

APPENDIX H: Corporate Risk Register

The following risk register represents those risks in place at the time of reporting at Quarter 4, 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	6	0
2	Unlikely	0	0	0	1	0
1	Rare	0	0	0	0	0

Risk	Current Assessment Impact Probability Rating			Control Actions	Target Assessment Impact Probability Rating			Risk Update
<p>Homelessness - ORG0039 There is a risk that homelessness and the subsequent cost of providing emergency short term accommodation will continue to rise.</p> <p>Cause: The Council has an obligation to house people that are homeless and support families who are intentionally homeless. Unemployment, economic downturn exacerbated by welfare and benefit reform and high market rents are the primary causes of homelessness, increasing gap between temporary accommodation subsidy rates and cost of the accommodation. Increasing the demand for housing and putting pressure</p>	Major 4	Likely 4	High 16	<p>Preventative: Developing plans around three areas:</p> <ul style="list-style-type: none"> 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>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</p>	Moderate 3	Unlikely 2	Low 6	<p>06.02.15 - Summary: On-going risk There is a risk that homelessness and the subsequent cost of providing emergency short term accommodation will continue to rise.</p>

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<p>on the supply of affordable housing.</p> <p>Consequence: Substantial increase in homelessness including intentional homelessness where children are involved and the subsequent provision of affordable housing at a significant and increasing cost to the Council.</p>				<p>by Strategic Commissioning Board and the Delivery Board. Homelessness and Emergency Accommodation Project Board with Barnet Homes including the lead Commissioner and Contract Manager is overseeing the delivery of a range of interventions to boost supply and reduce demand through monthly meetings.</p>				
<p>Waste Management and Sustainability ORG0011: 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> <p>Cause: Failure to mitigate rising costs of waste disposal.</p> <p>Consequence: Increasing costs to Council exacerbating budget pressures.</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>	Major 4	Possible 3	Medium High 12	<p>09.01.15 - Summary: A wide range of activities are on-going including collection route optimisation to achieve efficiencies, analysis to understand residents' behaviours and potential service options, and development of a recycling communications campaign for early 2015. Satisfaction with the refuse service has improved from 76% in Spring 2014 to 77% in Autumn 2014.</p>
<p>Financial Position - ORG0025: 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.</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 Council's overall financial position on reserves and contingency is sufficient.</p> <p>Budget proposals for the period 2015 through to 2020 have been agreed for consultation and will come back to Council in March 2015. These proposals deal with £50m of the total budget gap of £73m. Work is on-going to identify further savings</p>	Moderate 3	Possible 3	Medium High 9	<p>30.01.15 - Summary: Budget proposals for the period 2015 through to 2020 and were reported to approved by Council in March 2015. These proposals dealt with £50m of the total budget gap of £73m.</p> <p>Work is ongoing to identify further savings to close this gap and will come back through committees in due course."</p>

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<p>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> <p>Cause: Further government cuts, uncertainty over the local economic position for business rates and demographic changes.</p> <p>Consequence: Additional pressure and by implication cost in the delivery of services, reduction in income, coupled together providing a challenge for the Council's economic position.</p>				<p>to close this gap and will come back through committees in due course.</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>				
<p>Resident Engagement - ORG0029 Failure to engage properly with Residents.</p> <p>Cause: The lack of an engagement policy, comprehensive plan and coordinated approach to consulting with residents</p> <p>Consequence: Legal Challenge, lack of public buy in, do not deliver the services resident want, Consultations not contributing to service design, lack of transparency on outcomes, customer satisfaction declines</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 in place and transparency commitment confirmed. 3rd sector strategy/ community resilience</p> <p>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>	Moderate 3	Possible 2	Medium low 6	<p>30.01.15 - Summary: A New consultation strategy in place and My account to launched in March.</p>

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<p><u>Demographic and Population - ORG0035:</u> 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</p> <p>Cause: Uncertainty of demographic changes and population growth, insufficient planning, monitoring and management of demand internally and externally where reliant on partner organisations.</p> <p>Consequence: Increased demand for public services generally, changing demand for types of services, costs spiral, reactive decision making, cuts to front line services or service failure.</p>	Major 4	Possible 3	Medium High 12	<p><u>Preventative:</u> 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). New insight model which models impacts of growth in a number of key council services.</p> <p>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 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>5 year budget proposals includes demographic change funding across key council service areas. Funding subject to annual review as part of finance and business planning. 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><u>Detective:</u> 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</p>	Major 4	Unlikely 2	Medium High 8	<p>29.1.2015- Summary. Updates to controls include insight model on impacts of growth and 5 year budget plan includes funding for demographic change.</p> <p>Therefore risk has been reduced in line with target rating of possible/major.</p>

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				assumptions, outcomes and controls. 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>People - ORG0036 : 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> <p>Cause: The context in which the organisation operates is rapidly changing and demands continual service improvements. This requires the right organisational and developmental interventions to ensure the competence, knowledge and skills necessary to deliver the strategic objectives. Failure to ensure the right learning, knowledge sharing, career development, training and commitment to generating new ideas will cause the risk to escalate and negatively impact service delivery.</p> <p>Consequence: The consequence of failure in this respect and the escalation of risk will be a skills/knowledge/competence gap in the organisation that will result in poorer service performance in the medium term and/or longer term strategic failure.</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 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>	Moderate 3	Possible 3	Medium High 9	No update

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<p>A prosperous Borough - ORG0038: Barnet's position as a prosperous suburb is under threat from wider threats to London as a world city and infrastructure improvements connecting more and new places to London.</p> <p>Cause: Existing infrastructure near capacity, other places benefiting from new infrastructure digital technology making physical proximity less important wider threats to London as a world city</p> <p>Consequence: Barnet becomes less desirable as a place to live and work</p>	Major 4	Unlikely 2	Medium High 8	<p>Infrastructure delivery plan and Mayoral infrastructure 2050 Entrepreneurial Barnet - economic strategy for making Barnet the best place to be a small business</p> <p>Regular monitoring of resident and business satisfaction surveys West London Alliance: Implementation of the West London Alliance jobs, skills and growth programme.</p>	Major 4	Unlikely 2	Medium High 8	<p>12.03.15 Summary.</p> <p>Changed risk assessment to unlikely and major.</p> <p>Agreed inherent risk means that current and target risk assessment are the same.</p>
<p>Safeguarding Incident - ORG0040: If there were a significant children's safeguarding incident then the commissioning council approach may be destabilised and undermined.</p> <p>If an incident were to occur the impact would be cross-cutting: compliance or a potential breach of statutory duty, reputational with adverse media coverage and workforce with staff morale being impacted and potential loss of staff.</p>	Major 4	Possible 3	Medium High 12	<p>Preventative:</p> <ul style="list-style-type: none"> • SCB Assurance • Safeguarding Protocol, • Accountability 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>Detective: Mock OFSTED inspection Safeguarding Peer Review</p>	Major 4	Unlikely 2	Medium High 8	<p>30.01.15 - Summary:</p> <p>Added accountability protocol to controls, all other controls remain the same.</p> <p>Risk has not decreased at Delivery Level, as such no change in profile at this level.</p> <p>Monitoring will continue at SCB Assurance.</p>
<p>Commissioning Approach - ORG0041 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</p>	Major 4	Unlikely 2	Medium High 8	<p>30.01.15 - Summary:</p> <p>Commissioning Capacity project consolidating and enhancing commissioning resource under the Commissioning Portfolio Directors.</p>

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				<p>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>				<p>External facilitators have been brought in to help facilitate management agreements between Commissioning Directors and Delivery Units.</p>