

Item/Issues	Impact	Responsible	Priority	Reported By	Current Status	Comments	Responsible	Priority	Reported By	Current Status	Comments	Responsible	Priority	Reported By	Current Status	Comments
C & YP 1	Failure to meet demand for school places. This is particularly acute in the secondary phase where demand is expected to exceed supply from 2018. The shortage of suitable sites for new secondary schools and the high costs of building or expanding secondary schools adds significant challenge.	Council unable to discharge statutory duty to provide education. Reputational damage, legal challenge, increased health and safety risks.	Operational Director Safeguarding, Performance & Strategy	6	4	18	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 6 & Cabinet.	3	18	None	There is also limited site availability for secondary schools. The only additional action the Council might take is to identify council owned sites for new secondary schools or make new site allocations in the local plan. The Council is aware of two free school applications or secondary schools in Brent. If approved these will be funded by the Df although locating sites will remain a challenge. .	N/A			Operational Director Safeguarding, Performance & Strategy
C & YP 2	Vulnerable children not adequately safeguarded. In Brent this can result in an increased risk of Child Sexual Exploitation and Radicalisation.	Abuse, Death or injury of vulnerable persons. Reputational damage to Council.	Operational Director Safeguarding, Performance & Strategy	6	4	20	Children's social work teams within the Localities and LAC & Permanency Services deal with child protection and safeguarding issues; Brent Local Safeguarding Children's Board support and challenge to partner agencies; Safer Recruitment & Training; Whistleblowing; publicity and raising awareness within the community in general; Strong partnership working with relevant agencies; oversight of performance with Members and Council Management Team; Corporate Parenting Committee; Scrutiny committee oversight; internal controls including case auditing arrangements; monitoring arrangements to track young people's progress & Performance Information (through quarterly scorecards);	2015 Ofsted inspection found that children were safe. Implementation of post-Ofsted action plan; Internal Service User Surveys; Outcomes of auditing of MASH referrals and entry to care arrangements in 2016; % performance information produced confirms ongoing assurance of systems' robustness	6	2	12	None	None.	N/A		Operational Director Safeguarding, Performance & Strategy
CMT1	Budget savings for 2016/17 to 2018/19 have significant consequences for service delivery which have not been predicted as part of the budget process.	Unforeseen service delivery failure.	Chief Finance Officer	5	4	20	No major service failures in 2016/17 identified as being directly caused by reductions to planned expenditure.	Quarterly reporting on performance to CMT and Cabinet. Service planning process to identify and therefore mitigate risk of service failure in future years. Draft budget proposals contain, relative to previous years, fewer substantial reductions in planned expenditure.	3	4	12	None	Ongoing performance and budget monitoring in line with existing systems, but no additional actions over and above normal activity planned at present, given risk profile.	31/03/17		Chief Finance Officer
CMT2	Failure to set and deliver affordable budgets over the period 2016/17 to 2018/19.	Council unable to live within its financial means and deliver affordable spending plans, leading to a financially unsustainable position over the medium term.	Chief Finance Officer	5	3	15	Budget monitoring system to identify issues and prioritise mitigating actions, and a forecast underspend in 2016/17. Potential structural risks in 2017/18 budget identified and mitigating actions in place to contain them. Draft budget proposals published which, if agreed, are at least sufficient (on reasonable assumptions) to make planned expenditure affordable up to 2018/19.	Monthly budget monitoring process. Scrutiny and consultation of budget proposals.	3	3	9	Down	n/a	n/a		Chief Finance Officer
CMT3	Non compliance with Health and Safety legislation.	Vulnerable to enforcement investigation and / or action, criminal or civil legal action, adverse financial and / or reputational impact; service disruption; loss of service	Strategic Director, 6 Resources	4	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 Health & Safety Board Regular H&S review meetings with Property & Projects and Corporate H&S Board	1. Health & Safety Board 2. Regular Monitoring	5	4	20	None	Review health and safety arrangements; Gap analysis by Corporate Health and Safety Manager measured against the OHSAS18001 standard; assess the safety climate; develop the strategic health and safety plan.	31/03/17		Head of Property, Resources
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 to 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, 6 Resources	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	None	The team has been relocated within the property service in resources. This provides for some natural synergies working closely with those responsible for the building in FM and also the team with oversight of all the authority's property assets. The resources department is where other key critical services for response are based; i.e., ICT, finance and	30/06/17		Strategic Director, Resources
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)	4	6	20	Audits of compliance, with Information Commissioner's audit complete, and all actions arising from it complete, or at worst partially complete for lower risk items. Policies and Procedures in place and have been assessed as meeting relevant industry standards Information governance forum meets quarterly and reports in to CMT to identify emerging risks and issues and to recommend action where appropriate Mandatory e-learning modules revised and rolled out to all staff with compliance regime enhanced	1. Information Governance 3 Group 2. Internal Audit 3. ICO audit reported to audit committee in Jan16 and to CMT in Feb16. Action plan implemented (or at worst partially implemented for lower risk items). IT infrastructure and hardware regularly tested to industry standard compliance, including PSN accreditation.	3	5	15	Down	Internal Audit Work to review assurance	30/12/16		Information Governance Officer
CWB1	Failure to safeguard vulnerable persons (older persons; persons with physical & learning disabilities; mental health, transitional young people and other vulnerable adults) leaving 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, 6 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
CWB7	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	Operational Director Housing	6	6	18	Cross-service welfare reform approach in place. Temporary Accommodation reform plan in place to maximise homelessness prevention and private rented regulation 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		Head of Housing Needs	

CWB11	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 programme.	Strategic Director, 5 Community Wellbeing	6	18	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	24	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	30/06/16	Operational Director, Housing & Culture	
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	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	None 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.	31/03/17	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.	HR Director	5	5	24	1. Existing recruitment and retention policy and procedures 2. Workforce 2017-2020 3. Talent Management Strategy	HR Improvement Group	4	3	12	None 1. Implement a Workforce Strategy and Action Plan for 2017 – 2020	15/03/2017	Director of HR & Organisational Development