

Version: 26 January 2010

Reviewed by CRSG: 1 February 2010

Next CSB Review Date: 17 February 2010

Financial

- 1 Limited capacity for resourcing the Transformation Programme
- 2 Major fraud and corruption incident
- 3 Insufficient future/forward planning for services

Systems/Performance

- 4 CAA implementation
- 5 Legal challenge
- 6 Business continuity/disaster recovery
- 7 Emergency planning.
- 8 Decent homes
- 9 Response Maintenance Service
- 10 Information security
- 11 ERP related interfaces

Leadership

- 12 Political Management

Community

- 13 Consultation and engagement.

<p>Corporate Priorities (CP)</p> <ul style="list-style-type: none"> CP1 - Deliver cleaner and safer streets CP2 - Improve support for vulnerable people CP3 - Building stronger communities

LIKELIHOOD
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%

A Very High				
B High			6	
C Significant		8, 12	9, 10, 11	
D Low			1, 2, 3, 4, 5, 13	7
E Very Low				
F Almost Impossible				
	4 Negligible	3 Marginal	2 Critical	1 Catastrophic

4 = Trivial effect on services / achievement of objectives.	3 = Small effect on services / achievement of objectives	2 = Serious disruption to services / achievement of objectives	1 = Services could not be sustained / could not achieve objectives
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IMPACT

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Risk No.	Risk Description	Corporate Priority (CP / CIP)	Consequences	Controls / Mitigants	Risk Rating (after controls)	Further Actions	Target Risk Rating	Action Owner	Risk Owner	Risk Status	Increase/Decrease/Same	Reason / Other Comments	New Risk Rating Status
Financial													
1	Limited capacity for resourcing the Council Transformation Programme.	CP - all CIP - all	Key projects milestones not met.	<ul style="list-style-type: none"> * Effective use of PM toolkit. * Matching ambition to capacity. * Ensuring change management is part of PM. * External support from PWC & Capital for developing PIDs. * Annual budget review panels. 	C2	<ul style="list-style-type: none"> * Agreement of 09/10 budge - April 2010 * Agreement of PWC/Capita support model - end Feb 2010. 	E2	Myfanwy Barrett Carol Cutler	Tom Whiting	Red	Increased from D2	Resourcing (financial and staffing) implications better understood.	
2	Major fraud and corruption incident within the Council.	CP - all	Negative Media. Financial loss.	<ul style="list-style-type: none"> * Corporate Anti-Fraud Policy & Corruption Strategy. * National Fraud Initiative (NFI). * CAFT annual programme of proactive fraud investigation. * Internal Audit Plan. * Publicity of successful prosecutions in local/national media. * Corporate Governance system. * Quarterly GARM meetings. * Work with internal and commercial partners, e.g. CARE, in event of fraud. 	E3	* Information Management Programme - IT security (Tony Monachello - 31/3/10).	F2	David Ward	Myfanwy Barrett	Green	Decrease from D2	Internal controls in place should reduce the likelihood of the risk occurring.	

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3	Insufficient future/forward planning for services.	CP - all CIP - all	Inefficient delivery of service. Cuts in services	* Corporate Plan. * New scrutiny arrangements in place. * Performance Management Process (see Risk 1). * Integrated budget and service planning process (Community engagement strategy/ Corporate planning and individual service plans)/ * Quarterly Improvement Boards. * Adults and Housing transformation plan * New set of Service Improvement Plans and Corporate Plan - annual. * Agreement/support and challenge of partnerships, e.g. HSP, CEG & MGs. * Budget and development process for Portfolio Holders.	E2	* Future planning - identify how services need to change. * Review of service priorities in light of change. * Consultation with residents and actioning outcomes. * Review of risk levels in 10/11 budget in light of recession. * Delivery of the Better Deals for Residents programme. * Embedding co-delivery plans with partners.	E2	Alex Dewsnap	Tom Whiting	Green	Decrease from D2	Achieved 3 star CAA performance and Better Deals for Residents launched. Query whether this is still a corporate operational risk, given the Council has a 3 star CAA rating. (HP, PC)	
Systems/Performance													
4	CAA implementation – Council fails to make appropriate arrangements for delivery of outcome based results and meeting CAA requirements.	CP - all CIP - all	Poor assessment score. Impacts public confidence. Potential lost funding.	* Use of Resource readiness group being run by Performance Team. * National Indicator Set readiness monitoring. * CAA working group.	D2	* Challenge sessions in other London boroughs to commence. * Submission of area and organisational self assessments. * Society of London Treasurers. * Clarification process and timescales with Deloitte and Audit Commission. * Development Improvement Plan.	E2	CSB	Michael Lockwood	Amber	Decrease to E3, D3 or D2?	Risk description should be changed to 'Fail to maintain CAA rate of progress'.	

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5	Successful legal challenge of a Council decision.	All	Legal costs/fines. Negative media. Delay to decisions/projects.	<ul style="list-style-type: none"> * Legal clearance of Member reports. * Legal input to major project groups. * Corporate Equalities Group * File reviews. * Management Development Programme. * Corporate Managers Induction includes a session on legal requirements and decision making. * Monitoring Officer part of CSB. * Monthly Executive briefing sessions. * Training sessions for Directorate management teams on decision making (provided by Democratic Service). * Improved legal input to decision making. * Ongoing work with the Leadership Group and CLG around governance and legal input into decisions. * High level analysis/ lessons learnt from recent significant challenges by the CRSG going forward. 	D2	<ul style="list-style-type: none"> * Member induction package to be updated to include clearer information to Members when signing off legal actions - Ken Howgill May 2010 * Greater involvement of Portfolio Holders to be actioned. 	E2	Hugh Peart	Hugh Peart	Amber	Same		

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6	Business Continuity planning/disaster recovery is not resilient in the event of a business interruption causing loss of Council buildings/ IT or staff.	CP - all CIP - Enhancing disaster recovery & business continuity.	Unable to deliver services.	<ul style="list-style-type: none"> * All 37 BCPs at departmental level completed. * Ongoing business continuity workshops delivered to service managers (new or upon promotion). * Corporate BIA reviewed Feb 2009. * Corporate BCP approved by Cabinet Jan 2010. * BC awareness part staff induction. * Nightly data back up arrangements. * Disaster recovery plans are in place for SAP. <ul style="list-style-type: none"> * Business critical plans have been identified and are in place. * Annual review of all BCPs. * Annual test of SAP data recovery at remote data centre by Capita. * BC info on the Hub. * Quarterly ongoing liaison with west London boroughs and annual forum with all London boroughs to share best practice and lessons learnt. * Ongoing liaison by Emergency Team with Directorates. 	C2	<ul style="list-style-type: none"> * BC workshops to be delivered to Service and Group Managers. * All BCP Plans to be reviewed April -June 2010. * Table top testing of Corporate and Directorate BCP 25/2/10. * CLG IT BCP drafted - awaiting CSB decision. 	D2	David Ward	Myfanwy Barrett	Amber	Decrease from B2	Awaiting approval of IT Strategy, incorporating disaster recovery planning. Directorates putting in place alternate paper processes until the IT DR plan is approved.	

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7	Inadequate emergency planning in place to deal with major incidents, e.g. severe weather, explosions, terrorism and pandemic.	CP - 2	Community disruption. Reputation damage.	<ul style="list-style-type: none"> * Annual review of major incident plans, including emergency response procedures. * Emergency response officer volunteer rota/Duty Director rota in place & updated biannually.. * Participation in London-wide and regional training & exercises - Safer City (Mar 09) and Preparer (Oct 09). * Annual CSB & Tier 2and CSB & CLG training days - Feb 09. * Stanley Road report recommendations implemented - Nov 09. * Codeman now live and producing management information. * Ongoing liaison & consultation with GOL Resilience Team, Cabinet Office. * All Duty Directors up to date on EP training. * Annual hands-on testing exercise for senior managers. 	D1	<ul style="list-style-type: none"> * Review of Major Incident plan in progress (Jan -Mar 2010). * Hands on training exercise for Senior Management team (July 2010). * Participate in exercises - Safer City (London-wide March 2010). * Training session for Elected Members planned for 25 June 2009. * Training session for Members (June 2010) * All plans in place and regularly reviewed, with regular training provided to all senior manager, including involvement in testing exercises. 	E1	David Ward	Myfanwy Barrett	Amber	Decrease from D1	All plans in place and regularly reviewed.	

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8	Failure to achieve the decent homes targets by 2010.	CP - 2	Government intervention Poor CPA score Reputation damage. Decrease in customer satisfaction.	<ul style="list-style-type: none"> * Detailed programme of works in place. * Cross Directorate Partnership Board in conjunction with Kier involving Members. * Clear objectives and targets to achieve by 2010. * Financial resources in place. * Weekly monitoring of decent homes delivery. * Detailed monitoring of Capital Programme spend. * In year contingency planning. * Codeman now live and able to produce management information. * Continuing improvement of stock data. 	C3	<ul style="list-style-type: none"> * Governance review of Kier partnership undertaken and action plan is being progressed. * Continuing improvement of stock data. * Revision to Agreed Maximum Price to be finalised with Property Services and reflect the no. of DH properties to be delivered by Kier within budget. * Mill Farm transfer with Planning - end May 2010. * Some Kier slippage due to bad weather & asset data - being asked to increase no. of properties to 25 pw to be confirmed end Jan 2010. * Detailed Capital Programme for 2010/11 to be submitted to Cabinet - Feb 2010. 	E2	Lynne Pennington/Eddie Collier	Paul Najsarek	Amber	Same		

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9	Failure to deliver an effective response maintenance service within budget and to required standards.	CP - 2	Increase in complaints. Potential legal/health and safety implications. Non inclusion in ongoing HARP implementation.	* Strategy to increase budget by £700k and control expenditure within revise budget drafted. * Kier Improvement plan in place. * Housing technical lead established. * Weekly budget monitoring meetings taking place between Housing and Property Services. * Budget set for 2010/11 based on more detailed unit cost and volume data.	C2	* Review of IT by Capita to take place. * More detailed scrutiny of costs in 2009/10 to give better prediction of future costs & risks. * 2009/10 budget heading for substantial overspend being addressed by contingency and use of capitalisation. * Budget set for 2010/11 based on more detailed unit cost and volume data. *Implementation of Lean Review - ongoing.	D2	Lynne Pennington/ John Edwards	Paul Najsarek	Red	Same		
10	Inadequate systems/procedures in place regarding data/information security.	CIP - Information Management.	Security breaches loss of confidential information. Negative media portrayal.	* Quarterly Information Governance Board. * Information Risk Policy and guidance approved Nov 09. * Information Audit completed June 09. * Information Risk Registers developed for regular update by IAOs. * Information Asset Register developed. * Members provided with information handling procedures 09. * Information security policies approved June 09.	C2	* Implement Information Management Work Programme for 2010/11 and 2011/12. * Investigate email security options for Members (Mahesh Patel - June 2010) * Information management requirements to be included in Members Induction Package / in-year training (Ken Howgill/Tony Monachello - April 2009)	D2	David Ward	Myfanwy Barrett	Red	Same		

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11	Failure to ensure ERP related interfaces are operating to full effect (Anite and Framework I)	CIP - Ensuring ERP, MI & related interfaces are operation to maximum effect.	Do not meet CIP milestones. Mistakes due to manual intervention. Disruption to service areas.	* Capita project.	C2	* ERP development plan includes a proposal to commission a separate project on interfaces, self-billing and other issues.	D2	Mark Gillet (Framework I) / Lynne Pennington (Anite)	Paul Najsarek	Red	Same		
Leadership													
12	Ineffective political management (including opposition)/ failure to maintain good working relationship with administration and opposition.	CP - All	Conflicting priorities - tensions between local, regional and national agenda.	* Regular meetings between Leader, Deputy Leader and Chief Executive. * Ongoing review of Senior Officer/Member roles at Away Days. * Regular meetings between Corporate Director and portfolio holders. * Regular Away Days with Executive Members and Senior Officers. * Regular Cabinet briefings. * Informal Cabinet meetings. * CSB Leadership development programme. * Legal Services continue to work with the Leadership Group on governance.	C3	* Joint leadership development programme to be agreed by end 2010. * Develop a Cabinet Induction programme by end 2010.	D3	Hugh Peart	Hugh Peart	Amber	Same		
Community													
13	Failure to deliver effective consultation and engagement.	CIP - Improving services through better understanding of local needs.	Legal challenge. Decreased customer satisfaction.	* Corporate Improvement Programme monitors big consultation projects. * New consultation strategy launched 2008. * Launch of consultation finder.	D2	* Clarity of responsibilities needed. * New model for community engagement and involvement to be clarified.	E2	Mike Howes	Tom Whiting	Amber	Close risk?	This is no longer a risk. (HP, TW, PC, MB)	