

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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S2	Political / Reputational	Civic Centre: Build over run / late occupation Failure of IT Customer Service failure														
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	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
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 Covic Centre Resource to be appointed.	Dec-12	Margaret Read - AD Customer Services
ITU 3.2	Service Delivery	Failure to Deliver Infrastructure for the NBCC	Significant effect on service delivery, increased backlogs	Stephan Conaway, Chief Information Officer	5	5	25	Heavy internal emphasis on delivering all aspects of the NBCC programme	ITU Programme Management Office, NBCC Programme	3	1	3		Ability to contract services out of house to supplement of supersede internal Operations.	1.1 2013	S. Conaway
S4	Economic / Socio Cultural / Financial	Economic recession and demographic change and welfare reform agenda including: Benefit caps, bedroom tax, council tax support,														
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	Lobbying of Central Government. Partnership working with NHS. Preparing customers for impact of welfare reform through communications and proactive engagement. 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. 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</i>	Regular monitoring. Reporting through to DMT and CMT.	5	6	30	New Entry	Delivery of action plan. A Welfare Reform Steering Group has been established to link with Children and Adult Services chaired by the Director of RMP to co-ordinate cross council action	Apr-13	Perry Singh

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CF3	Socio Cultural/Reputational/Financial	Current economic climate and further reduction in funding levels leading to greater demand for services and potential inability to meet statutory responsibilities. Increase in family breakdown due to economic downturn. Rising child population and increasing levels of deprivation is likely to lead to increased demand for Children's Social Care services.	Increase in number of looked after children or greater demand for services for vulnerable and young persons. Certain key statutory responsibilities cannot be met.	Graham Genoni - Assistant Director, Social Care Division, Children & Families.	6	6	36	Improved budgetary controls; robust budget monitoring; improved commissioning arrangement. Services will be re-prioritised to meet the needs of the most vulnerable. Improved commissioning arrangements including cross borough work with WLA. Review of services delivery models, working with WLA to reduce SEN & Social Care placement costs and developing an effective Early Help offer for vulnerable families.	Management information reports track activity and identify trends, to which management are able to respond	4	6	24	↔	Early help projects will begin to deliver efficiencies in 2013/14.	ongoing	Graham Genoni - Assistant Director, Social Care Division, Children & Families.
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
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	Jenny Dunne - Project Manager, Future Customer Services Project
S6	Technological	Inability to deliver technological changes to meet customer requirements and demand	Damage to reputation. Service delivery failure. Impact on future savings which rely on shifting customers on to more cost effective methods on contact especially self-service via the website.	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-13	Paula Buckley, Head of customer Services and Revenues
								Improvements and future direction considered by Digital Strategy Board								
S9	Legal / Reputational	Failure to provide sufficient school places														
CF1	Legal/ Political /Socio Cultural /Reputational	Continuing shortage of primary school places and shortage of Secondary School Places	Council unable to discharge statutory duty to provide education. Reputation damage, legal challenge, increased health and safety risks	Sara Williams - Assistant Director Early Help & Education	6	6	36	Lobbying Central Govt for additional funding; funding of £25m secured from central govt. to provide additional school places; Temporary expansions and Projects established to address shortfall; Regular reports to CMT & Executive to agree prioritisation of use of capital funding; Strategy Board meets on a regular basis; Standing Agenda Item in Overview & Scrutiny Committee Meetings. Programme of primary expansion being implemented following Executive decision in August 2012 and proposals for secondary expansion to be considered by executive in December 2012.	Regular monitoring by Overview & Scrutiny Committee; CMT & Executive.	6	4	24	↔	Continued lobbying and work with London Councils and Schools.	On-going	Sara Williams - Assistant Director Early Help & Education
RMP4	Reputational; Economic / Socio Cultural	Inability to deliver enough school capacity through the Schools Capital Programme	Council in breach of its statutory duty. Increasing numbers of children having to be educated out of Borough	Richard Barrett Assistant Director Property and Asset Management	5	6	30	Work with Children & Families Dept. to identify alternative education solutions Scope to identify future funding/grant funding options	Schools Expansion Policy agreed by Executive	4	5	20	↔		On going	Richard Barrett/Rajesh Sinha

KEY OPERATIONAL RISKS

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Regeneration and Major Projects

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	
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Children and Families

CF2	Reputational / Political	Vulnerable children not adequately safeguarded.	Abuse, Death or injury of vulnerable persons. Reputational damage to Council.	Graham Genoni - Assistant Director, Social Care Division, Children & Families.	3	5	15	Safeguarding of Children Teams deal with child protection and safeguarding issues; Brent Local Safeguarding Children's Board; Safer Recruitment & Training; Whistleblowing; publicity; raising of awareness at Schools & community in general; Children & Young Persons Plans; Child Protection Arrangements; Strong partnership working with relevant agencies; High level monitoring meetings with Chief Executive; Corporate Parent Group; Auditing arrangements; Range of monitoring arrangements to track progress; Children & Families Overview & Scrutiny; Performance Information (quarterly scorecards); Timely reviews of Looked After Children There are robust management arrangements in place and safeguarding work is audited on a regular basis. Managers are receiving specific training on supervisory skills. New independent chair of LSCB and reviewed governance arrangements.	Recent Ofsted Inspection deemed that children were safe; Internal Service User Surveys; Internal Audit.	6	2	12	↔	Continuous Monitoring & Development; Safeguarding & Looked After Children Inspection Action Plan; Continued collaboration with relevant agencies.	On-going	Graham Genoni - AD Social Care Division	
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Adult Social Care

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. Good links with Children's & Families and Legal to ensure robust adherence to safeguarding children's policies and procedures.	Care Quality Commission Inspections; Carers Survey; Internal Audit; Office of Protection.	6	2	12	↓	None	N/a	N/a	
ASS5	Financial / Compliance / Service Delivery	Contract Management / Monitoring	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.	Alison Elliot - Director Adult Social Services / Steven Forbes, Head of Commissioning, Adult Social Services	6	4	24	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.	New procurement protocols are in place and improvements are being made through the One Council programme.	6	3	18	↔	Although routine monitoring and reporting arrangements are in place, additional resource is required in this team to be able us to continue to improve.	31/03/2013	Steven Forbes, Head of Commissioning, Adult Social Services	

Environment and Neighbourhood Services

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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 / Environmental	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	
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	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 50% by March 2014. Resulting in higher disposal costs and increased waste to landfill	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.	Michael Read, Assistant Director	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	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	5	3	15	↔	N/A	On-going	Sue Harper - Director of Environment & Neighbourhood	
ENS9	Financial	Partners withdrawing from joint procurements resulting in delays in procurement start dates, renegotiations with contractors or financial risk resulting from possible legal challenge.	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 partners sign memorandum of understanding and/or Inter Authority Agreement	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 Commission	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 Conaway - AD, Information Technology.	
CS7	Financial	Failure to produce medium term financial strategy to address budget gap of £55m for 2014/15-2016/17	Impact – Inability to protect vital frontline services and ensure that limited financial resources are targeted at council priorities	Mick Bowden - Deputy Director of Finance, F & CS	6	5	30	Process to update MTFS being developed	Existing MTFS approved by Council	6	4	24	↔	Consideration of options to close funding gap Consultation on priorities Agreement of new MTFS	30/09/2013	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	

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Strategy Partnership and Improvement																	
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	