

**Corporate Risks detailed summary update**

Details of current corporate risks and updates by risk owners following review of risks. It provides a summary of the risk, control measures and relevant information on current status of the risk.

Risk Reference	Risk Description and Owner					Update			Review Date/Over due
	Date Created	Days on Register	Raw Risk Rating	Controlled Risk Rating	Appetite Category	Appetite Level			
<b><u>CSD0016</u></b>	Death or serious harm to a child that was or should have been in receipt of services, either from the council or a partner agency.  Richard Baldwin	15/05/2013	2330	25	16	Safety & Safeguarding	5-9	13 Control Measures, 12 are 100% complete  The re-inspection of Children's Social Care by Ofsted has now taken place. The outcome of the inspection is that Ofsted are now satisfied that the level of practice, decision-making and leadership in relation to the safety of children and young people is now at an appropriate level. This process is overseen by the Improvement Board and Ofsted inspectors via monitoring visits.	14/01/2020
<b><u>CSDSC0014</u></b>	The inspection process produced evidence to show that in the judgement areas of help and protection, in leadership and management and governance and in relation to the LSCB the restorative action that has been taken has been neither sufficiently effective nor timely. The Ofsted inspectors highlighted the need for some urgent and rapid improvement across children's social care.  Richard Baldwin	03/04/2017	911	25	16	Safety & Safeguarding	5-9	2 Control Measures, 1 100% complete, 1 75% complete.  The re-inspection of Children's Social Care by Ofsted has now taken place. The outcome of the inspection is that Ofsted are now satisfied that the level of practice, decision-making and leadership in relation to the safety of children and young people is now at an appropriate level. This process is overseen by the Improvement Board and Ofsted inspectors via monitoring visits.	14/01/2020

<b><u>THB0003</u></b>	Brexit risk to LBTH procurement and supply chains.	06/03/2019	209	16	8	Brexit	N/A	1 Control measure, 50% completed.	16/01/2020
	Zamil Ahmed							<p>Supply chain risk assessment sent to 2416 suppliers resulting in a total of 704 (29%) of suppliers completing the survey with majority of the respondents based within the Construction, Healthcare, Technology and Community Services sector. Whilst the results of the survey generally indicates a positive response from the market with 82% of the businesses stating that they do not see any issues in importing material from the EU and 93% (389) do not have any plans to downsize their business due to Brexit, there are concerns amongst 37% (153) of the suppliers who believe that Brexit may impact the base cost/prices of their business.</p>	
								<p>Corporate approach to managing potential supply chain risks (currently the council operates a devolved contract management system) through the strategic procurement board including capturing work undertaken with contractors in directors and supply risks identified.</p>	
								<p>A report on the potential staffing implications across council contracts. A follow up communication was sent to all active creditors (2,416) on 7/3/2019 requesting the completion of a Brexit impact survey to understand the number of NON-UK EU 27 National staff in their employment. A total of 216 suppliers responded, with 112 suppliers stating nil staff employed but nine suppliers responded to confirm employment of 100 to 3,000 EU nationals, further work is underway to review existing contracts with these nine suppliers.</p>	

<b><u>THB0001</u></b>	<p>Failure to properly undertake the necessary European Union (EU) exit impact assessments, relevant planning and preparing appropriate mitigation particularly in the following areas;</p> <ul style="list-style-type: none"> <li>- All the statutory services for which the council is responsible.</li> <li>- All regulatory services for which the council is responsible.</li> <li>- Impact on supply chains including those managed directly by the council and those indirect contracts managed through commissioned services.</li> <li>- Data handling including data handling for any outsourced services.</li> <li>- Local partnership working with key statutory and strategic partners.</li> </ul> <p>Appropriate plans and activity to provide community assurance and provision of timely information.</p> <p>Neville Murton</p>	07/02/2019	236	16	12	Brexit	N/A	<p>2 control measures, 1 = 100% complete, 1 = 50% complete</p> <p>HR resource planning and resilience.</p> <p>Financial modelling / Strategy reviews.</p> <p>A BCP / staff composition survey has been sent to all Heads of Service. The survey asks for information on the number of EU nationals within each team, what contracts depend on EU imports / services and what civil disorder plans / backups are in place within relevant teams.</p> <p>Information from survey now informs mitigating actions currently been put in place.</p>	16/01/2020
<b><u>WSP0015</u></b>	<p>Increased demands on corporate services</p> <p>The management of a service that will have a budget of £20M, employ 300 officers and be implementing change that will impact on the majority of the boroughs residents will require significant support from corporate services such as HR, Finance, Policy, Commercialisation and Communications.</p> <p>Dan Jones</p>	01/11/2018	334	15	9	Compliance & Regulatory	5-9	<p>2 control measures, both 50% completed.</p> <p>Element of decided HR and Administration support will be built into the services structure.</p> <p>During mobilisation the impact of these corporate services will be assessed.</p> <p>Recruitment of temporary HR and communications support staff. Communications staff recruited and in place.</p> <p>HR in process of recruitment.</p>	26/09/2019

<b>ASD0015</b>	Death or serious harm to a vulnerable adult that was or should have been in receipt of services, either from the council or a partner agency.  Claudia Brown	10/08/2015	1513	15	10	Safety & Safeguarding	5-9	9 control measures in place 100% complete  Continuing to prioritise improving safeguarding practice through a range of measures which are monitored at ASC Improvement Board, Corporate Safeguarding Board and the Safeguarding Adults Board Remains a risk in Adult Social Care. Adequate mitigation in place and so risk is now considered medium level.	01/01/2020
<b>PLC0013</b>	Following the Grenfell Fire tragedy residents of tower blocks in the borough are not safe or do not feel safe from fire following reassurance, advice, interim measures and completed, in progress or scheduled remedial actions to improve fire safety.  Karen Swift	28/09/2017	733	15	5	Safety & Safeguarding	5-9	4 Control Measures, 3 = 100% Complete, 1 = 80% Complete  MHCLG have asked Councils to undertake a new data exercise on the external materials for all high rise private blocks. Concerns about resourcing this activity remain although financial assistance is likely under the New Burdens doctrine. An announcement on this is due shortly. The London element of the £200m Government ACM cladding remediation fund is being administered by the GLA and they are in contact with us and buildings owners direct about bids to the fund. This marks good progress towards getting the ACM removed on buildings which have not as yet formed a remediation plan. Fortnightly project team meetings to continue to monitor ACM clad work and the new data task.	03/11/2019

<b>THB0002</b>	Impact of Brexit on the recruitment and retention of LBTH staff (People & Skills).	06/03/2019	209	12	8	Brexit	N/A	Additional Social Care workforce already in pressurised areas.	05/11/2019
	<ul style="list-style-type: none"> <li>- Number that are EU residents</li> <li>- Specific service pressures e.g. social care</li> <li>- Professional qualifications from EU nations</li> <li>- Vacancies</li> <li>- Skills shortages</li> </ul> <p>Increasing costs for agency staff or attracting workers for low skilled jobs</p> <p>Armanda Harcus</p>							<p>Response from care home and home care providers is that there will be limited if any impact for them, as workforces in both cases are predominantly non - EEA nationals.</p> <p>Support provided to EU workforce ensuring they understand the EU settlement scheme and their rights post exit and support around wellbeing.</p> <p>Creation of a Social Work Academy within children's social care to address over reliance on agency workers and mitigate any impact on the supply of agency staff from Brexit.</p> <p>Risk to be reviewed in August to check data and ensure adequate provision is in place when a final decision is made on Brexit.</p> <p>Few staff have declared as EU nationals and with the removal of fees, application for settled status should be less burdensome.</p>	

<b>ICT0071</b>	<p>Failure to ensure ICT risks are within the scope of council-wide risk management and internal control frameworks in the following areas;</p> <ul style="list-style-type: none"> <li>•ICT availability and continuity risk</li> <li>•ICT security risk</li> <li>•ICT change risk</li> <li>•ICT data integrity risk</li> <li>•ICT outsourcing risk</li> </ul> <p>Ensuring the following are kept under review:</p> <ul style="list-style-type: none"> <li>•ICT risk management policy, processes and risk tolerance thresholds</li> <li>•Organizational management and oversight framework</li> <li>•Internal audit coverage and findings; and</li> <li>•ICT risk controls that are specific for the identified material ICT risk.</li> </ul> <p>Zoe Matthews</p>	20/11/2018	315	<b>12</b>	<b>8</b>	Innovation	<b>20-25</b>	<p>2 Control Measures, 1 = 100% Complete, 1 = 10% Complete</p> <p>IT security risk – managed through Information Governance Group and Strategic Information Governance Group, IT are standing members.</p> <p>IT change risk – managed through weekly change advisory board and through monthly technical design authority.</p> <p>IT outsourcing risk – managed through monthly operations meeting and quarterly strategic partnership boards.</p> <p>An audit will be undertaken to ensure meetings are happening, minutes are being kept, and actions progressed.</p> <p>Zoe &amp; Adrian are attending Clearview training week commencing the 14th October. Following this BCP sections will be updated on Clearview.</p> <p>Major incident policy and processes collated from LBTH &amp; Agilisys side and being updated</p>	23/12/2019
<b>CLPRCG0040</b>	<p>We are currently at a recycling rate of 24.6% and have a target to reach 35% by 2020. Services are currently in transition from contracted to an in-house delivery model. This may impact on our ability to bring in long term measures to improve recycling on the service as there may be significant service redesign.</p> <p>Oli Kapopo</p>	08/11/2018	327	<b>9</b>	<b>9</b>	Reputational	<b>10-12</b>	<p>We have carried out a re-route of recycling rounds and are working on remodelling our approach on how we deal with contamination from a collection perspective. We are asking that bins are stickered and that collections happen within 48 hours. Further initiatives i.e. Outreach and Communications will need to be looked into to supplement operations.</p>	22/10/2019

<b><u>ASD0017</u></b>	Risk that should a major incident take place affecting Council services, there may be a failure to implement an effective response. The risk is increased if there was to be more than one incident at the same time.  Denise Radley	04/08/2013	2249	9	4	Safety & Safeguarding	5-9	12 Control Measures, All are 100% completed.  Since the last review a Baseline Review of LBTH preparedness and business continuity arrangements has been completed. The recommendations are due to be presented at HAC DLT on 23 September. Thereafter an implementation plan will be developed. It is anticipated that the CCB will provide the necessary governance. Additionally, an added pressure is the migration of a paper based business impact assessment process to a bespoke IT system. Training is in place and should be complete, including updated BIA's by end October. There are staff shortages in the CPU and this is being addressed via recruitment. The risk level therefore remains unchanged.	23/12/2019
<b><u>RM0009</u></b>	Increased acts of significant fraud or corruption (both internal and external) against the Council  Neville Murton	08/01/2014		9	6	Compliance/Regulatory	5-9	1 Control Measure, 50% completed  The Corporate Anti-Fraud Team will deliver a programme of work across 2019/20 to raise the profile of fraud and increase fraud awareness amongst the staff. This will include a fraud awareness campaign and proactive exercises to detect potential fraud. The annual plan of activity is presented to CLT and the Audit Committee for review and agreement. Progress is reported to both on a quarterly basis.	09/02/2020

<b>THB0004</b>	<p>"Brexit - Organisational Impact Impact of Brexit on the regulatory landscape Impact on income streams Impact on local communities</p> <p>1. Decreased revenues &amp; changes in demand - Business and economy - Drop in the value of the pound - Business rates - Regeneration schemes - Skills shortages - Cost of living - Decline in town centres/high streets</p> <p>2. Laws, Legislation and regulation. - Environmental regulations - Devolution/public service reform - Human rights</p> <p>3. Citizens and Community - Community cohesion - Migration into the borough - No Recourse to Public Funds</p> <p>Neville Murton</p>	06/03/2019	209	9	6	Brexit	N/A	<p>1 control measure; 75% complete.</p> <p>Identify and plan for impacts on service budgets and identify new income streams e.g. new government initiatives.</p> <p>Monitor/Plan/Mitigate - mitigations in terms of business continuity plans are required from all areas of the organisation.</p> <p>Putting in funding to plug funding gaps over 4-5 years with General Fund as contingency, but significant shocks might remove this backup, earmarked reserve could be used to meet higher priorities.</p> <p>Working with partners to support local business, including access to business rate relief for small businesses.</p>	17/10/2019
<b>ASD0032</b>	<p>Delay to the June 2019 revision of the Business Impact Assessments for the Business Continuity Plans. The delay has been approved by the CCB on 15 April 2019 to enable the implementation of a new internet based Business Continuity planning tool.</p> <p>Charles Griggs</p>	15/04/2019	169	4	4	Safety & Safeguarding	5-9	<p>1 Control Measure 75% complete</p> <p>In order to minimise the risk we have required Business Continuity Champions to review their BC plans and to update the contact details of relevant staff. This is the major element of the June BIA revision. This process is complete. Training on the Clearview system has been arranged for 19 July for BC Champions. Once complete the system will be tested and then go live. N.B. Once Clearview is implemented there will no longer be the need to conduct twice yearly revisions of the BIA's as the system is live, unlike the current paper based process that is cumbersome. This was discussed at the CCB on 15 July 2019.</p>	15/10/2019

