

## APPENDIX H: Corporate Risk Register

The following risk register represents those risks in place at the time of reporting at Quarter 2, the mitigation strategies in place for each risk and the proposed treatment of each risk.

PROBABILITY	SCORE	IMPACT				
		1	2	3	4	5
		Negligible	Minor	Moderate	Major	Catastrophic
5	Almost Certain	0	0	0	0	0
4	Likely	0	0	0	1	0
3	Possible	0	0	1	8	0
2	Unlikely	0	0	0	0	0
1	Rare	0	0	0	0	0

Risk	Current Assessment Impact Probability Rating			Control Actions	Risk Status	Board Assurance (timing)	Target Assessment Impact Probability Rating		
<b>Demographic and Population Changes: ORG0035</b> There is a risk that the organisation will not be prepared or able to respond to the impacts of demographic changes (e.g. gender, age, ethnicity, disability, education, employment) and/or population growth rate (birth, death, immigration, emigration) with insufficient social infrastructure (schools, older people homes), physical and green spaces, services and affordable housing to meet demand	Major 4	Likely 4	High 16	Preventative: Test demographic change and population growth hypothesis against insight on customer profile, deeper interrogation of specific data sets (in/out migration) and identify potential gaps in data sets (availability of data, deficiency of existing data) The priorities and spending review (PSR) is key response to ensuring the organisation is sufficiently prepared for and able to respond to the impacts of population and demographic changes. Uncertainty is being reduced as service pressures and budget requirements	Treat	Quarterly	Major 4	Possible 3	Medium High 12

Risk	Current Assessment Impact Probability Rating			Control Actions	Risk Status	Board Assurance (timing)	Target Assessment Impact Probability Rating		
				<p>are being analysed and underlying assumptions monitored and refined to ensure they remain valid as the organisation prepares to respond to this challenge.</p> <p>Understand approach and dependencies with resident engagement, equalities and health and wellbeing impact assessments. Growth Strategy, Housing Strategy, Regeneration Strategy and respective governance structures.</p> <p>Detective: The Commissioning Group supports the setting of strategic outcomes and development of commissioning strategies with a particular focus on cross cutting themes and risks. The Commissioning Board will review underpinning risk analysis at regular intervals to consider data, revisit assumptions, outcomes and controls.</p> <p>Partnership SCB has been introduced to enhance partnerships working in order to meet the financial challenges facing the public sector and collaborate on the development of future plans to both deliver transformation and improve outcomes.</p>					

Risk	Current Assessment			Control Actions	Risk Status	Board Assurance (timing)	Target Assessment		
	Impact	Probability	Rating				Impact	Probability	Rating
<p><b>Waste Management and Sustainability ORG0011:</b> without consideration of alternative ways of improving recycling and changing behaviours around sustainability, costs will escalate in the future. Procuring value for money waste disposal and managing waste collection services both need to be considered in order to ensure quality services at an affordable price delivering optimum customer satisfaction.</p>	Major 4	Possible 3	Medium High 12	<p>Preventative: In-house delivery with stretch model underway commencing from October 2013. NLWA partnership</p> <p>Detective: Performance Indicators for recycling and customer satisfaction. Waste project planning commencing April 2014 - review of wide range of potential service changes and improvements to deliver PSR savings and performance.</p>	Treat	Quarterly	Major 4	Possible 3	Medium High 12
<p><b>Financial Position ORG0025:</b> Given the overall economic position, it is clear that cuts to government funding will continue until at least 2018 and more likely to the end of the decade. Alongside this the Council now bears additional risks as a result of business rate reforms, whereby a contraction in economic activity in Barnet will see a reduction in Council funding. The economic position also impacts on the costs of Council services, for example in terms of pressure on temporary accommodation and increases in benefit caseloads. Demographic changes mean that the Council faces a growing population, an ageing population and increasing numbers of young people, which adds further to the pressure and demand on services.</p>	Major 4	Possible 3	Medium High 12	<p>Preventative: The Council's financial planning cycle mitigates the risks associated with reductions in funding and increases in demand for services. Planning ahead enables the Council to mitigate the impact of increases in demand and ensure that the Councils overall financial position on reserves and contingency is sufficient. Policy and Resources Committee received a report on 10 June which sets out the financial challenge for the Council and the process to meet this challenge.</p> <p>Detective: Budget monitoring (revenue and capital) and financial management standards being adhered to. Recovery plans and alternative options reviewed in areas with overspends. Review capital programme profiling. Value for money indicators in use across the business. Monitoring delivery of Medium Term Financial Strategy.</p>	Treat	Quarterly	Moderate 3	Unlikely 2	Medium Low 6

Risk	Current Assessment Impact Probability Rating			Control Actions	Risk Status	Board Assurance (timing)	Target Assessment Impact Probability Rating		
<p><b><u>Resident Engagement ORG0029:</u></b> Failure to engage properly with Residents.</p>	Moderate 3	Possible 3	Medium High 9	<p>Preventative: Finance and Business Planning – feeding consultations into service design. Ensuring equalities is embedded within the Commissioning Group.</p> <p>Consultation strategy and transparency commitment confirmed at first meeting of Policy and Resource Committee. 3rd sector strategy/ community resilience Social media – alternative methods of engaging with residents to be explored through future updates to the website</p> <p>Detective: Common understanding of the citizen engagement within the Council through review of complaints data analysis and prior consultations. Performance indicators for customer satisfaction and customer care.</p>	Treat	Quarterly	Moderate 3	Unlikely 2	Medium Low 6
<p><b><u>People ORG0036:</u></b> There is a risk that the organisation’s people (competence, skills, knowledge) and culture are not aligned with its medium and long term strategic direction and will not be able to deliver the improvements in service delivery and on-going change and innovation required to achieve its long term goals.</p>	Major 4	Possible 3	Medium High 12	<p>Preventative: To understand the current and required corporate capabilities and develop corporate and delivery unit plans to respond to gaps, recognising the need to create an internal environment that facilitates the generation of new ideas and entrepreneurship. To support change through leadership and people engagement (including through partners), to provide results for the organisation, its people and customers.</p> <p>Detective: Through the risk management framework and robust and continuous risk analysis and monitoring of delivery unit risk profiles</p>	Treat	Quarterly	Moderate 3	Possible 3	Medium High 9

Risk	Current Assessment Impact Probability Rating			Control Actions	Risk Status	Board Assurance (timing)	Target Assessment Impact Probability Rating		
				and action plans it will be possible to identify and ensure the right interventions and to identify 'early warning systems' where failure in this respect is impacting negatively on service delivery and strategic change.					
<p><b><u>Information Management</u></b> <b><u>ORG0037:</u></b> There is a risk we will not able to get appropriate data and information through insight, self-service to support the customer access strategy</p>	Major 4	Possible 3	Medium High 12	<p>IM Strategy approved and includes a Data Quality Work stream.</p> <p>Preventative: Fair processing notices to enable us to compliantly get data we want. Beginning to understand data sources and constraints on them Phased delivery approach for insight allowing us to assess and baseline data issues and plan improvements in quality and accessibility accordingly</p> <p>Detective: Customer Access and Information Board to monitor progress and delivery. Will continually assess progress with decision to continue to move forward at each phase boundary</p>	Treat	Quarterly	Major 4	Unlikely 2	Medium High 8
<p><b><u>Barnet's position as a prosperous Suburb</u></b> <b><u>ORG0038</u></b> is under threat from wider threats to London as a world city and infrastructure improvements connecting more and new places to London.</p>	Major 4	Possible 3	Medium High 12	<p>Preventative: Develop 21st century suburb vision joining up the relevant strategies/initiatives West London Alliance: Working with five other West London Boroughs through community budget programme to develop growth, skills, jobs. Through this process, will also be in a position to take a broader view of the transport infrastructure on an orbital basis.</p> <p>Detective: Regular meetings with place based</p>	Treat	Quarterly	Major 4	Unlikely 2	Medium High 8

Risk	Current Assessment Impact Probability Rating			Control Actions	Risk Status	Board Assurance (timing)	Target Assessment Impact Probability Rating		
				services already exist to discuss strategies (housing, street scene) - will ensure effective monitoring and on-going identification of risks, opportunities and dependencies.					
<p><b>Homelessness ORG0039:</b> There is a risk that homelessness and the subsequent cost of providing emergency short term accommodation will continue to rise.</p>	Major 4	Possible 3	Medium High 12	<p>Preventative: Developing plans around three areas: - increasing prevention activities, including joint working with job centre plus - increase opportunities of affordable housing supply - Develop options of affordable supply in more affordable locations</p> <p>Detective: Welfare and Benefit Programme (including partners) in place to determine impact, performance indicators in place to monitor impact. A mitigation plan is being implemented Barnet Homes as approved by Strategic Commissioning Board and the Delivery Board. The Delivery Board is monitoring monthly. A Barnet Homes project board including the lead Commissioner and Contract Manager is overseeing the delivery of a range of interventions to boost supply and reduce demand. Numbers in EA have started to fall, from 638 in Q2 to 549 in Q3. The cost of mitigations and of the additional emergency accommodation is to be met from existing reserves.</p>	Treat	Quarterly	Moderate 3	Unlikely 2	Medium Low 6

Risk	Current Assessment			Control Actions	Risk Status	Board Assurance (timing)	Target Assessment		
	Impact	Probability	Rating				Impact	Probability	Rating
<p><b><u>Safeguarding Incident ORG0040:</u></b> If there were a significant children's safeguarding incident then the commissioning council approach may be destabilised and undermined.</p>	Major 4	Possible 3	Medium High 12	<p>Preventative: SCB Assurance Safeguarding Protocol Regular meeting and information sharing Family Service transformation Programme Children's, Education, Libraries and Safeguarding Committee in the new governance model Local Safeguarding Children's Board (LSCB), new chair and work programme</p> <p>Detective: Mock OFSTED inspection Safeguarding Peer Review</p>	Treat	Quarterly	Major 4	Unlikely 2	Medium High 8
<p><b><u>Commissioning Approach ORG0041:</u></b> If there is not a clearly defined approach to commissioning in place that ensures consistent application of Commissioning Cycle activities then objectives becomes difficult to monitor or achieve.</p>	Major 4	Possible 3	Medium High 12	<p>The Council's Commissioning Plans and priorities to 2020 are being developed and will go to Policy and Resources Committee on 2 December alongside the Council's draft Corporate Plan and Medium Term Financial Strategy.</p> <p>Following agreement of the above revised Management Agreements will be developed which focus on how the longer-term priorities of the Councils Corporate plan will be achieved with meaningful qualitative performance indicators that are linked to outcomes.</p> <p>The means of reviewing the achievement of outcomes will be taken forward over the next 6 month as new Commissioning Plans and Management Agreements are developed.</p>	Treat	Quarterly	Major 4	Unlikely 2	Medium High 8