

Strategic Risk/Opportunity Register – Draft 4 November 2010

(Incorporates updates by Risk Champions)

Owner: Corporate Strategy (Performance) Board

Reviewed by CRSG: N/A

Reviewed by CSB: N/A

Next CRSG Review Date: 8 February 2011

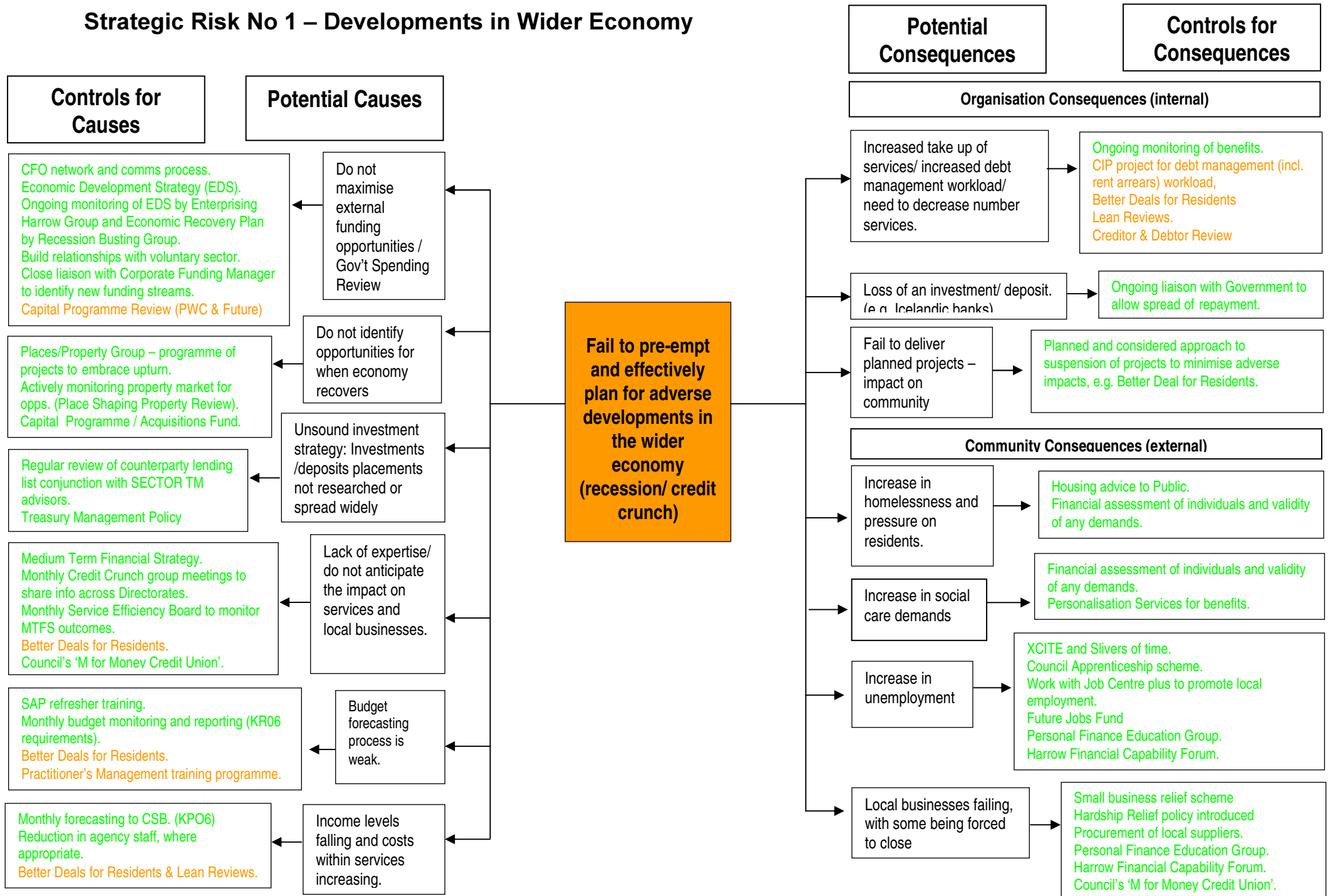
Next CSB Review Date: 9 March 2011

Corporate Priorities 2009/10 – 2012/13
 1 – Deliver cleaner and safer streets.
 2 – Improve support for vulnerable people.
 3 – Building stronger communities.

1. Fail to pre-empt and effectively 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)
(Recommend SR3 is closed – replaced by COR 17)
4. Ineffective partnership working within our Strategic Partnership (TW)
5. Impact of changing demographics not anticipated (PN)
6. High profile service failure (CD)
7. Failure to achieve a culture in the organisation that supports the Council’s vision and priorities (TW)
8. Failure to attract and retain quality and diverse staff (TW)
9. Damage to Council reputation (HP)
10. Limited capacity to deliver the Council’s Transformation Programme

LIKELIHOOD					
A Very High			2		
B High			4		
C Significant			6, 7, 9, 10		
D Low		8	1, 3, 5		
E Very Low					
F Almost Impossible					
		4	3 Marginal Impact / Minor Benefit	2 Critical Impact / Major Benefit	1 Catastroph ic Impact / Exceptional Benefit
		IMPACT			

Strategic Risk No 1 – Developments in Wider Economy



Corporate Priority:	Current Risk Rating:	Target Risk Rating:	Risk Champion:	Risk Owner:	Control Key
All	D2	D3	Andrew Trehern	CSB	Controls in place / Existing controls. Controls underway / Work ongoing Controls planned / Needs actioning

Strategic Risk 1 Action Plan – Adverse Developments in Wider Community

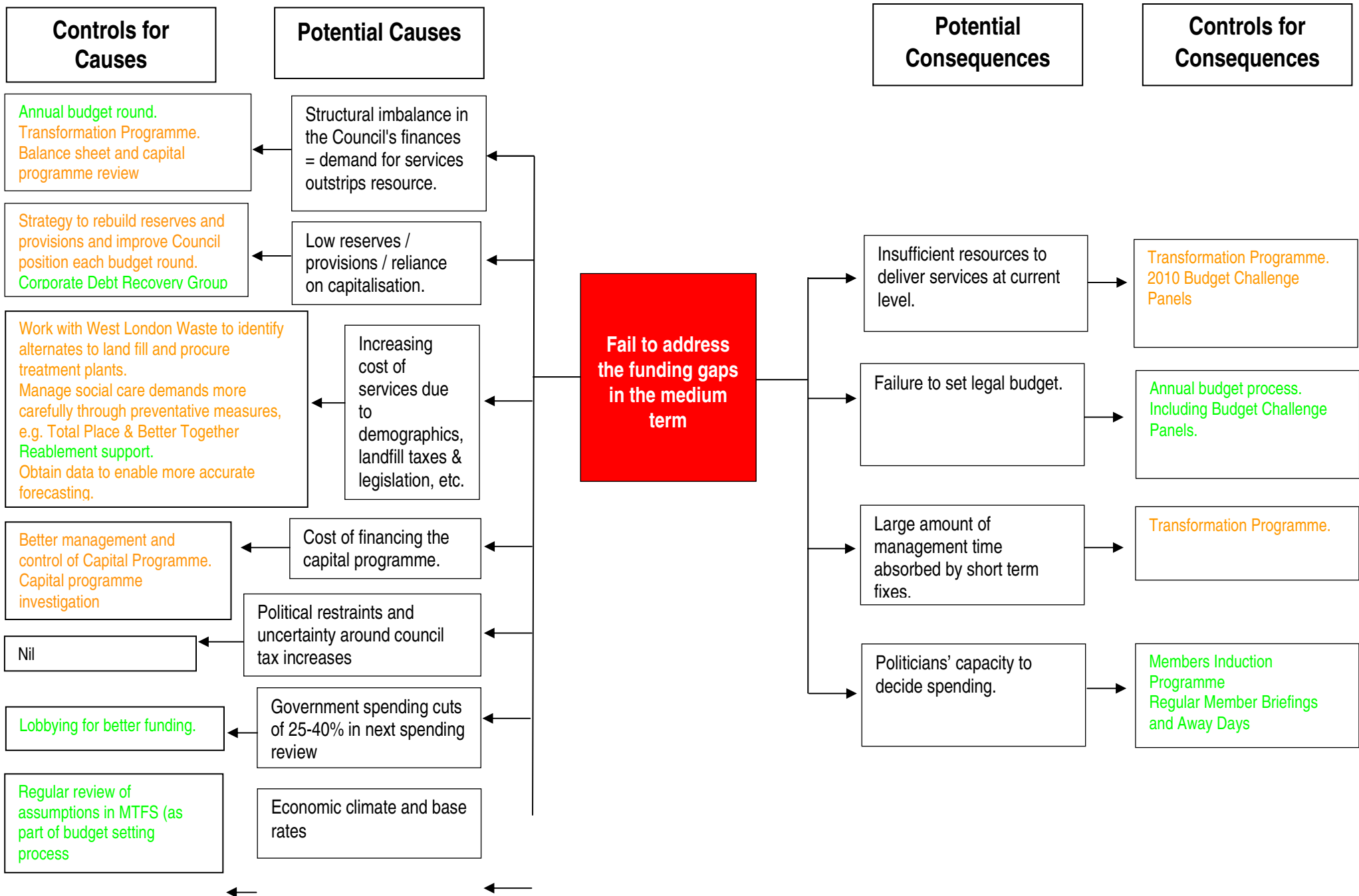
Controls already in place to address risk:

- CFO network and communications process, procurement of local suppliers, and ongoing monitoring of benefits & liaison with Govt to allow spread of repayment.
- Economic Development Strategy (EDS), Medium Term Financial Strategy, Treasury Management Policy, Hardship Relief Policy
- Ongoing monitoring of EDS by Enterprising Harrow Group and Economic Recovery Plan by Recession Busting Group.
- Council Apprenticeship scheme, Small business relief scheme and work with Job Centre plus to promote local employment.
- Build relationships with voluntary sector and close liaison with Corporate Funding Manager to identify new funding streams.
- Places/Property Group (programme of projects to embrace upturn) and actively monitoring property market for opportunities (Place Shaping Property Review).
- Capital Acquisitions Fund and Future Jobs Fund, and reduction in agency staff (where appropriate).
- Regular review of counterparty lending list conjunction with SECTOR TM advisors and SAP refresher training.
- Monthly Credit Crunch group meetings to share info across Directorates and monthly Service Efficiency Board to monitor MTFS outcomes.
- Monthly budget monitoring and reporting (KR06 requirements) and Monthly forecasting to CSB. (KPO6)
- Planned and considered approach to suspension of projects to minimise adverse impacts, e.g. Better Deal for Residents.
- Housing advice to Public and financial assessment of individuals and validity of any demands; and Personalisation Services for benefits, XCITE and Slivers of time.
- Personal Finance Education Group, Harrow Financial Capability Forum and Council's 'M for Money Credit Union'.

What else we will do to address this risk?	How we will do it?	By when?	By who?	Update / Comments
Capital Programme Review	PWC Review Review and prioritisation of future capital programming requirements post Spending Review outcomes via the Capital Forum.	Nov 2010 April 2011	Brendon Hills	
CIP projects for workload	Reduce number of projects/flagship actions	Nov 2010	CSB	Challenge panels, 2010/11 draft Capital Programme & Corporate Plan. (Will be linked to the new administration's manifesto.)
Better Deal for Residents and Lean Reviews	Reduce number of services delivered; Future Operating Model; cross cutting efficiency reviews, work streams	2013	Tom Whiting	Strategic BC complete; programme of outline and FBC commenced.
Place Shaping Property Review	Regular reporting to Leaders and Challenge Panel	Ongoing	Philip Loveland-Cooper	Capital Forum, Service Efficiency Board and Design Board approval process.
Practitioner's Management Training	Roll out training programme	December 2010	Jon Turner	
Creditor & Debtor Review	Identify the potential level of risk around creditor and debtor failure. Report findings to CRSG on 26/10/2010/	February 2011	Jenny Hydari	Action 38 arising from CRGS meeting on 28/7/2010.

Contingencies (to be activated if risk is realised)	By who?
Review of resources and reallocation of budget and priorities.	CSB

Strategic Risk 2 – Funding Gaps



Corporate Priority: All	Current Risk Rating: B2	Target Risk Rating: D2	Risk Champion: Myfanwy Barrett	Risk Owner: CSB	Control Key Controls in place / Existing controls. Controls underway / Work ongoing Controls planned / Needs actioning
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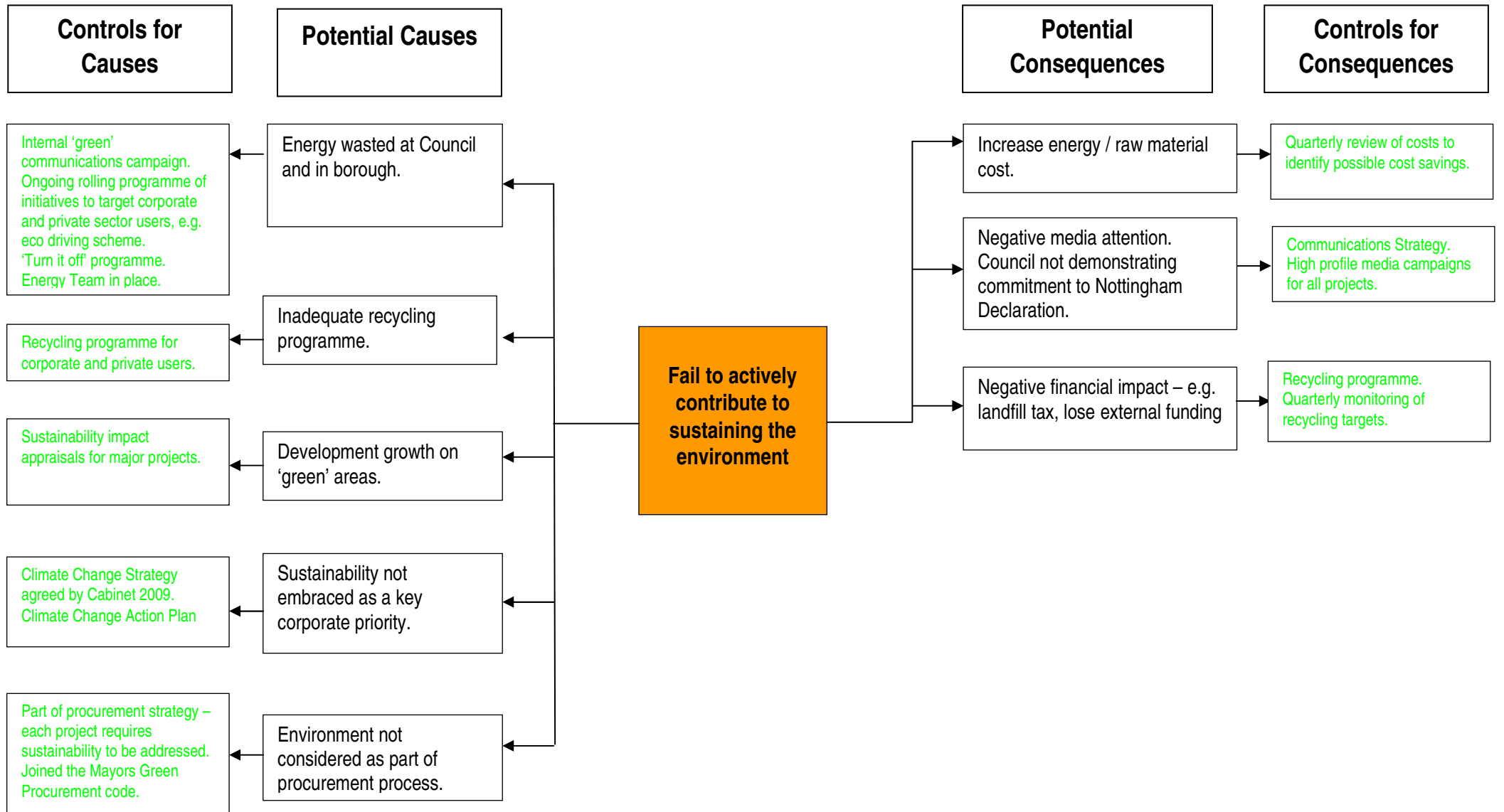
Strategic Risk 2 Action Plan – Funding Gaps

Controls already in place to address risk:

- Annual budget round and budget process, including budget challenge panels.
- Corporate Debt Recovery Group.
- London efficiency challenge.
- Reablement support.
- Regular review of assumptions in MTFs (as part of budget setting process).
- Members Induction Programme and regular Member Briefings and Away Days
- Lobbying for better funding, through London Councils and targeting DSLG.

What we will do to address this risk?	How will do it?	By when?	By who?	Update / Comments
Improved management and control of Capital Programme.	Guidance to be issued linking Capital Programme with priorities of Council. Capital programme investigation.	Nov 2010	Steve Tingle	
	Review to run into the challenge panel period.	Nov 2010	Myfanwy Barrett	
Better Deals for Residents Programme	Identify ways to fill funding gaps in medium to long term period.	2013/2014	Myfanwy Barrett / Prog. Board	Milestone: Look at current position at CSB meeting 14/4/2010)
More accurate data forecasting	Children's & Adults enhancement of modelling.	October 2010	Paul Najsarek / Catherine Doran	
Strategy to rebuild reserves and provisions and improve Council position each budget round.	Build up contribution to reserves in each budget round.	2012/2012 & Ongoing	Myfanwy Barrett	
Work with West London Waste	Identify alternatives to landfill and start procurement process for treatment plants.	2010/2011	West London Waste / Myfanwy Barrett	
Manage social care demands more carefully through preventative measures,	Better Deals for Residents Programme - Total Place & Better Together.	2011/12	Myfanwy Barrett	Cuts in LLA grants may impact the Council's ability to adequately implement this action.
2010 Budget Challenge Panels	Review budgets and draft budget to Cabinet	Dec 2010	Tom Whiting / Myfanwy Barrett	
Spending Review Announcement / Settlements		Oct 2010	Myfanwy Barrett	
Contingencies (to be activated if risk is realised)				By who?
Escalate to CSB to implement additional cost cutting initiatives / budget reallocation.				CSB

Strategic Risk 3 – Sustaining the Environment



Corporate Priority: 1	Current Risk Rating: C3	Target Risk Rating: E2	Risk Champion: Brendon Hills	Risk Owner: CSB	Control Key Controls in place / Existing controls. Controls underway / Work ongoing Controls planned / Needs actioning
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Strategic Risk 3 Action Plan – Sustaining the Environment

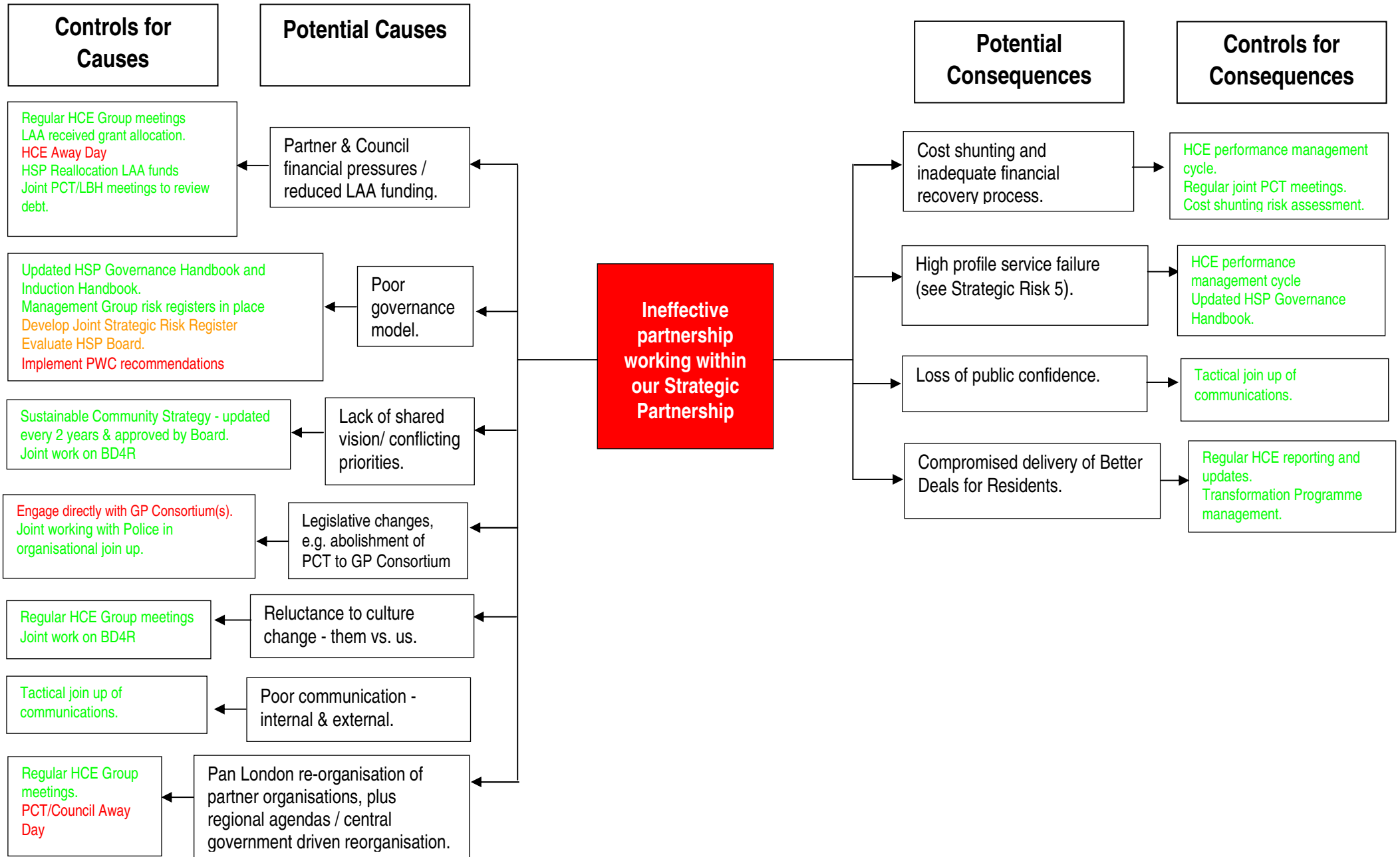
Controls already in place to address risk:

- Internal 'green' communications campaign and high profile media campaign for all projects.
- Ongoing rolling programme of initiatives to target corporate and private sector users, e.g. eco driving scheme.
- Recycling programme for corporate and private users, and 'Turn it off' programme.
- Climate Change Strategy (agreed by Cabinet 2009) and Climate Change Action Plan.
- 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.
- Quarterly review of costs to identify possible cost savings.
- Energy Team in place.
- Quarterly monitoring of recycling targets.

What we will do to address this risk?	How we will do it?	By when?	By who?	Update / Comments
Climate Change Strategy Action Plan.	Updated Action to Cabinet for approval.	Nov 2010	Andrew Baker	
	Implement action plan.	2014		

Contingencies (to be activated if risk is realised)	By who?
Escalate to CSB	Risk Owner

Strategic Risk 4 – Partnership Working (HSP)



Corporate Priority: All	Current Risk Rating: B2	Target Risk Rating: D2	Risk Champion: Tom Whiting	Risk Owner: CSB	Control Key Controls in place / Existing controls. Controls underway / Work ongoing Controls planned / Needs actioning
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Strategic Risk 4 Action Plan – Partnership Working (HSP)

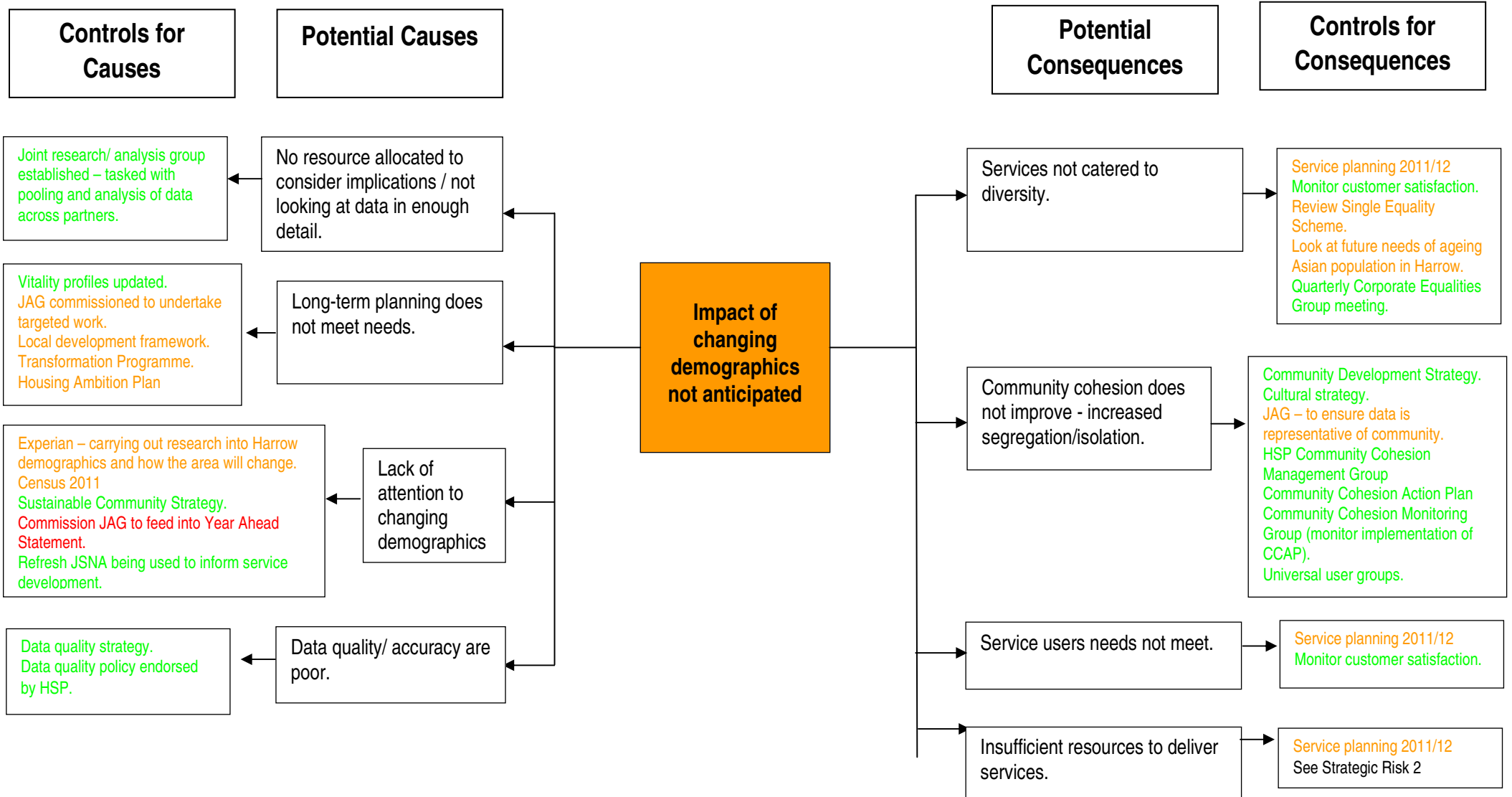
Controls already in place to address risk:

- Regular HCE Group meetings and updates.
- LAA received grant allocation and HSP reallocation of LAA funds
- Joint PCT/LBH meetings to review debt.
- Updated HSP Governance Handbook and Induction Handbook.
- HSP Management Group risk registers in place.
- Sustainable Community Strategy - updated every 2 years & approved by Board.
- Joint work on BD4R.
- Joint working with Police in organisational join up.
- Tactical join up of communications.
- HCE performance management cycle.
- Cost shunting risk assessment.
- Updated HSP Governance Handbook.
- Transformation Programme management (PMO)

What else we will do to address this risk?	How we will do it?	By when?	By who?	Update / Comments
Cost shunting risk assessment.	Risk assessment (PCT) as part of budget round.	2010/11 & Ongoing	Paul Najsarek	
Develop HSP Joint Strategic Risk Register	Joint working with Interim Risk Manager, HCE and Policy & Partnerships	December 2010	Interim Risk Manager / Trina Thompson	
HCE Away Day	Away day.	December 2010	Michael Lockwood	
Engage directly with GP Consortiums.	Ongoing liaison with PCT to identify when to engage with GP consortiums.	Ongoing	Michael Lockwood	
Evaluate HSP Board	Evaluate effectiveness of HSP Board.	April 2011	Alex Dewsnapp	
Implement PWC recommendations		April 2011	CSB	

Contingencies (to be activated if risk is realised)	By who?
Escalate to HCE and Partnership Board	CSB

Strategic Risk 5 – Changing Demographics



Corporate Priority:	Current Risk Rating:	Target Risk Rating:	Risk Champion:	Risk Owner:	Control Key
All	D2	D2	Paul Najsarek	CSB	Controls in place / Existing controls. Controls underway / Work ongoing Controls planned / Needs actioning

Strategic Risk 5 Action Plan – Changing Demographics

Controls already in place to address risk:

- Vitality profiles updated, monitor customer satisfaction and joint research/ analysis group established (tasked with pooling and analysis of data across partners).
- Data Quality Strategy, Data Quality Policy endorsed by HSP
- Sustainable Community Strategy, Community Development Strategy, Race Equality Scheme and Cultural Strategy.
- Quarterly Corporate Equality Group meeting and refreshed JSNA being used to inform service development.

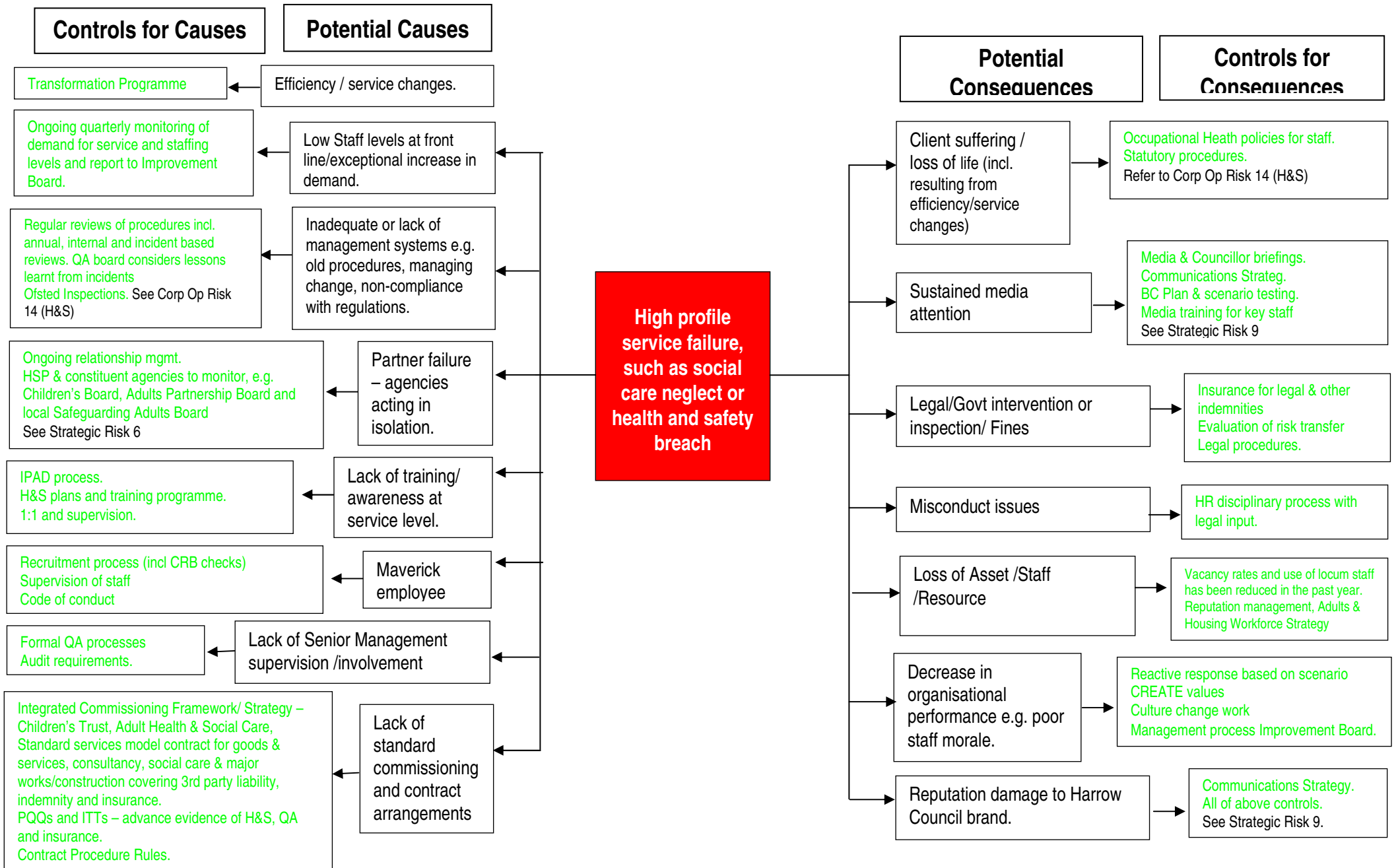
What we will do to address this risk?	How we will do it?	By when?	By who?	Update / Comments
Joint Analysis Group (JAG) commissioned to undertake targeted work. (Ongoing JAG work commissioned by HCE.)	Ensure data is representative of community.	Ongoing	Liz Defries / David Harrington	Harrow Vitality profile reports to be available for 2010 Members Induction. JAG work completed: Strategic assessment into crime data, and analysis into borough population trends.
Local development framework.	Develop core strategy for Secretary of State, who will then appoint an independent inspector for examination in public and approval for adoption.	December 2011	Matthew Patterson	Core strategy to Cabinet in November 2010 for pre-submission to Secretary of State.
Better Deals for Residents Programme.	Continue to link with Better Deal for Residents	2011/12	Paul Najsarek	
Experian – carrying out research into Harrow demographics and how the area will change.	Demographic profiling informing service development taking a Phase 1 and 2 approach.	2010/11	Ben Jones	Finalising Phase 1 – based demographics for next 3 years.
Census 2011 – Conduct independent study, possibility using the Mayhew Study (similar to Westminster and Brent) in order to challenge census results.	Possibilities of government grant to be considered as part of this work.	As resources allow.	Sue Kaminska	Funding not available at this time (£50K). To be further discussed at Census 2011 Working Group meetings.
Service planning 2011/12	Equality and Diversity implications included in service planning.	2011/12	Paul Najsarek	
Review Single Equality Scheme	Ensuring equality is a mainstreamed part of customer service, community leadership and as an employer.	December 2010	Mohammed Ilyas	Initial report provided to CSB.
Look at future needs of ageing Asian population in Harrow.	Developing a proposal for culturally appropriate service delivery within Adult Services.	Q2 2011/12	Jane Fernley / Carol Yarde	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.
Sub Regional Housing Market Assessment (SHMA)	Conduct research into affordable housing, which is informed by Borough comments and obtain sign off on final report by West London Boroughs.	End November 2010	Alison Pegg	Research completed. Final draft report being revised with Borough comments by Sept 2010. Formal sign off by West London Boroughs by late Autumn 2010.

Contingencies (to be activated if risk is realised)	By who?
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Strategic Risk 6 – High Profile Service Failure

RECOMMENDATION: CLOSE RISK.

This risk has been replaced with Corporate Operational Risk 17: Fail to address carbon reduction commitment (CRC).



Corporate Priority: 2	Current Risk Rating: C2	Target Risk Rating: D2	Risk Champion: Catherine Doran	Risk Owner: CSB	Control Key Controls in place / Existing controls. Controls underway / Work ongoing Controls planned / Needs actioning
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Strategic Risk 6 Action Plan – High Profile Incident

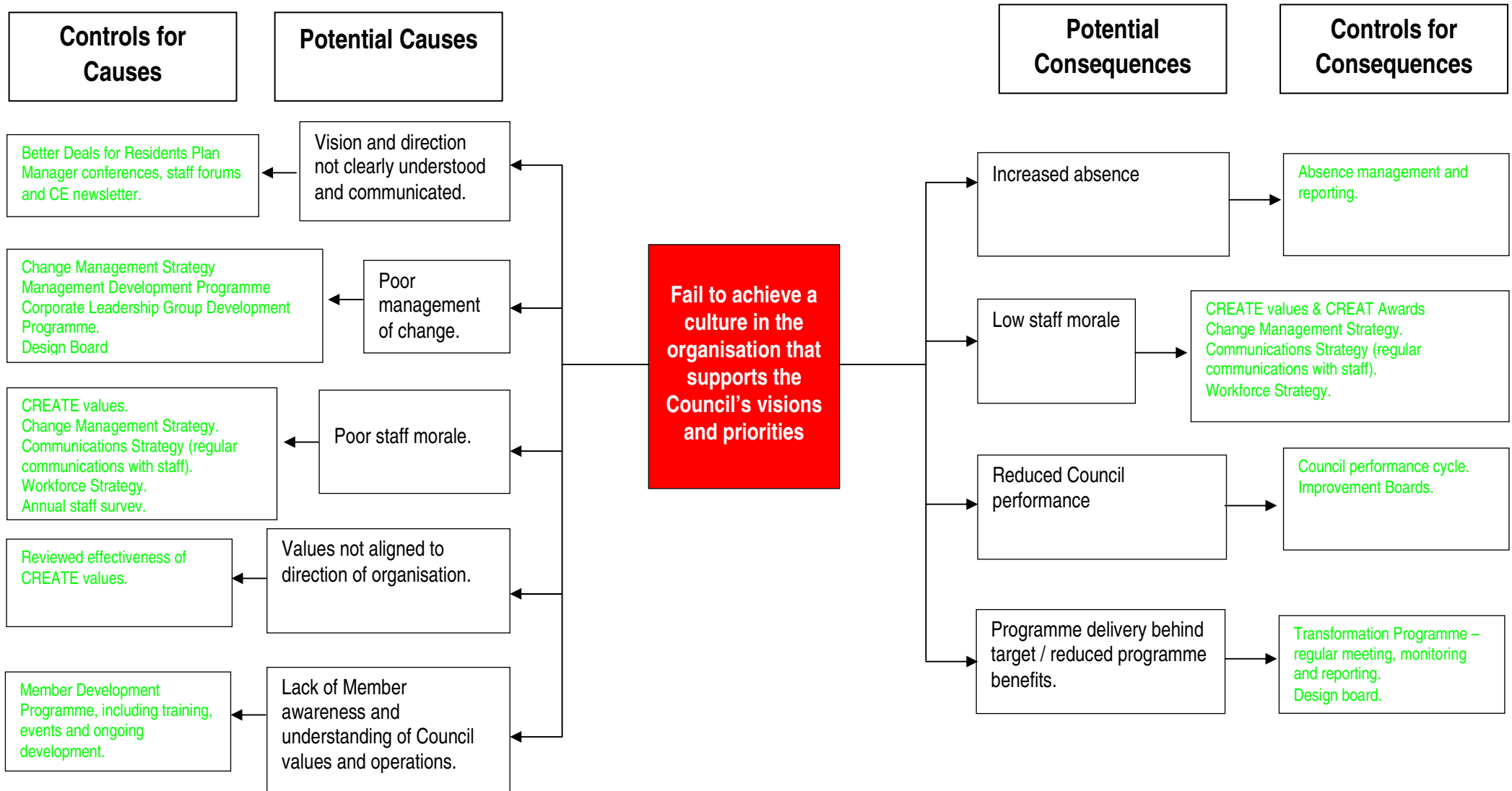
Controls already in place to address risk:

- See Strategic Risks 4 and 8, and Corporate Operational Risk 14.
- Ongoing quarterly monitoring of demand for service and staffing levels and report to Improvement Boards.
- Regular reviews of procedures, including annual, internal and incident based reviews.
- Formal QA and QA board considers lessons learnt from incidents
- Ongoing relationship management and IPAD process.
- HSP and constituent agencies to monitor, e.g. Children’s Board, Adults Partnership Board and local Safeguarding Adults Board
- H&S plans and training programme, and occupational Health policies for staff.
- Recruitment process (including CRB checks), 1:1 meetings and supervision.
- Code of conduct and audit requirements.
- Legal procedures and statutory procedures.
- Media & Councillor briefings, Media Strategy and media training for key staff
- Crisis scenario planning and reactive response based on scenario.
- Communications Contingency Plan, internal/external communications and Communications Plan.
- Insurance for legal & other indemnities, and evaluation of risk transfer
- HR disciplinary process with legal input, CREATE values and culture change work.
- Vacancy rates and use of locum staff has been reduced in the past year. Reputation management, Adults & Housing Workforce Strategy
- Management Process Improvement Board.

What we will do to address this risk?	How we will do it?	By when?	By who?	Update / Comments

Contingencies (to be activated if risk is realised)	By who?
Responses to OH&S and Duty of Care Incidents – See Corporate Operational Risk 14.	Myfanwy Barrett

Strategic Risk 7 – Culture of the Organisation



Corporate Priority: All	Current Risk Rating: C2	Target Risk Rating: C2	Risk Champion: Tom Whiting	Risk Owner: CSB	Control Key Controls in place / Existing controls. Controls underway / Work ongoing Controls planned / Needs actioning
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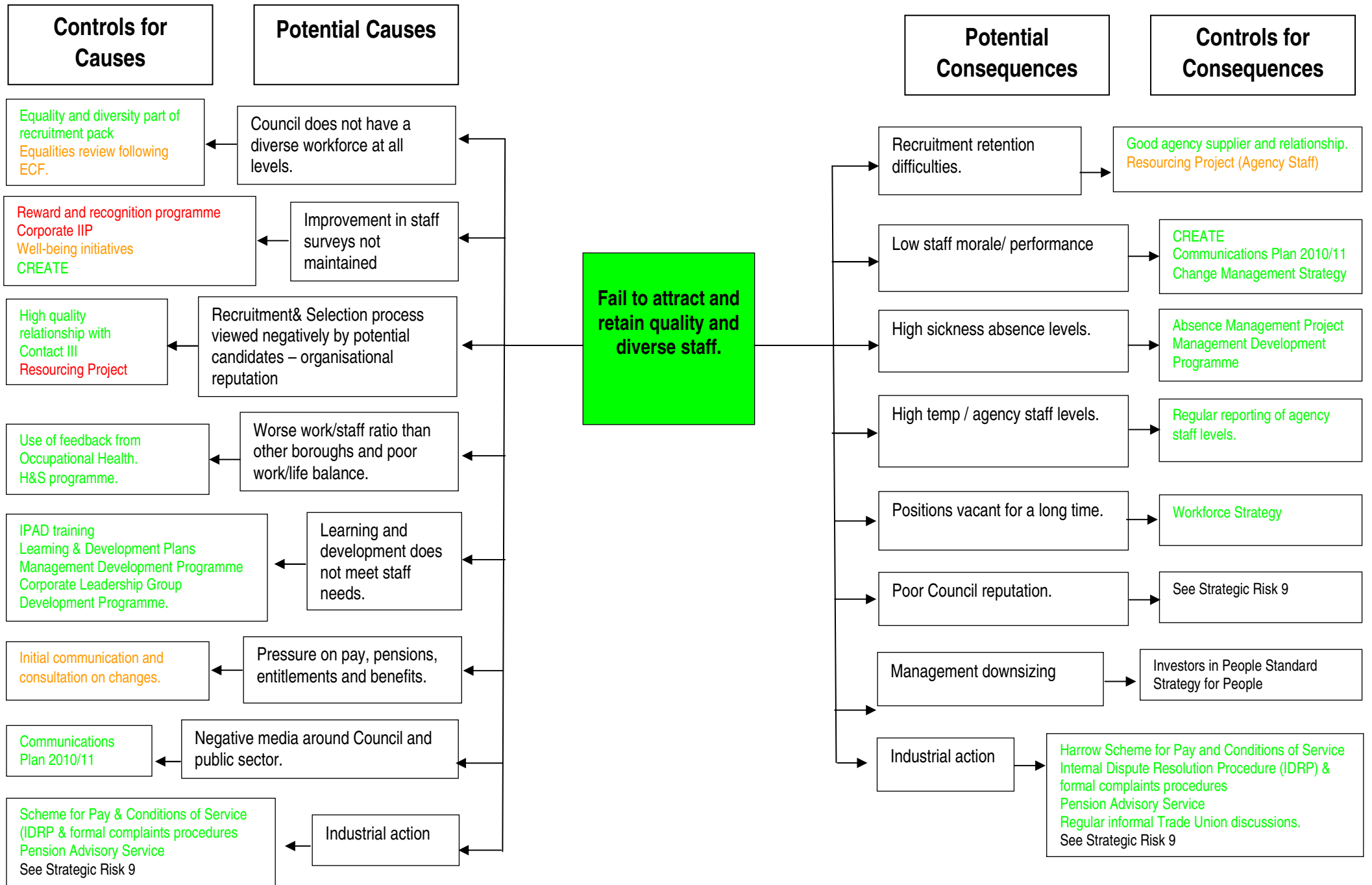
Strategic Risk 7 Action Plan – Culture of the Organisation

<p>Controls already in place to address risk:</p> <ul style="list-style-type: none"> • Better Deals for Residents Plan • Manager conferences, staff forums and CE newsletter. • Change Management Strategy and Workforce Strategy • Management Development Programme, Corporate Leadership Group Development Programme and Member Development Programme, including training, events and ongoing development. • Communications Strategy (regular communications with staff). • Workforce Strategy. • Annual Staffing Survey • Design Board. • Reviewed effectiveness of CREATE values • Absence management and reporting. • CREATE values & CREATE Awards • Council performance cycle. • Improvement Boards. • Transformation Programme – regular meeting, monitoring and reporting.
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What we will do to address this risk?	How we will do it?	By when?	By who?	Update / Comments

Contingencies (to be activated if risk is realised)	By who?
Escalate to CSB.	Risk Owner

Strategic Risk 8 – Attract/retain quality/diverse staff



Corporate Priority: All	Current Risk Rating: D3	Target Risk Rating: D3 (Met)	Risk Champion: Tom Whiting	Risk Owner: CSB	Control Key Controls in place / Existing controls. Controls underway / Work ongoing Controls planned / Needs actioning
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Strategic Risk 8 Action Plan – Attract/retain quality/diverse staff

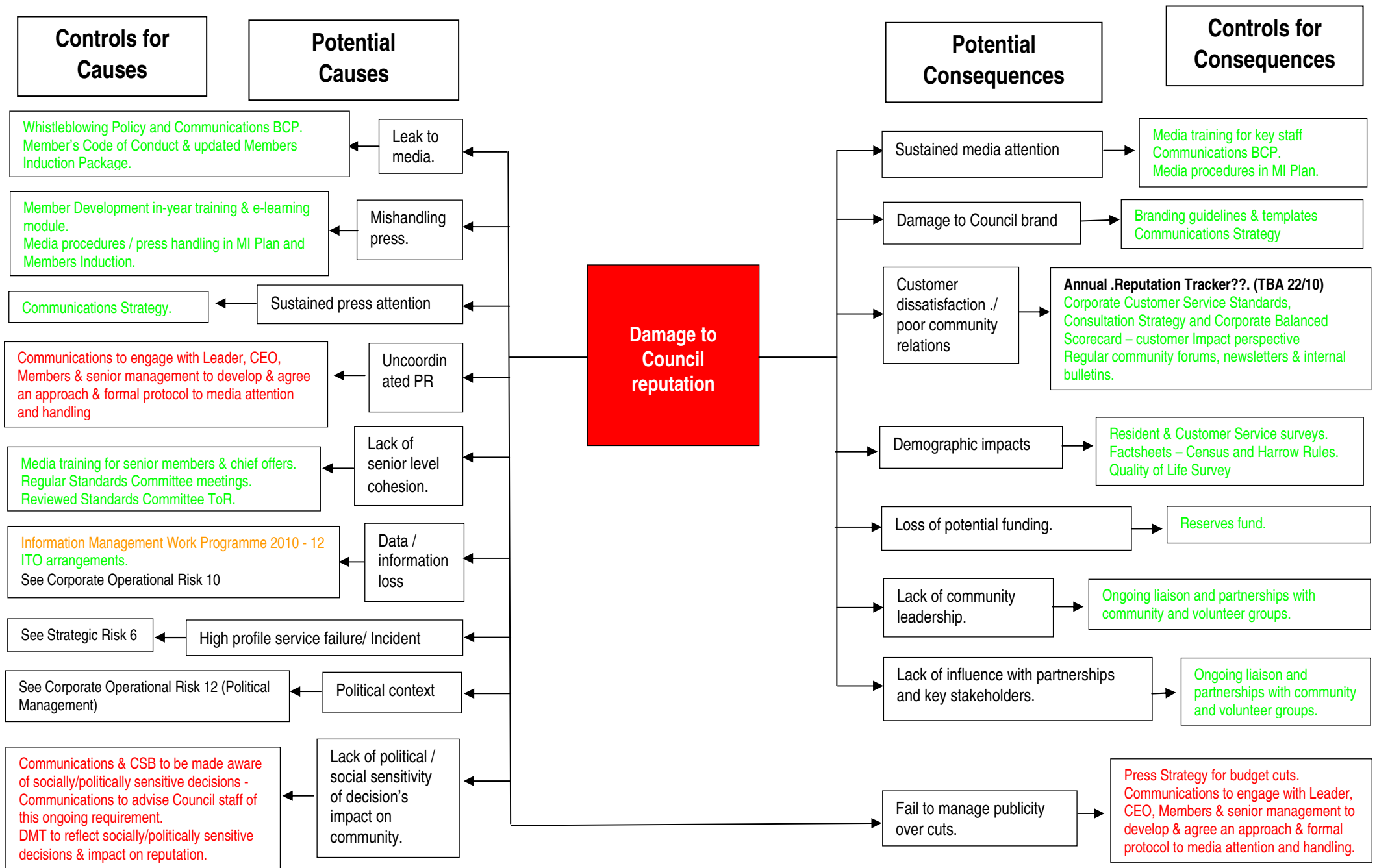
Controls already in place to address risk:

- Equality and diversity part of recruitment pack.
- CREATE and staff survey data.
- High quality relationship with Contact III and good agency supplier & relationship.
- Use of feedback from Occupational Health and H&S programme.
- Management Development Programme and Corporate Leadership Group Development Programme.
- IPAD training, Learning & Development Plans.
- Workforce Strategy, workforce strategy groups and reporting of agency staff levels.
- Communications Plan 2010/11, Change Management Strategy, Absence Management Project and Management Development Programme.
- Regular informal Trade Union discussions.

What we will do to address this risk?	How we will do it?	By when?	By who?	Update / Comments
Reward and Recognition Programme	New CIP Project to implement a total reward framework	June 2011	Jon Turner / Lesley Clarke	Options still being considered by CSB.
Corporate IIP	Obtain formal accreditation.	July 2012	Jon Turner / Lesley Clarke	CWSG have advised a date of 2012 is more realistic for completion
Well-being initiatives.	Review and refresh annual Wellbeing plan New CIP Project including support to managers introducing wellbeing initiatives	Jun 2010 Apr 2011	Jon Turner Jon Turner / Paul R Turner	Reviewed by H&WG new plan in development Not commenced
Resourcing Project (Agency Staff)	Joint procurement of agency staff contract with Hammersmith & Fulham Council.	June 2011	Jon Turner / Varsha Dadlani	Lead Agency: Hammersmith & Fulham Council

Contingencies (to be activated if risk is realised)	By who?

Strategic Risk 9 – Damage to Council Reputation



Corporate Priority: All	Current Risk Rating: C2	Target Risk Rating: E2	Risk Champion: Hugh Peart	Risk Owner: CSB	Control Key Controls in place / Existing controls. Controls underway / Work ongoing Controls planned / Needs actioning
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Strategic Risk 9 Action Plan – Damage to Council Reputation

Controls already in place to address risk:

- Whistleblowing Policy, Member's Code of Conduct and Member Development - in-year training and e-learning module
- Communications Strategy, Consultation Strategy and media training for senior members, chief officers and key staff
- Communications Team Business Continuity Plan
- Branding guidelines & templates, Factsheets – Census and Harrow Rules, and regular community forums, newsletters & internal bulletins.
- Corporate Customer Service Standards and ongoing liaison and partnerships with community and volunteer groups.
- Corporate Balanced Scorecard (customer Impact Perspective)
- Resident and customer service surveys, and **Annual Reputation Tracker (??)**
- Reserves fund and updated Members Induction Package.
- Media procedures in MI Plan and press handling & media procedures in Members Induction.
- Regular Standards Committee meetings and reviewed their Terms of Reference.
- ITO arrangements.

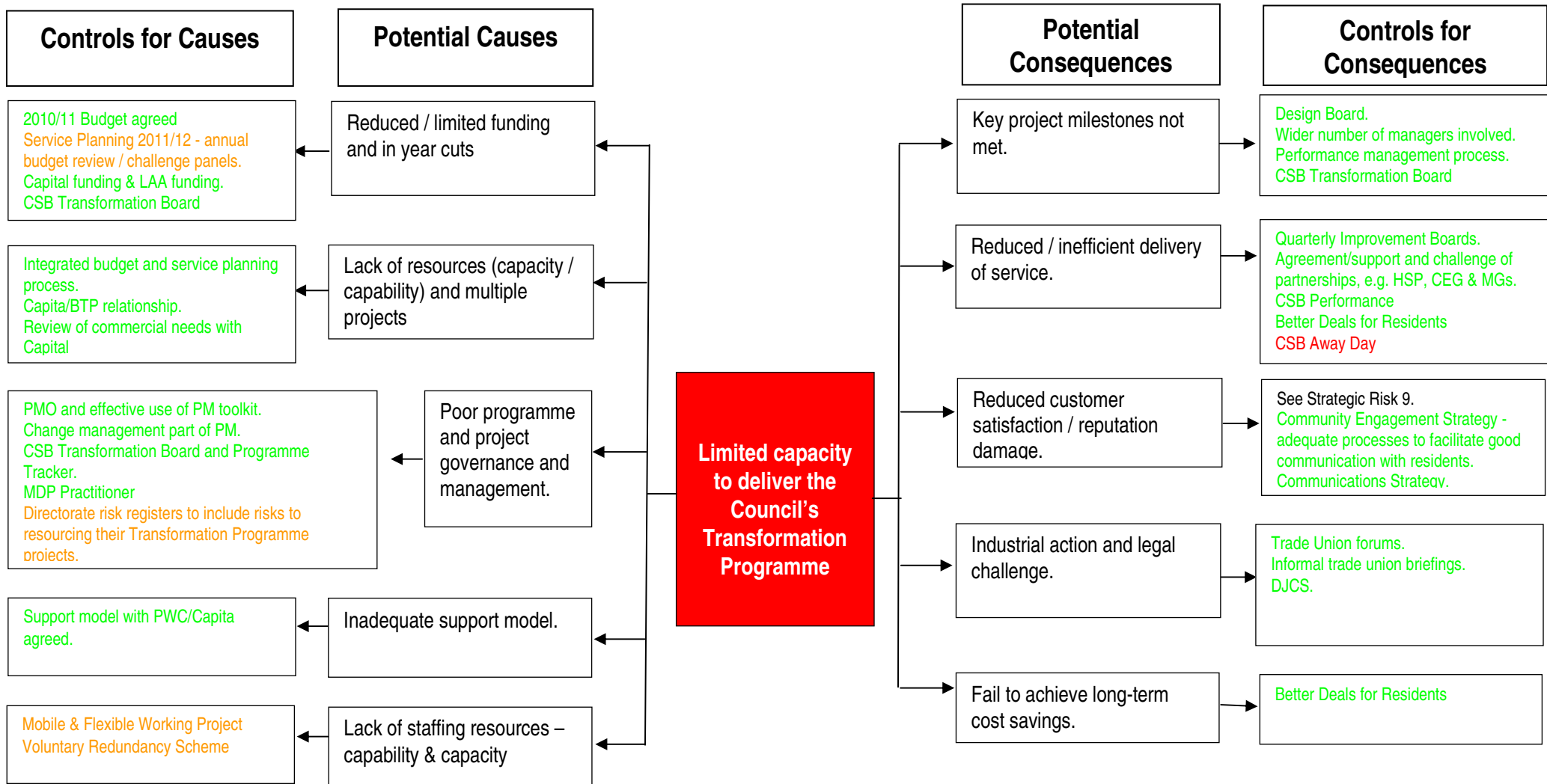
What we will do to address this risk?	How we will do it?	By when?	By who?	Update / Comments
Communications to engage with Leader, CEO, Members and senior management to develop and agree an approach and formal protocol to media attention and handling.	Consultation with Leader, CEO, members and senior management.	Dec 2010	Cristian Marcucci	
Communications and CSB to be made aware of socially / politically sensitive decisions.	Communications to advise Council staff of this ongoing requirement.	Dec 2010	Cristian Marcucci	
Press Strategy for budget cuts.	Communications to develop strategy to proactively communicate to/with residents re: budget cuts	Dec 2010	Cristian Marcucci	
Information Management Work Programme 2010/11 and 2011/12	Implement work programme in agreed staged approach.	2012	Tony Monachello	Includes the development of a new suite of information policies and guidance, and information security and induction training
Customer Service Standards	Agree and monitor achievement of customer service standards across those areas in the Council outside Access Harrow. Benchmark with London Benchmark Club to identify adequacy of the Council's responses to complaints against London benchmark and report to Nov 2011 Improvement Board. Embed across the Council	Nov 2010 Nov 2010 2011/12	Carol Cutter	

Contingencies (to be activated if risk is realised)	By who?
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Escalate to CSB

Risk Owner

Strategic Risk No 10 – Resourcing the Transformation Programme



Strategic Risk No. 10 Action Plan

Corporate Priority: All	Current Risk Rating: C2	Target Risk Rating: E2	Risk Champion: Tom Whiting	Risk Owner: CSB	Control Key Controls in place / existing controls. Controls underway / Work ongoing Controls planned / Needs actioning
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Controls already in place to address risk:

- Effective use of PM toolkit and ensuring change management is part of PM.
- Matching ambition to capacity and Wider number of managers involved.
- Agreed support model with PWC/Capita - includes support in developing PIDs.
- 2010/11 Budget agreed, annual budget review / challenge panels and performance management process
- Design Board, CSB Transformation Board, and quarterly CSB Performance and Improvement Board meetings.
- Community engagement strategy and processes in place to facilitate good communication with residents, staff & unions.
- Agreement/support and challenge of partnerships, e.g. HSP, CEG & MGs.
- Conduct equality impact assessments, where appropriate.
- Trade Union forums, informal trade union briefings and DJCS.
- Better Deals for Residents.

What else we will do to address this risk (controls underway and planned)?	How we will do it?	By when?	By who?	Update / Comments
Service planning process for 2011/12	Starts July 2010 and includes annual budget reviews and challenge panels.	April 2011	CSB	
CSB Away Day to discuss future shape of organisation.	Horizon scanning for emerging risk(s) that will impact the achievement of TP Year 3 Plan objectives.	January 2011	CSB	Action agreed at CSB meeting 6/10/2010
Directorate risk registers to reflect the risks around the resourcing of their Transformation Programme projects.	Risk Manager to advise the Directorate Risk Champions.	End October 2010	Corporate Directors via Risk Champions	Action agreed at CSB meeting 6/10/2010
Mobile & Flexible Working Project	Implementation commences Jan 2011	April 2012	Andrew Trehern	
Voluntary Severance Scheme		December 2010	Jon Turner	

Contingencies (to be activated if risk is realised)	By who?
* Allocate pro-rata'd saving targets to each target. * Funded backfill for business case development and implementation. * Investigate alternate funding options.	CSB