



## Detailed Risk Report (incl Control Measure Target Date)

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
DR0029	<p>Council is unable to identify a viable exit route from Mulberry Place that ensures staff are decanted by September 2019</p> <p>Managed and monitored as part of the Civic Centre Project Board Strategic Risk Register which includes detailed risk mitigations and controls</p> <p>Reported to the Project Board, the Council's Major Projects Board, CMT fortnightly and briefings to the Mayor.</p>	Detailed in Civic Centre Project Strategic Risk Register	Detailed in Civic Centre Project Strategic Risk Register	<p>Present a new report to November Cabinet (as per Mayor in Cabinet decision on 280715 that the original decision be withdrawn)</p> <p>x</p> <p>Explore option of negotiating an extension to Mulberry Place lease pending delivery of permanent Town Hall solution</p> <p>Current lease expires June 2020</p> <p>Action outcomes of the Mayoral briefings on the Civic Centre Project</p> <p>x</p> <p>Obtain Cabinet approval for officer's recommendations</p> <p>Civic Centre Report</p>	4	5	20	3	4	12	Aman Dalvi	<p>A Transformed Council, Making Best Use Of Resources And With An Outward Looking Culture</p>

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REV0007	<p>Impact on local income from appeals on the new local rating effective from 1/4/17.</p> <p>On the 1/4/17 all business premises will have a new rateable value to reflect a more up to date economic valuation of their premises.</p> <p>All ratepayers have the right to appeal against their valuation and at the beginning of any new valuation list there is always a dramatic increase in the number of appeals by ratepayers and their agents.</p> <p>Traditionally the government sets the new multiplier higher in the first year of a revaluation to take into account the losses of income due to these appeals.</p> <p>If the multiplier is set too low, then LBTH will suffer losses of income as appeals are settled and reductions in RV are achieved.</p>	<p>The multiplier for 2017/2018 not being set high enough to take into account losses due to appeals on the new local rating list effective from 1/4/17.</p>	<p>Loss of revenue generated from Business Rates.</p> <p>Impact of revenue loss on provision of services.</p>		5	4	20	5	2	10	Roger Jones	<p>A Transformed Council, Making Best Use Of Resources And With An Outward Looking Culture</p>

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ASD0015	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.	There is a failure of one or more of the controls which fails to identify the degree of risk to a vulnerable adult. Poor practice and inadequate management oversight. Failure of quality control systems. Service user fails to work to agreed partnership / agency arrangements. Poor communication and partnership work. Poor resourcing of service areas against increased demand. Local authority contracted out service do not have sufficiently robust safeguarding arrangements.	Harm to an individual.  Reputational damage to the Council.  Potential for legal proceedings against the council leading to financial loss.  Loss of confidence in safeguarding capability.	Revised safeguarding procedures introduced from care act implemented. Robust safeguarding procedures in place. Oversight through management reporting Social workers have 1:1 supervision monthly on their casework including safeguarding cases. The PSMT meet monthly to review and monitor Adult Safeguarding casework, particularly serious cases and develop and implement action plans and lessons learnt. Information campaigns to raise awareness of safeguarding oversight from safeguarding adult's board A sub group of the Safeboarding board leads on publicity and promotion of safeguarding Safeguarding issues as part of contract management procedures  Target operating module as part of the care act implemented. This includes key worker role assigned. Signs of safety framework implemented. This framework helps identify the risks in a strategic manner. CQC care commission embargo list used. This list is available from the CQC highlighting all providers where the CQC has raised concerns.	3	5	15	4 year (2015 – 2019) adults board strategy  The actions within the SAB strategy aim to mitigate the risks associated with safeguarding. <b>Cath Scholefield</b>  <b><u>Required Control Measure</u></b> <b><u>Target Date:</u></b> <b><u>30/06/2016</u></b>  Developing a strategic approach to reviewing and analysing data in a systematic way.  The Council and its partners have a number of controls to monitor and safeguard vulnerable adults including data from a variety of sources. The proposed control seeks to use this from a structured analysis to help identify areas of risk.  Commissioning and Health development of a systematic approach to monitoring the quality and safety of external and internal provision is underway, links with wider quality monitoring and the adults QAF are being firmed up.  <b>Karen Sugars</b>  <b><u>Required Control Measure</u></b> <b><u>Target Date:</u></b> <b><u>29/07/2016</u></b>	2	5	10	Luke Addams	Creating Opportunity By Supporting Aspiration And Tackling Poverty		

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				<p>Failed visit policy and procedures in place.</p> <p>Introduction of safeguarding Star Chamber for front line teams</p> <p>Decision on discharge policy in consultation with Bart's</p>								

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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.	There is a failure of one or more the controls which fails to identify the degree of risk to a child. The common failures are: poor practice and inadequate management oversight; failure of quality control systems; service user fails to work to agreed partnership / agency arrangements; Poor communication and partnership work; Poor resourcing of service areas against increased demand which impacts on quality of decision-making; Local authority contracted out service do not have sufficiently robust safeguarding arrangements	Harm to an individual  Poorer than expected outcomes for a child.  Poor audit/review findings  Reputational damage to the council.  Loss of experienced professional staff.  Potential for legal proceedings against the council leading to financial loss  Loss of confidence in safeguarding capability across the council, partnership and wider.	Adherence to statutory government guidance, policies and procedures laid down by the council and LSCB / SAB Local Safeguarding Childrens Board Statutory government guidance,policies and procedures in place. Management oversight including supervision is in place. Quality Assurance framework to check and audit various areas is in place. Quality assurance systems including case audits, LSCB and SAB sub-groups. There is a new approach being taken to multiagency audits via the LSCB sub group and CSC are reviewing their QA framework with a view to achieve less process, more assurance and better feedback. There is an active internal audit programme that does pick up key areas of risk and challenge within safeguarding. The effectiveness of this system is a work in progress. Effective working relations and swift communication across partnership agencies .... Effective working relations and swift communication across partnership agencies that is held at different levels of Children's services. LSCB has an executive board for Directors and Chief Executive Officer level across the partnership.	3	5	15	2	5	10	Debbie Jones	Creating Opportunity By Supporting Aspiration And Tackling Poverty

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				<p>LSCB and LBTH CS has performance management and QA systems in place.</p> <p>This provide evidence and assurance to safeguarding board and partners that service is being delivered to expected standards, there are clear (proxy) indicators and where it is not so remedial action can be taken.</p> <p>Serious case review/learning process in place</p> <p>There has been a refreshed case alert process disseminated within Children Social Care, which feeds into the LSCB case review group.</p> <p>Any ongoing SCR work is held at service head level and a communication flow is done to the CMT Corporate Safeguarding Group, chaired by Chief Executive Officer.</p> <p>Safeguarding training programme in place covering induction and workforce development programme</p> <p>Staff complete the Health and Care professions Council (HPC) re-registration process every 3 years</p> <p>And there is a process to pick up delays/failures in registration so action can be taken.</p>								

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				<p>Corporate Accountability Framework</p> <p>This describes key roles and has a number of expected activities that gave the authority assurance or identifies problem areas. Highlight is the CMT safeguarding monthly meeting chaired by the CEO in which key safeguarding risks are discussed and actioned. This framework also enables the appointment and management of an independent LSCB chair.</p> <p>Review arrangements of looked after children and child protection is led by the child protection review service.</p> <p>This is a critical challenge role to children's social workers. There is on going work to improve the oversight and authoritative advice role.</p> <p>Robust commissioning that includes safeguarding checks of providers</p>								

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CSDR0002	Councils inability to meet demand for school places	<p>Actual roll &gt; projected roll exceeds available capacity</p> <p>Higher than anticipated birth rate / inward migration</p> <p>Insufficient capacity created in time to meet need</p> <p>Decisions not taken in time to implement projects to provide places</p> <p>'Scheming" Powers: Schedule 1 of the 2010 Academies Act gives the Secretary of State powers to transfer a school property to an academy and/or free school</p>	<p>Failure to have sufficient statutory school places to meet local need, children out of school and LA failing to meet duty</p> <p>Additional transport costs; lack of parental engagement as children not at local school</p> <p>Insufficient capacity for school places realised in existing estate.</p> <p>Additional costs incurred due to re phasing of projects if unanticipated delays in decision making.</p>	<p>Sites for new secondary schools secured following Examination in Public</p> <p>Annual review of capital programme schemes and available resources (grant, s. 106 &amp; CIL</p> <p>Service Head - Resources chairs regular meeting to review short/medium and long term position</p> <p>Monitoring of projected pupil numbers V roll numbers and planned capacity on-going cycle</p> <p>Planning sufficient expansion options to provide additional capacity required</p> <p>Engagement of GLA to provide projections to strengthen reliance on LBTH model - Further review to provide annual projections</p> <p>GLA continue to provide roll projections; LBTH supply GLA with housing development data</p> <p>Revised governance arrangements of the Pupil Place Planning group to report directly to the Corporate Asset and Capital Board</p> <p>Produce briefing on primary sites and accurate timely updates. Timing of further reports to be agreed. Programme of primary school site reviews commenced.</p>	3	5	15	1	5	5	Kate Bingham	<p>Creating Opportunity By Supporting Aspiration And Tackling Poverty</p>



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				<p>Need for places included in LBTH Best Value Plan</p> <p>In assessing surplus or underused sites for disposal, particular attention will be paid to ensuring that where school places can be achieved, these are highlighted and sites will be considered for new school and/or expansion provision. Sites for two new primary schools secured</p> <p>Cabinet approved 5 FE primary school places - May 2015</p>								

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LPGCOM003	Failure to effectively manage the reputation of the Council	Relationship with central government / increased scrutiny Potential for criticism from constituents Potential lack of clarity of political situation Lack of clear guidance on reputation / "brand" management Poor perception of Council following intervention from central government	Breakdown in relationships with key stakeholders Loss of key funding streams Community becomes fractured Impact upon service delivery Increasing demands on core officers Poor perception of the Borough Increased external scrutiny Continuation of intervention	Implementation and regular updating of best value improvement plan  Clear communication protocols in place for both proactive and reactive management of the Council's reputation.  Strategy laid out for how Service Heads communicate with third parties  Constitution in place that governs the actions and behaviours of members and officers.  Council code of conduct in place.  Communications strategy in place to proactively promote the Council's reputation.  Open and transparent decision making provisions in place. For example the filming of cabinet meetings.  Information Governance Group and FOI Board in place  Meetings with Commissioners / DCLG  Residents Survey  Governance Working Party	3	5	15	2	5	10	Will Tuckley	A Transformed Council, Making Best Use Of Resources And With An Outward Looking Culture

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RSB0019	Maintaining and strengthen financial viability/balance in 2016/17 to 2017/18	Reduction in government funding NHS integration – unfunded services transferred in through Public Health and Adult Social Care Changes in Government initiatives/priorities Potential inability to manage working capital effectively Increasing expectation of the Council aligned with increasing local need Implications of welfare reform agenda on council services and budgets CSR in Autum 2015 HRA changes Population growth	Future service cuts Inability to meet public expectation Increased pressure on delivery of statutory and priority services Unfunded base budget pressures/new burdens from government Failure to deliver community plan/strategic plan priorities.	Formal annual budget setting process and medium term financial plan  Continuous monitoring of Council's medium term financial plan in place  Monthly monitoring and management reporting of Council's financial position  Annual External Audit health check on financial processes including budgets and reporting  Programme Manager for Council Savings Plan in place.  Corporate Programme Board formed to monitor delivery of savings programme. Monitoring in progress. Develop and implement corporate approach to deliver and monitoring of Council savings plan and transformation plan  On-going advancement of linkages between the 30 year HRA Business Plan and Council service plans. Longer term financial and investment strategy Methodology for council transformation in place and ongoing Corporate Transformation Programme covering all directorates with a focus on delivering service improvements, efficiencies and savings	3	5	15	Implement savings programme/opportunities  Longer term financial and investment strategy <b>Neville Murton</b>  <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>30/06/2016</b>	2	4	8	Neville Murton	A Transformed Council, Making Best Use Of Resources And With An Outward Looking Culture		

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CLSCEI0008	There is a risk that, should a major incident take place affecting Council services, there may be a failure to implement an effective response. (Corporate level risk)	Failure by Directorates to ensure that the Borough Major Emergency Plan (Part 3B) is kept up to date with Directorate information and procedures, and that staff are unaware of the EP process.	(1) Systemic failure of the Council to continue to operate during a crisis period as a consequence of a civil event or situation; (2) Resulting in a slower than expected management response causing increased disruption to key service delivery, inconvenience to service users and the stakeholders, adverse public criticism and additional costs to the Council.	<p>Business continuity plans kept up to date Business continuity plan updates remain outstanding from 3 Directorates – CX, Resources and ECSW, meaning the Council's corporate BC plan is out of date. Staff with extensive experience in dealing with incidents need to be in place Officers in the Civil Protection Unit have dealt with this type of incident on several occasions, and have gained quite extensive experience on dealing with this type of incident and the action that may be required to be taken.</p> <p>Any future restructure will need to ensure that key posts are retained within the organisation to continue to minimise this risk Borough Emergency Management Team to co-ordinate the Council's response on tactical matters. B. E. M. Team. 6 month review of EP plan with Directorate changes.</p> <p>Annual report to CMT</p> <p>Independently review the Borough Major Emergency Plan to ensure it is fit for purpose. complete Rollout a refresh training programme for senior managers and officers supporting the emergency plan. Complete</p>	4	3	12	2	2	4	David Tolley	A Transformed Council, Making Best Use Of Resources And With An Outward Looking Culture
				<p>2016 June BC business impact assessment reviews by service areas</p> <p>2016 June BC plan update notification has been sent to directorates <b>Trevor Kennett</b> <u>Required Control Measure</u> <b>Target Date:</b> <b>30/06/2016</b></p> <p>Procurement of an IT system to manage BC plan update</p> <p>Drafting of a business case to procure an IT system to manage BC plan update and incident <b>Trevor Kennett</b> <u>Required Control Measure</u> <b>Target Date:</b></p>								

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LPGLS000 1	Non-compliance with corporate governance procedures	Poor understanding of governance processes / lack of clarity of processes Lack of awareness on areas such as conflict of interest and the Bribery Act Possible pressure from politicians on officers to deviate	Ineffective decision making Potential for reputation damage Poor council performance Failure to optimise opportunities Adverse media reporting Unlawfulness leading to ultra vires decision	Council Constitution in place  Annual Governance Statement process reporting to the Audit Committee.  Regular meetings of the Statutory Officers Co-ordination Group. Ongoing. Arrangements are in place for the regular reporting of significant governance matters via the Head of Audit and Risk Mangement  Financial regulations, Financial and Procurement Procedures have been updated and further clarification of staff, manager and senior officer responsibilities have been incorporated.  The post of 'financial compliance manager' has also been created through the restructure of finance and the role of that post is to monitor and report to the section 151 officer on non compliance in key areas such as use of purchase cards, petty cash, budget monitoring etc... Member training provided on Code of Conduct.  Training for members and independent co-opted members of Standards Advisory Committee on Standards Framework was held on 14/07/15.	3	4	12	2	4	8	Graham White	A Transformed Council, Making Best Use Of Resources And With An Outward Looking Culture

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				<p>Mandatory training programme in place for members of the Planning, Licensing and Grants Scrutiny Committees.</p> <p>Training provided post 2015 Elections and further training delivered due to changes in membership of said Committees.</p> <p>Member Induction Programme took place June - July 2014. (After the Local, Mayor and Euro elections).</p> <p>Information Governance Group and FOI Board in place</p> <p>E-learning anti fraud and bribery training programme including Bribery Act Provisions</p> <p>The e-learning and the accompanying test provide staff an opportunity to be appraised of the bribery regulations and more generally, of the anti fraud arrangements.</p> <p>O&amp;S Grants Scrutiny Sub-committee responsible for pre-decision scrutiny of grants matters</p> <p>Discharge of Executive decisions by the Commissioners to ensure that legal requirements are met.</p>				<p><b>Graham White</b></p> <p><b><u>Required Control Measure</u></b></p> <p><b>Target Date:</b> <b>31/10/2016</b></p> <p>Refresh Officers' Scheme of Delegation</p> <p><b>Graham White</b></p> <p><b><u>Required Control Measure</u></b></p> <p><b>Target Date:</b> <b>31/10/2016</b></p> <p>Progression to the Mayor taking executive decisions in the absence of the Commissioners</p> <p><b>Will Tuckley</b></p> <p><b><u>Required Control Measure</u></b></p> <p><b>Target Date:</b> <b>03/04/2017</b></p>				

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LPGSE000 1	Failure to achieve community cohesion Radicalisation of young people and gangs	Extremist incident - local,national or international Failure to engage with stakeholders in responding to extremism Failure to liaise with police to address extremism Increasing polarisation between communities in the borough Council funding decision exacerbating community tension	Rising crime and unrest within the Borough Damage to property and harm to persons Reputation damage Increase in social deprivation More segmented society	Formal multi-agency approach in place Formal multi-agency approach in place (including Council, Police, Education, Housing Organisations, Voluntary Sector and Faith Organisations. Cohesion Promotion Programme e.g. No Place for Hate Forum and Events  Use of Community Cohesion Contingency Planning & Tension Monitoring Group Community Cohesion Contingency Planning & Tension Monitoring Group that complete cohesion impact assessment around key event Debrief programme in place for after key events/incidents.  Cohesion toolkit and impact assessment in place and used  Annual cohesion measured through residents' survey.  Home Office funded programme of activities including interventions with young people.  Multi-agency SAP Panel in place to review case referrals of individuals of concern within the Borough. Multi-agency SAP Panel in place to review case referrals of individuals of concern within the Borough. (Close liaison with Policy and SO15). On-going development of the "Prevent Programme" to include work in schools. Officer appointed to lead this work from May 2014.	3	4	12	<b><u>Required Control Measure</u></b> <b><u>Target Date:</u></b>			2	4	8	Andy Bamber	Creating And Maintaining A Vibrant, Successful Place

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				Competing prevent agenda action plan funded by Home Office								