

CHIEF OPERATING OFFICER'S RISK REGISTER AUGUST 2015

Service Area	ID1	Identification	Impact	Owner	Raw Impact	Raw Likelihood	Raw Risk Score	Existing Controls	Sources of Assurance	Net Impact	Net Likelihood	Net Risk Score	Further Actions	Deadline	Responsible Officer
COO	COO1	Failure to achieve 2015-16 agreed Council wide budget savings	Overspend, leading to reduced reserves and greater savings needed in future years	Chief Operating Officer	6	6	36	Budgets for 2015-16 and 2016-17 have been agreed in line with projected savings targets	1. Cabinet 2. CMT 3. Corporate Finance	2	5	10	All departments to find agreed savings to meet agreed budgets for 2015-16. All departments to manage vacancies to mitigate overspend. COO monthly Budget monitoring meeting in place.	N/A	COO DMT Members
COO	COO2	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	Chief Operating Officer	6	5	30	Legal advice given at CMT, Cabinet and PCG, clear advice given on potential areas of challenge and any litigation commenced. 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.	1. Cabinet 2. CMT 3. PCG 4. Legal team	6	3	18	None	N/A	Chief Legal Officer
COO	COO3	Major or large scale incidence (accident, natural hazard, riot or act of terrorism); business interruption affecting the Council's resources and its ability to deliver critical services. Risk top safety of staff and loss of staff.	Staff do not have access to data centre equipment; staff do not have access to network and desktops Services not delivered as planned	Operational Director, Community Services	5	6	30	Secondary data centre able to deliver all ICT services. All systems can be managed remotely. All staff have access to remote desktop	Recent bomb threat proved remote access allowed the majority of staff to continue working in a reasonable manner. A more extended absence from the CC has not been tested. Lessons learnt need to be incorporated into revised business continuity plans. An action plan from the recent event will address outstanding weaknesses.	6	2	12	Lessons learnt are being incorporated into revised business continuity plans. An action plan from the recent event will address outstanding weaknesses - October 2015	16/03/2016	Operational Director Community Services
COO	COO4	Non-compliance with EU Procurement Regulations in the letting of Contracts	Financial loss from cost of Legal challenge from unsuccessful tenderers; reputational damage	Operational Director, Strategic Commissioning	4	4	16	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. 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.	Internal Audits of major contracts; regular advice from legal contracts team; regular liaison between procurement and legal contracts team	3	4	12	None.	N/A	Head of Procurement

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COO	COO6	Ability to attract and retain high calibre staff	Key Posts unfilled Poor service delivery Failure to have a succession plan in place can lead service failure and the council not having a talent pipeline that identifies future leaders.	HR Director	5	5	25 Existing recruitment and retention policy and procedures	HR Working Group	5	4	20 1. Implement a Workforce Strategy and Action Plan for 2015 – 2019.	16/03/2016	HR Director
COO	COO7	OC Programme Savings 2015/16 and beyond there is a risk that the delay in identifying new OC projects, will limit that amount of savings that can be delivered in 2015/16 through the OC Programme.	There could be insufficient lead-in time to agree, scope and put new projects into delivery before April 2015 to be able to realise significant savings in 2015/16.	Operational Director, Strategic Commissioning	6	4	24 1. It has been agreed that the departmental budget saving process managed by Corporate Finance will be the main mechanism for identifying new large or cross-cutting OC projects. 2. Potential 2015/16 budget savings from new OC Projects will need to be realistic given the delay in identification and validated by Corporate Finance.	1. Cabinet 2. CMT 3. Corporate Finance 4. Programme Board	3	4	12 1. Programme Board to monitor progress with confirming departmental budget savings and the number of new OC projects identified.	16/03/2016	Head of Performance and Improvement
COO	COO8	Failure to manage performance	Lack of visibility of key performance information and risks impacting service areas' ability to drive improvement and implement service changes.	Operational Director, Strategic Commissioning	4	4	16 1. Departmental scorecard monitoring. 2. Bi-monthly reporting to CMT. 3. Reporting to Cabinet three times a year. 4. Data quality strategy in place. 5. Audit of Inphase data.	1. Departmental scorecard monitoring. 2. Bi-monthly reporting to CMT. 3. Reporting to Cabinet three times a year. 4. Data quality strategy in place. 5. Audit of Inphase data.	3	4	12 Extra support is being offered to managers and heads of service to ensure consistency. Additional training is also being offered in performance management. New Performance Management framework developed - go live Sep 15	30/09/2015	Head of Performance and Improvement
COO	COO9	The Community Access programme fails to achieve its savings target because of double counting and or reviews are unsuccessful	Further savings will need to be achieved to meet the budget gap	Operational Director, Community Services	5	5	25 Proposals for a series of thematic reviews have been agreed by the CA board and funding for capacity to undertake these is being sought from OC Close liaison with OC Board to ensure savings are not double counted	1. OC Programme Board	4	3	12 None	N/A	Director of Customer Services
COO	COO10	Information Governance - Inappropriate access, corruption or loss of data	Exposure of confidential information or corruption of data Prosecution or fine for statutory breach Loss of public trust	Senior Information Risk Owner (Chief Finance Officer)	5	6	30 Audits of compliance Policies and Procedures in place Information governance forum Mandatory e-learning modules for all staff	1. Information Governance Group	5	3	15 None	N/A	Information Governance Manager
COO	COO11	Failure to manage strategic suppliers and related procurement programmes	Supplier failure means council unable to deliver projects/service to time, cost or quality	Operational Director, Strategic Commissioning	5	6	30 Dedicated in house procurement and legal teams advising on all tenders and contracts	1. CMT 2. DMT	5	3	15 None	N/A	Head of Procurement
COO	COO12	Service delivery - DWP's implementation of Universal Credit causes increased pressure on Brent and there is inadequate funding to mitigate this	Adverse impact on HB service, CSC performance and budget overspend	Director of Customer Services	5	5	25 Lobbying DWP to increase funding proposed UC mitigation plans	1. DMT 2. CMT 3. Cabinet	5	4	20 Modelling underway to identify at-risk residents. Need to link at-risk residents with advice and support through forthcoming Financial Inclusion Strategy.	16/03/2016	Head of Benefits and Customer Services

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COO	COO13	Non-compliance with Health & Safety legislation	Death or injury to public or staff Criminal prosecution or civil litigation Service stopped Loss of public trust	Chief Operating Officer	6	4	24 H&S Policies and procedures in place Regular testing of procedures Mandatory H&S training programme Implement new Occupational Health policy and procedures Recruit an Occupational Health Advisor	1. Health and Safety Committee 2. CMT	6	3	18 None	N/A	ALL COO DMT Members
COO	COO14	Failure to respond to high risk media enquiry from high profile media outlet by their deadline due to lack of timely support from departmental contacts in providing accurate information that allows communications to respond to media enquiry.	Impacts of not responding to a national journalist's deadline on high risk issues is likely to lead to significant reputational damage.	Chief Operating Officer	5	3	15 Good relationships being built by new staff in the communications team with senior officers and members.	1. Media monitoring reports	5	2	10 1. Communications to be added into induction for new starters 2. Internal promotion of the role and importance of the Communications functions.	16/03/2016	Head of Communications
COO	COO16	Failure of the Public Realm contract . The contract includes universal services such as refuse collections, streets cleansing, grounds maintenance and cemeteries	Failure to deliver services. Negative impact on health & wellbeing of residents as a result of refuse not collected , dirty streets and open space and delays in burials. Environmental, regulations and reputational risks.	Chief Operating Officer	5	3	15 Effective Contract Management procedures & arrangements ; regular meetings with contractor; performance monitoring; action plans to address underperformance	Internal Audit	4	3	12 None	N/A	Operational Director, Community Services
COO	COO18	Risk of not meeting income targets set for new Library at Willesden Green	Not meeting targets could lead to extra financial pressures on revenue budget	Operational Director, Community Services	4	5	20 Careful planning of revenue business case especially on rental spaces. Events and activities clearly linked to income generation	Internal Audit	4	3	12 None	16/03/2016	Head of Culture