

Corporate Operational Risk Register

Appendix 3

Version: 4 November 2010

Reviewed by CRSG: N/A

Reviewed by CSB: N/A

Next CRSG Review Date: 8 February 2011

Next CSB Review Date: 9 March 2011

- 2 Major fraud and corruption incident within Council and Partnerships (MB)
- 5 Successful legal challenge of Council decision (HP)
- 6 Business continuity/disaster recovery no resilient (MB)
- 7 Inadequate emergency planning (MB)
- 8 Failure to achieve decent homes targets (PN)
- 9 Fail to deliver effective response maintenance service (PN)
- 10 Inadequate data / Information security (MB)
- 11 Fail to ensure ERP related interfaces are operating effectively (PN)
- 12 Ineffective political management (HP)
- 14 Inadequate occupational, health and safety management system (MB)
- 15 Fail to deliver on budget in-year (MB)
- 16 Fail to maintain CQC and Ofsted rate of progress. (CD/PN)
- 17 Fail to address carbon reduction commitment. (BH)

LIKELIHOOD				
A Very High (>80%)			15	
B High (51-80%)			5	14
C Significant (25-50%)		2	10, 11, 15	
D Low (10-24%)		9	6, 7, 8, 12, 16, 17	
E Very Low (3-9%)				
F Almost Impossible (0-2%)				
IMPACT	4 Negligible Impact / Benefit	3 Marginal Impact / Minor Benefit	2 Critical Impact / Major Benefit	1 Catastroph ic Impact / Exceptional Benefit

Corporate Priorities:

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

CLOSED RISKS

Risk 3: Insufficient future/forward planning for services (merged with COR 1 - 15/7/2010)

Risk 4: Fail to maintain CAA rate of progress (15/7/2010)

Risk 13: Consultation & engagement (17/2/2010)

Risk 3: Insufficient future/forward planning for services (merged with COR 1 - 15/7/2010.)

Risk 4: Fail to maintain CAA rate of progress (15/7/2010)

Risk 1: Limited capacity for resourcing the Council Transformation Programme (6/10/2010 - see Strategic Risk 10)

Risk No.	Objective No.	Risk Description	Controls (In Place and Effective)	RISK Rating This Quarter (after controls)	Risk Rating Last Quarte r	Controls (Underway or Planned) (Incl. Implementation Date)	Control Owner	Target Risk Rating	Target Risk Date	Risk Owner	Comments
2	All	Major fraud and corruption incident within the Council and Partnerships.	<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. * Ongoing liaison and joint working with internal and commercial partners. * Fraud awareness training - New Starters (corporate) Induction. * Ongoing liaison and close working on joint cases by CAFT with Partners, including DWP, UK Borders Agency, Metropolitan Police, etc. * Independent investigation by PWC into alleged Partner fraud. 	C3	C3	<ul style="list-style-type: none"> * Information Management Programme - IT security (Tony Monachello - 31/3/10). * Develop fraud awareness e-learning tool (Justin Phillips - Q3 2010/11). * Fraud awareness in Managers and Members Induction (2011/12) * LAA grant appln process to obtain evidence of capacity & capability to deliver project, including Board & staff capability. (2012) * HSP SLAs to include the Council's risk appetite for fraud, action to be taken in the event of fraud, clarity on ownership of assets purchased by grant monies & return of unspent monies, and provision of audited annual accounts (for full term of SLA). (Dec 2010) * Develop & implement evidence based performance monitoring & reporting arrangements by HSP MGs - standing agenda item. (Dec 2010) * Consultation with voluntary & community sectors on review of LAA grants process, commissioning of key services & separate capped grants programme for small, one off grants (Dec 2010). * Improved transparency of regular financial reporting to the HSP MGs. (Dec 2010) 	David Ward / Justin Phillips / Susan Dixon / Trina Thompson	E2	2011/12	Myfanwy Barrett	11/10/2010 - Updated by CAF Service Manager. 26/10/2010 - CRSG agreed with a risk rating of C3 (Amber).

Risk (Event)

Further Actions

Risk No.	Objective No.	Risk Description	Controls (In Place and Effective)	RISK Rating This Quarter (after controls)	Risk Rating Last Quarter	Controls (Underway or Planned) (Incl. Implementation Date)	Control Owner	Target Risk Rating	Target Risk Date	Risk Owner	Comments
		<p><i>Cause(s)</i></p> <p>Abuse of position. Lack of data security. Inadequate internal control framework. False documentation, claims & applications.</p>				<p>* HSP MGs ToR to include role in regular performance monitoring, project delivery & scrutiny of financial reports from the grantee finance system, & conduct independent checks as req'd (Dec 2010)</p> <p>* Clarify protocols for conflicts of interest, e.g. where HSP MG member is a grantee. (Dec 2010)</p> <p>* IA Service Mgr to inform partnership work on performance monitoring & reporting requirements and advice sought from RAF Service Managers as appropriate. (Ongoing)</p> <p>* Consistent approach to be taken for LAA and other grants, including SLA and evidence based performance monitoring & reporting - report to Overview & Scrutiny Leadership Group. (Nov 2010)</p> <p>* Identify impact of Central government changes to benefit fraud and welfare reform policies and loopholes in Council policies/processes. (Justin Phillips/Griselda Colvin - March 2011)</p>					
		<p><i>Consequence(s)</i></p> <p>Negative Media. Financial loss. Reputation damage. Theft of assets, including cash. Fraudulent claims.</p>				<p><i>Contingencies</i></p> <p>* Escalate to Divisional Director Audit & Risk, Corporate Director of Finance and/or Chief Executive for decision.</p> <p>* Investigate under the provisions of the Local Government Act 1972 (where appropriate).</p>					

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5	All	<p>Successful legal challenge of a Council decision.</p> <p>Poor legal & technical advice, incl misunderstanding of case circumstances. Uncertainty of court outcomes, incl test cases. Potentially contentious decisions by Cabinet. EU procurement legislation right for suppliers to take legal action in UK courts for breaches of EU rules. Public Contracts Regulation 2009 increased the effectiveness of legal challenge by suppliers. Increased collaborative procurement by local councils, allowing larger contracts/frameworks resulting in larger impact on supplier's business. Greater supplier awareness of available legal responses and appetite for legal action. Lack of Member/staff training and awareness.</p>	<p>* 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. * Continual update and training of legal staff. * Strategic Procurement Board established.</p>	B2	B2	<p>* Continued discussions with the Leadership Group on risk appetite for legal challenge (Hugh Peart - ongoing). * Discussion with CSB on handling Cabinet decisions (Hugh Peart - Nov 2010) * Develop Procurement Strategy (Richard Hawtin - 2011/12) * Develop Contract Management Strategy (Richard Hawtin - 2011/12) * Develop Procurement Target Operating Model (Richard Hawtin - 2011/12) * Identify whether insurance arrangements are adequate for potential successful legal challenge and resulting damages/costs. (Karen Vickery / Richard Hawtin- Dec 2010) * Publish a voluntary transparency notice for direct awards to ensure observance with associated standstill periods). * Investigate option of pre-agreeing contractual provisions dealing with a declaration of ineffectiveness, which are not inconsistent with the primary order. (This seeks to undermine the effects of declaring a contract ineffective or shortened). (Stephen Dorrian) * Ensure procurement procedures/guidance reflect the court's findings, e.g. Montpellier v Leeds City Council [2010] EWHC 1543 (QB). (Richard Hawtin /Stephen Dorrian)</p>	Hugh Peart / Richard Hawtin / Stephen Dorrian	E2	2012/13	Hugh Peart / Myfanwy Barrett	26/10/2010 - CRSG agreed with the risk rating of B2 (Red), but queried whether additional actions could be implemented to mitigate this risk. Risk Champion, Legal & Governance Directorate, to advise the Interim Risk Manager of any additional controls (underway or planned) to mitigate Corporate Operational Risk 5.

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		<p>Economic pressures on businesses & unsuccessful bidders demanding payment of bidding costs.</p> <p>Judicial review of major decisions.</p> <p>Poor (procurement) project management.</p> <p>Lack of specialist expertise/knowledge.</p> <p>Non-centralised procurement practices breach procurement rules.</p> <p><i>Cause(s)</i></p>				<p>Ensure contractual terms clearly allocate risk in the event that remedies under UK legislation is imposed, specifically: (Stephen Dorrian)</p> <ul style="list-style-type: none"> - establish which of the consequences of termination (detailed in the contract) apply in the event of a declaration of ineffectiveness, including those relating to the transfer of assets; - without giving any warranty of compliance with the procurement rules, limit by value (or calculation) the Council's liability to pay compensation or restitution to the contractor; - deal with the types of loss that the Council wishes to exclude liability for, including future earnings that the supplier may otherwise have generated under the contract; - establish dispute resolution procedures to be followed in the event of disagreement relating to the pre-agreed terms; - establish that the provisions apply where the contract is shortened, in addition to a declaration of ineffectiveness; <p><i>Further Actions</i></p>					

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		<p>Consequence(s)</p> <p>Legal costs/fines. Negative media and reputation damage. Delay to decisions/projects. Increased supplier incentive to start/threaten legal action / claims for contract ineffectiveness. Successful legal challenge - fines, order shortening/cancelling contract, damages. Inability to deliver cost effective and value adding services. Future procurement activities fail to seek better value.</p>				<p>Contingencies</p> <p>* Engage insurer as necessary. * Utilise reserves fund. * Judicial review of process.</p>					

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6	All	<p>Business Continuity planning/disaster recovery is not resilient in the event of a business interruption.</p> <p>Natural disaster. Pandemic. War/terrorism.</p> <p>Unable to deliver services. Loss of Council buildings, IT or staff.</p>	<p>* All 34 BCPs at departmental level completed.</p> <p>* Ongoing business continuity workshops for service managers and above (new/upon promotion).</p> <p>* Corporate BIA reviewed Feb 2009 & corporate BCP approved by Cabinet Jan 2010.</p> <p>* BC awareness part staff induction & BC info on the Hub.</p> <p>* Nightly data back up arrangements.</p> <p>* SAP disaster recovery plans.</p> <p>* Business critical plans have been identified and are in place.</p> <p>* Annual review of all BCPs and testing of SAP data recovery at remote data centre by Capita.</p> <p>* Quarterly & ongoing liaison with West London boroughs and annual forum with all London boroughs to share best practice and lessons learnt.</p> <p>* Ongoing liaison by Emergency Team with Directorates.</p> <p>* Table top testing of Corporate and Directorate BCP completed Feb 2010.</p> <p>* HIPS Business Continuity Plan in place.</p> <p>* Sunguard arrangements agreed and in place.</p> <p>* Harrow IT Disaster Recover Plan now part of Capita ITO arrangements.</p> <p>* ERO training 7/10/2010.</p> <p>* Joint BC-vulnerable people exercise with PCT (13/10/2010)</p>	D2	D2	<p>* All BCP Plans to be reviewed (Oct 2010).</p> <p>* New evacuation procedures for Civic Centre to be informed by lessons learnt from the bomb threat on 10/6/2010, including those in relation to the Council's security arrangements. (Oct 2010)</p> <p>Implement business continuity plans. Utilise Safeguard recovery site.</p>	David Ward / Kan Grover	D3	Oct-10	Myfanwy Barrett	13/10/2010 - Updated by Civil Contingencies Service Mgr. 26/10/2010 - CRSG agreed with the current risk rating of D2 (Amber).

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7	2	<p><i>Risk (Event)</i></p> <p>Inadequate emergency planning in place to deal with major incidents.</p> <p><i>Cause(s)</i></p> <p>Severe weather, explosions, terrorism and pandemic.</p> <p><i>Consequence(s)</i></p> <p>Community disruption. Reputation damage.</p>	<p>* Annual review of Major Incident Plans, including emergency response procedures.</p> <p>* Emergency response officer volunteer rota/Duty Director rota in place & updated biannually..</p> <p>* Participation in London-wide and regional training & exercises - Safer City (Mar 09) and Preparer (Oct 09).</p> <p>* Annual CSB & Tier 2and CSB & CLG training days - Feb 09.</p> <p>* Stanley Road report recommendations implemented - Nov 09.</p> <p>* Codeman now live and producing management information.</p> <p>* Ongoing liaison & consultation with GOL Resilience Team, Cabinet Office.</p> <p>* All Duty Directors up to date on EP training.</p> <p>* Participated in Safer City exercise (London-wide March 2010).</p> <p>* Annual hands-on testing exercise for senior managers.</p> <p>* Members training (June 2009, March 2010, June 2010)</p> <p>* Senior management training (June 2010)</p> <p>* All plans in place and regularly reviewed, with regular training provided to all senior manager, including involvement in testing exercises.</p>	D2	D2	<p><i>Further Actions</i></p> <p>* Multi-agency senior managers exercise on a CBR incident (19/11/2010).</p> <p>* Council wide BC phone cascade test (23/11/2010).</p> <p>* Member Development Programme sessions (30/11/2010)</p> <p><i>Contingencies</i></p> <p>Implement Major Incident Plan.</p>	David Ward / Kan Grover	D3	Oct-10	Myfanwy Barrett	13/10/2010 - Updated by Civil Contingencies Service Mgr. 26/10/2010 - CRSG agreed with the current risk rating of D2 (Amber).

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8	2	<p><i>Risk (Event)</i></p> <p>Failure to achieve the decent homes targets by 2010.</p> <p><i>Cause(s)</i></p> <p>Inadequate partnership arrangements. Lack of / diverted resources. Inability to deliver spending programme.</p> <p><i>Consequence(s)</i></p> <p>Government intervention. Poor CPA score. Reputation damage. Decrease in customer satisfaction.</p>	<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. * 2010/11 Capital Programme approved. * Mill Farm transferred 26/4/2010. * Kier Partnership Governance Action Plan delivered. * Kier delivered 2009/10 target. * Revisited governance review of Kier partnership alongside Asset Management restructure. 	D2	D2	<p><i>Further Actions</i></p> <ul style="list-style-type: none"> * Continuing improvement of stock data. (Dec 2010) * Responsibility for repairs and maintenance being transferred to Housing Services (2010/11) * Continuing improvement of stock data. * Discussions underway with TSA re delays at Francis Rd and one other site. <p><i>Contingencies</i></p> <p>Renegotiate target with CLG.</p>	Carol Yarde / Howard Beresford	D2	Met	Paul Najsarek	26/10/2010 - CRSG agreed the risk rating should be changed from C3 (Amber) to D2 (Amber).

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9	2	<p>Failure to deliver an effective response maintenance service within budget and to required standards.</p> <p><i>Risk (Event)</i></p> <p>Increased demands. Budget overspend. Lack of efficiency delivered from partnership working.</p> <p><i>Cause(s)</i></p> <p>Not meet required standards. Increase in complaints and decrease in customer satisfaction. Potential legal/health and safety implications. Non inclusion in ongoing HARP implementation.</p> <p><i>Consequence(s)</i></p>	<p>* 2010/10 budget agreed - based on more detailed unit cost and volume data (£700k increase and control expenditure within revise budget).</p> <p>* Kier Improvement Plan in place.</p> <p>* Appointment of Head of Asset Management within Housing Services.</p> <p>* Weekly budget monitoring meetings taking place between Housing and Property Services.</p> <p>* Implementation of Lean Review - ongoing.</p> <p>* IT reviewed by Capita.</p> <p>* Tenants Handbook updated and distributed to tenants.</p> <p>* Asset Management Team restructure.</p> <p>* Transferred resident services into Access Harrow as 1st point of contact for tenants.</p> <p>* Tenants Handbook updated.</p> <p>* Transfer of Mill Farm following a very positive ballot.</p> <p>* 2 year Housing Ambition Plan (HAP) launched 12 May 2010.</p> <p>* HAP monitoring framework in place with clear targets and timescales and reported to Improvement Board.</p> <p>* HAP Communication and Engagement Plan in place.</p> <p>* Identified additional resources to support HAP.</p> <p>* Increased scorecard KPIs around response maintenance.</p> <p>* Monthly and quarterly performance monitoring of response maintenance against scorecard KPIs.</p> <p>* Completed LEAN Efficiency Review.</p> <p>* Ongoing analysis of profile of activity by trades / numbers of jobs completed / spend carried out allow more accurate management of budgets.</p>	D3	D3	<p>* Responsibility for repairs and maintenance being transferred to Housing Services (2010/11)</p> <p>* Housing Ambition Plan (Improvement Programme) being delivered to be the best service in London (2012).</p> <p>* Implement recommendations of LEAN Efficiency Review (March 2011)</p> <p>* Staff consultation on new Asset Management structure. (Dec 2010)</p> <p>* Review Tenant's Handbook (Dec 2010)</p> <p><i>Further Actions</i></p> <p><i>Contingencies</i></p>	Carol Yarde / Howard Beresford	D3	Met	Paul Najsarek	26/10/2010 - CRSG agreed the risk rating should be reduced from C3 (Amber) to D3 (Green).

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10	All	<p>Inadequate systems/procedures in place and embedded regarding data/information security.</p> <p><i>Risk (Event)</i></p> <p><i>Cause(s)</i></p> <p><i>Consequence(s)</i></p>	<p>* Quarterly Information Governance Board.</p> <p>* Information Risk Policy, Information Security Policy and related guidance.</p> <p>* Ongoing information audits by Ciaos (Risk Champions).</p> <p>* Quarterly updated of Information Risk Action Plans by IAOs.</p> <p>* Annual update of Information Asset Register.</p> <p>* Corporate Induction and Managers Induction (Q1 2010).</p> <p>* Members provided with information handling procedures (2009)</p> <p>* Information management requirements included in Members Induction Package and in-year training (May 2009)</p> <p>* 2010/11 CoCo compliance attained.</p> <p>* Updated Member's Rights to Confidential Information (A Guidance Note for Officers) to reflect new Members email protocols.</p> <p>* Developed Information Security e-course.</p> <p>* Appointed an Information Architect</p>	C2	C2	<p>* Implement Information Management Work Programme for 2010/11 and 2011/12.</p> <p>* Personal acceptance IT solution (November 2010) - dependant on resouces.</p> <p><i>Further Actions</i></p> <p>* Assist C&E Directorate develop their Information Asset Register and Information Risk Action Plan (Dec 2010)</p> <p>* Develop Council Information Asset Register (Dec 2010)</p> <p>* Clarification of issues around access to personal information through Crystal Reporting. (Dec 2010 - T Monachello)</p> <p>* Revising Member's Acceptable Use Policy (Dec 2010)</p> <p><i>Contingencies</i></p> <p>* Escalate to SIRO for IGB decision.</p>	David Ward / Tony Monachello	D2	2011/12	Myfanwy Barrett	11/10/2010 - Updated by Information Manager. 26/10/2010 - CRSG agreed with risk rating of C2 (Red).
11	All	<p>Failure to ensure ERP related interfaces are operating to full effect (Framework-i).</p> <p><i>Risk (Event)</i></p> <p><i>Cause(s)</i></p> <p><i>Consequence(s)</i></p>	<p>* ICS Project Team</p> <p>* Manager's Induction (April 2010)</p> <p>* Information on Intranet.</p> <p>* ERP health checks.</p> <p>* SAP Tutor Player.</p> <p>* Framework-i guides.</p> <p>* ERP Development Plan.</p> <p>* Children's Services - monthly reporting to data champions and managers against data quality indicators.</p> <p>* User Acceptance Testing (Framework-i) completed (July 2010)</p> <p>* Coursebooker interfaced with SAP (July 2010)</p>	C2	C2	<p>* Ongoing work to resolve outstanding issues with interface, with training and data input continuing.</p> <p>* Framework-i Improvement Plan (2010/11)</p> <p>* Project to ensure full operation of Framework-i and SAP interfaces for debtor information (Feb 2011).</p> <p>* IA review of interface between Framework-i and SAP (Apr 2011).</p> <p><i>Further Actions</i></p> <p><i>Contingencies</i></p> <p>* Escalate to CSB.</p>	Jo Fitzgibbon Bernie Flaherty Tim Beard Susan Dixon	D2	2010/11	Paul Najsarek	26/10/2010 - CRSG agreed with a risk rating of C2 (Red).

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12	All	<p>Ineffective political interface (including opposition) / failure to maintain good working relationship with administration and opposition.</p> <p><i>Risk (Event)</i></p> <p><i>Cause(s)</i></p> <p>Change of leadership / political control. Lack of Member awareness of council frameworks/processes.</p> <p><i>Consequence</i></p> <p>Conflicting priorities - tensions between local, regional and national agenda.</p>	<ul style="list-style-type: none"> * Regular meetings between Leader & Deputy Leader (Administration & Opposition) 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. * Quarterly Member briefings and showcases. 	D2	C2	<p><i>Further Actions</i></p> <ul style="list-style-type: none"> * Joint leadership development programme to be agreed by end 2010. * Develop a Member's Cabinet Induction programme by end 2010. * Continued engagement with Leadership Group to develop and maintain good working relationship. <p><i>Contingence</i></p> <ul style="list-style-type: none"> * Meet with Leader, Chief Executive, CSB and Cabinet. 	Hugh Peart	D3	2010/11	Hugh Peart	26/10/2010 - CRSG agreed with risk rating of D2 (Amber) and advised that the risk description should be changed to 'Ineffective political interface ... etc'.
14	All	<p>Inadequate OH&S management system to ensure appropriate asset management and meet duty of care obligations.</p> <p><i>Risk (Event)</i></p> <p><i>Cause(s)</i></p> <p>Fail to attract and retain quality staff. High staff turnover. Lack of organisational capacity and capability for long term OH&S programme management. Ineffective asset management and maintenance. Poor financial and budget management. Over dependency on key contractors, such as Connaught Compliance. New OH&S legislation for Councils.</p>	<ul style="list-style-type: none"> * Staff development (1-2-1s, induction) * Monitoring of workforce profiles within services and action taken * Monthly monitoring of key projects - Weekly management of H&S priorities * Monitoring of contractor/contract performance, e.g. EAS & OH&S. * Sickness monitoring, including RTWs and reviews * Health and Safety Management System approach agreed * H&S budgets and action plans in place. * Regular review of risk assessments in line with Group H&S Plans. * Management inspections * Insurance in place * Corporate Health and Safety Group and coverage * KPIs set. * Ongoing H&S advice from in-house team. * Communication and consultation strategies * Provision of general/specific training for staff, mangers and members. 	B1	C1	<p><i>Further Actions</i></p> <ul style="list-style-type: none"> * Efficiency Review being conducted by independent party. (Nov 2010) * Review of staff capability/capacity and utilisation of contract staff as needed (Nov 2010) * Deliver H&S improvements in consultation & communication with stakeholders (Nov 2010) * Delivery of Health and Safety Team (within RAF) Objectives & Targets * Rolling programme of policy & procedure reviews - asbestos, fire, accidents, legionella, etc (2011/12). * Development of internet/intranet OH&S content (2011/12) * Review and update Corporate H&S Group ToR (November 2010) * Approval of new fire management procedures by H&S Board (Nov 2010) * Develop asbestos arrangements 	David Ward / Mark Riordon	D2	2011/12	Myfanwy Barrett	26/10/2010 - CRSG agreed that the risk rating should be increased from to C1 (Red) to B1 (Red).

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		<p>Reputation damage. HSE prosecution and civil legal proceedings, including financial penalties. Inability to achieve objectives and deliver OH&S service to required standard. Failure to comply with legislation (new and existing). Increase dependency on key contractors and resultant increased costs, such as Connaught Compliance. Loss of corporate knowledge. Poor programme/project management. Asset disrepair/closure/value loss, etc.</p> <p><i>Consequence(s)</i></p>	<ul style="list-style-type: none"> * Assessment of laws, policies and practices required to comply with legislation. * Allocation of responsibility for compliance with new legislation. * Dedicated staff to coordinate and progress new legislation * Standing agenda item on management meetings * Provision of information for partners * Communications with media & community * Promotion and publicity * Internet and intranet development * Contract Procedure Rules * Business Continuity * H&S Training Plan/Programme * Asset Management Plan * Press Office. * Contract agreed for joint provision of OH&S Service with Brent Council. * Ongoing staff training (attendance levels increasing). * Corporate H&S Committee and Directorate H&S Groups. * Reviewing asbestos management arrangements in place * Asbestos & Legionella Management Group in place. 			<p>to ensure legal compliance (November 2010)</p> <ul style="list-style-type: none"> * Check asbestos register against main asset register to ensure asbestos register identifies all Council buildings with asbestos. (October 2010 - Report to CRSG). * IA review of asbestos management within Housing Services (Nov 2010). * HSE inspection follow up. <p><i>Contingencies</i></p> <ul style="list-style-type: none"> * Implement relevant response process to deal with: fatality, legionella outbreak, asbestos release, fire, etc. * Liaise with Communications to ensure appropriate responses to possible media attention. 					

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15	All	<p>Fail to deliver on budget in-year, including revenue.</p> <p><i>Risk (Event)</i></p> <p><i>Cause(s)</i></p> <p>Economic climate. Reduced / limited funding. Budget overspend / unanticipated costs. Increased capital asset maintenance costs. Reduced income. Gov't Spending Review Forecast on revenue & capital spend. Lack of staff awareness/training.</p> <p><i>Consequence(s)</i></p> <p>Reputation damage. Government intervention. Cut in / unable to deliver services. Organisational change in response to budget cuts.</p>	<p>* Regular financial performance monitoring and reporting to CSB and DMTs. * Medium Term Financial Strategy. * Budget Risk Register. * Comprehensive budget plan in place to close gaps. * Monthly DMT monitoring of financial position. * Financial Effectiveness Action Plan. * Debt Management Policy - council tax, business tax, rent, service charges, housing benefits & sundry debts, * Myplanbudget 2010-11, planning signposts and planning & budgeting guidance and templates. * Budget Challenge Panels. * Internal and External Audits. * PCT debt settlement agreed. * Budget forecasting - actual vs expected.</p>	C2	A2	<p><i>Further Actions</i></p> <p>* Implement Financial Effectiveness Action Plan (March 2011) * Year Ahead Statement 2011/12 to be agreed by CSB & Cabinet (Sept 2010). * Capital Programme Investigation by PWC (Nov 2010) * Identify impact of capital programme * Review and prioritise future capital programming requirements post Spending Review outcomes via the Capital Forum. (31/3/2011)</p> <p><i>Contingencies</i></p> <p>Escalate to CSB.</p>	Myfanwy Barrett	D2	31/03/10	Myfanwy Barrett	26/10/2010 - CRSG agreed the risk rating should be reduced from A2 (Red) to C2 (Red). CRSG advised that a new risk should be included in relation weaknesses in the capital programme control environment and the risk description of COR 15 should exclude '...and capital spend'.
16	All	<p>Fail to maintain CQC and Ofsted rate of progress.</p> <p><i>Risk (Event)</i></p> <p><i>Cause(s)</i></p> <p>Changes to gov't policy/requirements. Inadequate evidence gathering. Reduction in service provision. Lack of resources.</p> <p><i>Consequence</i></p> <p>Reputation damage. Poor assessment score Increased scrutiny.</p>	<p>* Housing Ambition Plan (June 2010) * Adults Excellence Plan (July 2010) * Revised Adults & Housing Transformation Programme Plan to form Adults & Housing Transformation Board. * Children's & Young People's Plan * Adults & Housing Communications Strategy * Budget Challenge Panels * Scrutiny Boards * Improvement Boards (qtrly) * DMTs - Children's Services/Adults (weekly) & Adults & Housing (monthly) * Children's Services Programme Board (fortnightly) * Children's Services and Adults Joint Committees (qtrly)</p>	D2	D2	<p><i>Further Actions</i></p> <p>* Stakeholder Reference Group - Children's Services (Sept 2010) * Develop Children's Services Communications Plan (Sept 2010) * Major pre & post consultation to agree the Transformation Programme for children & young people; families; staff; Partners and adults.</p> <p><i>Contingence</i></p> <p>Escalate to CSB.</p>	Heather Clements / Carol Yarde	E3	Sep-11	Catherine Doran / Paul Najsarek	26/10/2010 - CRSG agreed the risk rating of D2 (Amber).

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17	All	<p><i>Risk (Event)</i></p> <p>Fail to address carbon reduction commitment (CRC).</p> <p>Energy wasted.</p> <p>Financial arrangements within schools.</p> <p>Lack of capability to meet targets.</p> <p>Ineffective implementation of CRC initiatives.</p> <p>Lack of resources.</p> <p>Fail to recognise CRC within BDR / Transformation Programme.</p> <p>No CRC Plan.</p> <p><i>Cause(s)</i></p> <p>Age of assets, e.g. housing, schools and Council buildings.</p> <p>Inadequate routine maintenance programme (see COR 9).</p> <p>CRC not considered in corporate and asset management decision making & planning.</p> <p>Lack of staff awareness/training.</p>	<p>* Climate Change Strategy.</p> <p>* Ongoing strategic planning policy development re: growth/CRC objectives.</p> <p>* Green Travel Plans.</p> <p>* Senior commitment to CR reduction.</p> <p>* Participant in Green Procurement Code.</p> <p>* Revised templates to Cabinet to include CR implications.</p> <p>* Bulk purchase energy using OGC guidance.</p> <p>* Community Assets Programme.</p> <p>* Internal 'green' communications campaign.</p> <p>* Ongoing rolling programme of initiatives to target corporate and private sector, e.g. eco driving scheme, 'turn it off' programme.</p> <p>* Energy Team in place.</p> <p>* Sustainability impact studies for all major projects.</p> <p>* Qtrly cost review to identify cost savings and monitoring of recycling targets.</p> <p>* Recycling programme.</p>	D2	-	<p><i>Further Actions</i></p> <p>* Public consultation on revised Climate Change Strategy (Andrew Baker - Feb 2011)</p> <p>* Revised Climate Change Strategy to Cabinet (Andrew Baker - March 2011)</p> <p>* Develop Climate Change Action Plan (Andrew Baker - 2011/12)</p> <p>* Implement revised Climate Change Action Plan (Andrew Baker - 2014)</p> <p>* CRC report to Cabinet (Andrew Baker - Dec 2010)</p> <p>* Upgrading lighting and heating controls (via Salix) (Andrew Baker / Mike Brown - Dec 2010)</p> <p>* ITT / mobile & flexible working implementation programme, e.g. Webex (2012/13)</p> <p>* & Re-fit Programme (Phase 1) (Andrew Baker - 2011/12)</p> <p>* Develop Procurement Strategy - to consider CRC (Richard Hawtin - 2011/12)</p> <p>* Identify if schools can be charged for full cost of CRS (Andrew Baker - April 2011)</p> <p>* Incorporate CRC into Capital Programme (John Edwards - Feb 2011)</p> <p>* Develop Communications Strategy focusing on CRC awareness within Council and the Harrow community. (Cristian Marcucci - Jan 2011)</p> <p>* CRC to be included as specific costs in budgets (John Edwards / Jenny Hydari - Feb 2010)</p> <p>* Develop CRC Plan (Andrew Baker - Dec 2010)</p> <p>* Property Disposal Strategy to incorporate CRC implications (Phil Loveland-Cooper - Sept 2011)</p> <p>* Develop appropriate CRC related performance indicators and incorporate into the Council's performance management framework. (Alex Dewsnap - 2011/12).</p>		E3	2013/2014	Brendon Hills	3/11/2010 - Risk workshop was with John Edwards, Stephen Kelly, Andrew Baker, Anu Singh, Trina Thompson and the Interim Risk Manager to review Strategic Risk 6. Participants advised that the risk is not a strategic risk and relates specifically to the Council not achieving its carbon reduction commitment. Participants placed a new risk 'Fail to address carbon reduction commitment' on the Corporate Operational Risk Register and recommended that Strategic Risk 6 should be closed.

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		<i>Consequence(s)</i> Financial or funding penalties. Financial implications of £2M carbon trading scheme. Reputation damage (see SR 9) Poor social and corporate responsibility and leadership. Increased energy prices. Damage to the environment. Diminished long term value of assets, e.g. property.									