

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
RS0061	Office accommodation has largely been left out of any business rates reliefs during 2020/2021 and Businesses/MHCLG/VOA /Rating Agents are in discussion to try and achieve a reduction in rateable values through the Material Change in Circumstances provisions (MCC). This was reported by the BBC as a 25% reduction although there has been no communication from central government to confirm this. There has also been no clear guidance from central government regarding the Expanded Retail Scheme under which we currently receive over £100m and whether this will continue into 2021/2022. If it does not it is likely that that will further MCC appeals for Retail, Hospitality and Leisure businesses. There is a 75% compensation scheme in place for losses in the current year but it is not clear whether this will continue into 2021/2022. All of the above make it extremely difficult to know what to do for the NNDR1 return and how to estimate the impact on the councils income for 2021/2022	A reduction in rateable values of 25% (or more) for offices. Retail Hospitality and Leisure could follow if reliefs are not extended into 2021/2022	Using the VOA SCAT codes for offices codes: CO, COC, COO, COS and COW: Total RV: £604,112,975 No. of props: 6531. We currently receive over £100m in Retail Hospitality and Leisure Relieve which could be lost	Working with VOA and MHCLG We will continue to work with the VOA and MHCLG to look at whether this will be funded either through S31grant or other means, and consider whether this should be accounted for in the NNDR 1 and 3 Working with all London Councils Working with all London Councils to present a united approach to MHCLG and how NNDR1's are being completed. Letter to be sent with completed NNDR1's from all London Councils Working with all London councils to present a united response to MHCLG Waiting for central government announcements on reliefs and RV changes. Annual billing delayed until budget statement on 3rd March. May need to consider changing 1st instalment date to allow for changes in software and testing before bills being sent out. Reviewing the current Check Challenge Appeal Data CCA data has been reviewed and updated estimates on current year provisions have been submitted in the NNDR2 return to London pool for March	4	5	20	2	2	4	Roger Jones	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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RSBR0007	A significant reduction in the councils income across all income streams due to COVID-19 and economic downturn as a result of government initiatives coming to and end, businesses not opening, and further spikes in infections.	COVID - temporary shut down of all collection and enforcement processes. Government funding coming to an end for furloughing schemes. Fees and charges not being raised. Decreased revenues and changes in demand for business premises - businesses moving out of Canary Wharf leading to a reduction in business rates, Landlords not being able to let large assessments and stripping them out which reduces the RV to Zero producing no yield. Office accommodation potentially being exempt. Local economy slow to restart, businesses failing	Significant loss of income for all income areas across the council Financial Pressure on the Councils finances	Income Recovery Plan being set up A recovery plan is being put together to look at restarting the collection and enforcement processes across all income streams Looking at the arrears position, bad debts, provisions and what increases in provisions will be needed. How quickly the courts will fully reopen to hold bulk hearings. When EA's can return to their usual working practices. Setting up extended arrangements and looking at the effect of furlough schemes coming to an end	4	4	16	3	2	6	Roger Jones	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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ICT0073	Failure to deliver the business as usual IT service the council relies on to deliver public services.	Cyber security incidents Technical failures including hardware and software failures and service deficiencies Lack of understanding of how the complicated environment works leading to errors and omissions Insufficient documentation leading to errors and omissions Insufficient capacity or capability Supplier disputes Supplier insolvency		Progress on delivery of reliable ICT Future controls (the existing ones are too detailed for a high level risk) Commodity contracts with specialist providers Enhanced service integration function in house Enhanced documentation including registers of key information with specific named owners Implementation of service management disciplines Existing Control Measures Replacement of legacy technology Continual Service Improvement Plan Monthly Operations Meeting Commercial board Frequent engagement with strategic partner Escalation routes with strategic partner	3	4	12	Review of control measures in place  The impact of control measures will be reviewed to gauge how effective they have been and whether additional work is needed. <b>Adrian Gorst</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>31/05/2021</b>	2	4	8	Adrian Gorst			
REV0016	There is a risk that transformation projects cannot be successfully implemented .	Resistance to change Poorly defined projects with inadequate business cases Poor project management inc planning and resourcing Failure to prioritise projects with high transformational impact	Projects stall or fail to meet milestones ; Failure to deliver benefits including financial (savings).	Agree a vision for corporate transformation CLT have agreed a corporate blueprint and target operating model (TOM) which sets out how the council will operate in 2022. This underpins our transformation and establishes a vision that can be used to communicate with staff Ongoing monitoring and governance of transformation projects to identify and address barriers to change A governance structure is in place with CLT level Senior Responsible Owners (SROs) leading 3 programmes. There is a monthly reporting cycle in which progress risks and issues are reported through SROs, and up to CLT Transformation Board, ensuring that specific issues are appropriately	4	3	12	Communication with staff based on the blueprint/ TOM  via THNow, PODs (interactive discussion sessions- when back in the office), interactive sessions on new town hall, materials such as the lightboxes in MP and lift stickers etc with the aim of helping them understand direction of travel. CLT have signed off on the approach to this, using real life examples to illustrate what the transformation vision looks like in practice. This is ongoing. <b>Anthony Walters</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>31/03/2022</b>	1	3	3	Anthony Walters			

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				<p>escalated and addressed. This process has just been strengthened by implementing a clearer exceptions management process, agreed by CLT TB in January 21.</p> <p>Learning and development for managers and staff to support management of change</p> <p>Learning and development have in place resources on change management and a course for managers and staff on change- all accessible via learning hub</p>								

Work with SLT to identify new opportunities for applying the TOM to deliver transformational change

The TOM will be used to inform a process of identifying transformational opportunities with SLT during March and April 2021

**Anthony Walters**

**Required Control Measure**

**Target Date:**  
**30/04/2021**

Review the TOM to ensure its continuing relevance

a review of the TOM is scheduled annually- next review due in May 2021.

**Anthony Walters**

**Required Control Measure**

**Target Date:**  
**31/05/2021**

Implement refreshed portfolio, programme and project management framework

Corporate PMO have a refreshed framework for managing projects and programmes which includes a greater focus on change management- this will strengthen project management practice at all stages including business case development, planning, change management and benefits realisation

**Anthony Walters**

**Required Control Measure**

**Target Date:**  
**30/06/2021**

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ICT0077	Failure to deliver business as usual IT services following the exit from the strategic partnership agreement	<ul style="list-style-type: none"> <li>- Transition to new suppliers not completed by 31st March 2021</li> <li>- Crucial TUPE staff do not transfer</li> <li>- Key staff not recruited in time</li> <li>- Knowledge transfer to LBTH teams not adequate to ensure service continuity</li> <li>- New technology and infrastructure not implemented by 31st March 2021</li> </ul>	<ul style="list-style-type: none"> <li>- Loss of connectivity to LBTH sites</li> <li>- Reduction in levels of IT service performance</li> <li>- User dissatisfaction</li> <li>- IT equipment failure</li> <li>- Failure to rectify issues in a timely manor</li> <li>- service outage</li> </ul>	<p>Executive sponsorship</p> <p>Executive sponsorship established to secure funding, establish priority for IT, reinstate priority from supporting services.</p> <p>Demonstrate financial sustainability</p> <p>Updated the financial model to demonstrate we can afford to hire additional temporary and permanent resources to establish a service model for 1/4 and fill gaps left by staff not TUPE.</p> <p>Recruit temporary workers to fill capacity and capability gaps</p> <p>Essential roles filled on a temporary basis and then on a permanent basis.</p> <p>Early identification of blockers</p> <p>Twice weekly stand-ups to identify any blockers, supported by fortnightly technical meetings and weekly reviews.</p> <p>Enhance clarity of dependencies</p> <p>Assign additional project resource to identify and track dependencies with weekly reporting</p> <p>Establish contingency plans</p> <p>Where there is a high risk that the plan will not deliver for 1 April, a contingency plan has been established.</p>	2	5	10	2	4	8	Corinne Hargreaves	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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CS0012	<p>Failure to properly undertake the necessary European Union (EU) exit impact assessments, relevant planning and preparing appropriate mitigation actions in the following areas;</p> <ul style="list-style-type: none"> <li>All statutory services for which the directorate is responsible.</li> <li>- Data handling including data handling for any outsourced services.</li> <li>- All regulatory services for which the department is responsible.</li> <li>- Local partnership working with key statutory and strategic partners.</li> </ul>	Leaving the European Union on the 31st December 2020 without a trade agreement.	Disruption to services provided by the directorate.	<p>Ensure that appropriate Brexit related risks are identified, assessed and mitigation actions are in place.</p> <p>Departmental risks identified and added to risk registers.</p> <p>Weekly Brexit planning and reporting.</p>	3	3	9	<p>Compliance with Data Protection law, including SAR and IRRs, FOI &amp; transparency code.</p> <p>The ICO position at present is know where your data flows are in and out of the EU, and if we don't have an adequacy ruling, be sure the contracts in place deal with data protection and security. We have 2 processes with some element of processing in EU. Gifts (for grants) and DocuSign (for legal /contracts)</p> <p><b>Ruth Dowden</b></p> <p><b><u>Required Control Measure</u></b></p> <p><b>Target Date:</b> <b>17/05/2021</b></p>	2	4	8	Teresa Heaney	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		
HRT0015	There is a risk that HR/OD have insufficient capacity to support the necessary service changes.	higher absence, reviews delayed, delivery timescales of BAU work compromised	MTFS savings not implemented, policy reviews are delayed and changes take longer	<p>Insufficient Capacity in service to cope with demands</p> <p>A new realigned service model launched in June 2020, meaning incoming work is received through specific routes and is controlled and managed through Heads of HR/OD. There is ongoing absence across two PO6 level posts and work is redistributed and staff individual workloads are considered through work plans of all staff. The refreshed strategic plans and savings proposals will provide overview of reviews/realignments and restructures to come and from this along with new protocols for managing change - by September 2020 the service should manage these with a systematic way - this needs approval and support from CLT.</p>	3	3	9	<p>Mitigation</p> <p>We continue to manage individual workplans and review priorities, there is no additional capacity for work not planned within the service and this is accepted broadly in the organisation, we continue to promote wellbeing and work-life balance with the teams.</p> <p><b>Amanda Harcus</b></p> <p><b><u>Required Control Measure</u></b></p> <p><b>Target Date:</b> <b>30/06/2021</b></p>	2	1	2	Amanda Harcus			

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CS0008	Our move to offer more services digitally, and to make this our default customer channel will exclude some residents impacting on their ability to access council services and the council's reputation	1.As we redesign service pathways, services may not adequately consider how they will meet the needs of those without digital access or skills 2. Disruption to the digital hub offer (eg closure due to more waves of covid) may mean that those who use the public network to access council services may not be able to access them	A small number of residents (by nature possibly some of our most disadvantaged) may not be able to access council services	Service Design We are working with services to ensure they include those without digital access in their designs. Furthermore we have developed a 'template' approach that will help them think through all the issues they need to in order to put a service on line. For example, "How will you support residents who have no digital access?" is one of the things they will be asked to specify.	4	2	8	1	3	3	Teresa Heaney	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To
ICT0074	Failure to deliver IT transformation that enables the council's vision, target operating model, MTFS.	Insufficient funding to meet agreed demand for IT change Insufficient capacity to meet agreed demand for IT change Insufficient capability to meeting agreed demand for IT change Insufficient resources to sustain changes Inability to prioritise IT change activities through governance processes Inability to stabilise prioritisation through to delivery Changes in the wider environment result in benefits not being achieved Project deficiencies result in the anticipated benefits not being achieved	Diminished reputation of the IT Service Inability to deliver IT MTFS savings through service efficiencies Inability to delivery wider council MTFS savings through service efficiencies Inability of wider council to sustain services	Monitor progress on IT transformation Monitor progress on IT transformation through IT Portfolio Management, RAG ratings defined and consistently applied IT management of IT projects. Business change with IT portfolio team Oversight by DPB and CLT Transformation Board. Future Controls Project managers accountable for project budgets Budget monitoring within projects Enhance lesson learned from projects to improve future performance	2	4	8	1	2	2	Adrian Gorst	

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ICT0078	Failure to deliver agreed MTFS savings from the exit of the Strategic Partnership agreement	<ul style="list-style-type: none"> <li>- Technological solutions required to mitigate service performance risks increase the total service cost</li> <li>- TUPE and redundancy costs outweigh current estimations</li> <li>- Market supplements and increased agency fees are required where recruitment for key staff fails</li> <li>- unforeseen technology/resource is required to achieve the future delivery model, increasing IT service costs</li> </ul>	<ul style="list-style-type: none"> <li>- ongoing failure to achieve identified savings</li> <li>- partial failure to deliver in year savings, with the potential to rectify in future years</li> </ul>	<p>Monthly review of financial sustainability</p> <p>Regular monthly review of impact of contingency plans on total service budget undertaken.</p> <p>Prioritisation of transition spend</p> <p>Projected spend reviewed against the transition reserve to remove non-essential spend and reallocate funding to contingency measures (where possible).</p>	2	3	6	Tolerate	Target risk achieved, risk now being tolerated at this level. <b>Adrian Gorst</b> <u>Required Control Measure</u> <b>Target Date:</b> <b>31/05/2021</b>	1	2	2	Corinne Hargreaves	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To	