

# CORPORATE STRATEGIC RISKS

ID	CAT.	Borough Plan Objective	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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R&G5	Economic/ Political/ Socio Cultural	Improving health and well-being  • More and better managed housing of a higher standard	Increase in demand from homeless households due to welfare reform and overheated Private Rented Sector market in London	Council unable to manage budget within agreed limits.  Major impact on children within homeless families	Jon Lloyd-Owen Operational Director Housing & Employment	6	6	36	Delivery of the revised Accommodation Strategy  Effective use of DHP budget and detailed budget monitoring arrangements in place  Continue to focus resources on prevention of homelessness wherever possible  Reduction in the use of high cost temporary accommodation and introduction of new more cost effective contracts to provide temporary accommodation  Monitoring of temporary accommodation placements	Regular Monitoring	5	5	25	↔	On going monitoring	On-going	Laurence Coaker
CF3	Socio Cultural/Reputational/Financial	Better lives for children and families  • Increased participation by local people in shaping and improving the borough	Greater demand for services without consequent increase in funding leading to inability to meet statutory responsibilities. <b>Impact of welfare reforms increases housing pressures on social care, including increasing demands from families with no recourse to public funds.</b> Increase in family breakdown due to economic downturn..	Increase in number of looked after children or greater demand for services for vulnerable and young persons. Pressures translate into increased financial pressures. Certain key statutory responsibilities cannot be met.	Graham Genoni - Operational Director, Children Social Care	5	6	30	Improved budgetary controls; robust budget monitoring; improved commissioning arrangement. Children being are being supported to remain at home where safe. Services will be re-prioritised to meet the needs of the most vulnerable. Improved commissioning arrangements including cross borough work with WLA.  Early help services are targeting vulnerable and disadvantaged families and showing success in preventing escalation of problem	Management information reports track activity and identify trends, to which management are able to respond	4	5	20	↔	NRPF and homelessness pressures being monitored.	ongoing	Graham Genoni - Operational Director, Children Social Care
ASS4	Financial / Economic	Improving health and well-being  • More provision and more choice for people needing care and support	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.	Failure to deliver a more efficient cost effective service will result in overspending of budgets.	Phil Porter - Strategic Director Adult Social Care / Minesh Patel, Senior Finance Analyst, 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. There is monthly monitoring, we are likely to deliver on budget this year, and we have a significant savings plan in place which the Change and improvement Board oversees	Financial pressures are regularly reported and monitored through Strategic Finance Group and High Level Monitoring panel.	5	3	15	↔	Changes to the way we deliver services and demand management strategies need to be put in place to protect the Council's Financial position. Routine monitoring and reporting arrangements are in place. Ongoing work is required to look at how to deliver the service differently for the department to be able to deal with projected increases in demand.	01/04/2014	DMT - ASC
S5	Legal / Political	A strong community  • Increased participation by local people in shaping and improving the borough	The Council fails to comply with legal/statutory obligations including consultation and equality duty in implementing policy changes	Increased dissatisfaction with council, increase in number of legal challenges and Judicial Reviews resulting in cost of defence and delay	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. Equalities guidance due shortly.	Dec-14	

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CF1	Legal/ Political /Socio Cultural /Reputational	Better lives for children and families  • Places in Brent schools for all who need them	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 - Operational 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.	Regular monitoring by Overview & Scrutiny Committee; CMT & Executive.	6	4	24	↑	Continued lobbying and work with London Councils and Schools.	On-going	Sara Williams - Operational Director Early Help & Education
R&G3	Reputational; Economic / Socio Cultural	Better lives for children and families  • Places in Brent schools for all who need them	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 Operational Director Property & Projects	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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<b>Regeneration and Growth</b>																
R&G 1	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 - Strategic 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 - AD Major Projects/Dave Carroll - Head of New Initiatives
R&G 11	Reputational / Service Delivery	Failure to achieve delivery of Customer Services Project.	Residents unable to communicate with council / Failure of project objectives (i.e. consolidation of Customer Services at Civic Centre)	Margaret Read Operational Director Brent Customer Services	6	5	30	A - Regular monitoring of Project B - Strong Project management in place	1 - PMO Board and Brent Customer Services Board	6	4	24		On going monitoring	On going	Margaret Read - AD Customer Services
R&G 13	Service Delivery/ Reputational	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 aim (i.e. consolidation of Customer Services at Civic Centre)	Margaret Read Operational Director Brent Customer Services	6	5	30	A - Improvement plans and agreed protocols for Web and Digital Post Room teams	1 - PMO Board and Brent Customer Services Board; Regular progress meetings between AD CS and Consultant to monitor progress	6	4	24	No change	On going monitoring	On going	Margaret Read - AD Customer Services
R&G 22	Service Delivery/ Reputational	Transformation of Employment Training Services does not progress as required	This will impact on the Councils ability to offer help and support to unemployed residents	Jon Lloyd-Owen Operational Director Housing & Employment	3	6	18	Robust Governance arrangement through Transformation project Board  Clear planning and organisational development framework	Regular monitoring	3	4	21	↔	New Baseline Project Plan established.  Robust monitoring arrangements in place through the Transformation Board  Clear Cultural Change Programme in Place		Head of BACES
<b>Children &amp; Young People</b>																
CF2	Reputational / Political	Vulnerable children not adequately safeguarded.	Abuse, Death or injury of vulnerable persons. Reputational damage to Council.	Graham Genoni - Operational Director, Children Social Care	6	4	24	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	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 - Operational Director, Children Social Care

Movement since last Review

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CF6	Socio cultural & political	Changes to government policy/legislation	Changes in Welfare Reform. Influx of vulnerable families into the borough from other more expensive or inner London authorities or possible roll instability in schools because of families having to move out following housing benefit cap.	Anna Janes - Head of C&F Policy & Performance	6	6	36	Taking forward the Working with Families suite of One Council Projects. This will provide an effective Early Intervention Service to improve support for disadvantaged young people. Monitoring effects of benefit cap.	Regular monitoring by Project Boards and overall Strategic Group	6	4	24	↔	A total of 337 families have been identified to date and 144 families have been turned around. Additional workers are being recruited to step up the work.	On-going	Anna Janes - head of Children & Families Policy and Performance.			
CF8	Financial/ Reputational	Impact of Family Justice Review	Reputational arising from court delays and failure to meet govt targets. Financial arising from possible wasted costs order. Quality issues in relation to unnecessary delay for children.	Graham Genoni - Operational Director, Children Social Care	5	6	30	Robust planning mechanisms in place including partnership working with legal. Additional resource being deployed to address assessment requirements and track timeliness.		4	4	16	↓	Work with W London boroughs, mapping processes alongside legal dept, case manager option being explored. Initial analysis indicates significant improvements in timeliness of cases initiated since April 2013.	ongoing	Graham Genoni - Operational Director, Children Social Care			
<b>Adult Social Care</b>																			
ASS1	Legal/ Political /Socio Cultural / Reputational	Failure to safeguard vulnerable persons (older persons; persons with physical & learning disabilities; mental health, transitional young people and other vulnerable adults) leading and resulting in resulting in abuse, death or injury of vulnerable persons (both in terms of safety and financial abuse)	Abuse, Death or injury of vulnerable persons. Reputational damage to Council.	Yolanda Dennehy - Head of Reablement and Safeguarding / Adult Social Services	6	3	18	Safeguarding of Adults Teams deal with safeguarding adults 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 & 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. Children's Service, Ofsted, Internal Audit	6	2	12	↔	On-going training for staff in relation to safeguarding and constant review of procedures and policies	On-going	Yolanda Dennehy - Interim Head of Reablement and Safeguarding			
ASS3	Social / Community	Failure to engage with key partners across the public sector and other external organisations leading to not maximising collaborative working opportunities and cost reductions resulting in inefficiencies from service overlaps and duplications.	Inefficiencies from service overlaps due to duplication; gaps in service provision. Additional savings of £2.2m would need to be found by the Department if fail to integrate with Health. Pressure on resources and potential for additional cuts in staff and services.	Phil Porter - Director Adult Social Services, and Strategy, Partnership & Improvement department	6	6	36	PID have been completed and a business case is currently being developed. The Shadow Health & Wellbeing Board oversees integration. On-going engagement with external key partners to discuss new ways of working	Shadow Health & Wellbeing Board,	6	3	18	↔	Continued discussions with key partners and pilot integrated services being developed and trailed	01/10/2014	Phil Porter - Director Adult Social Services			
ASS5	Financial / Compliance / Service Delivery	Failure of contract management / monitoring leading to breaches in contacts resulting in not achieving value for money and poor service for service users	Poor / no service being delivered to service users. Overspending budgets	Phil Porter - Director Adult Social Services / Amy Jones, Head of Commissioning & Quality Services Adult Social Services	4	3	12	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.	2	3	6	↔	The commissioning function has been reviewed and new structure implemented with a dedicated contracts and relationship management team now in place	1/10/2014	Amy Jones, Head of Commissioning and Quality Adult Social Services			

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ASS6	Regulatory/Financial/Service Delivery	Not being able to meet the demand of carers as a result of the implementation of the Care and Support Act. Failure to comply with the Care & Support Act 2014 and provide support to carers.	Reputational risk and adverse publicity for failing to support carers. Budget pressures as more resources required to comply and provide support to carers. Increase in demand for assessments and the budget pressures due to carers being eligible to receive direct payments.	Nancie Alleyne Head of Direct Services	6	5	30	Carers Strategy agreed. Will help to identify carers and their needs and begin to develop arrangements to support their needs. Sponsor identified for project and work streams due to commence. Recent audit of carers and in annual accounts highlighted weaknesses which are the process of being addressed.	Strategy is being overseen by Director of ASS. Project Sponsor is working on 3 workstreams to improve outcome for carers. Regular reports to Change & Improvement Programme Board.	5	4	20		To try to establish potential volume of carers who may require services and begin to predict cost and resource implication and develop plans for the future	30/12/2014	Nancie Alleyne Head of Direct Services	
<b>Environment and Neighbourhoods Services</b>																	
EN1	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 - Strategic Director of Environment & Neighbourhoods	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	Ceridwen John - Environment Projects & Policy Manager	
EN2	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.	Christine Gilbert- Chief Executive; Sue Harper - Strategic Director of Environment & Neighbourhoods	6	4	24	Community Resilience; Civil Contingencies Register; Emergency Planning	Emergency Planning & Business Continuity	5	3	15	↓	Regular review and assessment of robustness of plans.	Ongoing	Martyn Horne - Head of BCP, Env & Neighbourhood	
EN9	Legal Reputational Environmental	Systems and processes specified in the newly implemented Parking contract aren't yet working as planned	Failure to migrate to the required parking model for optimising productivity may lead to loss of income and damage to Council's reputation (now an issue, rather than a risk)	Sue Harper - Strategic Director of Environment & Neighbourhoods	5	5	25	Leadership and governance with deadlines set for completion of each tasks.	Project Board to review and sign off each stage of the plan.	5	5	25	New Entry	Operational Director to meet with contractor's senior management team to resolve issues.		Michael Read Operational Director	
<b>Finance</b>																	

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FD5	Technological/Reputational	Loss of Significant Amount of Client Personal Data caused by ITU Operational activity	Reputation loss through the association of the Brent Council name with disruptable and unethical activities, potential law suites and potential fine from the Information Commissioner.	Peter gadsdon, Operational Director - ICT	6	3	18	High level of security in operations, on-going in house user training, continued vigilance, continuous monitoring a reporting. Technical controls are in place to support.	ITU Operational Management	6	2	12	↓	Introduction of new Security Regime as part of the NBCC fit out. Continued attention to detail in security provision.	Ongoing	Peter gadsdon			
<b>Legal &amp; Procurement</b>																			
LP4	Financial / Reputational / Legal	Non-compliance with EU Procurement Regulations in the letting of Contracts	Financial loss from cost of Legal challenge from unsuccessful tenderers; reputational damage	Gary Salterpicco - Procurement Manager	6	4	24	Contract Standing Orders; Blue Book Requirement; Involvement of qualified staff within Procurement Team in the letting of all significant contracts across the Council; training provided to departments on Procurement regulations etc.	Internal Audits of major contracts; regular advice from legal contracts team; regular liaison between procurement and legal contracts team	6	3	18	↔	Training across the Council from procurement colleagues; updated and accessible information on the intranet site covering all aspects of procurement and tendering, category managers attending department management teams on regular basis	Dec-14	Gary Salterpicco - Procurement Manager			
LP8	Legal/Reputational	Successful Judicial Challenge against the authority by way of Judicial Review or other litigation	Reputational risk to the authority and inability to progress with strategic objectives of the organisation; potential cost to the Council if costs order made against the authority	Fiona Ledden - Director of Legal & Procurement	6	4	24	legal advice given at CMT, Executive and PCG, clear advice given on potential areas of challenge and any litigation commenced	Advice given to members and involvement of legal department from commencement	6	3	18	↔	Monitoring process of decision making to include proactive advice on issues such as equality impact analysis and considering how decisions are made, obtain expert advice on key problem issues as required.	Dec-14	Fiona Ledden - Director of Legal & Procurement			
LP10	Legal/Reputational	Increased volume of employment law cases following increased activity in following employment procedures and taking appropriate action for performance issues	Reputational risk to the authority, risk of tribunal making compensation awards to individuals	Fiona Ledden - Director legal & Procurement/Andy Potts - Senior Employment Lawyer	4	4	16	Training undertaken with Senior Managers by legal and HR. Increased skills level for recording disciplinary hearings, and ensuring compliance with procedures including staff appeals and grievances	Advice given to staff appeals and at disciplinary hearings	4	4	16	↔	Training provided for those undertaking investigations to include training on witness skills, legal advice to be provided to senior managers involved in disciplinary activities	Dec-14	Fiona Ledden - Director legal & Procurement/Andy Potts - Senior Employment Lawyer			
<b>Assistant Chief Executive's Department</b>																			
	Reputational, financial	Failure to identify costed cross departmental priorities for public health action.	Underspend of public health grant while Council seeking to identify significant savings in other budgets	Melanie Smith DPH	4	5	20	Public Health Delivery Board agreement of process to develop proposals. DPH dialogue with DMTs / SLTs.	PHDB finance reports	3	5	15		escalation to CMT	October-15	Melanie Smith DPH			
	Reputational, financial	Contracts to transfer to the local authority for health visiting and FNP in October 15 are not fit for purpose. Adjustment to local authority public health grant is insufficient to cover cost of commissioning the service	Mandated health visiting service not available to children and families in Brent	Melanie Smith DPH	5	4	20			5	4	20		Work with NHSE London to improve the quality of financial information submitted by the provider. Work with NHSE London to ensure that 15/16 health visiting contract is fit for transfer to Brent Council in October 15	October-15	Melanie Smith DPH			