

ID1	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
ASC 1	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, 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	N/A	Head of Reablement and Safeguarding
C & YP 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 and updated approved by Cabinet November 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 Schools 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. Lobbying and work with London Councils, Education Funding Agency, Department for Education and Schools	Regular monitoring by CMT & Cabinet.	6	4	24	↔	None.	N/A	Strategic Director, Children and Young People
C & YP 2	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.	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. Review of Q1 and Q2 financial and performance information has not shown any significant unanticipated impact of service changes	3	4	12	↓	Review of Q3 financial and performance information to review further issues arising	31 January 2016	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 PMO	Monthly budget monitoring process shows forecast overspend over £2m. Actions are in place to control and mitigate this, but may not be wholly successful	4	4	16	↓	Additional CMT control of expenditure approved to enhance control	31 January 2016	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.	Director of Regeneration & Growth	6	4	24	<p>H&amp;S Policies and procedures in place</p> <p>Regular testing of procedures</p> <p>Mandatory H&amp;S training programme</p> <p>Regular H&amp;S review meetings with Property &amp; Projects and Corporate H&amp;S Board</p>	<p>1. Health &amp; Safety Board</p> <p>2. Regular Monitoring</p>	5	4	20	↑	Mazars have been commissioned to undertake an external review of the Council's Health and Safety arrangements.	31/03/16	Operational Director, Regulatory Services
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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	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	↔	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
CMT5	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 2. Internal Audit	5	4	20	New	The findings resulting from the review by the Information Commissioner's Office (ICO) are to be actioned. The report is to be presented to the January 2016 meeting of the Audit	31/03/16	Information Governance Officer
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 Legal 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 5. Counsel Advice	6	3	18	↔	Chief Legal Officer to prepare report about judicial reviews to be presented to Corporate Management Team (CMT). Development of protocol to enable Heads of Service to have better visibility on them. Training to be arranged for client departments	31/03/16	Chief Legal Officer
R&G4	Impact of government's housing and welfare reforms causes significant leading to a rise in homelessness	Increased homelessness and associated service pressures leading to an increase in use of emergency accommodation and out-of-borough placement	Operational Director Housing & Employment	6	6	36	Cross-service welfare reform approach in place. Temporary Accommodation reform plan in place to maximise homelessness prevention and private rented resolution and development of resettlement resources for out-of-borough placements.	Regular Monitoring	5	4	20	New	Mainstream of assisted self-service frontline service from April 2016, integrated with benefits and employment advice. Joint homelessness and children act assessment protocol to be developed.	30/4/16	Head of Housing Needs
R&G13	Crest Academies - risk of substantial contractor claim in respect of delay to completion of project.	Significant financial cost to council for which no budget exists.	Operational Director Property & Projects	5	6	30	Obtain appropriate legal advice in advance of a contractual claim being made and in the event that a claim is made, act according to that legal advice.	Legal advice obtained to date indicates that the anticipated claim is largely unsubstantiated and not the council's liability.	4	5	20	New	None	N/A	Operational Director Property & Projects