

HARROW COUNCIL CORPORATE RISK REGISTER

APPENDIX 1

Version:Q3 Final

Last Reviewed by CRSG: November 2011

Last Reviewed by CSB: November 2011

CRSG Review Date:February 2012

CSB Review Date: February 2012

THREAT RISKS

- 1 Failure to deliver on a balanced budget in 2011/12 (JA)
- 2 Pressures on the MTFs (JA) - **NEW RISK**
- 3 Failure to deliver long term economic development in the Borough (AT) **NEW RISK**
- 4 Successful legal challenge of a council decision (HP)
- 5 Deteriorating Industrial Relations (CSB & Cabinet)
- 6 Failure to achieve a culture that supports the Council's vision and priorities (TW)
- 7 The Council fails to deliver required/target procurement savings (£2M) in 2010/11 (JA)
- 8 Ineffective partnership working in local health re-organisation impacts on Vision (TW)
- 9 Impact of changing demographics not anticipated (PN)
- 10 The Council inadequately prepares for welfare reform (JA)
- 11 High-profile service failure in relation to a vulnerable client or person (All)
- 12 Business continuity/disaster recovery not resilient (TW)
- 13 Inadequate emergency planning in place to deal with major incidents (TW)
- 14 Insufficient school places (primary, secondary and special) for projected numbers (CD)
- 15 Damage to Council reputation & failure to engage with the community/service users (HP)
- 16 Transformation is not successfully delivered (TW)
- 17 Inadequate OH&S Management System (TW)
- 18 Ineffective Political Interface (HP)
- 19 Lack of commitment to climate change and to reducing carbon emissions (BH)

OPPORTUNITY RISKS

- 20 Schools' Income Opportunities [potentially £1-2M income stream] (JA & CD)
- 21 Attracting Inward Investment [Major Developments] (AT) - **NEW OPPORTUNITY**
- 22 Supply of services to the CCG [up to £2-4M income stream] (PN) - **NEW OPPORTUNITY**

Line of Risk Appetite

LIKELIHOOD				
A Very High (>80%)			2,5	
B High (51-80%)			4,8	
C Significant (25-50%)		20	3,6,7,11, 14,15 16,19	17
D Low (10-24%)		22	1, 9,18	10,12,13 21
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 2011/12 – 2014/15

1. Keeping neighbourhoods clean, green and safe
2. United and involved communities; a council that listens and leads
3. Supporting and protecting people who are most in need
4. Supporting our town centre, local shopping centres and businesses

No.	Corporate Priority	Risk Description	Key Controls (In Place and Effective)	RISK Rating This Quarter (after controls)	Risk Rating Last Quarter	Key Controls (Underway or Planned) (Incl. Implementation Date)	Control Progress %	Target Risk Rating	Target Risk Date	Risk Owner	Q3 Update & Commentary
1	All	<p>Failure to deliver on budget in 2011/12 (JA)</p> <p><i>Risk (Event)</i></p> <p><i>Cause(s)</i></p> <p>Low level of reserves Govt funding reductions in 15/16 and 16/17 Organisational culture Difficult political decisions IT Infrastructure HRA/welfare reform. Competition for funding</p> <p><i>Consequence(s)</i></p> <p>Delivery of Medium Term Financial Strategy weakened Reputation damage. Government intervention. Cut in / unable to deliver services. Organisational change in response to budget cuts.</p>	<p>Structured and disciplined budgetary process Regular financial performance monitoring and reporting quarterly to Cabinet and monthly to CSB, DMTs and at service level and taking action on identified problems. Regular capital monitoring through above process and monthly at the Capital Forum. Medium Term Financial Strategy. Budget Risk Register. Comprehensive budget plan in place to close gaps. Debt Management Policy Realistic analysis of financial pressures Close portfolio holder involvement</p>	D2	B2	<p><u>On-Going Actions</u></p> <p>Commissioning Panels Transformation Programme Member participation Early actions to prevent projected/forecast overspends. Close watching brief on savings Training on financial compliance 2011/12 IA Reviews eg Capital Programme, SAP Accounts Payable & Receivable</p> <p><i>Further Actions</i></p> <p>Escalate to CSB to implement additional cost cutting initiatives / budget reallocation. Recourse to statutory powers (Sect.151)</p> <p><i>Contingencies</i></p>	90%	D2	31.03.12	Julie Alderson	As at Q3 the risk of not delivering on the 11/12 budget or setting a 12/13 budget is relatively small. From 01.04.12 onwards this risk will become failure to deliver on the 2012/13 budget .

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2	All	<p>Pressures on the Medium Term Financial Strategy [this is to set and then deliver a balanced budget in 2012/13 and then building on this deliver further required budget reductions over the medium term] (JA)</p> <p><i>Risk (Event)</i></p> <p>Low level of reserves Govt funding reductions in 15/16 and 16/17 Organisational culture Difficult political decisions IT Infrastructure HRA/welfare reform. Competition for funding</p> <p><i>Cause(s)</i></p> <p>Delivery of Medium Term Financial Strategy weakened Reputation damage. Government intervention. Cut in / unable to deliver services. Organisational change in response to budget cuts.</p> <p><i>Consequence(s)</i></p>	<p>Structured and disciplined budgetary process Regular financial performance monitoring and reporting quarterly to Cabinet and monthly to CSB, DMTs and at service level and taking action on identified problems. Regular capital monitoring through above process and monthly at the Capital Forum. Medium Term Financial Strategy. Budget Risk Register. Comprehensive budget plan in place to close gaps. Debt Management Policy Realistic analysis of financial pressures Close portfolio holder involvement</p>	A2	N/A New Risk	<p>New Actions in this area - Member-led group to develop MT financial plan and sustainable savings Project to review potential for increasing fees/charges & greater commercialism support IT Upgrade Programme Procurement project</p> <p><i>Further Actions</i></p> <p>Escalate to CSB to implement additional cost cutting initiatives / budget reallocation. Recourse to statutory powers (Sect.151)</p> <p><i>Contingencies</i></p>	TBC	D2	31.03.13	Julie Alderson	This is the significant and emergent financial risk (including its reputational dimensions) facing the Council going into 2012/13 and is not only the need to deliver on a balanced budget in 12/13 but to subsequently deliver fully in future years on further required budget cuts over the medium term . The risk is rising because of the nature of having to make very difficult choices currently being faced Members. Additionally, central govt have extended the need for deficit reduction measures/cuts into 15/16 and 16/17 increasing the scale of required cuts and pressures in the MTFS.

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3	4	<p>There is failure to achieve long term economic growth in the Borough</p> <p><i>Risk (Event)</i></p> <p>Failure to attract sufficient levels of inward investment</p> <p><i>Cause(s)</i></p> <p>Failure to bring in commercial end-users</p> <p>Failure to ensure Harrow residents benefit from employment and training opportunities</p> <p><i>Consequence(s)</i></p> <p>Increased call on council services (particularly A&H and Children's Services)</p> <p>Increased unemployment</p> <p>Reduced consumer spend/a poorer shopping offer in town centre</p> <p>Worsening health conditions</p> <p>Low-skill workforce</p> <p>Increasing levels of family and child poverty</p>	<p>Enterprising Harrow Steering Group</p> <p>Sustainable procurement Policy</p> <p>s106 Planning contribution to increase local labour (apprentices)</p> <p>Implementation of cent. gov Welfare to Work Programme</p> <p>Inward Investment Opportunity</p> <p>Development below</p>	C2	N/A New Risk	<p>Apprentices Programme being submitted to Cabinet</p> <p>Work Cubs to run job fares</p> <p>Promotion and brokering of opportunities with local colleges</p> <p>Working with commercial agents to market District Shopping Centres and vacant retail premises.</p> <p>Development of a sustainable revenue stream to promote the Town Centre</p> <p><i>Further Actions</i></p> <p><i>Contingencies</i></p>	30%	D2	2013/14	Andrew Trehern	Whilst this risk can be seen as reasonably low in likelihood terms on a local level current levels of national (incl. public sector funding and spending levels) and global economic uncertainty increase the degree of likelihood required to be attached to it under the present conditions.

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4	All	<p>Successful legal challenge of a council decision.</p> <p><i>Risk (Event)</i></p> <p><i>Cause(s)</i></p> <p>Poor legal & technical advice Uncertainty of court outcomes/cases Potentially contentious decisions by Cabinet. EU procurement legislation. Lack of Member/staff training and awareness. Greater supplier resident awareness of available legal responses and appetite for legal action.</p> <p><i>Consequence(s)</i></p> <p>Legal costs/fines. Negative media and reputation damage. Delay to projects. Increased supplier incentive for legal action Fines, order shortening/cancelling contract, damages</p>	<p>Legal clearance of Member reports Legal input to major project groups. Corporate Equalities Group Mgm Dev.Programme. File reviews. 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) Ongoing work with CLG Continual update/training of legal staff & SPB established O&SC call-in of contentious decisions</p>	B2	B2	<p>Develop Procurement Strategy (Richard Hawtin - 2011/12) Develop Contract Management Strategy (Richard Hawtin - 2011/12) Publish a voluntary transparency notice for direct awards. Ensure contractual terms clearly allocate risk in the event that remedies under UK legislation is imposed. <i>Further Actions</i> Investigate option of pre-agreeing contractual provisions. Establish dispute resolution procedures. Investigate option of pre-agreeing. Register of contracts being developed in conjunction with the Procurement division to support decision-making</p> <p><i>Contingencies</i></p> <p>TBC</p>	TBC	D2	2012 - 13	Hugh Peart	Risk still remains at its current exposure as at Q3

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5	All	<p>Deteriorating Industrial/employee relations</p> <p><i>Risk (Event)</i></p> <p><i>Cause(s)</i></p> <p>National public sector dispute on pensions National local government pay award and conditions Local pay and conditions negotiations Council Transformation Programme Public sector cuts/reductions in the workforce</p> <p><i>Consequences</i></p> <p>Industrial action, incl strikes Adverse impact on workforce well-being Adverse impact on staff morale and engagement Loss of productivity and goodwill "Survivor syndrome" in post-transformation staff</p>	<p>Consultation and negotiation framework in place Well-established workforce communication channels Employee support arrangements, incl. redeployment processes and procedures Focus on leadership and management development for managing change</p>	A2	N/A New Risk	<p>Continuing work on staff engagement strategy, incl. communications strategy on Transformation Programme (31.03.12) Communications plan to deal with industrial action(30.11.11) Continuing focus on leadership and management development for managing change (On-going) Direct consultation with staff on Terms & Conditions</p> <p><i>Further Actions</i></p> <p><i>Contingencies</i></p> <p>TBC</p>	60%	B3	Aug-12	Cabinet/CSB	Failure to reach agreement on Terms & Conditions with TU now requires and also offers the opportunity of direct consultation and balloting of staff on issues raised.

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6	All	<p>Failure to achieve a culture in the organisation that supports the Council's vision and priorities</p> <p><i>Risk (Event)</i></p> <p>Vision and direction not clearly understood or directed Poor management of change Poor staff morale Values not aligned to direction of the organisation Lack of member of awareness Major programme of change</p> <p><i>Cause(s)</i></p> <p>Increased absence Low staff morale Reduced council performance Programme delivery behind target</p> <p><i>Consequences</i></p>	Change Management strategy Transformation Programme Create values and Create awards Improvement Boards Staff surveys CE Newsletter and staff briefings Absence management and reporting	C2	C2	Development of the Corporate Leadership Group On-going training and support for managers in the management of change Member Development Plan New Corporate Plan New communications Plan 2012/13 Direct negotiations with staff on Terms & Conditions	80%	D2	01.03.12	TW	New corporate plan to be agreed at February cabinet which will further clarify vision, priorities and direction. New communications plan being developed for 2012/13.
						<i>Further Actions</i>					
						<i>Contingencies</i>					TBC

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7	All	<p>The Council fails to deliver required/target procurement savings (£2M) in 2010/11</p> <p><i>Risk (Event)</i></p> <p>Service areas under severe budgetary pressure and are unable and/or reluctant to surrender savings</p> <p><i>Cause(s)</i></p> <p>Corporate financial compliance and challenge processes are not strongly established at the Council</p> <p><i>Consequence(s)</i></p> <p>Council budgetary overspend in 2010/11 Failure to achieve overall target under-spend Forced revision of the MTFS and reduced funding for future years Member criticism Reputational damage Continuing waste and inefficiency in procurement</p>	<p>Process agreed to identify savings and subsequently withdraw money from service budgets</p> <p>Procurement strategy in place for achieving and releasing medium-term procurement savings</p> <p>Capability and capacity to deliver savings increased via establishment of the interim procurement team</p>	C2	B2	<p>Actions as outlined by DoR email 25.10.11 on revenue budget position (95%)</p> <p>SAP configuration to drive greater efficiencies in procurement (10%) - project delayed in 11/12 but will be delivered in 12/13.</p> <p><i>Further Actions</i></p> <p>MTFS review & revision</p> <p><i>Contingencies</i></p>	50%	E4	31.03.12	Julie Alderson	<p>Risk has decreased from B2 to C2 over the last quarter. This is due to the proposal for £2M procurement savings being stronger. However issues around compliance and the corporate approach remain and delivering on the 2012/13 Procurement Action Plan will be critical. This risk in its relation to 11/12 as a stand alone risk can be considered for removal from the risk register at 31.03.12. For 12/13 procurement proposals have been in-built into directorate budgets and can be embedded into the wider risk of coming in on budget in 12/13.</p>

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8	All	<p>Ineffective Partnership working in local health reorganisation impacts on Vision</p> <p><i>Risk (Event)</i></p> <hr/> <p><i>Cause(s)</i></p> <p>Partner & Council financial pressures / reduced LAA funding Poor governance model Lack of shared vision/ conflicting priorities Legislative changes, e.g. abolishment of PCT to GP Consortium Poor communication - internal & external Reluctance to culture change - them vs. us.</p> <hr/> <p><i>Consequence(s)</i></p> <p>High profile service failure Loss of public confidence Compromised delivery of Transformation Cost shunting and inadequate financial recovery process</p>	<p>Regular HCE Group meetings and updates & LAA received grant allocation and HSP reallocation of LAA funds 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 working with Police in organisational join up. HCE performance management cycle. Cost shunting risk assessment & Updated HSP Governance Handbook. Transformation Programme management (PMO) Health and Well Being and Clinical Commissioning Boards set-up</p>	B2	C2	<p>Review (s) of spending cuts on Voluntary Sector Review of Grants Process Review of HSP Mgm. Groups (June 2011) Engage directly with GP Consortium(s). PCT/Council Away Day Health & Well-Being Board and Clinical Commissioning boards being developed Integration plan for public health Negotiations over PCT cost shunting</p> <p><i>Further Actions.</i></p> <hr/> <p><i>Contingencies.</i></p> <p>Escalate to HCE and Partnership Board Council financial planning</p>	60%	D2	On-Going	Tom Whiting	Increasing dispute with PCT over cost shunting proposals place relationships at risk and this is a key factor in the risk rising this quarter from C2 to B2. Work on a draft integration plan for public health has started.

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9	All	<p>Impact of changing demographics not anticipated</p> <p><i>Risk (Event)</i></p> <p><i>Cause(s)</i></p> <p><i>Consequence(s)</i></p>	<p>Joint research/analysis group established</p> <p>Experion Vitality profiles updated</p> <p>Use of GLA Population Projection Service</p> <p>Census 2011 & Transformation programme</p> <p>Sustainable Community Strategy</p> <p>HAP Refresh & LD Framework</p> <p>Community Cohesion Action Plan</p> <p>Corporate Equalities Group</p> <p>Universal user groups</p> <p>Local Information System (LIS)</p>	D2	C2	<p>JAG targeted work & Year Ahead Statement (July 2012)</p> <p>HSP Task & Finish Groups (incl. welfare reform) & feed into service planning</p> <p>On-going utilisation & development of LIS</p> <p>Internal study on resident numbers led by Sue Kaminska</p> <p>Phased/partial release of 2011 Census data</p> <p>Spending protocol</p>	50%	D3	2012-13	Tom Whiting	The risk has decreased this quarter from C2 to D2 mainly as a result of the LIS coming on line to strengthen protocols in this area. However HB and CT reforms in impact terms still uncertain in terms of triggering population moves. Risk essentially will remain until 2011 Census data becomes available and can be used as the basis for projections which will then minimise this risk.

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10	All	<p>Council inadequately prepares for welfare reform</p> <p><i>Risk (Event)</i></p> <p><i>Cause(s)</i></p> <p><i>Consequence(s)</i></p>	<p>Sustainable efficient HB/CT system currently in place</p> <p>Regular reporting to CSB</p> <p>Portfolio meetings on risk register</p> <p>CSB approved consultation feeding back to govt. Resource planning</p> <p>£100k funding secured through MTFS for project</p> <p>Clear management structure</p> <p>Project Team being put in place February 2012.</p> <p>LGF Bill 2012 issued Jan.</p>	D1	D1	<p>Workshops for CLG and Members in Feb-April 2012 to increase awareness</p> <p>Stakeholders involvement - consultation with residents starting April/May 2012</p> <p>Funding has been allocated in the budget for the project to prepare for CT benefit to be re-localised. Project Team & Consultation resource planned and to be in place by February.</p> <p>Key staff attending external seminars to ensure their knowledge on Government developments up to date</p> <p>PID, Project Plan, Scheme/financial steer & Communications strategy to be developed Feb-April</p>	10%	C1	30.10.2012 17.01.2012	Julie Alderson	<p>As at Q3 CI predictive red risk rating is based on current uncertainty of the outcomes of consultation and of govt. funding levels and related delivery platforms. Risk remains at its Quarter 2 exposure in Quarter 3. Although £100k funding has been made available via MTFS for year 2012/13, this is insufficient. Staff Resources being removed from HB service to make up project team which brings risk to existing HB service operation & subsidy. Statutory instruments not available until late spring/early summer. Grant amount not yet disclosed.</p>
						<p><i>Further Actions</i></p>					
						<p><i>Contingencies</i></p>					

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11	All	<p>There is a high-profile service failure in relation to a vulnerable client or person</p> <p><i>Risk (Event)</i></p> <p>Efficiency / service changes Low Staff levels at front line/exceptional increase in demand Partner failure – agencies acting in isolation Maverick employee Inadequate or lack of management systems Lack of Mgm supervision and casework oversight Lack of standard commissioning and contracting Lack of training/awareness at service level Failure to follow Policy and Procedures e.g. pan-London Safeguarding procedures</p> <p><i>Cause(s)</i></p> <p>Client suffering preventable abuse / loss of life (incl. resulting from efficiency/service changes) Sustained media attention Legal/Govt intervention or inspection Reputation damage to Harrow Council Misconduct issues</p> <p><i>Consequence(s)</i></p>	<p>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 e.g. Serious Case Reviews. Formal QA and QA board considers lessons learnt from incidents. 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. Vacancy rates and use of locum staff has been reduced.</p>	C2	C2	<p>Best Practice Forums in Adults Services - learning the lessons from QA and case reviews. Review of formal training programme following training needs analysis.</p> <p><i>Further Actions</i></p> <p>Responses to OH&S and Duty of Care Incidents</p> <p><i>Contingencies</i></p>	TBC	D2	On-Going	CSB	Adults dimension of risk refreshed/updated in December 2011 with Carol Yarde & Sue Spurlock

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12		<p><i>Risk (Event)</i></p> <p>Business continuity/disaster recovery not resilient (TW)</p> <p><i>Cause(s)</i></p> <p>Natural disaster. Pandemic. War/terrorism.</p> <p><i>Consequence(s)</i></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). BC awareness part staff induction & BC info on the Hub.</p> <p>Nightly data back up arrangements. SAP disaster recovery plans.</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 2011.</p> <p>Sunguard arrangements agreed and in place.</p>	D1	D2	<p><i>Further Actions</i></p> <p>All BCP Plans to be reviewed (March- May 2012)</p> <p>Regular business continuity training for CSB/CLG - scheduled 23.02.12</p> <p><i>Contingencies</i></p> <p>Utilise Safeguard recovery site. Harrow IT Service BC Plan being developed by Capita in consultation with Information Governance \and the EP team (IT Disaster Recovery)</p>	80%	D1	2012/13	TW	As at Q3 the Council's BC arrangements are comprehensive and will undergo their annual review following the corporate restructure, during March - May 2012, just prior to the Olympics to ensure the Council's BC plans are up to date and fit for purpose

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13	All	<p>Inadequate emergency planning in place to deal with major incidents</p> <p>Severe weather, explosions, terrorism and pandemic.</p> <p>Community disruption. Reputation damage.</p>	<p>Annual review of Major Incident Plans, including emergency response procedures. Emergency response officer volunteer rota/Duty Director rota in place & updated biannually..</p> <p>Ongoing liaison & consultation with GLA Resilience Team, Cabinet Office.</p> <p>All Duty Directors up to date on EP training. Participated in Safer City exercise (London-wide March 2011). Annual hands-on testing exercise for senior managers. Members training (Dec 2011) Senior management training (February 2011)</p> <p>All plans in place and regularly reviewed, with regular training provided to all senior manager, including involvement in testing exercises.</p> <p>Multi-agency middle managers exercise on a CBR incident (18/11/2011). Council wide BC phone cascade test (23/11/2010).</p>	D1	D2	<p>Senior management training (CSB & CLG) scheduled for February 2012</p> <p>London-wide annual exercise Ex Altius on 24-26th April 2012</p> <p>Annual training for Members as per Member Development Programme</p> <p>Implement Major Incident Plan.</p>	90%	D1	2012/13	TW	As at Q3 preparation for the Olympics CS Operations and Resilience Planning is well underway with the EP team participating in exercises with multi-agency partners across London and also local training for council managers and directors, eg Ex-Fortius 17.01.12.

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14	2&3	<p>There are insufficient school places (primary, secondary and special schools) for projected pupil numbers</p> <p><i>Risk (Event)</i></p> <hr/> <p><i>Cause(s)</i></p> <p>Increasing birth-rate Popularity/demand for successful Harrow schools Migration (incl. potential effect of HB changes) Economic climate depresses the housing market reducing moves out of Harrow Opting-in of private school choice families into the state sector</p> <hr/> <p><i>Consequence(s)</i></p> <p>Breach of statutory responsibilities Negative publicity and Member criticism Family expectations not met increasing family anxiety and subsequent increased demand on council resources and</p>	School Place Planning strategy & School Expansion Programme Projections analysis Primary Head Teacher Working Group Standing Officer Group Revenue-funding support available Response to government consultation on schools capital strategy	C2	C2	<p>* School expansion programme will be extended to Secondary and Special Schools to cope with increase in numbers</p> <p>*The outcome of the consultation on proposals to expand up to 11 primary schools will be reported to Cabinet in December 2011</p> <p>*Expansion programme included in Capital Strategy for Cabinet to agree. Application made for PFI funding (Decision Dec 11) Awaiting outcome on govt. schools capital consultation and awaiting confirmation of Harrow allocations for 2012/13</p> <hr/> <p><i>Further Actions</i></p> <p>Regular reporting to EdCF will enable more robust monitoring Work with schools to agree those that will be expanded Plan for bulge classes and a contingency of additional bulge classes if needed Report to Cabinet on capital implications Review all funding options eg DfE new PFI scheme Seek alliances with alternative providers, eg Free Schools and neighbouring authorities</p> <hr/> <p><i>Contingencies</i></p> <p>Review and seek additional funding e.g. from corporate centre Seek greater alliances with alternative providers, eg Free Schools and neighbouring authorities Proposal for MTFs contingency</p>	TBC	D2	01.10.12	Catherine Doran	Risk will remain at its current exposure of C2 until all planned controls have been fully implemented, particularly in regard to primary schools. At this point the target risk rating of D2 will be achieved.

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15	All	<p>There is damage to the reputation of the Council and failure to involve and engage with the community/service users</p> <p><i>Risk (Event)</i></p> <p><i>Cause(s)</i></p> <p><i>Consequence(s)</i></p>	<p>Media training for key staff</p> <p>Whistleblowing</p> <p>Members Training & Code of Conduct</p> <p>Early involvement of Comms team in issues</p> <p>Corporate Customer Service Standards</p> <p>PRCA audit (88% score)</p> <p>Involvement Tracker</p>	C2	C2	<p>Information Work Programme 2010-12</p> <p>IA Review in 2011-12</p> <p>Press strategy for 12/13 budget cuts</p> <p>Lets Talk 3 Programme</p> <p>2012/13 CT booklet</p> <p>Involvement Tracker</p> <p>2012/13 Communications Plan</p> <p>Comms strategy will highlight T2 stressing innovation and financial discipline</p> <p>Greater stakeholder engagement (residents and interest groups) in FY 12/13 in council decision-making further to "Lets Talk"</p> <p>"You Said - We Did" feedback o</p> <p>TBC</p>	30%	D2	2012/13	CSB	<p>Risk remains at its current exposure of C2 going into the budget period. Planned actions moving into FY12/13 will focus on increased engagement of stakeholders, particularly key partners and which will give stakeholders the opportunity to see the bigger picture, particularly the financial picture, at the Council</p>

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16	All	<p>The Transformation Programme is not successfully delivered and fails to reduce medium to long term financial pressures</p> <p><i>Risk (Event)</i></p> <p>Reduced / limited funding and in year cuts</p> <p><i>Cause(s)</i></p> <p>Lack of resources (capacity / capability) and multiple projects</p> <p>Poor programme and project governance and management</p> <p><i>Consequence(s)</i></p> <p>Critically required MTFS savings/efficiencies are not realised</p> <p>Reduced customer satisfaction / reputation damage</p> <p>Reduced / inefficient delivery of service</p> <p>Fail to achieve long-term cost savings.</p>	<p>CSB Transform Board & Programme Tracker</p> <p>Quarterly IBs.</p> <p>Support/challenge of partnerships, e.g. HSP, CEG & MGs, CSB Performance</p> <p>Capita/BTP relationship</p> <p>Service planning 2011/12 - annual budget review /panels</p> <p>February Cabinet report</p> <p>Joint meetings with the Administration</p> <p>Co-ord. of activity with BTB</p>	C2	C2	<p>Dir. risk registers to include risks to resourcing</p> <p>Transformation Programme projects</p> <p>Co-ordination & consultation activity with BTB</p> <p>Mobile & Flexible Working Project</p> <p>IA Review of Transformation in 2011/12 New</p> <p>joint working group with Members</p> <p>Allocate pro-rata'd saving targets to each target.</p> <p>Funded backfill for business case development and implementation.</p> <p>Investigate alternate funding options.</p>	60%	D2	On-Going	CSB	As at Q3 this risk remains the same. New medium-term budget will be agreed at full council which identifies further MT savings but which does not close MT funding gap. Further work with officers and Members is therefore required.

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17	1,2,3	<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>Lack of organisational capacity and capability for long term OH&S programme management. Ineffective asset management and maintenance. Over dependency on key contractors</p> <p><i>Cause(s)</i></p> <p>New OH&S legislation for Councils.</p> <p><i>Consequence(s)</i></p> <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).</p>	<p>Contract with Brent Council for OH&S Service</p> <p>Corporate H&S Committee and Directorate H&S Groups</p> <p>Asbestos Management Review Insurance in place & KPIs set.</p> <p>Asbestos & Legionella Mgm Group in place</p> <p>H&S Training Plan/Programme</p> <p>Asset Management Plan.</p> <p>H& S Improvement Plan agreed</p> <p>Staff development (1-2-1s, induction)</p> <p>Monitoring of contractor/contract perf</p> <p>H&S budgets& action plans in place.</p> <p>Regular review of risk assessments</p> <p>Management inspections</p>	C1	C1	<p>Rolling programme of policy & procedure reviews - asbestos, fire, accidents, legionella, etc (2011/12).</p> <p>Development of internet/intranet OH&S content (2011/12)</p> <p>Check asbestos register against main asset register to identify all Council buildings with asbestos. (October 2010 - Report to CRSG).</p> <p>IA review of asbestos management within Housing Services (Nov 2010).* HSE inspection follow up in June 2011. All HSE notices now lifted.</p> <p>Full implementation of recommendations in Sickness Absence and Asbestos Management (Housing Stock) IA reports</p> <p>Fire Mgm arrangements to be assessed/reviewed.</p> <p>Self-auditing software tool (June 2011)</p>	40%	D2	2011/12	Tom Whiting	As at Q3 the audit tool trial has been completed and the audit tool is being rolled out across the Council. The Policy and procedure review is well underway with a number of documents approved at the Corporate Health & Safety Group. Issues have been identified with regard to statutory inspections and maintenance of work equipment. A working group has been set up to resolve these.

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18	All	<p>Ineffective political interface (including opposition) / failure to maintain good working relationship with administration and opposition.</p> <p><i>Risk (Event)</i></p> <hr/> <p><i>Cause(s)</i></p> <p>Change of leadership / political control. Lack of Member awareness of council frameworks/processes.</p> <hr/> <p><i>Consequence(s)</i></p> <p>Conflicting priorities - tensions between local, regional and national agenda.</p>	<p>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. Continued engagement with Leadership Group to develop and maintain good working relationship.</p>	D2	D2	<p>New senior management structure will greater support Members' needs Risk will continue to be monitored on an on-going basis</p> <hr/> <p><i>Further Actions</i></p> <hr/> <p><i>Contingencies</i></p> <p>* Meet with Leader, Chief Executive, CSB and Cabinet.</p>	40%	D3	2011/12	Hugh Peart	View of CSB on maintaining this risk on the corporate risk register to be invited as part of Q3 monitoring.

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19	All	<p>Lack of commitment to climate change and to reducing carbon emissions</p> <p><i>Risk (Event)</i></p> <p><i>Cause(s)</i></p> <p><i>Consequence(s)</i></p>	<p>Energy saving measures in place at Civic Centre & Depot</p> <p>CSB & DMT sign-off of Climate Change strategy</p> <p>£2M successful MTFS bid</p> <p>Re:Fit & GLA framework in place</p> <p>Submitted 10/11 baseline footprint</p> <p>West London boroughs liaison</p>	C2	N/A - New Risk	<p>Corporate carbon reduction plan</p> <p>Re:Fit programme</p> <p>Liaison with TP for recognition & backing</p> <p>Reduction to be a required criteria for business cases</p> <p>Existing maintenance resources (non-Re:Fit) to be made more efficient</p> <p>Affordable Warmth programme</p> <p>Build increases in energy and CRC costs into the MTFS</p>	50%	D3	Apr-12	Brendon Hills	None

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20	2	<p>Opportunity Risk</p> <p>Increasing Income from Schools & Partnering Opportunities</p> <p>Purchasing freedom of academies Reduction in overall Council Budget and ability to subsidise schools</p> <p>* Enhanced commercial footing * Potential longer term profits but possible short term losses * Creation of a customer focussed strategy * Strategy for market growth & expansion of market base to include the wider public sector * Reduction of service overheads * Increased focus on value-adding activity & customer requirements</p>	<p>* CSB has oversight of the process</p> <p>* Good understanding of the cost base</p> <p>* Appointment of an interim commercialisation manager</p> <p>* Long experience of working with schools</p> <p>Good and improving relationships with schools</p> <p>* Support form central finance</p> <p>* Academies tendering options paper being drafted</p> <p>Creating structured PID for fees, charges & commercialation project</p>	C3	N/A	<p>* Development of a stakeholder related strategy</p> <p>* Inclusion of stakeholder liaison</p> <p>* Reviewing of services to demonstrate Improvements to customers</p> <p>* Reviewing cost base in a number of services</p> <p>* Reviewing fees and charges</p> <p>* Highlighting the need for cultural change</p> <p>* Demonstrate the outcomes of change</p> <p>* Scaling back of services</p> <p>* Likely redundancies</p> <p>Additional Q3 Commentary</p> <p>Fees & Charges Report for budget-setting Cabinet includes a commercial approach to markets which will generate an increase in income & started to shift cultures towards cost & income awareness</p> <p>* Project Governance Drafted</p> <p>* Project & related deliverables will report into:</p> <p>* Monthly CSB Transformation reporting cycle</p> <p>* Qrtly performance cycle</p> <p>* Income will feature more strongly in monthly DMTs</p>	60%	B3	31/12/11	Julie Alderson	<p>* Opportunity to cover all market opportunities & will become a more significant Council concern</p> <p>* Progress:</p> <p>* Academy Tender Complete</p> <p>Prices submitted for Academy work</p> <p>* Lessons include a calculation methodology & ABC approach</p> <p>Pricing structures expose high costs of internal provision</p> <p>* SLA Pack Complete</p> <p>* 30 SLAs have been revised and published</p> <p>New pricing structures for many services offering greater customer choice</p> <p>* Stakeholder meetings arranged for 1st Feb</p> <p>* Stakeholder Meetings</p> <p>All Headteachers & Directors</p> <p>Heads Executive</p> <p>School Business Managers</p> <p>SLA Pack Q&A Session)</p> <p>* See Additional Commentary Aside</p>

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21	All	<p>Opportunity Risk Attracting Inward Investment [Major Development] - DRAFT</p> <p><i>Risk (Event)</i></p> <p>Lack of clear policy Public sector resource constraints Competition for Place & Funding Suppressed global economy Financial pressure on consumer disposable income</p> <p><i>Cause(s)</i></p> <p><i>Benefit(s)</i></p> <p>Circa. £1B investment potential Significant capital receipt from land sales/joint ventures Wealth creation and economic growth in the local economy Increase in footfall & local employment Increased home building (incl. affordable homes)</p>	<p>Sound core strategy/vision (LDF) New corporate structure Positive demographic profile for investment Strong reputation for Place Major Development Panel</p>	D1	N/A New Risk	<p>AAP for H&W New Corporate Plan Outer London Fund (Round 2) Town Centre Capital Programme Reputationally and strategically significant sites, including planning applications and land securities (eg Kodak)</p> <p><i>Further Actions</i></p> <p><i>Contingencies</i></p> <p>Appeal-led development Mayoral Development Corporation Local employment programmes Piecemeal/sub-optimal public sector land disposals Council becomes a primary development company</p>	35%	B1	1.1.13	Andrew Trehern	None

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22	2,3	<p>Opportunity Risk Closer support service working with the emergent Clinical Commissioning Group to deliver integrated services with an additional income stream (potentially £4M) flowing to the Council</p> <p>Risk (Event)</p> <p>Modernisation of the NHS Health and Social bill Localism agenda (as opposed to the regional agenda) Shared history and experience of working together as partners</p> <p>Cause(s)</p> <p>More integrated, efficient and higher quality services Council's collaborative and commercial skill-sets are developed Up to £4M additional income Knowledge sharing and closer relationships with partners Council's wider Vision of itself empowered Strategic momentum maintained</p> <p>Consequence(s)</p>	<p>Presentation to CSB (Oct 11) Presentation to GPs (Summer 11) Health Integration Group in place Health & Wellbeing Board in place Council skill-sets already in place History of shared working and collaboration with fundamental services already in place Good relationships with GPs Meetings and workshop with the Health and Wellbeing Board NW RSO Prospectus submitted Members briefed on commissioning support as part of regular scheduled</p>	D3	N/A New Risk	<p>Meetings and workshop with the Health & Wellbeing Board planned (Jan 2012) Application for Authorised Provider status (April 2012) Build on commercialisation work being done with schools Working with CCG and 4 other London boroughs (Jan - March 2012) to develop full business case on joint working In discussion with Brent, Ealing, Hounslow and Hillingdon on possible joint venture</p> <p>Further Actions</p> <p>Contingencies</p>	40%	C2	Nov-12	Paul Najsarek	Rating and exposure remain overall unchanged as at Q3. Progress on controls underway is in progress and on-going