

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
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Strategy, Partnership & Improvement																
SPI1 (locally PP2)	reputational, operational, financial	failure to have service plans in place	lack of synergy between local and corporate objectives would result in failure to deliver the corporate strategy	Mary Stein	6	4	24	1. Departmental scorecard monitoring. 2. Quarterly performance and finance review. 3. High Level Monitoring review.	performance management framework	3	1	3		Quarterly scorecard monitoring	September 2012 (next update)	Mary Stein
SPI3 (CC1)	reputational	Maintaining the reputation of the complaints service as an effective one	adverse findings by the ombudsman to be kept to a minimum and fewer complaints upheld at final stage	Phillip Mears	6	3	18	1. Maintaining effectiveness of staff through regular training. 2. Annual complaints report sent to committee.	annual report, DMT updates, appraisals, key performance indicators	3	1	3		1. continuous reviewing training programme (complaints process to go to 2 stages only from April 2012)	July 2012 (next update)	Phillip Mears
SPI4 (CC2)	legal and statutory	risk of breaching Government Connect data security arrangements	large number of client files containing restricted and sensitive data which could be accessed by people who are not entitled to see the information due to inadequate file storage arrangement.	Phillip Mears	6	6	36	1. locking data away in lockable filing cabinets. 2. scanning all hard copy documents, all new complaints scanned. 3. more effective file management procedures	secure iCasework system	4	4	16		1. introducing file management procedures to reduce number of hard copy documents retained. 2. Investigating scanning hard copy documents (new ones scanned now, rest via infostore project). 3. introducing locked filing cabinets for as much of the data as possible. 4. Removal of all paper	July 2012 (next update)	Phillip Mears
SPI5 (CC4)	reputational	Risk of escalation to the Ombudsman of complaints from vulnerable people about the council's Community Care service	Damage to reputation of the council as a whole. (The Community Care service now provides data about complaints against their service)	Phillip Mears	4	4	16	1. Closer monitoring by corporate complaints manager of ASC complaints. 2. Improve the quality of ASC investigations through improved training programme.	Key performance indicators, appraisals and staff training programmes, annual report	1	1	1		1. Workshops to improve quality of ASC investigations underway.	July 2012 (next update)	Phillip Mears
SPI6 (SP4)	political & reputational	To help members of Overview and Scrutiny committees to deliver work programmes that engage all councillors with the One Council programme, performance matters and partnerships	Failure to engage committees will leave the Council vulnerable to accusations of inadequate levels of accountability and governance	Jacqueline Casson	6	3	18	Provide ongoing support to the administration to help shape and deliver the Overview and Scrutiny work programme	member surveys, scrutiny meetings, internal reports	6	1	6			Apr-13	Jacqueline Casson
SPI7 (PMO1)	Financial	There is a risk that projects will not deliver budgeted savings or cost more than budgeted	The council's budget strategy would not be delivered	Peter Stachniewski	6	5	30	1. Robust business cases and roject Initiation Documents. 2. Regular progress reports through Project Status Reports 3. Monitoring of overall financial costs and savings at fortnightly meetings of the One Council Programme Board	Reports to Project Boards and One Council Programme Board	4	2	8		1. Control (outlined previously) monitored on a 2 weekly basis and reported to programme board	ongoing	Peter Stachniewski
SPI8 (PMO2)	Reputational	There is a risk that the impact of changes in the One Council Programme on external stakeholders is not managed.	A negative impact on the reputation of the council.	Peter Stachniewski	6	6	36	1. Effective project planning so that impacts are identified at eraly stage (concept, business case, PID) 2. All projects have communications plans and an allocated communications officer 3. Consultation where Equality Impact Assessments identify impact 4. Regular briefings/reports for	Reports to Project Boards and One Council Programme Board	6	3	18		1. A second round of recruitment completed (14 staff appointed: 1 project manager, 5x project delivery officers, 6x business analysts)	completed	Peter Stachniewski
SPI9 (PMO3)	Service delivery	There is a risk that the extent of change through individual One Council projects and through the One Council Programme as a whole impacts on staff morale and motivation	Project benefits do not get delivered	Peter Stachniewski	4	6	24	1. Individual project communication plans 2. Staff briefings and consultation as part of individual projects	Reports to Project Boards and One Council Programme Board	4	5	20		1. CEX now leading discussions with directors on comms messages around the overall change agenda. 2. A co-ordinated approach is being developed to managing communications and change management across One Council projects that affect the whole	30-Sep	Peter Stachniewski

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SPI10 (CS1)	financial	Budget/external funding - failure of central government to continue funding	already 45% has been lost compared to previous financial year and are expecting to lose another 20% before March 2012. This is one of the 4 key community priorities in Brent	Genny Renard	6	6	36	Three new partnerships have been forged with Voluntary Sector additional agencies and some funding obtained however this is year on year precluding long term planning. 80% of staff have been training in commissioning and obtaining best value for money. Work is being developed to set up the Overview and Scrutiny panel look at partnership working and funding	internal, Committee reports, key performance indicators, external key performance indicators, national frameworks.	4	4	16	down	Work is ongoing to make best use of all funding opportunities . Working with the Police we are undertaking a neighbourhood crime and nuisance work to make sure we are achieving best value. Government funding has been secured to undertake a effectiveness and value for money review of DV services	September 2012 (next update)	Genny Renard
SPI11 (CS2)	operational	Lack of skills set in the community safety team	Inability to deliver targets not met For imperative-high-risk targets and work additional budget demand	Genny Renard	6	6	36	1. Continuous mentoring and teaching sessions. 2. To keep training packages up to date due to legislative changes. 3. Seeking out all opportunities for training and shadowing.	internal, Committee reports, key performance indicators, external key performance indicators, national frameworks.	5	3	15	down	All staff have traing programme and work programme in place. Work with HR continues to make sure team format and skills meet the needs of the ecver changing agenda	September 2012 (next update)	Genny Renard
SPI12 (CS3)	social & community, reputational, operational	Protection of visitors and residents during Olympic 2012 period	Other host cities have seen an increase in crime. Prostitution and trafficking of male and female sex trade workers increased exponentially and never returned to pre-game level. This has implications for safeguarding children, immigration and unaccompanied minors.	Genny Renard	6	6	36	1. Continuing to revisit the intelligence on the current sex-trade within Brent. 6 brothels have been closed to dampen down the existing trade to manage anticipated increase. Excellent contacts with UK border agency, landlords and community groups nave been made to increase the levels of knowledge	internal, Committee reports, key performance indicators, external key performance indicators, national frameworks.	4	4	16		Currently making full use of all powers available, also developing support package for sex trade workers in appropriate languages	September 2012 (next update)	Genny Renard
SPI13 (CS4)	operational	reduction in staff numbers in partner agencies	Increased partnership working is ameliorating some negative effect on influencing and the ability to deliver in terms of both the operational delivery and strategic planning. Political outcomes of mayoral elections have meant there has been not change policy, announcement anticipated regarding neighbourhood policing post olympics.	Genny Renard	6	6	36	1. Lobbying central government and London administration. 2. Working more closely with partners to ensure no overlaps and improving focus on key objectives (e.g. most vulnerable victims). Risks due to current staff changes in partner agencies. 3. looking for additional funding sources (every bid successful). 4.	internal, Committee reports, key performance indicators, external key performance indicators, national frameworks.	4	4	16		1. continuous bidding for additional funding. 2. skills audit ongoing (100% completed Jan 2012) with a view to skills sharing, expanded to partners Jan 2012. 3. service the new overview and scrutiny panel	September 2012 (next update)	Genny Renard
SPI14 (CS5)	social & community	Increase in violence against women and girls (domestic violence) in Brent	also incorporates forced marriage, honour killings and genital mutilation. Possible increase due to economic downturn (expected).	Genny Renard	6	6	36	1. Working with GLA on a pan-London programme to identify and support those at risk of genital mutilation, particularly through education system. 2. working with mosques and other religious groups to elevate status of women and clarifying the law in this area. Collaboration with other boroughs	internal, Committee reports, key performance indicators, external key performance indicators, national frameworks.	6	4	24		1. training and information for enforcement officers (100% achieved). 2. DV agencies are monitoring current situation and asking inquisitive questions of women and girls entering refuge (50% achieved). 3. developing a training programme for GPs, midwives and health visitors (20%	September 2012 (next update)	Genny Renard
SPI15 (PA1)	community	Not having a sustainable Community Strategy	Lack of consistent performance management results in a failure to deliver our Sustainable Community Strategy - Brent Our Future 2010 - 2014	Joanna McCormick	6	4	24	1. Partnership Performance Management Framework introduced	key performance indicators, performance reports,internal audit reports, performance and finance review	4	4	16		1. Review and revise the framework in relation to changes in policy following elections	Sep-12	Joanna McCormick
SPI16 (PA2)	operational	lack of public sector resources	Failure to align or pool resources of Brent partners effectively to provide the best outcomes for residents	Joanna McCormick	6	6	36	1.Revised structure of LSP and engagement with place based budgeting agenda (ON HOLD)	Performance and finance review	4	4	16		1. Identify priority areas where commissioning as a partnership will achieve greater impact and efficiency	Sep-12	Joanna McCormick
SPI17 (PA3)	operational	Silo working by partners	Lack of engagement with shared priorities and service delivery as a result of public sector cuts	Joanna McCormick	6	6	36	1. Partners Executive Board implemented	performance reports	4	4	16		1. Agree an appropriate plan for each case	ongoing	Joanna McCormick
SPI18 (PA4)	operational	Weak relationship with CVS Brent (Council for Voluntary Service)	Progress in development of partner organisation impede decision making and progress	Joanna McCormick	6	4	24	1. Input to Voluntary Sector Strategy Development. 2. Arrangement of support for CVS Brent. 3. Quarterly monitoring of grant agreement.	performance reports, feedback from service users, external advisors	4	4	16		1. Implement voluntary sector strategy. 2. Improve relationship with key individuals in Community and Voluntary Sector.	1. sep 2012 and 2. mar 2014	Joanna McCormick

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SPI19 (PA5)	community, reputational	Lack of community engagement	failure to ensure effective, coordinated community engagement by partners	Joanna McCormick	4	6	24	1. amended Engagement Strategy. 2. One Community, Many Voices implementation	complaints records, feedback from service users	1	3	3		1. implement action plan (CMT paper). 2. Revise voluntary sector partner memberships.	1. July 2012 and 2. Dec 2012	Joanna McCormick
SPI20 (PA6)	reputational	damage to council reputation	ineffective partnership working affects council reputation	Joanna McCormick	6	6	36	1. new partnership training being developed. 2. Advisory leads group action. 3. Voluntary sector officer group.	complaints records, feedback from service users	4	4	16		1. amendment of current website	Jul-12	Joanna McCormick
SPI21 (PA7)	financial, reputational	Project not delivered according to grant agreements	failure to ensure value for money delivery or projects funded with discretionary funding from the council	Joanna McCormick	6	6	36	1. new bidding process. 2. new monitoring process. 3. voluntary sector officer group.	key performance indicators, performance reports,internal audit reports, performance and finance review, complaints records, feedback from service users	4	4	16		1. quarterly budget monitoring. 2. quarterly performance monitoring. 3. voluntary sector liaison forum	1. May 2012, 2. Jul 2012, 3. July 2012	Joanna McCormick
SPI22							0					0				