

## Strategic Risk/Opportunity Register – 26 January 2010

Owner: Corporate Strategy Performance Board

1. Fail to plan for adverse developments in the wider economy (AT)
2. Fail to address the funding gap in the medium term (MB)
3. Fail to actively contribute to sustaining the environment (BH)
4. Ineffective partnership working within our Strategic Partnership (TW)
5. Impact of changing demographics not anticipated (PN)
6. High profile service failure (PC)
7. Failure to achieve a culture in the organisation that supports the Council's vision and priorities (??)
8. Failure to be an employer of choice (TW)
9. Damage to Council Reputation (HP)

A = > 80% (almost certainly will occur)

B = 51-80% (more likely to occur than not)

C = 25-50% (fairly likely to occur)

D = 10-24% (low but could occur)

E = 3-9% (extremely unlikely)

F = 0-2%

<b>A</b> Very High				
<b>B</b> High				
<b>C</b> Significant		1, 7	4, 5, 6	
<b>D</b> Low			2, 3, 8, 9	
<b>E</b> Very Low				
<b>F</b> Almost Impossible				
	<b>4</b> Negligible	<b>3</b> Marginal	<b>2</b> Critical	<b>1</b> Catastrophic

4 =  
Trivial effect on services

3 =  
Small effect on services

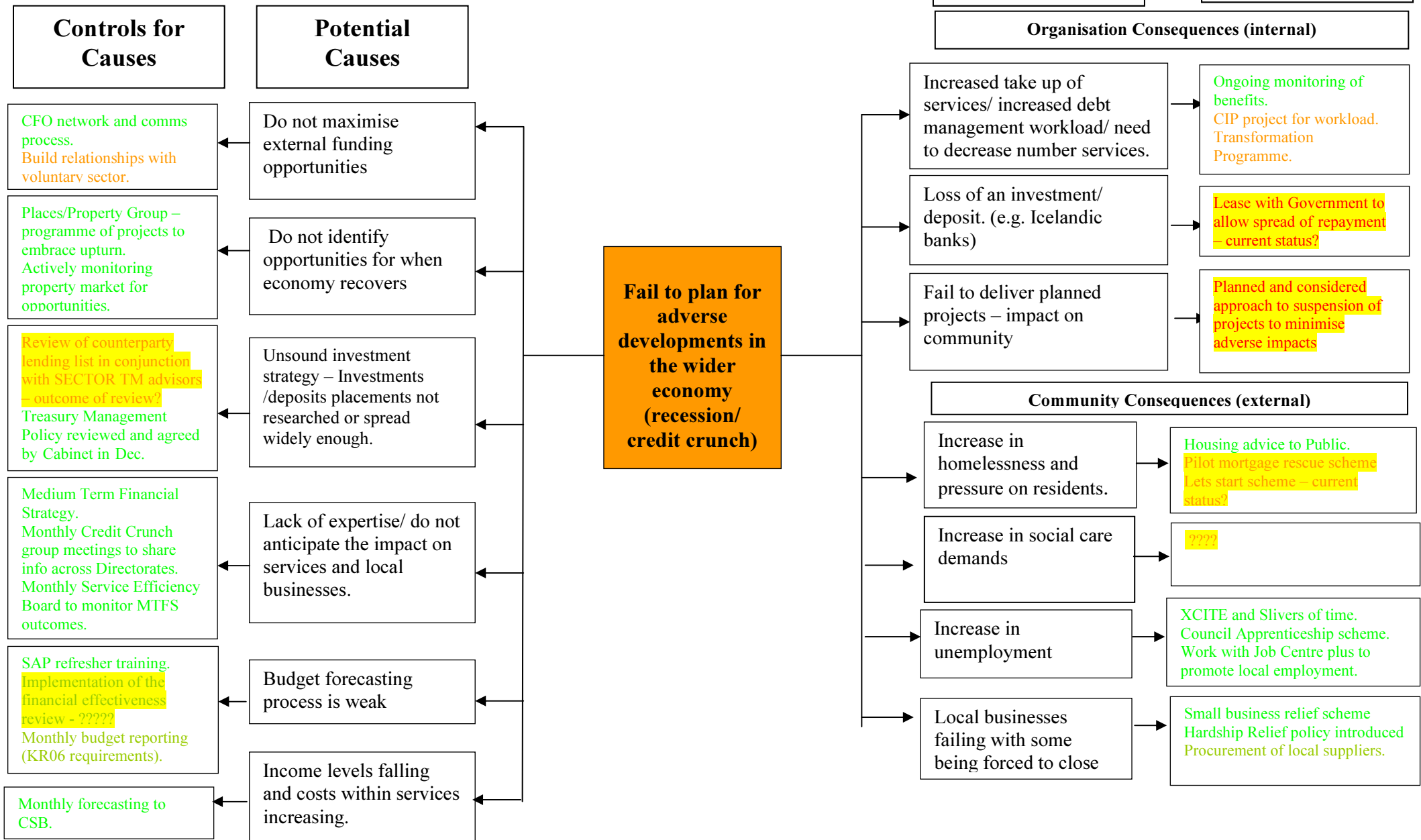
2 =  
Serious disruption to services

1 =  
Services could not be sustained

### Corporate Priorities 2009/10

- 1 – Deliver cleaner and safer streets
- 2 – Improve support for vulnerable people
- 3 – Building stronger communities

# Strategic Risk No 1 – Developments in Wider Economy



<b>Rating: C3</b> <b>Likelihood: Significant</b> <b>Impact: Marginal</b>	<b>Champion:</b> <b>Andrew Trehern</b>	<b>Corporate Priority:</b> <b>All</b>	<b>Control Key</b> Existing controls Work Ongoing Needs actioning
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**Strategic Risk Action Plan**

Risk Number	Current Risk Score	Target Risk Score	Risk Description	Risk Champion	Risk Owner
1	C3	D3	Fail to plan for adverse developments in the wider economy	Andrew Trehern	CSB

**Controls already in place to address risk**

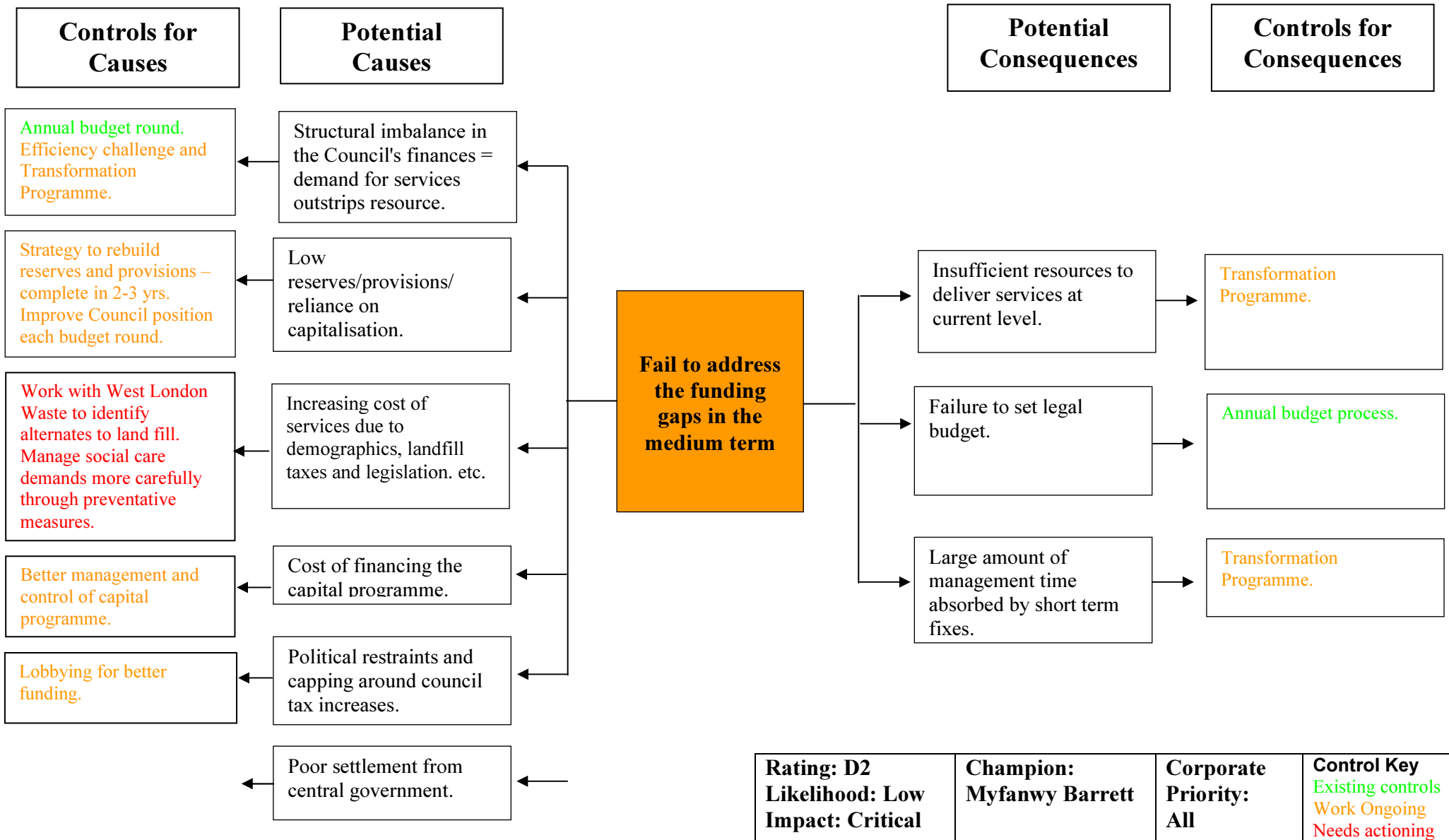
- CFO network and comms process.
- Places/Property Group – programme of projects to embrace upturn.
- Actively monitoring property market for opportunities.
- Treasury Management Policy reviewed and agreed by Cabinet in Dec.
- Medium Term Financial Strategy.
- Monthly Credit Crunch group meetings to share info across Directorates.
- Monthly Service Efficiency Board to monitor MTFS outcomes.
- SAP refresher training.
- Monthly budget reporting (KR06 requirements).
- Monthly forecasting to CSB.
- Ongoing monitoring of benefits.
- Housing advice to Public.
- XCITE and Slivers of time.
- Council Apprenticeship scheme.
- Work with Job Centre plus to promote local employment.
- Small business relief scheme
- Use of local suppliers.

L I K E L I H O O D	<b>A</b> Very High				
	<b>B</b> High				
	<b>C</b> Significant		*		
	<b>D</b> Low				
	<b>E</b> Very Low				
	<b>F</b> Almost Impossible				
		<b>4</b> Negligible	<b>3</b> Marginal	<b>2</b> Critical	<b>1</b> Catastrophic
IMPACT					

What else we will do to address this risk?	How we will do it?	By when?	By who?	Update (incl complete, work in progress, not started)
PLEASE INCLUDE ALL CONTROLS THAT ARE UNDERWAY OR PLANNED (AMBER OR RED COLOURED)	??	??	??	??
CIP projects for workload	Reduce number of projects/flagship actions	March 2010	CSB	Challenge panels, draft capital programme 10/11, draft Corporate Plan 10/11
Transformation Programme	Reduce number of services	Better Deal for	Project	Strategic BC complete;

What else we will do to address this risk?	How we will do it?	By when?	By who?	Update (incl complete, work in progress, not started)
	delivered; Future Operating Model; cross cutting efficiency reviews work streams	Residents programme	sponsors/leads	programme of outline and FBC commenced.
Planned and considered approach to suspension of projects to minimise adverse impacts	Better Deal for Residents Place Shaping Property Review	Better Deal for Residents programme	Project sponsors/leads	Capital Forum and Service Efficiency Board approval process;

## Strategic Risk 2 – Funding Gaps



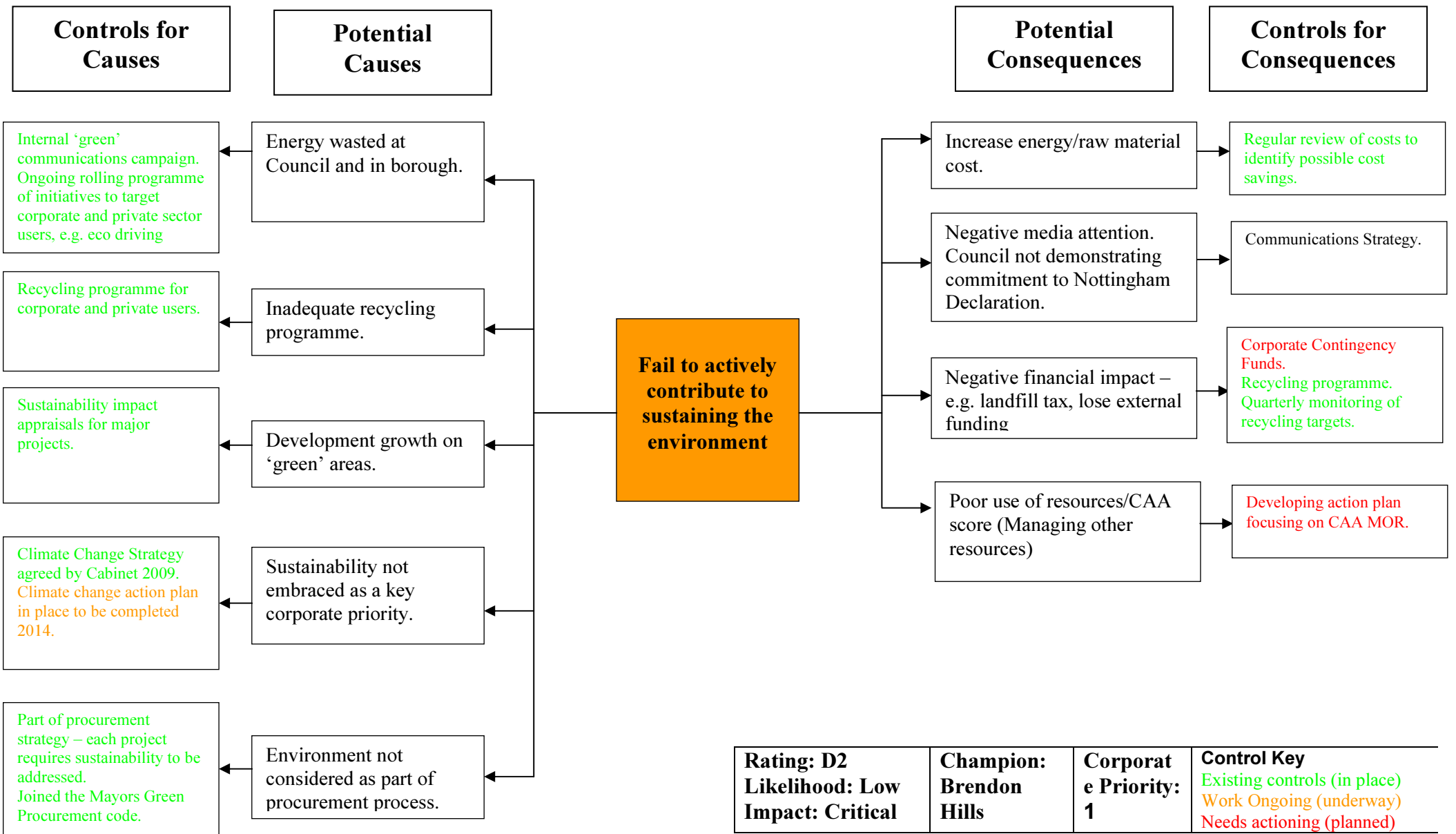
## Strategic Risk Action Plan

Risk Number	Current Risk Score	Target Risk Score	Risk Description	Risk Champion	Risk Owner
2	D2	E3	Fail to address the funding gaps in the medium term.	Myfanwy Barrett	CSB
<p><b>Controls already in place to address risk</b></p> <ul style="list-style-type: none"> <li>Annual budget round and budget process.</li> </ul>					

L I K E L I H O O D	<b>A</b> Very High				
	<b>B</b> High				
	<b>C</b> Significant				
	<b>D</b> Low			*	
	<b>E</b> Very Low				
	<b>F</b> Almost Impossible				
		<b>4</b> Negligible	<b>3</b> Marginal	<b>2</b> Critical	<b>1</b> Catastrophic

What we will do to address this risk?	How will do it?	By when?	By who?	Update (incl. complete, work in progress, not started).
Annual budget round	Update report to Cabinet on Budget in October.	Oct 2009	Myfanwy Barrett	Completed
	Publish draft budget in December. Submit final budget in February.	Dec 2009 Feb 2010		Completed
Improved management and control of Capital Programme.	Guidance to be issued linking Capital Programme with priorities of Council.	Sept 2009	Steve Tingle	Completed – guidance issued.
Lobbying for better funding	Through London councils, targeting DCLG.	2010/11	Myfanwy Barrett	
London efficiency challenge - obtain guidance and advice from challenge.	Review findings.	June 2010	Myfanwy Barrett	
Transformation Programme	Identify ways to fill funding gaps in medium to long term period.	April 2010	Myfanwy Barrett / Prog. Board	

## Strategic Risk 3 – Sustaining the Environment



## Strategic Risk Action Plan

Risk Number	Current Risk Score	Target Risk Score	Risk Description	Risk Champion	Risk Owner
3	D2	E2	Fail to actively contribute to sustaining the environment	Brendon Hills	CSB

### Controls already in place to address risk

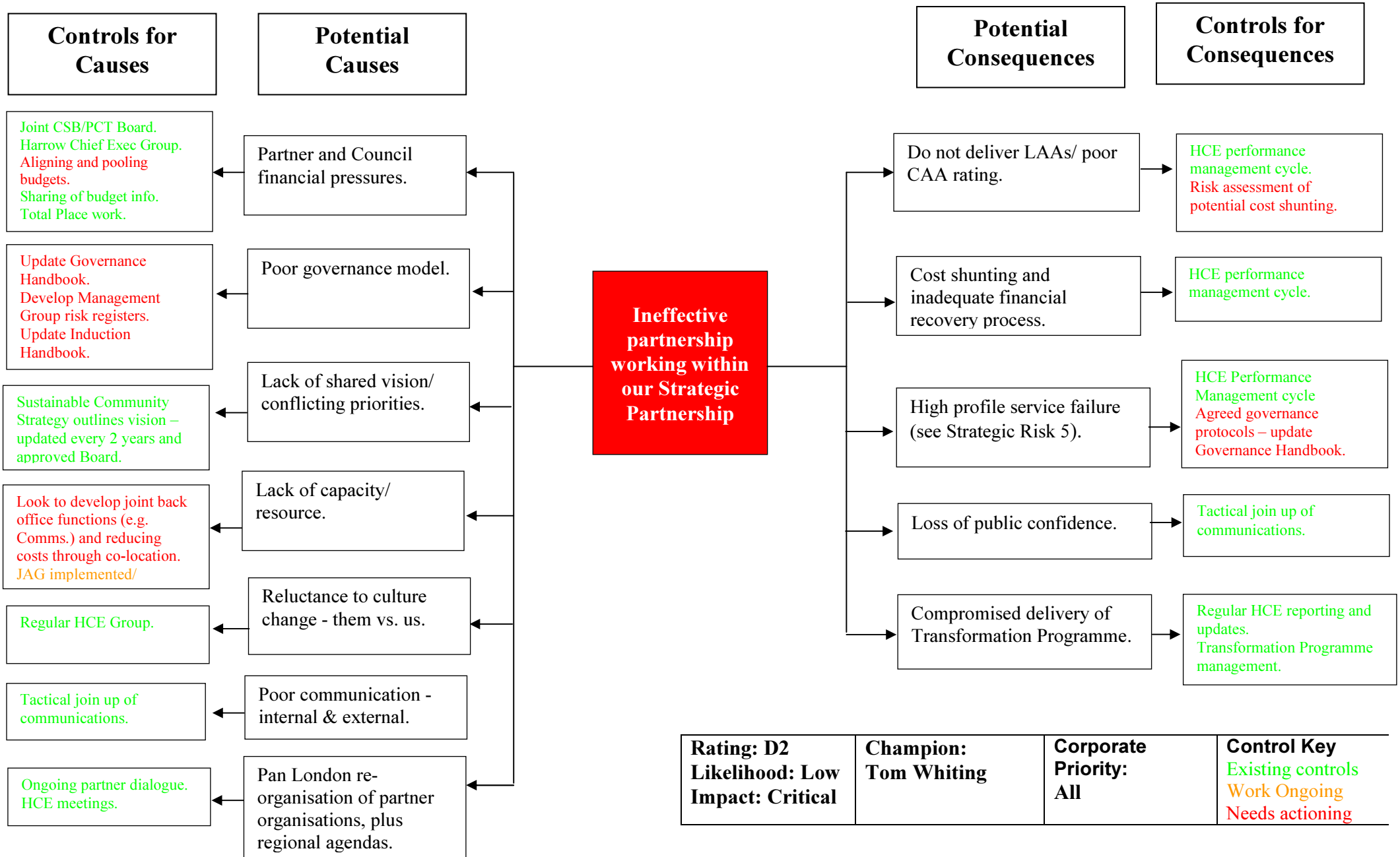
- Internal 'green' communications campaign.
- Ongoing rolling programme of initiatives to target corporate and private sector users, e.g. eco driving scheme.
- Recycling programme for corporate and private users.
- Climate Change Strategy agreed by Cabinet 2009.
- Environmental implications considered on Cabinet reports with sign off.
- Part of procurement strategy – each project requires sustainability to be addressed.
- Joined the Mayors Green Procurement code.
- Regular review of costs to identify possible cost savings.
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- Recycling programme.
- Quarterly monitoring of recycling targets.

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	<b>B</b> High				
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	<b>F</b> Almost Impossible				
		<b>4</b> Negligible	<b>3</b> Marginal	<b>2</b> Critical	<b>1</b> Catastrophic
IMPACT					

What we will do to address this risk?	How we will do it?	By when?	By who?	Update (incl. complete, work in progress, not started)
Deliver of Climate Change Strategy Action Plan.	Implement action plan.	2014	Andrew Baker	
Corporate Contingency Funds	Consultation with CSB.	Q2 2010	Myfamwy Barrett	
Develop CAA Action Plan	Identify and gather evidence to satisfy CAA criteria.	End Feb 2010	Mike Brown	



## Strategic Risk 4 – Partnership Working (HSP)



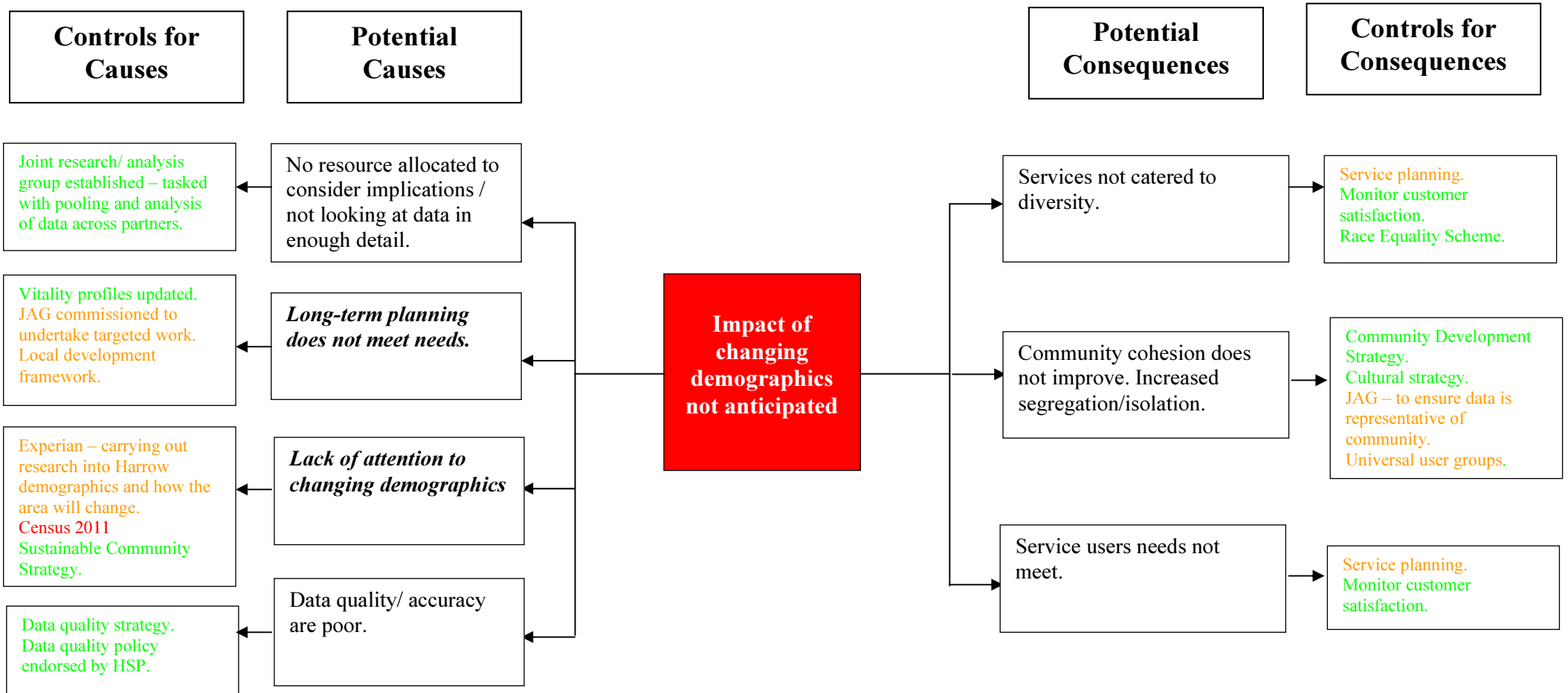
## Strategic Risk Action Plan

Risk Number	Current Risk Score	Target Risk Score	Risk Description	Risk Champion	Risk Owner
4	C2	D2	Ineffective partnership working within our Strategic Partnership	Tom Whiting	CSB
<p><b>Controls already in place to address risk</b></p> <ul style="list-style-type: none"> <li>• Joint CSB/PCT Board.</li> <li>• Harrow Chief Exec Group – regular meetings and reporting/updates.</li> <li>• Sharing of budget info.</li> <li>• Total Place work.</li> <li>• Sustainable Community Strategy outlines vision – updated every 2 years and approved by Board.</li> <li>• Tactical join up of communications.</li> <li>• Ongoing partner dialogue.</li> <li>• HCE performance management cycle.</li> <li>• Transformation Programme management.</li> </ul>					

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IMPACT					

What else we will do to address this risk?	How we will do it?	By when?	By who?	Update (incl, complete, work in progress, not started)
CAA lessons learnt process	Post CAA review.	November 2009	Mike Howes	Completed
Improved performance management.	Review of performance reporting.	November 2009	Alex Dewsnap	Completed
Review of HCE group	Independent review and recommendations.	October 2009	Alex Dewsnap	Completed
Governance mapping	Map HSP governance relationships.	August 2009	Alex Dewsnap	Completed
Aligning and pooling budgets.	Through Total Place, e.g. re-ablement.	April 2010	Paul Najsarek	
Cost shunting risk assessment.	Risk assessment.	April 2010	Myfamwy Barrett	
Update HSP Governance Handbook and Induction Handbook.	Review and update.	April 2010	Trina Taylor	
Develop HSP Management Group risk registers.	Joint working with Interim Risk Manager, HSP Management Groups and Policy & Partnerships	May 2010	Trina Taylor	
Develop back office functions and reducing costs through co-location.	Initial scoping discussion with partners.	December 2010	Tom Whiting	

## Strategic Risk 5 – Changing Demographics



<b>Rating: C2</b> <b>Likelihood: Significant</b> <b>Impact: Critical</b>	<b>Champion:</b> Paul Najsarek	<b>Corporate Priority:</b> 2/3	<b>Control Key</b> Existing controls Work Ongoing Needs actioning
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**Strategic Risk Action Plan**

Risk Number	Current Risk Score	Target Risk Score	Risk Description	Risk Champion	Risk Owner
5	C2	D2	Impact of changing demographics not anticipated.	Paul Najsarek	CSB

**Controls already in place to address risk:**

- Joint research/ analysis group established – tasked with pooling and analysis of data across partners.
- Vitality profiles updated.
- Sustainable Community Strategy.
- Data quality strategy.
- Data quality policy endorsed by HSP.
- Monitor customer satisfaction.
- Race Equality Scheme.
- Community Development Strategy.
- Cultural strategy.
- Monitor customer satisfaction.

**Comment on Potential Causes:**

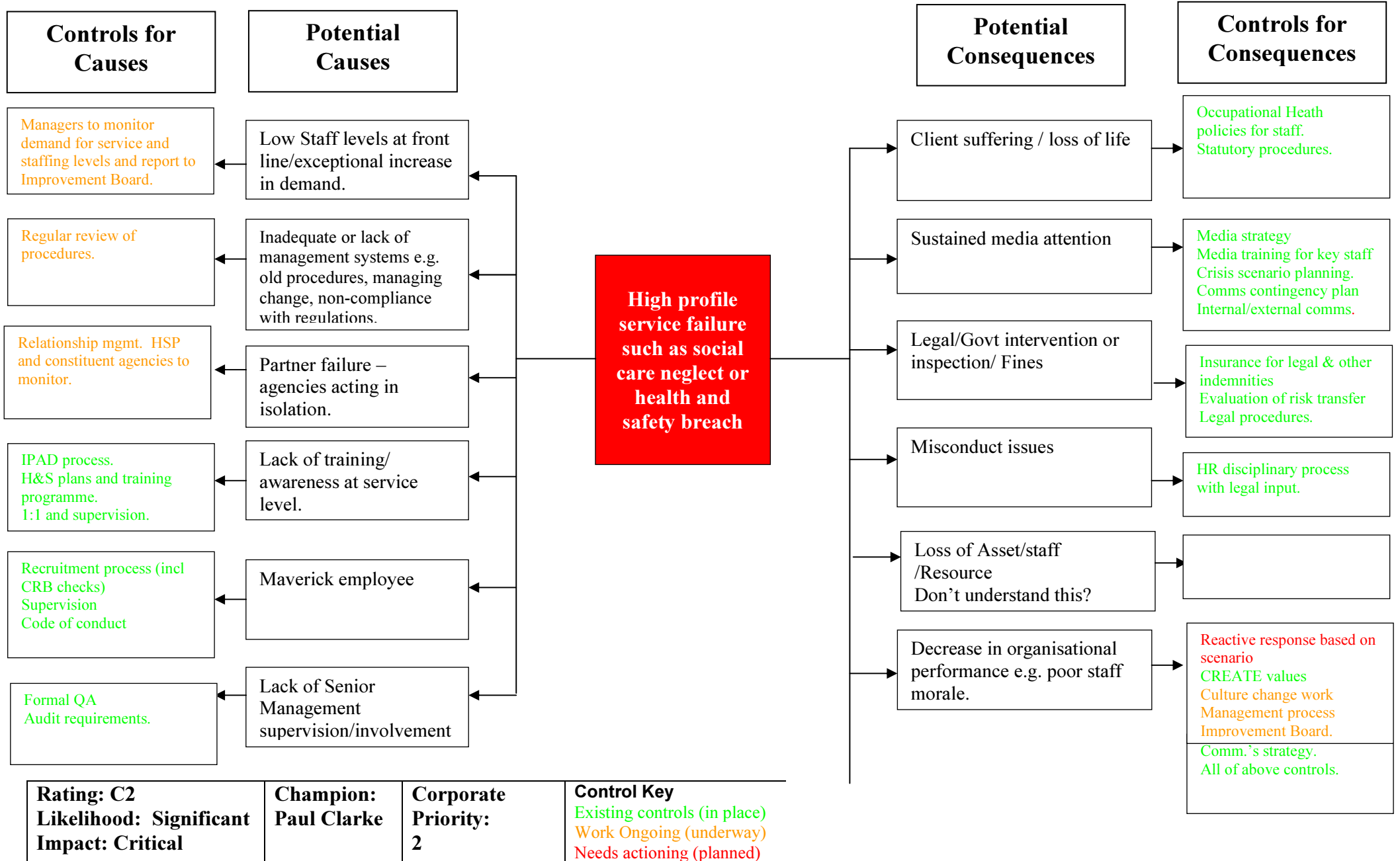
**Long term planning does not meet needs:** Current service planning process or medium term financial strategy do not take changing demographics in the longer term into consideration. Currently across the board, the Council does not use known data and predictions in their planning processes and the response to such changes is very reactive. The group felt that while areas such as Adults and Children’s were the obvious ones that attention tended to be focused on, wider implications of changing demographics on other areas should also be addressed.

**Lack of attention to changing demographics:** There is a lack of attention being given to changing demographics across the Council and Members/Senior Managers need to ensure there is adequate awareness and attention to this area.

L I K E L I H O O D	<b>A</b> Very High				
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	<b>D</b> Low				
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	<b>F</b> Almost Impossible				
		<b>4</b> Negligible	<b>3</b> Marginal	<b>2</b> Critical	<b>1</b> Catastrophic
IMPACT					

<b>What we will do to address this risk?</b>	<b>How we will do it?</b>	<b>By when?</b>	<b>By who?</b>	<b>Update (incl. complete, work in progress, not started)</b>
Look at future needs of ageing Asian population in Harrow.	While there are lobby groups and work being done around single issues, there is a lack of a strategic joined up approach to this issue	April 2010	Paul Najsarek	
Explore possibility of using the Mayhew Study, similar to Westminster and Brent in order to arrive at a more accurate database than from the census.	Possibilities of government grant to be considered as part of this work.	March 2010	Sue Kaminska	
Look at piece of work to ascertain why people move out of the Borough.		As resources allow.	David Harrington	
Group to meet on a regular basis to discuss this risk going forward.	Meet quarterly in lead up to the quarterly update of the Strategic Risk Register.	Quarterly	Judy Cook	
Continue to link work with the Transformation Programme.		Ongoing	Paul Najsarek	

## Strategic Risk 6 – High Profile Incident

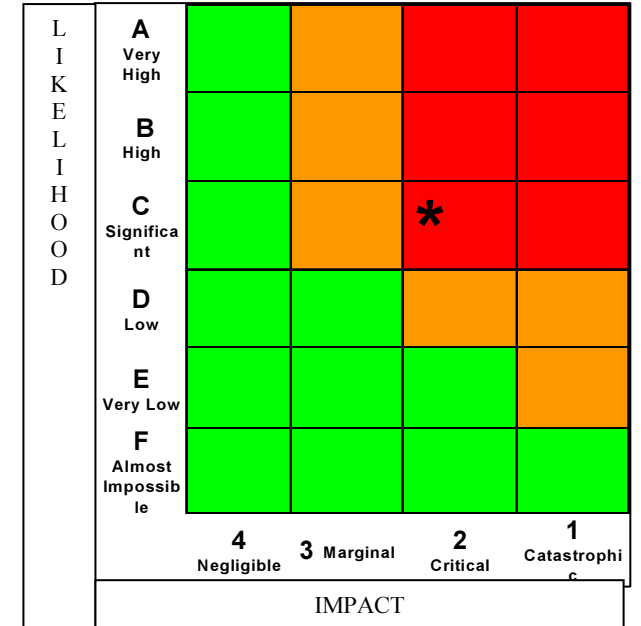


**Strategic Risk Action Plan**

Risk Number	Current Risk Score	Target Risk Score	Risk Description	Risk Champion	Risk Owner
6	C2	??	High profile service failure such as social care neglect or health and safety breach.	Paul Clark	CSB

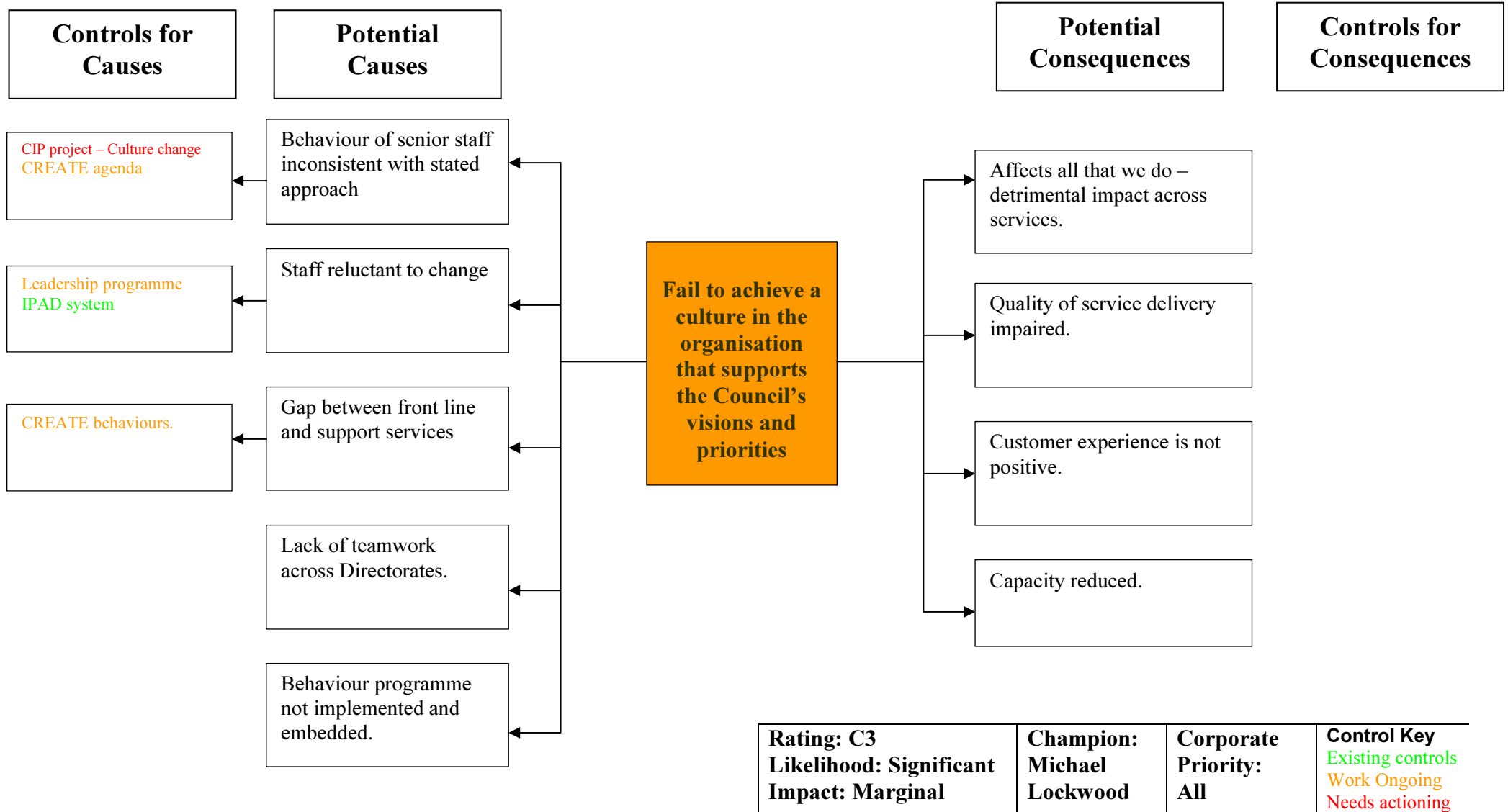
**Controls already in place to address risk**

- Procurement vetting of partners.
- Health and Safety plans and training programme.
- Recruitment process, including CRB checks.
- Code of conduct for staff.
- IPAD process for staff.
- Formal quality assurance.
- Audit requirements.
- Occupational Health policies for staff.
- Employee Assistance programme (this includes staff and public)
- Media strategy.
- Media training for key staff.
- Crisis scenario planning.
- Comms contingency plan.
- Insurance cover for legal and other indemnities.
- Legal procedures.



What else we will do to address this risk?	How we will do it?	By when?	By who?	Update (incl complete, work in progress, not started)
??	??	??	??	??

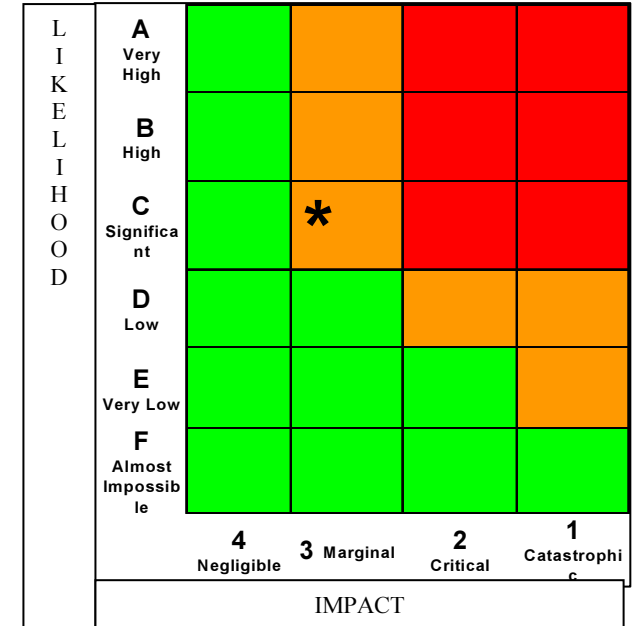
## Strategic Risk 7 – Culture in the Organisation





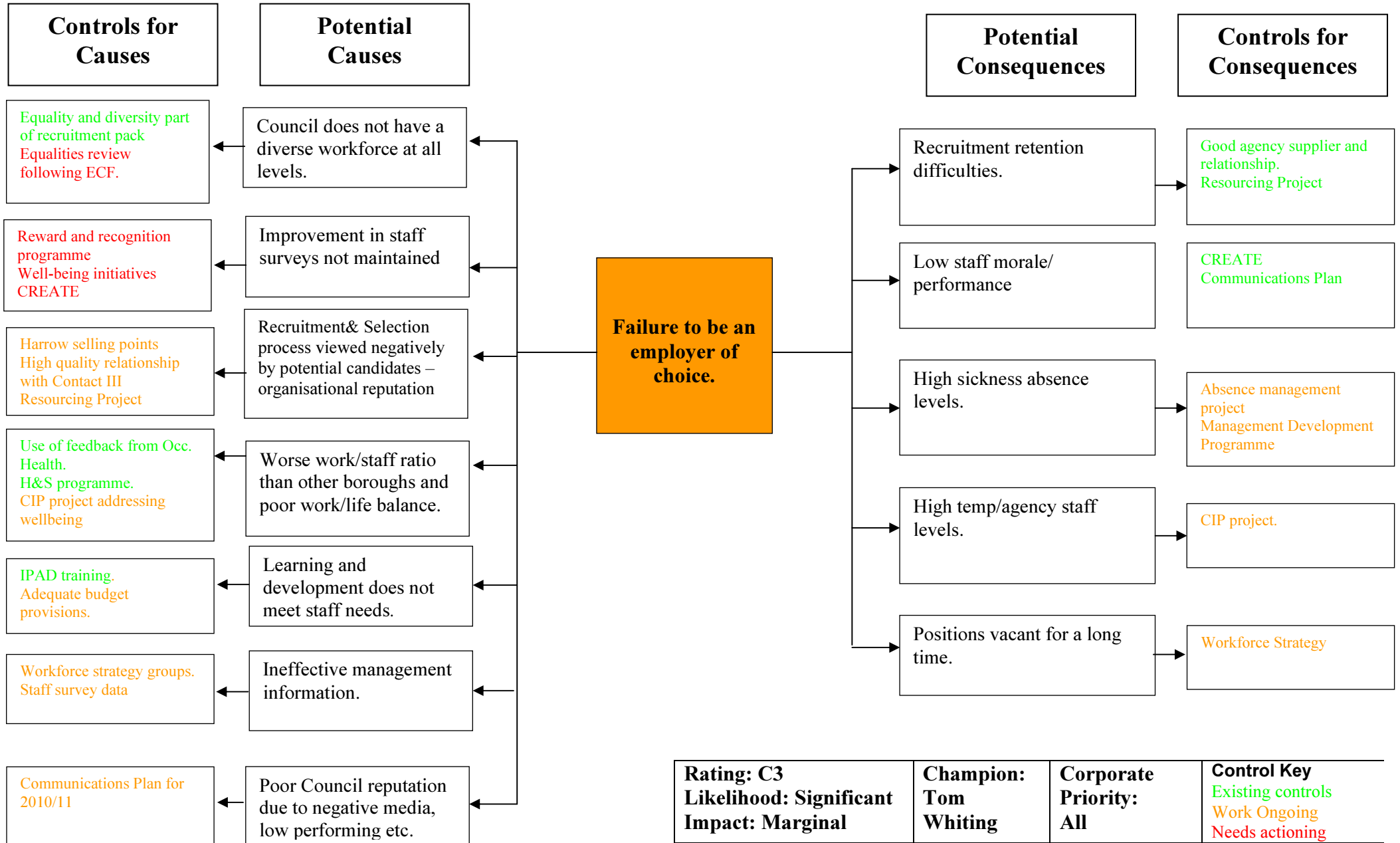
**Strategic Risk Action Plan**

Risk Number	Current Risk Score	Target Risk Score	Risk Description	Risk Champion	Risk Owner
7	C3	??	Fail to achieve a culture in the organisation that supports the Council's vision and priorities.	Michael Lockwood	CSB
<p><b>Controls already in place to address risk</b></p> <ul style="list-style-type: none"> <li>• CIP project to address culture change.</li> <li>• Leadership Programme.</li> <li>• CREATE agenda</li> <li>• IPAD system</li> </ul>					



What else we will do to address this risk?	How we will do it?	By when?	By who?	Update (incl complete, work in progress, not started)

## Strategic Risk 8 – Employer of Choice



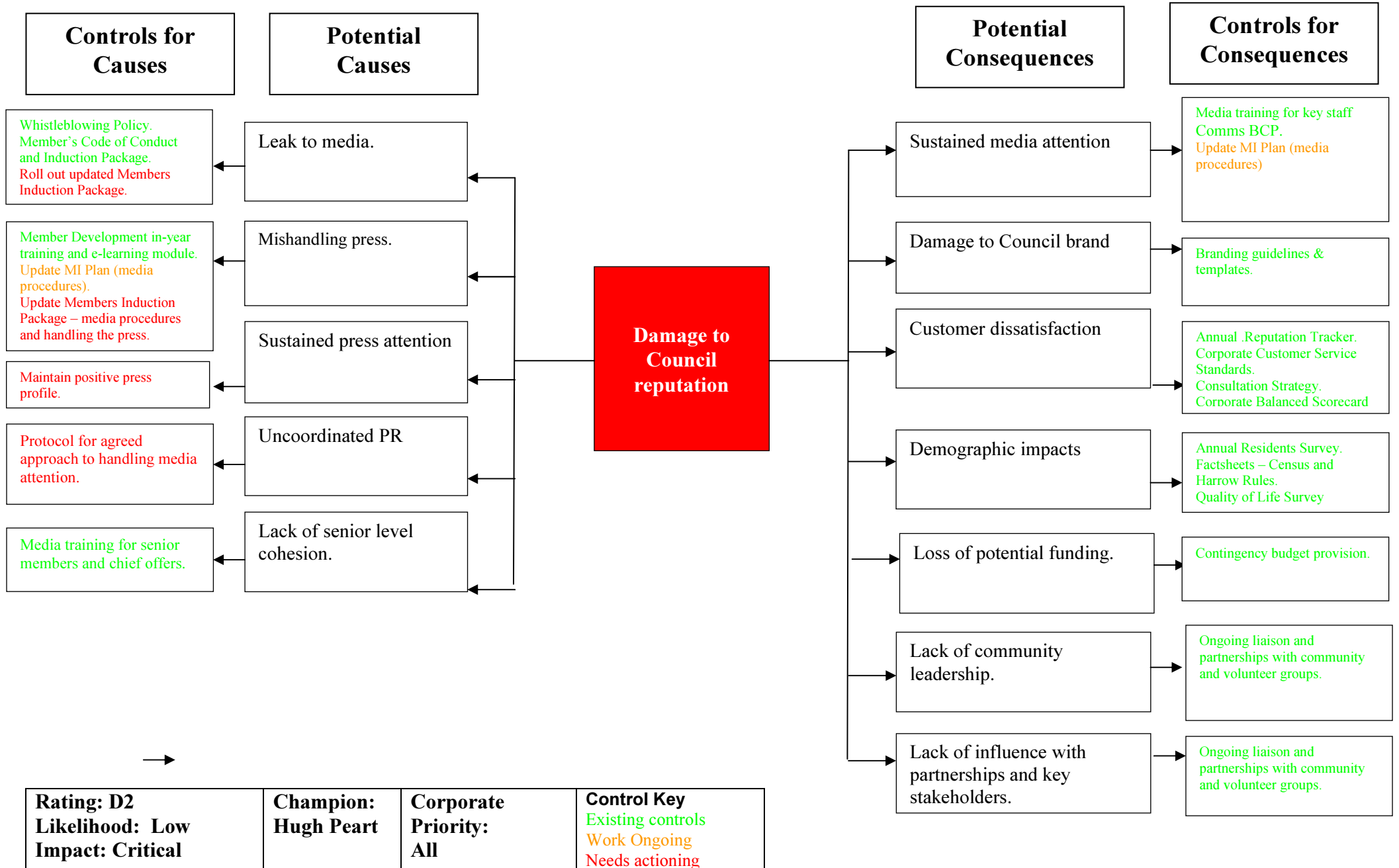
## Strategic Risk Action Plan

Risk Number	Current Risk Score	Target Risk Score	Risk Description	Risk Champion	Risk Owner
8	D2	D2	Failure to be an employer of choice.	Tom Whiting	CSB
<p><b>Controls already in place to address risk</b></p> <ul style="list-style-type: none"> <li>• Equality and diversity part of recruitment pack.</li> <li>• Use of feedback from Occ. Health.</li> <li>• H&amp;S programme.</li> <li>• Good agency supplier and relationship.</li> <li>• Resourcing Project</li> <li>• CREATE</li> <li>• Communications Plan.</li> </ul>					

L I K E L I H O O D	<b>A</b> Very High				
	<b>B</b> High				
	<b>C</b> Significant				
	<b>D</b> Low			*	
	<b>E</b> Very Low				
	<b>F</b> Almost Impossible				
		<b>4</b> Negligible	<b>3</b> Marginal	<b>2</b> Critical	<b>1</b> Catastrophic
IMPACT					

What else we will do to address this risk?	How we will do it	By when	By who	Update (incl. complete, work in progress, not started)
Resourcing project	Tender recruitment process.	June 2010	Jon Turner	
Pursuit of Corporate IIP		July 2011	Jon Turner	
Workforce Strategy		March 2010	Jon Turner	
Communications Plan 2010/11		March 2010	Andrew Hadfield	
Management Development Programme		April 2010	Jon Turner	
Equalities Review following ECF			Jon Turner	
Harrow selling points				
High quality relationship with Contact III				
CIP project addressing wellbeing				
Adequate budget provision.	Consult with Director Corp. Finance			
Workforce Strategy Groups.				
Staff survey data.				
Absence management project.				
CIP project.				

## Strategic Risk 9 – Damage to the Council Reputation



## Strategic Risk Action Plan

Risk Number	Current Risk Score	Target Risk Score	Risk Description	Risk Champion	Risk Owner
9	D2	E2	Damage to Council reputation	Hugh Peart	CSB

### Controls already in place to address risk

- Whistleblowing Policy.
- Member's Code of Conduct and Induction Package.
- Member Development - in-year training and e-learning module.
- Media training for senior members and chief offers.
- Media training for key staff.
- Communications Team Business Continuity Plan.
- Branding guidelines & templates.
- Annual .Reputation Tracker.
- Corporate Customer Service Standards.
- Consultation Strategy.
- Corporate Balanced Scorecard
- Annual Residents Survey.
- Factsheets – Census and Harrow Rules.
- Quality of Life Survey
- Ongoing liaison and partnerships with community and volunteer groups.
- Contingency budget provision

L I K E L I H O O D	A Very High				
	B High				
	C Significant				
	D Low				
	E Very Low				
	F Almost Impossible				
		4 Negligible	3 Marginal	2 Critical	1 Catastrophic
IMPACT					

What else we will do to address this risk?	How we will do it?	By when?	By who?	Update (incl complete, work in progress, not started)
Update media procedures for major incident in MI Plan.	Liaise with relevant stakeholders and Emergency Planning to ensure procedures are fit for purpose and robust.	April 2010	Andrew Hadfield.	
Include updated media procedures for MI and information on how to handle the press in Members Induction Package.	Communications to liaise with Member Development, L&D to ensure members induction package is updated accordingly.	May 2010	Andrew Hadfield / Ken Howgill	
Develop and agree formal protocol between senior management and Members for approach to handling media attention.	Consultation with members and senior management.	May 2010	Andrew Hadfield	
Roll out updated member induction package.	Provide induction training to members.	May 2010	Ken Howgill	
Maintain positive press profile for dealing with sustained press attention.	Ensure agree approach to maintaining a positive press profile is included in the appropriate procedures.	May 2010	Andrew Hadfield	