

AGENDA ITEM: 10

Page nos. 42 – 45

Meeting	Audit Committee
Date	29 September 2009
Subject	Risk Management Framework
Report of	Director of Corporate Governance
Summary	This report seeks to update the Audit Committee on developments within Risk Management and present the current Corporate Risk Register.

Officer Contributors	Paul Lawrence – Head of Risk and Insurance
Status (public or exempt)	Public
Wards affected	None
Enclosures	Appendix A – Corporate Risk Register
For decision by	Audit Committee
Function of	Council
Reason for urgency / exemption from call-in (if appropriate)	N/A

Contact for further information: Paul Lawrence – Head of Risk and Insurance 020 8359 7197

1. RECOMMENDATIONS

That the Committee:

- 1.1 note the latest version of the Corporate Risk Register and agree the proposed method of future considering both Corporate and Service Level Risk Registers.**
- 1.2 note the Risk Management Strategy and operation will be reviewed in conjunction with the action plan following the review of the Council's Internal Control Environment and the implementation of the Risk Management IT system and will be reported to a future meeting.**

2. RELEVANT PREVIOUS DECISIONS

- 2.1 Audit Committee 20th June 2008, approval of Risk Management strategy.
- 2.2 Audit Committee 9th December 2008, noted the process adopted by Corporate Directors in the assessment of Corporate Risk and the classification of and movement between risk categories.

3. CORPORATE PRIORITIES AND POLICY CONSIDERATIONS

- 3.1 The presence of strong risk management policies and procedures is paramount to the authority achieving all of its corporate priorities and as such impacts on all the corporate objectives.
- 3.2 The requirement of a Risk Management Strategy and strong risk management processes and procedures underpins the Council's annual Use of Resources assessment which will continue to be a central part of the Comprehensive Area Assessment.

4. RISK MANAGEMENT ISSUES

- 4.1 Failure to identify a risk management strategy will have a significant negative impact on the Authorities ability to demonstrate embedded risk management processes and procedures.
- 4.2 Without a strong risk management strategy within the Authority we will not be able to ensure consistent processes are in place for managing risk.
- 4.3 Poor risk management processes and procedures will have a direct negative impact on the Authority's external inspection and assessment ratings.

5. EQUALITIES AND DIVERSITY ISSUES

- 5.1 Effective management of risk gives assurance in the provision of services to the entire community on an equitable basis.

6. FINANCIAL, STAFFING, ICT AND PROPERTY IMPLICATIONS

- 6.1 Strong risk management processes and procedures protect the Authority from potential financial implications and enhance the control environment and governance requirements.

7. LEGAL ISSUES

- 7.1 None.

8. CONSTITUTIONAL POWERS

- 8.1 Constitution part 3 responsibility for functions, section 2 responsibility for Council functions, details the terms of reference for the Audit Committee to provide independent assurance of the adequacy of the risk management framework.

9 BACKGROUND INFORMATION

- 9.1 The Corporate Risk Register is monitored, reviewed and updated quarterly at Council Directors' Group. The current register is attached as Appendix A
- 9.2 In response to the request from the Audit Committee for Members to be able to better track the changes to revised impact and likelihood assessments a revision was made to the strategy and this can now be seen in operation in the Corporate Risk Register. Risk owners are required to record revisions to assessments when annotating action taken including where action is taken but there are no changes to the likelihood and impact.
- 9.3 Following identified concerns in compliance and the risk that this may occur in other areas of internal control, a review of the internal control environment has been conducted. A report will be made to a future meeting of the Audit Committee setting out the action plan. Changes to the management of risk and supporting Internal Control Checklist process will be made in accordance with the action plan and will be reflected in the strategy and operational procedures.
- 9.4 Committee have requested, in addition to the Corporate Risk Register, that Service Risk Registers are presented to Audit Committee for scrutiny. It is proposed that Directors will be invited to attend subsequent meetings in turn to present the key risks facing their service. It is proposed that Directors are asked to present their risk registers in the following order:-

Adults, Children's, E&T, Resources and Major Projects, PHR, Governance.

In this order Committee will consider the larger frontline services first followed by large supporting services and the rest. Audit Committee are asked to agree this order. Once agreed, the first Service Risk Register will be presented to the Audit Committee on 16 December 2009.

- 9.5 Installation of the Risk Management IT System will be completed by the end of September 2009. The Corporate Risk Team and Service Risk Champion 'Super-Users' will be trained on and commence use of the live system from October 2009. Further roll out of training to all risk leads and Members will follow shortly afterwards. Changes to practice arising out of the use of the system will be reflected in the Strategy and guidance notes and reported to a future meeting.
- 9.6 The existence of the Risk Management Strategy will contribute to improving risk management processes and procedures across the Authority by providing a consistent framework for managers to operate within and will assist to maintain our CPA assessment on risk and assurance.

10 LIST OF BACKGROUND PAPERS

- 10.1 None.

Legal:

CFO:

2009/10 Corporate Risk Register																		
Number	Corporate Priority	Objective	Risk Type	Risk Description	Risk Raised by	Date Raised	Controls in place	Initial Assessment		Mitigating Action	Lead Officer	Last updated	Action taken	Current status	Revised Assessment		Closure Date	Closing Authority
								Likelihood	Impact						Likelihood	Impact		
1	A successful suburb	Deliver the Three Strands approach of Protect, Enhance and Grow	Reputation	Deterioration in the quality of the suburbs, for example, a lack of enforcement or attention to quality of design	Directors	03/07	Strategic management liaison facilitated through 'Place' theme meeting. Enhanced PEPS performance management system based on monthly performance monitoring with senior service managers. Member challenge meetings used to track performance and ensure coordinated actions. Rigid managerial control processes to improve the quality of development management proposals and the quality of applications proposed to Committee. 23/01/08 Update - Contract in place to deliver Aerodrome Bridges project. 10/02/09 Update - Principal Development Agreements for Regeneration schemes include obligations to ensure the delivery of quality design. 17/02/09 Update - Gardiner and Theobold have delivered their report and recommendations for project close. 31/07/09 - Control of project governance and financial management implemented a reported in detail else where.	high	high	Making progress with the renewal of the Aerodrome Bridges project in Colindale utilising opportunity borough funding. Close monitoring of the trajectory of S.106 revenues, recruitment of dedicated S.106 revenues, recruitment of dedicated S.106 Monitoring Technician to improve controls on S.106 finance generation, introduction of consistent, standardised S.106 clauses in planning approvals. Preparation of planning briefs for town centres subject to rapid change or large new development proposals to manage development in a structured way. Creation of Area Action Plans for very large areas of change in Mill Hill East and Colindale. 23/01/08 Update - Aerodrome Bridges project in Colindale underway, utilising opportunity borough funding. 18/02/09 Update - Review use of consultants support and plan for project close. 31/07/09 - Lessons learned report to be carried out by project close consultants and reported to members upon completion.	Director of Planning, Housing and Regeneration / Director of Environment and Transport	27/08/2009	Update:27/08/09: GAF 3 -The Council has been successful in bidding for GAF 3 funding to assist in delivering the infrastructure necessary to support planned growth. An allocation of £13.63 million to 2010/11 was secured by Barnet in Dec. 2008 & broad allocations to regeneration/growth area projects agreed by CRC in April 2009. However re-prioitisation by the government in July 2009 means that Barnet's allocation has now been reduced by approx. 20%. The Minister is currently being lobbied on this by all affected authorities but if this cannot be clawed back, the agreed allocations will need to be reprofiled by CRC in October 2009. Town Centre Strategies - Suburban Town Centre's Strategy identifies 6 priority town centres. As of Aug 09 Town Centre Strategies are under preparation for: North Finchley - due for adoption Dec 09 New Barnet - due for adoption Dec 09 Edgware - due for adoption Jan 10 Finchley Church End - due to adoption Feb10 Work is underway with E&T looking at issues in Chipping Barnet Town Centre to input into a strategy for 2010/11. Potential sites are being co Mill East AAP - adopted Jan 09 but potential risk Introduced robust project governance and financ	Open	High	high		
2	Clean, green and safe	Delivering waste reduction through waste management	Operational	Inability to achieve Government targets leading to financial penalty.	Directors	03/07	Implement Waste Prevention strategy Implement organic waste service	high	high	Waste Prevention Strategy ongoing. Service offered to all house with gardens January 2006. Continue to promote service through Web Site and media generally.	Director of Environment and Transport	27/08/2009	Update 18/06/08 - Waste prevention figures are reducing to target. Recycling targets are not being achieved to fourth quarter final information is being compiled. 25/10/07 - Significant reductions only possible by monitoring dry recyclables and other associated waste origins such as side waste. 13/06/2008 - Projecting that in 2007/08 will collect more household waste per head than in 2006/07. Recycling and composting rate has improved in 2007/08 compared to 2006/07, but did not meet the target. New recycling services contract has been procured, which will mean plastic bottles and cardboard will be collected from November 2008, which will improve the recycling and composting rate. NLWA has procured some additional composting capacity for 2008/09, however it is likely that Barnet will require more than this. Waste arisings - significant reductions only possible by monitoring dry recyclables (compulsory recycling) and other associated waste origins such as side waste. Update 27/08/09: Working with NLWA on development of future waste services to meet future recycling targets including the achievem Action taken does not changed revised likelihood	Tolerated	High	High		

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3	Clean, green and safe	To reduce the fear of crime.	Reputation	The fear of crime by members of the community remains high causing damage to the Authorities reputation.	Directors	03/07	Community Protection Group in place to co-ordinate work on reducing crime and the perceptions of crime. Implementation of Street lighting PFI	high	high	Communication/Publicity plan in place. Targets set and monitored. CPG group have set up a Priority Intervention Team specifically to provide community reassurance. Commence operational aspects of the contract to ensure delivery.	Director of Environment and Transport / Deputy Director of Corporate Governance	02/09/2009	27/1/09 UPDATE: The contractor is progressing well with designing new schemes and installing new columns, however the progress of the Core Investment Programme has been delayed due to the lack of resources provided by the Electricity Company EDF in connecting the power supplies to the new columns. In order to recover the position a revised programme has been produced which shows the progress to be aligned with the contract milestones by April 2009. EDF have given a commitment to provide additional resources in order to achieve this target. 02/09/09 UPDATE: The annual assessment of crime and disorder was completed in March 09 and Safer Communities Partnership priorities were agreed which are reflected within the Local Area Agreement. Regular multi agency operational group meetings, informed by the latest intelligence and analysis, target the partnership response to identified priority crime types through a problem solving process. Additionally a Safer Communities Action plan has been agreed which details and tracks key activity across the partnership to tackle the crime Performance is reported to the Safer Communities Action taken does not change revised Likelihood	Tolerated	medium	high		
4	Strong and healthy	Delivering equality of service to all residents	Strategic	Differential needs of communities poorly understood or not addressed, thereby leading to poorer outcomes and missed targets.	Directors	03/07	Single Equalities scheme in place. Reviews at First Stat and F&PR	high	high	Six monthly assessment of actuals vs target with corrective actions introduced where necessary.	Executive Director for Communities	18/08/2009	Single Equalities scheme approved by Council. Update 18/8/09 - Annual report approved by Cabinet - December 2008 plus confirmation of mainstreaming. Level 4 of Local Government Equalities Standard obtained 2008, with external audit assessment. Continues to be included in F&PR and First Stat monitoring. To be included in internal audit programme 2009/10. Activities and targets for 09/10 and 10/11 affected by delay in agreeing new corporate plan. Also outstanding question of corporate lead on equalities, given retirement of Executive Director. Action taken does not change revised Likelihood or Impact Assessments	Open	medium	high		
5	Supporting the vulnerable	Maximise the independence of older people and those requiring care or support.	Operational	Insufficient range of social care services provided with poor choice of access and ineffective management of the change process.	Directors	01/03/2007	This is covered by the Adult Social Services Vision Action Plan	high	high	Regular reviews of the progress towards the actions identified in the Vision Action Plan will ensure close monitoring of this risk.	Director of Adult Social Services	18/08/2009	Update 17/08/09 Mitigation of risk of insufficient range of social care services: Strategic Commissioning Team and Supply Management Team both in place, providing greater capacity to manage broadening of services available. Mitigation of risk of poor choice of access to services: funding for the development of external brokerage in 2008/9 has been allocated, and a framework for this is in draft. Work is also underway to specify an online service directory and service user forum. This will increase both the range of information available about services, and the number of ways in which it can be accessed. Mitigation of risk of ineffective management of the change process: project team with change management capacity still in place. Cross-departmental management working group is in place to coordinate and drive implementation of large scale restructure and associated practice change Update 18/08/09 Plan is now in implementation stage and therefore the corporate risk is closed, the risk will now be managed through the Directorate risk register.	Closed	low	high	18/08/2009	Statutory Officers

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6	Supporting the vulnerable	Deliver the Housing Strategy to increase the availability of affordable housing and provide real alternatives to homelessness.	Strategic	Low cost home ownership products developed that are not in demand or affordable	Directors	03/07	Regular monitoring of the individual schemes, products and of their take up, sales and prices.	high	high	27/01/09 UPDATE - All low cost home ownership advertised on Home Connections. Marketing list to gauge and quantify demand and to target marketing. Recently had a high number of shared ownership sales - demand is greater than supply. Open market homebuy programme which is a small in Barnet compared to shared ownership is struggling nationally and the Housing Corporation are looking to attract more financial institutions to be involved. Information on Open Market Home Buy sent to all Council tenants who were working in March 07 Update 19/08/2009. This risk needs to be seen in context of targets for the delivery of affordable housing. Negotiations are underway with the London Mayor to stick with the LAA target of 2269. However, our latest assessment of what is achievable is 1250 by March 2011, but this rises to 2800 if extended by 2 years. Kick start funding has been secured for Stonegrove/Spur Road and discussions are continuing with the HCA about West Hendon.	Director of Planning, Housing & Regeneration	19/08/2009	Annual targets set to be taken forward in 2008 corporate plan 19/08/09 update to Mitigating Action, No change to Revised Likelihood or Impact Assessments. 28/08/09 update - Closed, risk is managed within risk 12	Closed	Low	High	28/08/2009	Statutory Officers
7	A bright future for children and young people	Maintaining child protection	Strategic	Sustainability of the substantial progress made with respect to outcomes for our most vulnerable children.	Directors	03/07		high	high		Director of Children's Services	22/05/2007	Superseded by risk 12	Closed	low	low	22/05/2007	Gillian Palmer
8	More choice, better value.	Better outcomes for the Community through effective partnerships	Operational	Ineffective governance arrangements for partnerships. Poor services delivered through partnerships and low levels of satisfaction. Partnerships are not accountable, do not add value and objectives are not met.	Directors	03/07	Partnership Register includes partnership structures and membership and terms of reference for every partnership within LSP family Partnership agreements in place for members of partnerships to commit resources and their agreement to be challenged Partnership agreements in place for all relevant partners to commit to delivering LAA targets Performance management through quarterly performance updates to each Partnership Board, a quarterly exception report to the LSP and a full six monthly performance report.	high	high	Updating of partnership register Internal Audit to undertake Audit of partnership guidelines, partnership register, partnership agreements, governance and risk management arrangements	Policy and Partnerships Group Manager / Director of Corporate Governance	24/08/2009	12/05/09 UPDATE - Council approved 15 April 2008 new governance arrangements relating to partnerships and LSP formally signed off revised Terms of reference and constitution and risk register 20 May 2008. Each LSP member has now signed partnership agreement. Safer Communities Partnership Board adopted new governance document 22 Sept 2008. Partnership toolkit guidance has been updated collaboratively using Use of resources Project Board as sounding board and final version published on intranet. and shared drive All SMT's have been visited and supplied details of all partnership arrangements- those received have been mapped in matrix fashion to provide complete picture of council's partnerships. These were circulated to Directors with request to review march 2009. Action taken does not change Revised Likelihood or Impact Assessments 24/08/09 UPDATE - an annual report on the governance and performance of the LSP and related partnerships is scheduled to be submitted to the October Cabinet meeting, this does not change the revised likelihood or impact assessments.	Open	medium	high		
9	More choice, better value.	Effectively manage the change agenda to deliver fit for purpose services.	Strategic	Organisation resistant to change and services don't meet client needs.	Directors	03/07	An effective risk management approach at corporate, service and project level ensures that change risks are managed. A system of project and programme monitoring through the Project Support Team and the Capital and Assets Group is being put in place Budget and Performance Management systems identify and an early stage and seek to problem solve potential impact of change agenda on performance	high	high	An OD and Change Team has been established to provide support and development to service going through change programmes and share practice The project methodology implemented provides for better identification and management of change issues The Council's Managing Change policy provides an agreed framework for managing the HR aspects of change	Director for Resources	18/06/2008	Project management methodology now supplemented by business process and change management toolkit. Update 17/01/08: Directors agreement to new work on future of organisation Planning and consultation has commenced. Other change programmes now in delivery phase Updated 20/03/08 - Scoping phase of new organisation work commenced, work stream owners identified and programme management in place. Update 18/06/08 - Request to close this risk as Future Shape Programme Board is now set up to meet the existing and future strategic challenges facing the council.	Closed	medium	Medium	01/07/2008	Directors - action taken - Future Shape Programme Board has been set up to meet the existing and future strategic challenges facing the council.

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10	More choice, better value.	Maximise residence satisfaction levels	Operational	Perception remains that "the Council doesn't do enough for people like me", and our lead over other London boroughs continues to erode.	Directors	03/07	Recommendations to Directors.	high	high	Paper to Directors 02/05/07 with analysis and recommendations for approach and specific actions.	Director of Resources & Director of Strategy.	18/08/2009	28/08/09 Update - Customer satisfaction continues to decline 60% 03/04, 51% 08/09 (Source The Place Survey 2008). Ways we are responding to this include customers services theme in the Corporate Plan; usual performance management routes including reporting to Directors; Internal communication campaign to raise profile; reviewing Customer Access Strategy in order to develop improvement initiatives to tackle decline in satisfaction and perceptions of the council. Action taken does not changes revised Impact to High, Likelihood remains medium.	Open	Medium	High		
11	More choice, better value.	Set Council Tax increases in line with the Medium Term Financial Strategy and maintain adequate reserves and balances.	Financial	Financial risks arising from council activities and projects, and factors outside the council's control (eg, Government grant levels and litigation).	Directors	03/07	Effective financial forward planning, incorporating financial risk register. Budget Board Corporate Assets Groups (CAG) Regular budget and debt monitoring, and reporting to CRC.	high	high	1. Inclusion of Financial Forward Plan in the Budget Report to Council in March 2007, which modelled different scenarios for service pressures. This sets the overall framework for 2008/09 budget development. 2. Reporting of a comprehensive corporate financial risk register in the Budget Report, and the inclusion of costed updates in monitoring reports to CRC. 3. Report to Directors on 3 May 2007, which reviews the 07/08 budget process and sets the scene for 2008/09. 4. Cabinet event planned for July 2007.	Director of Resources & Chief Finance Officer	10/06/2008	10/06/08 Update - achieved a council tax increase in line with the MTFS	Closed	Low	Low	01/07/2008	Directors - action taken achieved a council tax increase in line with the MTFS.
12	A bright future for children and young people	To improve outcomes for vulnerable children (to be healthy, safe, enjoy and achieve, make a positive contribution and achieve economic well being)	Strategic	Outcomes for vulnerable children do not improve.	Director of Children's Services	05/07	Clear priorities and performance measures to improve outcomes are agreed by CYPSPB and Cabinet and set out in Barnet's Children and Young People Plan/KPP	Medium	High	Priorities of CYPP embedded in service plan and team plans. Corporate and service level performance management cycle in place and fully operational.	Director of Children's Services	01/04/2008	Recent APA confirms decisive response to JAR recommendations and rigorous performance management within the service.		Low	High	01/04/2008	Directors - action taken has removed the risk to the authority and therefore this will be dealt with at service level
13	A successful city suburb	Ensure planned new housing is delivered	Strategic	Housing market downturn affecting the delivery of both regeneration and low cost home ownership schemes. Delays are extending number of temporary tenancies and the length of stay by temporary tenants on the regeneration estates.	DHPR	27.8.09	Continual monitoring of the housing market and of individual schemes	High	Medium	1. Kickstart bid successful for Stonegrove, for GP bank has released funding and we will be re-bidding for Kickstart (2) for GP and West Hendon. We will also apply to the Mayor's Targetted Funding Stream for GP. 2. Dollis Valley regeneration is being reframed to suit the market. 3. Cabinet report in June 2009 agreed releasing later phase tenancies on GP as secure. 3. CRC report Sept 2009 will offer regen voids to be ASTs.	Director of Planning, Housing and Regeneration							
14	More choice, better value	Set Council Tax increases for 2009/10 in line with the Medium Term Financial Strategy and maintain adequate reserves and balances.	Financial	Financial forward plan approved by Council in March identified a budget gap of £10m which needs to be bridged to deliver Council Tax in line with MTFS	Deputy Director of Resources & Chief Finance Officer	10/06/2008	Effective financial forward planning, incorporating financial risk register. Key Priorities Board Corporate Assets Group (CAG) Regular budget and debt monitoring, and reporting to CRC	High	High	Budget process reported to Directors, Key Priorities Board in place, all directors asked to identify the implications of having only 85% of their current budget	Director of Resources & Chief Finance Officer	12/02/2009	KPB met every three weeks including detailed away day reviewing all services. Updates taken to CDG. Further KPB meetings scheduled. Detailed proposals to CDG end October. 12/02/09 UPDATE - Proposed closure of risk as council tax set in line with MTFS. Likelihood changed from Medium to Low, Impact changed from High to Low as council tax has been set in line with MTFS and therefore the risk be closed.	Closed	Low	Low	03/03/2009	Directors
15	A bright future for children and young people	To provide better primary school accommodation to schools identified as being in a poor state of repair.	Financial	The project becomes unaffordable due to construction inflation rising higher than the proportionate increase in land value	Resources Management Team	12/06/2008	Educational Capital Programme Board	Low	High	Monitor the value of disposals sites against the BCIS index to inform the programme board. Decision points at key stages to confirm affordability and whether to progress to next stage.	Director of Major Projects	18/08/2009	18/08/09 UPDATE - Build programme is phased and linked to land values and cash flow. Monitoring will determine whether it is appropriate to proceed to the next planned scheme. Action taken does not change revised Likelihood or Impact Assessments.	Open	Low	High		
16	More choice, better value	To ensure that our pay and grading system provides a transparent and fair mechanism in terms of remuneration and non-pay benefits	Financial	Failure to deal with pay and grading issues can have financial implications to the council in terms of claims under equalities legislation	Resources Management Team	12/06/2008	Pay and grading action plan has identified 9 major risks of which 2 have been resolved and work advanced on four others. 27/01/09 - 6 non major risks remain.	Medium	High	Continue actions identified in the pay and grading action plan to minimise or eliminate risks	Director of Resources	12/05/2009	Update 12/05/09 - Equal Pay Audit scheduled for June 2009. Pay & Grading Action plan to be revised post Audit. Pre Hearing at ET on May 21 & 22 for 57 Equal Pay Claims from employees supported by GMB - Potential costs post hearing. New Equal Pay Claim submitted by employees via Unison 30 April - received 7 May . At Grievance stage - potential costs once comparator known Action taken does not change revised Likelihood or Impact Assessments	Open	medium	High		

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17	More choice, better value	To meet the existing and future strategic challenges facing the council.	Strategic	Should the programme take a route which then fails the risk is that we no longer provide excellent services to citizens and customers and that our reputation as an excellent authority would be damaged	Future Shape Programme Director	12/06/2008	Future Shape Programme Board	Low	High	The programme board and Members will be engaged at each stage of the process to ensure that progress being made and direction taken is not likely to result in the authority making changes which would result in a damaged reputation	Future Shape Programme Director	16/02/2009	19/09/08 - time has been allocated on the programme plan and is in both Directors and Cabinet Members' diaries to assess the options being put forward by the programme team. The team is also working closely with the Trade Unions and has planned a series of workshops to engage staff, as well as having set up the online forum. 16/02/09 UPDATE - Cabinet has given the go ahead for a second phase of the programme that will consist of substantial feasibility work on seven key strands of Council and partner activity. In the period to June 2009, a number of groups involving Council and partner staff will explore ways in which improvements and savings will be made. Many of these will consult in a targeted way with Barnet residents. The groups will report back to the Cabinet in the summer detailing proposals about where savings and improvements can be made. Should the Cabinet decide after that to change what services are provided or who supplies them, this will be done on a business case by business case basis, taking full account of the likely impact on residents and staff, and the risks Action taken does not change revised Likelihood	Open	Low	Medium		
18	Clean, green and safe	Secure Replacement Waste Disposal Facilities through the North London Waste Authority at Minimum Additional Cost to the Council	Financial	As NLWA is responsible for disposing/treating the waste that Barnet collects any costs of providing this service is passed back to the constituent authorities (which includes Barnet). In the future the cost of disposing/treating waste will go up significantly to enable landfill targets and recycling targets to be met. Barnet needs to be actively involved in this procurement to mitigate the significant financial impact.	Director of Environment and Transport	24/09/2008	Active engagement with NLWA procurement team to ensure proposals fully understood and all options considered. Reports to meeting of the cabinet	High	High		Director of Environment and Transport	01/09/2009	18/02/09 UPDATE - Barnet Waste Project Board has been set up, first meeting took place on 12 Feb. Role is to co-ordinate officers views, responses and reports. Continuing to work closely with NLWA. 15/07/09 Update Barnet Waste Board has been set up with terms of reference. Membership of board includes leader, Cabinet member for Environment & Transport, Chief Executive, Director of Planning and Director of Environment & Transport. Three meetings have taken place so far. Risk register has been produced and is reviewed & updated at each meeting. Likelihood and Impact Assessments remain High/High	Open	high	high		
19	More choice, better value	Set Council Tax increases in line with the Medium Term Financial Strategy and maintain adequate reserves and balances.	Financial	Loss of funds and investment interest arising out of an inadequate Treasury Management Strategy.	Treasury Manager/Assistant Director Resources (Strategic Services)	29/10/2008	Treasury Management Strategy	Medium	Medium	Ongoing review of the Treasury Management Strategy, proposed changes to the Treasury Management Strategy are taken to Cabinet Resources Committee for approval prior to implementation, review capital programmes, review timing of large payments to reprofile cash flow, seek alternative external funding, regular treasury management meetings between Treasury Manager, Assistant Director of SF and Director of Finance, Treasury Activities reported to Cabinet Resources Committee on a quarterly basis	Director of Resources	02/09/2009	12/02/09 UPDATE - Director of Resources leading on negotiations and attending creditors meetings. DoR Chairing Landsbanki/Giltinir steering committee. Core action pending to determine creditor status. Action taken does not change Revised Likelihood and Impact Assessments. 21/04/09 UPDATE - Member Challenge round taking place in May as a start to the Member involvement in the budget process for 10/11 29/07/09 UPDATE - Treasury Management Activities for the year ended 31 March 2009 reported to Cabinet Resources Committee 02/09/09 UPDATE - Treasury Management Activities for the quarter ended 30 June 2009 Action taken does not change Revised Likelihood and Impact Assessments.	Open	Medium	Medium		
20	A Bright Future for Children and Young People	Keeping children safe (Safe at home, safe at school, safe in the community)	Operational	Significant increase in number of referrals, assessments, children subject to a child protection plan and children in care due to heightened awareness. 28/04/09 Update Evidence of emerging difficulty to recruit to social care workforce	Director of Children's Service	25/02/2009	Close monitoring of number of referrals, assessments and children in care	High	High	Review and analysis of trends in referrals, children in care, caseloads and social work vacancies. Promotion of referral thresholds among referring partners.	Director of Children's Service	26/08/2009	Update 28/04/09 New recruitment campaign to fill Social Work vacancies. Action taken does not change Initial Likelihood and Impact Assessments. Update 26/08/09 The increased level of social work activity continues to rise and based on qtr1 position will exceed the level within 08-09. The additional resource required to meet this increased and ongoing level of activity is currently being costed and will form part of the budget process. Action taken does not change the likelihood and impact assessment.	Open				
21	More choice, better value	Income Maximisation	Financial	Reduction in income from temporary accommodation due to Housing Benefit Subsidy changes wef April 2010 - projected net reduction £2.2m	Director of Planning Housing and Regeneration	21/08/2009	TA Strategy developed to mitigate reduction	High	High	Report to CRC Sept 2009. Key actions proposed: Convert Nightly purchased stock to leasing arrangement, review operation of in house PSL scheme, reduce operating costs of placing clients in private rented sector	Director of Planning Housing and Regeneration			Open				

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22	Clean Green and Safe	To ensure safety of council tenants in the event of a fire following Southwark tradegy	Operational	Risk of serious injury or death in council homes	Director of Planning Housing and Regeneration	18/08/2009	Officer group including representatives from Barnet Homes, PHR and Risk and Insurance Team to monitor progress	High	High	Liaison with LFB, actions to ensure FRA's carried out and approach adjusted to take account of investigations into Southwark incident. Report to CHRC 25 Aug 09.	Director of Planning Housing and Regeneration			Open				

2009/10 Corporate Risk Register - proposed additions

Number	Corporate Priority	Objective	Risk Type	Risk Description	Risk Raised by	Date Raised	Controls in place	Initial Assessment	Mitigating Action	Lead Officer	Last updated	Action taken	Current status	Revised Assessment	Closing Date	Closing Authority
22	Strong and healthy	To ensure delivery of all services whose interruption could cause loss of life, loss of the council's reputation or significant financial loss.	Operational	Critical services will not be delivered to vulnerable clients during the current swine flu pandemic.	Chief Executive	24/08/2009	Business impact analysis carried out to identify critical tasks. BC daily absence reporting. Corporate BC team with reps from each service area.	Medium High	Business Continuity Planning Strategy. Service business continuity plans. Regular BC forums to coordinate service and corporate responses.	Chief Executive			Proposed			
23	Barnet as a successful city suburb	Minimise the impact of the recession on the community by ensuring sustainable paths to training and employment, including support for vulnerable people and those claiming benefits. Promoting independence.	Operational	Lack of opportunities for employment and increased unemployment with resultant negative social and economic impacts. Increased business failure. Insufficient range of employment and training opportunities with poor understanding of business' skills requirements. Lack of support including suitable affordable childcare and targeted programmes for the most vulnerable groups.	Director of Planning Housing and Regeneration	26/08/2009	Skills Development Group including representatives from PHR, Children's Services, Barnet College and Job Centre Plus to monitor progress	Medium Medium	Strategy to be agreed, delivered and monitored by the Skills Development Group.	Director of Planning Housing and Regeneration			Proposed			
24	A Bright Future for Children and Young People	Transform secondary education through the Building Schools for the Future	Strategic	Secondary schools do not effectively engage with programme causing delay. Insufficient capacity within council to deliver programme. Unforeseen expenditure (e.g. cost of establishing Local Education Partnership subject to market forces).	Director of Children's Service	27/08/2009	Educational Capital Programme (ECP) Board established at Director level to oversee all aspects of programme.	Medium High	Detailed delivery plan, financing plan and stakeholder engagement strategy. Monthly reports to ECP	Director of Children's Service		Detailed delivery plan and financing plan in development ready for 6th October REMIT meeting with DCSF and PIS..	Proposed			
25	More choice, better value	Minimise the risk that the recession will reduce income across several service areas.	Financial	Significant reductions in income from Land Charges / planning and building control have already been reported.	CFO	02/09/2009	The regular monitoring reports to CRC highlight areas where income collection is a problem. Debt management performance is also included.	High High	Directors have a responsibility to take action to mitigate reductions in income which will be enhanced by the development of the Financial Improvement Plan.	All Directors		Services are looking to increase market shares, income generation outside of the borough and staffing levels. Land charges and planning income shortfalls in 2009/10 have been covered by contingency allocations. Any further deterioration would fall to balances if not mitigated	Proposed			
26	More choice, better value	To minimise the impact of the recession on public finances.	Financial	Potential reductions in all government grants. Institute for Fiscal Studies have forecast a real reduction in government departmental expenditure of 2.3% per annum after the next spending review.	CFO	02/09/2009	The budget and forward plan process includes the monitoring of central government and local government representative bodies' announcements that give early warning of future grant changes.	High High	The Future Shape programme and other corporate budget proposals will need to generate efficiency savings to protect priority services within an envelope of reduced resources. All Directors must report grant changes to CFO as soon as known and	All Directors		The financial forward plan assumes no formula grant increases from 2011/12. However, this may be optimistic in the light of the IFS figures.	Proposed			
27	More choice, better value.	Effectively manage the change agenda to deliver fit for purpose services.	Strategic	There are a number of change initiatives within the council at present. There is a risk that if they are not implemented in a co-ordinated way that: staff will find it difficult to understand the critical changes required and will become resistant to change; we will not realise the benefits and efficiencies we seek; and we will not bring partner organisations with us. Ultimately the risk is of ineffective execution of change programmes and therefore that services will not meet customer needs in the future.	Directors Group	09/09	A risk management approach at corporate, service and project level A co-ordinated approach to the significant change programmes in line with future shape objectives Budget and Performance Management systems identify at an early stage and seek to problem solve potential impact of change agenda on performance	Medium High	Regular and comprehensive financial, performance and risk reporting to Directors' Group A clear planned roll out of change initiatives that links them all into the objectives of the Future Shape programme and the key themes in the corporate plan. The Council's Managing Change policy provides an agreed framework for managing the HR aspects of change Establish a Future Shape implementation governance structure that includes senior representatives of partner organisations, and regular engagement with/briefing of partners through CEG and other fora.	Director of Strategy	03/09/2009	03/09/09 Update: Corporate plan published and communications programme rolling out. 'Theme months' starting in September with senior officer and Councillor sponsors. Communications, stakeholder and implementation plans for publication of the final Future Shape report being developed. Senior staff member identified to co-ordinate change programmes? Future shape plans discussed in CEG, LSP and other partner fora.	Proposed			