

KEY OPERATIONAL RISKS																
ID	CAT.	RISK IDENTIFICATION (Describe risk and underlying cause)	IMPACT (Consequences of risk maturing)	Risk Owner	Inherent (raw) risk			Existing Controls	Sources of Assurance	Residual (net) risk			Movement Indicator	Further Actions	Deadline	Responsible Officer
					Impact	Likelihood	Risk Score			Impact	Likelihood	Risk Score				
Corporate Services																
CS1	Economic / Reputational	Increased acts of significant fraud or corruption due to economic down turn.	Financial Loss and damage to Council's reputation.	Clive Heaphy - Director of Finance	6	4	24	Anti-Fraud Framework; Whistleblowing Policy; Staff Code of Conduct; Audit & Investigations Unit; Conflicts of Interests Policy; Gifts and Hospitality Policy;	Audit & Investigations Reports / Investigations. NFI; Audit Comission	6	3	18		Ani-Fraud Culture promotion; fraud training across the Council and to external organisations.	Ongoing	Simon Lane - Head of Audit & Investigations
CS2	Technological/ Reputational	ICT systems failure/ severe or prolonged failure of ICT capability across the Council / breach of IT security either external or significant data loss by staff. Denial of Access. Proximity of new Civic Centre to Wembley Stadium - would take a major threat at the Stadium to have a	Service delivery disruption. Financial penalties. Serious damage to Council's reputation.	Clive Heaphy - Director of Finance.	6	5	30	ICT Strategy; Disaster Recovery Plans place; ICT projects to improve technical infrastructure (info store; OnePrint etc.); Information Governance ; S Access to Information Policy. IT Steering Group.	Test Results from Disaster Recovery Plans. IT Audits. Incident management process	6	4	24		Security Policies & Protocols in need of review and revision.;	Ongoing	Stephan Conoway - AD, Information Technology.
CS3	Economic/Financial	Customer demand increases beyond forecast	Customer demand increases and outstrips our capacity	David Oates - Head of Benefits	6	3	18	Bacs payments. Texting for CTAX reminders.	To be confirmed	5	3	15		Implement efficiency and performance management plans.	Ongoing	David Oates - Head of Benefits
CS4	Economic/Financial	Postal strikes - Postal strikes cause major disruption to HB, Ctax and NNDR services	Revenue implications, CTAX, NNDR and HB Overpayemy invoices will not be delivered.	Tim Ring - Revenues & Benefits Support Manager	6	3	18	Bacs payments. Texting for CTAX reminders.	To be confirmed	5	3	15		EBilling for Council Tax. Explore UPS etc delivery. eClaiming. - Investigate Landlord Portal.	Ongoing	Tim Ring - Revenues & Benefits Support Manager
CS5	Reputational, Legal and Financial	Do not deliver unqualified accounts by 30 Sept 2012	Reputational damage to the Council, criticism from the Audit Commssion and additional audit costs	Mick Bowden - Deputy Director of Finance, F & CS	5	5	25	Development of clear action plan and implementation of robust project management arrangements	Weekly meetings including Audit Commission to review progress	5	3	15		Continue weekly review meetings - escalate issues and risks to DoF&CS as required	30/09/2012	Mick Bowden
CS6	Reputational and Financial	Insufficient staffing to meet demands	Services from finance not valued; poor decision-making across Council; reduction in financial control	Clive Heaphy - Director of Finance	5	4	20	Monitor key pressure points and adopt a flexible approach to resourcing to best match with demands.	Feedback from customers	5	3	15		Longer term we need to consider the optimal approach to managing limited resources as part of one council review of corporate and business support	12/12/2012	Clive Heaphy - Director of Finance
CS7	Financial	Inability to plan Council finances beyond 1/4/13 due to uncertainties in funding streams	Inability to take planned approach to managing Council's services in times of reduced funding and significant legislative changes	Mick Bowden - Deputy Director of Finance, F & CS	6	5	30	Existing medium term financial strategy has element of flexibility built in and increases reserves to manage risk	Existing MTFS approved by Council	5	4	20		Need to understand implications of various changes (NNDR, CTB etc) on Brent. Also need to revisit risk cover as part of refresh of MTFS	12/12/2012	Mick Bowden - Deputy Director of Finance, F & CS
CS8	Financial, Reputational	Financial systems not fit for purpose - particularly Oracle R11	Increasing 'workarounds' employed leading to potential for errors and greater inefficiency	Mark Peart - Head of Financial Management, F & CS	5	5	25	Carefully review general IT developments to ensure no adverse affect on financial systems	Communication with IT	5	4	20		Engagement with wider ERP decision-making across the Council - including preparations for project Athena	31/03/2013	Mark Peart - Head of Financial Management, F & CS
CS9	Financial, Reputational	Inadequate security within oracle systems	Potential for fraud	Mark Peart - Head of Financial Management, F & CS	5	3	15	Ongoing reviews of access rights ensuring appropriate	Oracle security reviews	4	2	8		Continued implementation of actions from last audit review	30/09/2012	Mark Peart - Head of Financial Management, F & CS

Movement since last

ID	CAT.	RISK IDENTIFICATION (Describe risk and underlying cause)	IMPACT (Consequences of risk maturing)	Risk Owner	Inherent (raw) risk			Existing Controls	Sources of Assurance	Residual (net) risk			Movement Indicator	Further Actions	Deadline	Responsible Officer
					Impact	Likelihood	Risk Score			Impact	Likelihood	Risk Score				
CS10	Financial, Reputational	Pension Fund valuation position does not improve	Increasing drain on Council resources	Mick Bowden - Deputy Director of Finance, F & CS	5	5	25	Strategic asset allocation review undertaken and recruitment of new Head of Service underway	Monitoring of fund manager performance	5	4	20		Implement actions from asset allocation review; swift induction of new HoS; effective performance management of fund managers	31/03/2013	Mick Bowden - Deputy Director of Finance, F & CS
CS11	Economic/Financial	Issufficient capacity to provide high level HR support to meet the needs of One Council Projects. Failure to deliver key projects such as Public Health Integration, Employee Benefits, Business Support & Systems Review and Move to Civic Centre due to lack of resources & planning	Failure of / delays in delivery of key One Council Projects. Project overruns, poor specifications resultimng in CRs, requirements not properly defined; balancing of projects and BAU trade off; increase in level of customer complaints.	Cara Davani - Interim Head of HR, People & Development	4	5	20	Early discussion of resource requirements and timeliness. Project managers meet with AD & ? Prior ro commencement of projects and agree HR resource requirements and detail these in PID.	None indicated - awaiting confirmation from Raj	2	1	2		None indicated	01/06/2012	Cara Davani - Interim Head of HR, People & Development, F & CS
CS12	Technical/Economic/Financial	HR Oracle Project Athena - Migration to new system; HR Oracle Project not completed whin projected timeline(Oct 2012); and need to extend contracts for Payroll (Logica); Recruitment (I-grasp); and talent management (ETWEB) for additional period (5-6 months)	Incorrect payment to staff will iand systems issues will impact on sucessful implementation. Financial implication of extending existing contracts could impact service delivery.	JL; Raj Soni-Alagh - Employee Services & Business manager; A;Andrew Walker - Project Manager	4	3	12	Not known - awaiting confirmation from Raj	None indicated - awaiting confirmation from Raj	2	1	2		Risk will need to be managed by Oracle Project manager. Review meetings scheduled to discuss future of existing contracts	30/10/2012	Andrew Walker - Project Manager
CS13	Economic/Financial	Investment in People (IIP) - IIP process not supported by key stakeholders at a senior level or by departmental management teams. Appraisal process continues to be inconsistently adhered to thus resulting in significant number of appraisals not being completed. Incomplete picture of staff engagement and engagement issues not addressed. No clear picture of values and future direction of organisation thus affecting staff emgement; performance & development planning. Processes and changes affecting Council in last 18-24 months and ongoing may negatively impact staff perceptions of the Council's people management arrangements and thus the IIP review.	Failure of Council to achieve IIP Gold Award	Cara Davani - Interim Head of HR; IIP Board & CMT	3	3	9	Processes to support and encourage completion of appraisals are in place; meeting with IIP assessor has been undertaken and a project arrangement is in place.	None indicated - awaiting confirmation from Raj	0	0	0		A report to be presented to CMT in May 2012 seeking support and decision for IIP accreditation in May 2012. The IIP Action Plan will address controls to mitigate risks and identify actions required to move from silver to gold.	01/04/2013	RC?
CS14	Reputational	Loss of Significant Amount of Client Personal Data	Reputation loss through the association of the Brent Council name with disruptable and unethical activities, potential law suites and potential fine from the Information Commissioner.	Raj Seedher	5	2	10	High level of security in operations, on-going in house user training, continued vigilance, continuous monitoring a reporting.	ITU Operational Management	4	1	4		Introduction of new Security Regime as part of the NBCC fit out. Continued attention to detail in security provision.	1.4.2013	S. Conaway
CS15	Reputational / Economic	Risk of not complying with Human Rights Act and Regulation of Investigatory Powers Act	Legal challenge, abuse of process claims, likely loss of case, adverse publicity, legal costs, possible cost award for breach of HR	Simon Lane	4	6	24	Regular monitoring Management overview within A&I RIPA procedures and training in place Corporate group ensures on-going compliance External audit by Office of the	Legal Services Audit OSC Reports Surveillance Log	4	1	4		None		
CS16	Operational	Failure to Plan for Single Fraud Investigation Service	Loss of staff leading to reduced ability to deal with fraud, changing policy and practice driven by DWP leading to perverse decisions, staff morale and performance issues	Simon Lane	4	4	16	Attendance at Security Operations Group to maintain oversight of DWP plans. Lobbying for future of LA fraud investigation through Fighting Fraud Locally oversight board	Reports by Head of A&I	4	3	12		None		
CS17	Reputational / Economic	DPA Compliance - either inappropriate access / release or data loss	Loss of sensitive data leading to reputational damage and possible fines by information commissioner.	Simon Lane	4	6	24	Standing instructions to staff regarding disclosure provisions. DPA training. Use of encryption. Complinace with data security standards. Regular reminders at team meetings	Staff completing DPA on line training. Team meeting minutes	4	1	4		None		

Movement since last

ID	CAT.	RISK IDENTIFICATION (Describe risk and underlying cause)	IMPACT (Consequences of risk maturing)	Risk Owner	Inherent (raw) risk			Existing Controls	Sources of Assurance	Residual (net) risk			Movement Indicator	Further Actions	Deadline	Responsible Officer
					Impact	Likelihood	Risk Score			Impact	Likelihood	Risk Score				
CS18	Reputational	Corruption of member of staff	Serious damage to credibility of unit, affect on ability to continue to provide valued service	Simon Lane	6	2	12	Case supervision, management checks, intial employee vetting	Case notes from in case system, personnel files	6	1	6		None		
CS19	Reputational / Economic	Serious Assault on / Injury of member of staff	Detrimental effect on team morale and performance, possible claim against the authority	Simon Lane	3	4	12	Confrontation training, visiting procedure, comms equipment, protective equipment	Procedure notes, training files	3	2	6		None		
CS20	Legal / Economic	Audit Contractor Default	Inability to provide statutory minimum coverage, reputation loss amongst service areas/schools, repeat work required, costs of procuring additional coverage, service failure	Simon Lane	5	1	5	Use of recognised contractor, regular reviews and montioring. Framework provision provides resilience	Contract documentation	2	1	2		None		
CS21	Reputational / Economic	Failure of audit to identify widespread irregularity	Reputation damage and loss of confidence in service	Simon Lane	3	6	18	Adequate training and briefing of staff, working paper review, supervision of internal and contractor staff	Audit working papers	3	4	12		Increase briefing sessions for Audit Staff	31st May 2012	Simon Lane
							0					0				
							0					0				

Movement since last