

## Appendix 2

### 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			
CSD0016	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	2228	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.	27/09/2019
CSDSC0014	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	809	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.	21/09/2019

THB0003	Brexit risk to LBTH procurement and supply chains.  Zamil Ahmed	06/03/2019	107	16	8	Brexit	N/A	1 Control measure, 50% completed.  Engagement with Contractors and providers. 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 directorates and supply risks identified.	16/07/2019
THB0001	Failure to properly undertake the necessary European Union (EU) exit impact assessments, relevant planning and preparing appropriate mitigation particularly in the following areas;  <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> Appropriate plans and activity to provide community assurance and provision of timely information.  Neville Murton	07/02/2019	134	16	12	Brexit	N/A	2 control measures, 1 = 100% complete, 1 = 50% complete  HR resource planning and resilience.  Financial modelling / Strategy reviews.  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.  Information from survey now informs mitigating actions currently been put in place.	10/07/2019

WSP0015	<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	232	15	9	Compliance & Regulatory	5-9	<p>2 control measure in progress</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
ASD0015	<p>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.</p> <p>Claudia Brown</p>	10/08/2015	1411	15	10	Safety & Safeguarding	5-9	<p>10 control measures in place 100% complete</p> <p>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</p> <p>Remains a risk in Adult Social Care. Adequate mitigation in place and so risk is now considered medium level.</p>	21/12/2019
PLC0013	<p>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.</p> <p>Mark Baigent</p>	28/09/2017	631	15	5	Safety & Safeguarding	5-9	<p>4 Control Measures, 3 = 100% Complete, 1 = 80% Complete</p> <p>The Council continues to monitor activity across sectors to remediate blocks with unsafe ACM cladding. The Government has announced funding for both social and private sector remediation. Social sector works are underway. There are concerns about the pace of private sector progress, including how long funding applications will take to be awarded. There are also concerns about non-ACM cladding and other risks not covered by the funding and the impact on leaseholders including ongoing interim measures.</p>	21/07/2019

THB0002	Impact of Brexit on the recruitment and retention of LBTH staff (People & Skills).	06/03/2019	107	12	8	Brexit	N/A	Additional Social Care workforce already in pressurised areas.	16/07/2019
	<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>	

ICT0071	<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>	20/11/2018	213	12	8	Innovation	20-25	<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>	01/08/2019	
CLPRCG00 40	<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>	08/11/2018	225	9	9	Reputational	10-12	<p>We have re-routed all 8 recycling rounds and will enhance monitoring at the MRF. We are also working with partners, asking them to remove black bags from recycling bins to reduce contamination.</p>	23/07/2019	
Adrian Gorst										
Oli Kapopo										

ASD0017	<p>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.</p> <p>Denise Radley</p>	04/08/2013	2147	9	4	Safety & Safeguarding	5-9	12 Control Measures, 11 are 100% and 1 is 90% Complete.	26/09/2019
								<p>All the control measures have been reviewed. The only outstanding measure is the implementation of the Clearview IT system. Training of BC champions has been arranged for 19 July 2019; thereafter the system will 'go live'.</p>	
								<p>The Clearview system has been procured and an implementation plan is in place. Until the 'go live' date we have a work around to manage the Business Impact assessment process. 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.</p>	
								<p>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.</p>	

THB0004	"Brexit - Organisational Impact Impact of Brexit on the regulatory landscape Impact on income streams Impact on local communities  1. Decreased revenues & 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  2. Laws, Legislation and regulation. - Environmental regulations - Devolution/public service reform - Human rights  3. Citizens and Community - Community cohesion - Migration into the borough - No Recourse to Public Funds  Neville Murton	06/03/2019	107	9	6	Brexit	N/A	1 control measure; 75% complete.  Identify and plan for impacts on service budgets and identify new income streams e.g. new government initiatives.  Monitor/Plan/Mitigate - mitigations in terms of business continuity plans are required from all areas of the organisation.  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.  Working with partners to support local business, including access to business rate relief for small businesses.	16/07/2019
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ASD0032	<p>Delay to the June 2019 revision of the Business Impact Assessments for the Business Continuity Plans.</p> <p>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	74	9	4	Safety & Safeguarding	5-9	1 Control Measure	15/07/2019
								<p>An implementation plan for the 'Clearview' business continuity system is in place. Migration of data and information to the system and training of relevant business continuity champions from each Directorate is due for completion by mid July 2019. Progress will be reported to HAC DLT.</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.</p> <p>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.</p>	