

ID1	Borough Plan obj.	Identification	Impact	Owner	Raw risk	Raw likelihood	Raw Risk Score	Controls	Assurance	Net risk	Net likelihood	Net risk score	Movement Indicator	Further Actions	Deadline	Responsible
		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.	Strategic Director, Adult Social Care	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 On-going training for staff in relation to safeguarding and regular review of procedures and policies.	6	2	12	None	None	N/A	Head of Reablement and Safeguarding
ASC 1		Failure to meet demand for school places.	Council unable to discharge statutory duty to provide education. Reputation damage, legal challenge, increased health and safety risks.	Strategic Director, Children and Young People	6	6		36 New School Place Planning Strategy approved October 2014 to be updated October 15. Funding for basic need secured from central govt to provide additional school places; strengthen partnership working with EFA to maximise influence over Free Schools programme and reduce costs to Council; strengthen partnership working with Regional School Commissioner to maximise influence over secondary expansion, use of Fair Access Protocol to place pupils above published numbers; 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. Work between R & G Children & Young Peoples Dept. to plan and deliver requirements for school places and identify alternative education solutions where required. Scope to identify future funding/grant funding options. Work with EFA on establishment of new schools and with EFA/Officers on identification and acquisition of suitable sites.	Regular monitoring by CMT & Executive. Lobbying and work with London Councils, Education Funding Agency, Department for Education and Schools working with EFA to maximise influence over Free Schools programme and reduce costs to Council; strengthen partnership working with Regional School Commissioner to maximise influence over secondary expansion, use of Fair Access Protocol to place pupils above published numbers; 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. Work between R & G Children & Young Peoples Dept. to plan and deliver requirements for school places and identify alternative education solutions where required. Scope to identify future funding/grant funding options. Work with EFA on establishment of new schools and with EFA/Officers on identification and acquisition of suitable sites.	6	4	24	None	Annual review of School Place Planning Strategy (due in October 2015) to identify a strategic approach to delivery of sufficient secondary school places.	31 October 2015	Strategic Director, Children and Young People
C & YP 1		Vulnerable children not adequately safeguarded.	Abuse, Death or injury of vulnerable persons. Reputational damage to Council.	Strategic Director, Children & Young People	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 People Plans; Child Protection Arrangements; Strong partnership working with relevant agencies; High level monitoring meetings with Chief Executive; Corporate Parenting Committee; Auditing arrangements; Range of monitoring arrangements to track progress; Overview & Scrutiny; Performance Information (quarterly scorecards); Timely reviews of Looked After Children.	Ofsted Inspection deemed that children were safe. Internal Service User Surveys; Internal Audit. Continuous Monitoring & Development; Safeguarding & Looked After Children Inspection Action Plan; Continued collaboration with relevant agencies.	6	2	12	None	None.	N/A	Strategic Director, Children & Young People
CMT1		Budget savings of 20-40% have significant consequences for service delivery which have not been predicted as part of the budget process and staff.	Unforeseen service delivery failure.	Chief Finance Officer	6	6		36 Budget monitoring system to identify issues and prioritise mitigating actions CMT and DMTs focused on high risk proposals to identify issues One Council project management discipline in place to ensure successful delivery	Governance system reviewed annually to ensure meeting challenges. External audit opinion. Service inspections as appropriate.	5	5	25	Down	Review of Q1 financial and performance information to re assess approach as necessary.	31 July 2015	Chief Finance Officer
CMT2		Failure to achieve required budget savings of between 20-40% resulting in overspend	Budget overspend requires draw down on reserves, impacts upon ability to meet other unforeseen pressures, council unable to fund statutory services	Chief Finance Officer	6	6		36 Budget monitoring system to identify issues and prioritise mitigating actions, CMT and DMTs focus on high risk proposals to identify issues. One council project management discipline in place to ensure successful delivery. Projects at risk flagged via PMD	Governance system reviewed annually to ensure meeting challenges, minutes of Strategic Finance Group meetings and PMO board meetings. External Audit opinion. Service inspections as appropriate	5	5	25		Review of Q1 financial and performance information to re assess approach as necessary	31 July 2015	Chief Finance Officer
CMT3		Non compliance with Health and Safety legislation.	Death or injury to public or staff; criminal prosecution or civil litigation; Service stopped; Loss of public trust.	Strategic Director of Regeneration & Growth	5	4		20 H&S Policies and procedures in place Regular testing of procedures Mandatory H&S training programme Regular H&S review meetings with Property & Projects and Corporate H&S Board	1. Health & Safety Board 2. Regular Monitoring	4	3	12	None	None	N/A	Operational Director, Regulatory Services
CMT4		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.	Service delivery disruption and impact on the Council's ability to deliver critical services. Reputational damage to the borough should perpetrator of terrorism be living or radicalised within the borough.	Chief Operating Officer	6	5		30 Secondary data centre able to deliver all ICT services. All systems can be managed remotely. All staff have access to remote desktop.	Emergency Planning and Business Continuity Planning. Regular review and assessment of robustness of plans.	6	2	12	None	Lessons learnt are being incorporated into revised business continuity plans. An action plan from the recent event will address outstanding weaknesses.	October 2015	Operational Director, Community Services
COO2		Successful Judicial Challenge against the authority by way of Judicial Review and 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	None.	N/A	Chief Legal Officer