realm' project has work streams to minimise waste and improve recycling.	Robust and timely monitoring of performance by DMT and by Corporate Financial Steering Group . The OC project identify and report any concerns on waste through monthly Portfolio reporting to the PMO	5	3	15	↔	N/A	On-going	Sue Harper - Director of Environment & Neighbourhood
	ENS6	Financial/service delivery	Income targets for Parking, Licensing and Pest Control not met.	E&NS will have to reduce services to fund these income shortfalls and may be unable to balance its budget	Sue Harper - Director of Environment & Neighbourhood	5	4	20	Timely and robust budgets monitoring. Risks identified under the One Council 'Parking Transformation' project will be managed through the departmental monthly portfolio reporting and the PMO	High level financial monitoring by DMT and Financial Steering Group. The OC project identified and report any concerns on Parking through monthly Portfolio reporting to the PMO.	5	3	15	↔	N/A	On-going	Sue Harper - Director of Environment & Neighbourhood
	ENS9	Financial	Partners pulling out of the joint procurement of parking services and the public realm contracts will result in delays in the procurement of the contracts and incur financial risk on challenges	Changes to the joint procurement will reduce savings and incur additional costs on realigning specifications. The shortfall will have to be funded corporately.	Sue Harper - Director of Environment & Neighbourhood	6	4	24	Director and AD to meet with senior officers from partners boroughs to agree specifications for procurement and ensure that Memorandum of Understanding is signed	All boroughs signed Memorandum of Understanding	6	3	18	New Entry	N/A	Jan-13	Michael Read - AD Environment and Protection Jenny Isaac - AD Neighbourhood Services
Corporate Services																	
	CS1	Economic / Reputational	Increased acts of significant fraud or corruption due to economic down turn.	Financial Loss and damage to Council's reputation.	Mick Bowden- Deputy Director of Finance	6	4	24	Anti-Fraud Framework; Whistleblowing Policy; Staff Code of Conduct; Audit & Investigations Unit; Conflicts of Interests Policy; Gifts and Hospitality Policy;	Audit & Investigations Reports / Investigations. NFI; Audit Comission	6	3	18	↔	Ani-Fraud Culture promotion; fraud training across the Council and to external organisations.	Ongoing	Simon Lane - Head of Audit & Investigations
	CS2	Technological/ Reputational	ICT systems failure/ severe or prolonged failure of ICT capability across the Council / breach of IT security either external or significant data loss by staff. Denial of Access. Proximity of new Civic Centre to Wembley Stadium - would take a major threat at the Stadium to have a significant impact on the Council's ICT capabilities.	Service delivery disruption. Financial penalties. Serious damage to Council's reputation.	Stephan Conaway - Director of Finance.	6	5	30	ICT Strategy; Disaster Recovery Plans place; ICT projects to improve technical infrastructure (info store; OnePrint etc.); Information Governance ; S Access to Information Policy. IT Steering Group.	Test Results from Disaster Recovery Plans. IT Audits. Incident management process	6	4	24	↔	Security Policies & Protocols in need of review and revision.;	Ongoing	Stephan Conoway - AD, Information Technology.

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NEW RISKS ADDED	CS7	Financial	Inability to plan Council finances beyond 1/4/13 due to uncertainties in funding streams	Inability to take planned approach to managing Council's services in times of reduced funding and significant legislative changes	Mick Bowden - Deputy Director of Finance, F & CS	6	5	30	Existing medium term financial strategy has element of flexibility built in and increases reserves to manage risk	Existing MTFS approved by Council	5	4	20	↔	Need to understand implications of various changes (NNDR, CTB etc) on Brent. Also need to revisit risk cover as part of refresh of MTFS	28/02/2012	Mick Bowden - Deputy Director of Finance, F & CS
	CS10	Financial, Reputational	Pension Fund valuation position does not improve	Increasing drain on Council resources	Mick Bowden - Deputy Director of Finance, F & CS	5	5	25	Strategic asset allocation review undertaken and recruitment of new Head of Service underway	Monitoring of fund manager performance	5	4	20	↔	New Head of Service in place and is reviewing the arrangements regarding the fund's investments and operations.	31/03/2013	Mick Bowden - Deputy Director of Finance, F & CS
Customer and Community Engagement																	
NEW RISKS ADDED	CCE1	Reputational / Service Delivery	Failure to achieve delivery of Customer Services Project. Insufficient operational capacity to deliver improvements to the Customer Services experience at the new Civic Centre.	Residents unable to communicate with council / Failure of project objectives (i.e. consolidation of Customer Services at Civic Centre)	Margaret Read - AD Customer Services	6	5	30	Regular monitoring of Project by Board. Strong project management in place. Robust project planning. Improvement plans and agreed protocols for Web and Digital Post Room teams.	1 - PMO Board and Brent Customer Services Board	6	4	24	↔	- Continual monitoring required to ensure delivery of project meets deadlines. Consultant to be appointed to manage project for 1 day a week and dedicated Cdovic Centre Resource to be appointed.	Dec-12	Margaret Read - AD Customer Services
NEW RISKS ADDED	CCE5	Financial / Economic	Failure of trading units to achieve income targets. RNS failure to achieve external income targets due to change in government policy.	Pressure on CCE budget & CCE budget overspend resulting in savings having to be found from elsewhere within the service.	Saskia Woolloff - Business Manager	6	5	30	Monthly monitoring with cost centre managers and Finance business partner. Close liaison with relevant government departments to ensure early notice of policy changes.		6	3	18	↔	1 - Business Manager to maintain monitoring and liaise closely with Finance Business Partner to ensure budget breaks even	Mar-13	Saskia Woolloff - Business Manager
NEW RISKS ADDED	CCE7	Financial	Failure of the CCE Civic Centre Move Action Plan causes business disruption during relocation to the Civic Centre premises	Loss of income and marketing opportunities / Disruption to RNS customer contact through close of reception at Town Hall	Saskia Woolloff - Business Manager	6	5	30	A - Monitoring the Action Plan B - communication updates to DMT	1 - Monthly reviews part of DMT workplan	6	3	18	↔	On-going monitoring of work plan	31-Mar-13	CCE DMT & Saskia Woolloff - Business Manager
Strategy Partnership and Improvement																	
NEW RISKS ADDED	SPI7	Financial / Economic	Failure to deliver of £43m savings target	Council unable to deliver services effectively.	Peter Stachniewski - Head of One Council Programme	6	5	30	1. Robust business cases and Project Initiation Documents. 2. Regular progress reports through Project Status Reports 3. Monitoring of overall financial costs and savings at fortnightly meetings of the One Council Programme Board	Reports to Project Boards, One Council Programme Board, CMT, Policy Co-ordination Group, and Overview and Scrutiny	4	3	12	↓			Peter Stachniewski - Head of One Council Programme

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N E W R I S K A D D E D	SPI9	Financial/service delivery	Shift from efficiency savings to delivering on transformational projects (Troubled Families)	Failure to deliver transformational change will mean that spending reductions will lead to decimation of council services and a bad deal for residents	Peter Stachniewski - Head of One Council Programme	6	6	36	Engagement of members with the One Council Programme and projects within it through: - leadership and championing of the Programme by the Leader and Deputy Leader; - refresh of the corporate strategy and development of a council target operating model which provides context for transformation; - effective engagement of members with individual transformation programmes.	Reports to Project Boards, One Council Programme Board CMT, Policy Co-ordination Group, and Overview and Scrutiny	5	4	20	↓	- Development of revised corporate strategy and target operating model - On-going work to engage leading members with the One Council Programme - Increased sense of ownership among members and officers of transformational change programmes	On-going	Peter Stachniewski - Head of One Council Programme