

STRATEGIC RISK REGISTER MARCH 2016

ID1	Identification	Impact	Owner	Raw risk	Raw like	Raw Ris	Controls	Assurance	Net risk	Net like	Net risk s	Movement	Inc	Further Actions	Deadline	Responsible
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			N/A	N/A	Strategic Director, Children and Young People
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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
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CMT1	Budget savings for 2016/17 have significant consequences for service delivery which have not been predicted as part of the budget process.	Unforeseen service delivery failure.	Chief Finance Officer	6	5	30	Budget largely agreed March 2015 (for 2016/17 savings). Therefore significant lead-in time to mitigate risk Scrutiny and equality impact processes to further mitigate risk	Governance system reviewed annually to ensure meeting challenges. External audit opinion. Service inspections as appropriate. Review of risks for 2016/17 in January and February 2016 carried out - has identified financial pressures but not significant service failure consequences	3	4	12			Ongoing performance and budget monitoring	31January 2016	Chief Finance Officer
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CMT2	Failure to achieve required budget savings in 2016/17	Budget overspend requires draw down on reserves, impacts upon ability to meet other unforeseen pressures, council unable to fund	Chief Finance Officer	4	4	16	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	4	3	12			n/a	n/a	Chief Finance Officer
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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, Regeneration & Environmental Services	6	4	24	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	5	4	20			Mazars have been commissioned to undertake an external review of the Council's Health and Safety arrangements.	31/03/16	Head of 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 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.	Strategic Director, Regeneration & Environmental Services	6	3	18	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. Lessons learned from recent tests and incidents have been signed off at CMT	6	2	12	↔	Consider where the team best sits organisationally	30/06/16	Chief Executive
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	Director, Performance, Policy & Partnership	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 3. ICO audit reported to audit committee in Jan16 and to CMT in Feb16	5	4	20	↔	The findings resulting from the review by the Information Commissioner's Office (ICO) are to be actioned. The action plan is being implemented and delivery is being tracked by the IG group An independent audit has also been commissioned for Q1 in 2016/17	30/09/16	Information Governance Officer
CWB 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	Abuse, Death or injury of vulnerable persons. Reputational damage to Council.	Strategic Director, Community & Wellbeing	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
CWB 7	Impact of government's housing and welfare reforms causes significant rise in homelessness	Increased homelessness and associated service pressures leading to an increase in use of emergency accommodation and out-of-borough placement	Strategic Director, Community & Wellbeing	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	↔	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.	30/04/16	Operational Director Housing & Culture

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R2	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
R4	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.	Strategic Director, Resources	5	5	25	Existing recruitment and retention policy and procedures	HR Improvement Group	5	4	20	New	1. Implement a Workforce Strategy and Action Plan for 2015 – 2019	16/03/16	HR Director
R11	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	↔		31/08/2016	Strategic Director, Resources
CWB 11	Failure by BHP to deliver acceptable housing management services to Brent tenants and leaseholders, or to adequately and safely maintain the council's housing assets	Increased disrepair, ASB, and associated costs and adverse impact on the welfare of tenants and leaseholders. High levels of customer dissatisfaction and adverse reputational impact for the council. Health & safety breaches and risk to residents. Delay and increased cost to stock investment	Strategic Director, Community Wellbeing	5	6	30	BHP Business Recovery Plan in place with oversight by joint BHP/ council board to remedy identified areas of under-performance. Audit investigation commissioned of stock investment programme and wider contract management performance. New interim senior leadership in place.	Regular monitoring of business recovery plan progress and KPIs. Regular client-side performance review and quarterly partnership meetings	5	5	25	New	Audit action plan produced and implemented (March) New capital contract management structure established (March) Complete implementation of Business Recovery Plan (to June). Examination of contingency housing management arrangements	01/06/2016	Operational Director, Housing & Culture