

Detailed Risk Report (incl Control Measure Target Date)

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
LPG0034	Significant backlogs of legal work	Hold ups in courts , recruitment and retention difficulties including among client depts.	Increased stress, time barred cases, reduced income generation leading to budget pressures evidence becoming stale resulting in more lenient outcomes, delays and further expense and lower costs being awarded, and reputational damage/	Workload management Management investigating ways to mitigate known future workload. Teams being informed of upcoming work pressures in order to prepare/ share load. management to review and prioritise backlogged cases	4	3	12	Workload planning and additional resources Client meetings to help understand service needs / pressures. Staffing kept at level required to maintain service levels. Where areas have heavy sustained pressures, agency staff acquired, subject to budget Janet Fasan <u>Required Control Measure</u> <u>Target Date:</u> <u>31/03/2024</u>	3	3	9	Janet Fasan	
LPGSE0009	Grants do not meet the expected outcomes as agreed in contracts	Failure to manage contractors	Residents do not receive service agreed as part of grant. Loss of council resources by provider failing to deliver.		3	4	12	Quarterly Monitoring Returns Providers updating on progress against delivery including any actions. Afazul Hoque <u>Required Control Measure</u> <u>Target Date:</u> <u>31/07/2024</u> Regualr engagement with providers Voluntary and community sector team outreach to engage providers on issues and supported needed. Afazul Hoque <u>Required Control Measure</u> <u>Target Date:</u> <u>31/07/2024</u>	2	4	8	Afazul Hoque	

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
LPGSE001 4	Inability to meet the council's business intelligence and performance management needs	Delay in expanding the use of data lake beyond original use case Staff lack skills to develop to maintain use case or further develop data lake	Loss of grip and control over performance Decision-making not based on data and evidence Impact on staff wellbeing due to demand pressures	Appoint virtual team Develop skills of team to deliver project Deploy PowerBI interim solution to enable staff to become familiar in advance of main project roll out Explore using report version of power BI	3	4	12	2	4	8	Doug Plumer	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To
LPGEL000 1	Failure to prepare detailed plans and employ sufficient experienced resources for the conduct of elections/referenda.	Comprehensive written project plan not fit for purpose Poor planning assumptions Lessons learnt from previous election reviews are not incorporated into planning Necessary actions not completed within statutory timetable Insufficient budget allocated	Missed deadlines Breach of legislation Failure to meet statutory duties Reputational damage Legal challenges or petition Financial costs	Project plan updated and maintained throughout the statutory timetable (copy attached in Diary/Letters). Ensuring all necessary activities are planned for and sufficient resources are available as and when required. This varies and is twofold with scheduled and unscheduled polls taking place. All polls are subject to project plans being in place reviewed by the project board prior to and during all polls held Regular meetings with stakeholders to identify risks. Regular meetings with various partners in the electoral process. Following 4 unscheduled elections in 2019 this process has been proven to work very well and was the case once again in May 2022 for the local polls. This will be ongoing for scheduled and unscheduled polls.	2	5	10	2	5	10	Robert Curtis	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
LPG0033	Loss and/or lack of IT knowledge and training , and inadequate systems .	Multiple changes to applications, both version and type, inadequate implementation., delays in getting IT support	Increased time to complete simple tasks, errors creep into work, increased stresses and potential of data breach, inability to access cases and limited functionality.	Learning and Support Corporate Learning Hub, staff being encouraged to learn at own pace. Appropriate training on new case management system pre implementation	3	3	9	Upgrade and Version Management Regular updates on any planned changes, staff involvement where possible and assistance where application is controlled corporately. Janet Fasan <u>Required Control Measure</u> Target Date: 31/03/2024	2	2	4	Janet Fasan	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		
LPGCOM005	Failure to ensure that the Communications Division are appraised and involved at the earliest opportunity on any matters which may negatively impact on the reputation of the Council.				3	3	9	<u>Required Control Measure</u> Target Date:				Andreas Christophorou	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		
LPGLS0004	Recruitment and retention challenges across most of legal but particularly at senior lawyer level and more acute in some teams than others leading to inability to service work in house, staff flight due to heavy workloads. Overliance on agency workers due to inability to attract permanent staff leading to budgetary pressures .	Recruitment and Retention challenges, staff carrying heavy workloads and late/urgent instructions	budgetary pressures due to outsourcing legal work for council and use of Agency to cover work Council's interest not being adequately protected. Negative impact on staff well being. service delivery impacted. Reputational damage increased use of agency /outsourcing due to inability to recruit		3	3	9	continue with grow your own initiatives , review ads , continue to explore alternatives ways to meet demand recruit at Junior levels where appropriate with a view to ;'grow your own' explore alternative means of providing support e.g shared service providers or other local authority legal teams to provide support - Janet Fasan <u>Required Control Measure</u> Target Date: 31/03/2024	3	3	9	Janet Fasan	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
LPGLS0007	Risk of not keeping abreast of changes in legislation /legal developments.	lack of access or failing to use legal resources , not attending training. staff not having time due to work overloads, failure to allocate work at right levels	Council exposed to claims/ challenges and costs. Council's interests not adequately protected. Reputational damage.		3	3	9	maintain on line research tools/ access to online updates and briefings, staff to attend training maintain on line research tools/ access to online updates and briefings, staff to attend training make use of LBLA courses and encourage participation in their Special interest groups Janet Fasan <u>Required Control Measure</u> Target Date: 31/03/2024	3	2	6	Janet Fasan	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To
LPGSE010	Corporate performance management is based on inaccurate data or poor data	Poor data entry into line of business applications by frontline services Incorrect calculations/formulae/data sets used by I&P staff Systems failures or limitations that require manual intervention and raise the chance of human error	Decision making based on incorrect or flawed assumptions Resource not focused in right areas of business Failure to identify poor performance or underperformance as data suggests otherwise	Update data quality policy in line with best practice Review data for reporting and identify areas of improvement.	3	3	9	Commence implementing the data quality policy follow on action plan to drive up data quality across the business to be reviewed by Stephen Bramah Doug Plumer <u>Required Control Measure</u> Target Date: 30/06/2022	3	3	9	Doug Plumer	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To
LPGSE016	Scrutiny Committees are not effective part of the Council's governance process.	- Scrutiny meetings not effective - Scrutiny not reviewing the right areas	- Lack of engagement by members, officers and partners - role of scrutiny challenged in external reviews/inspections - scrutiny not meeting its statutory duties		3	3	9	Regular meetings with chairs, officers and partners - Regular meetings with chairs and relevant stakeholders to identify risks and issues - Annual review with members and stakeholders - Annual improvement plan Afazul Hoque <u>Required Control Measure</u> Target Date: 01/06/2024	2	2	4	Afazul Hoque	

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
LPGSE0007	Inability to deploy resources in a changing environment	Sudden changes in demand Failure to communicate core functions to the rest of the organisation Reductions in team capacity	Inability to meet demand and deliver on emerging issues	Centralised service with greater level of business resilience	4	2	8	Board and Strategy rationalisation Reduce the number of boards and strategies to support corporate outcomes and priorities Reduce need to service substantial number of meetings which draws resource from more value added work Afazul Hoque <u>Required Control Measure</u> Target Date: 31/03/2024	3	2	6	Afazul Hoque	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To
LPGSE0008	Budget constraints	Unexpected reductions in budget ICT transformation delayed leading to inability to move to automation whilst being required to meet existing savings targets in future years	Failure to deliver statutory functions (including supporting statutory services and delivery of council priorities)		2	4	8	Monthly Budget Monitoring meetings Review spend and identify risks and challenges Afazul Hoque <u>Required Control Measure</u> Target Date:				Afazul Hoque	
LPGDS0005	Supreme Court Case against LBTH could determine that Councils are no longer able to prevent Members from sitting and voting on Committee decisions (like the current procedure which prevents Members sitting on part of a planning application if they weren't there for the whole item). This could have a significant consequence for us and every Council as it would remove an important control	A Case to be heard by the Supreme Court.	The Council would no longer be able to prevent Members from voting on decisions where they were not involved in the whole of the process. This could have widespread implications. For example, the current rules whereby Members must sit on every stage of an Appointment Sub-Committee could well be challengeable as could the rules at Planning and other Committees. This wouldn't impact every decision but would	The case is being defended by the Council and the Council has won in lower courts Legal Services are defending the Court Case and have successfully won at two lower courts. The Council is confident it has a good case.	3	2	6	<u>Required Control Measure</u> Target Date:	3	2	6	Matthew Mannion	Risk Corporate Plans

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
	mechanism to prevent unsound decision making.		impact those occasions where a Member decided they wanted to only take part in part of the meeting and could mean that more decisions made by the Council would be challenged.									
LPGSE001 1	Relationships with relevant stakeholders are ineffective	Failure to maintain ongoing relationships Change in personnel Failure to agree common purpose and aims	Failure to deliver on a place based agenda Failure to harness the partnership dividend to improving outcomes		2	3	6				Andy Simpson	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To
MO0002	Failure to support cabinet members in the delivery of their role and functions.	Non-delivery of the executive's priorities. Ineffective communication of the executive's priorities. Non-engagement with internal and external stakeholders. Failure to deliver on individual portfolio priorities.	Damage to the Council's reputation. Non delivery of the executive's strategic priorities resulting in poor quality of life outcomes for local people.	Regular reviews of support to Mayor and Cabinet Regular 1:1 meetings held with Mayor and Cabinet to review their support and ensure they are receiving a service which allows them to fulfil their duties. Weekly team meetings with Mayor's office staff and monthly 1:1s with staff and their managers to review workloads, priorities and other demands. Mitigations put in place where challenges are identified.	2	3	6	1	3	3	Amy Jackson	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
MO0004	Failure to comply with data protection regulations - casework and diaries. Including failure to comply with new General Data Protection Regulations due to be introduced in May 2018.	Poor information management including leak of sensitive information. Complaint to the information commissioner. Data security incident.	Breach of data protection regulation. Failure in the governance process. Reputational damage to the Council.	<p>Ensure all Mayor's Office staff are trained on new GDPR rules before they are introduced</p> <p>A training session for all Mayor's office staff has been arranged for April in order to explain the new data protection rules and the changes they will require to our working practices</p> <p>Training session for MO staff held with Ruth Dowden on 12/04/2018</p> <p>Refresher training to be run in 04/2019</p> <p>Regular reminders to staff about the need to comply with GDPR legislation</p> <p>Regular reminders and training will continue to be offered to staff about the need to comply with GDPR legislation as well as a continued review of our working practices to ensure compliance.</p> <p>Review new telephone infrastructure</p> <p>Informal review of new telephone line and automated message setting out GDPR privacy notice completed Q2 2019</p>	2	2	4	1	2	2	Amy Jackson	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To
LPGDS0006	A Council/Cabinet/Committee takes a decision which is procedurally unsound and is successfully challenged.	All Committees record their decisions. The public could judicially review any decision if they considered it was unsound. The Council would then have to lose the case and could have a number of costs and other implications in undoing/redone the decision that had been taken.	The consequences are varied, from simply having to reconvene to take the same decision again (potentially minimal impact) to losing a large decision such as a planning application which could have a permanent impact on the borough (although may not necessarily cost the council a large amount of	<p>Member and Officer training</p> <p>Members take part in a Member Induction Programme to teach them about sound decision making.</p> <p>Democratic Services Officer have a wide range of training available including/up to the ADSO Certificate and Diploma.</p> <p>Democratic Services provide a number of training guides and information for officers from other</p>	1	3	3	1	3	3	Matthew Mannion	Risk Corporate Plans

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
			money).	parts of the Council								