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THE LONDON BOROUGH
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DATE: 4 May 2023

EXECUTIVE, RESOURCES AND CONTRACTS PDS COMMITTEE INFORMATION BRIEFING

Meeting to be held on Monday 15 May 2023

This briefing will only be debated if a member of the Committee requests a discussion be held, in which case please inform the Clerk 24 hours in advance indicating the aspects of the information item you wish to discuss. In addition, questions on the briefing should also be sent to the Clerk at least 24 hours before the meeting.

1 RISK MANAGEMENT (Pages 3 - 14)

Members and Co-opted Members have been provided with advanced copies of the briefing via email. The briefing is also available on the Council website at the following link:

<http://cds.bromley.gov.uk/ieListMeetings.aspx?CId=559&Year=0>

Copies of the documents referred to above can be obtained from
<http://cds.bromley.gov.uk/>

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Report No.
FSD23028

London Borough of Bromley

PART ONE - PUBLIC

Decision Maker: EXECUTIVE, RESOURCES AND CONTRACTS POLICY
DEVELOPMENT AND SCRUTINY COMMITTEE

Date: Information Briefing – Monday 15th May 2023

Decision Type: Non-Urgent Non-Executive Non-Key

Title: RISK MANAGEMENT

Contact Officer: Tasnim Shawkat, Director of Corporate Services and Governance –
Corporate Services Risk Register
Tel: 020 8461 7899 E-mail: tasnim.shawkat@bromley.gov.uk

Peter Turner, Director of Finance – Finance Risk Register
Tel: 020 8313 4338 E-mail: peter.turner@bromley.gov.uk

Charles Obazuaye, Director of Human Resources, Customer Services and
Public Affairs – Human Resources and Customer Services Risk Register
Tel: 020 8313 4335 E mail: charles.obazuaye@bromley.gov.uk

Chief Officer: Director of Finance

Ward: (All Wards);

1. Reason for decision/report and options

This report provides Members of the Executive, Resources and Contracts Policy, Development and Scrutiny Committee with the Gross 'High' (Red) rated risks extract from the Corporate Services, Finance and, the Human Resources and Customer Services Risk Registers.

2. **RECOMMENDATION**

Members of the Executive, Resources and Contracts Policy, Development and Scrutiny Committee are requested to note the attached Risk Register extracts and direct any queries they may have to the relevant Contact Officer.

Impact on Vulnerable Adults and Children

1. Summary of Impact: There are no direct implications for Vulnerable Adults and Children arising from the attached Risk Register extracts, although failure of the Council to meet its commitments in any risk area could directly impact on life chances.
-

Transformation Policy

1. Policy Status: Not Applicable:
 2. Making Bromley Even Better Priority
To manage our resources well, providing value for money, and efficient and effective services for Bromley's residents.
-

Financial

1. Cost of proposal: Not Applicable
 2. Ongoing costs: Not Applicable
 3. Budget head/performance centre: Not Applicable
 4. Total current budget for this head: £ Not Applicable
 5. Source of funding: Not Applicable
-

Personnel

1. Number of staff (current and additional): Not Applicable
 2. If from existing staff resources, number of staff hours: Not Applicable
-

Legal

1. Legal Requirement: None:
 2. Call-in: Not Applicable:
-

Procurement

1. Summary of Procurement Implications: Where applicable, the risk category is reflected as Contractual and Partnership.
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Property

1. Summary of Property Implications: Where applicable, the risk category is reflected as 'Physical', which includes hazards/risks associated with buildings.
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Carbon Reduction and Social Value

1. Summary of Carbon Reduction/Sustainability Implications: Where applicable, the risk category is reflected as Environmental.
-

Impact on the Local Economy

1. Summary of Local Economy Implications: Where applicable, the risk category is reflected as Economic.
-

Impact on Health and Wellbeing

1. Summary of Health and Wellbeing Implications: There are no direct Health and Wellbeing Implications arising from the attached Risk Register extracts, although failure of the Council to meet its commitments in any risk area could directly impact on life chances.
-

Customer Impact

1. Estimated number of users or customers (current and projected): This report is intended primarily for the benefit of members of the Executive, Resources and Contracts Policy, Development and Scrutiny Committee.
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Ward Councillor Views

1. Have Ward Councillors been asked for comments? Not Applicable
2. Summary of Ward Councillors comments: Not Applicable

3. COMMENTARY

- 3.1 This report provides members of the Executive, Resources and Contracts Policy, Development and Scrutiny Committee with the Gross 'High' (Red) rated risks for the areas falling within their remit.
- Corporate Services (Appendix A)
 - Finance (Appendix B)
 - Human Resources and Customer Services (Appendix C)
- 3.2 Each Director retains responsibility for the risks and controls within their division, with Internal Audit coordinating the Risk Management process via the Corporate Risk Management Group and the Audit and Risk Management Committee.
- 3.3 The Corporate Risk Register, together with the Departmental Risk Registers for the areas coming under the remit of the Executive, Resources and Contracts PDS Committee, were last presented, in full, to their meeting of 23rd November 2022 and the Departmental Gross 'High' (Red) rated risks on 2nd February 2023.
- 3.4 In line with the risk reporting cycle, formal scrutiny of the Corporate and all Departmental Risk Registers will be undertaken by the Corporate Risk Management Group on 24th May 2023. The Corporate Risk Register, together with the Departmental Net Risk Heat Maps, will be reported to Audit and Risk Management Committee on 4th July 2023. Salient amendments to the Corporate Risk Register and the Departmental Risk Registers coming under the remit of the Executive, Resources and Contracts PDS, will be notified to their 7th August meeting.
- 3.5 Since the last report, one salient amendment has been made to the Net 'High' (Red) rated risk position as set out in Table 1 and summarised below.
- Decrease of the 'Capital Financing Shortfall' Net Risk Rating from 'High' to 'Significant'.
- 3.6 Significant changes are proposed to some Human Resources and Customer Services risks. These are pending sign off and the refreshed iteration will be included in the next Risk Management report to this Committee on 7th August'.

Table 1

Finance Risk Register (For full risk narrative, please see Appendix B)	
Risk 3	Capital Financing Shortfall. Refresh of Risk to reflect the 'risk of significant costs increase in the Capital Programme and possible reductions in proceeds from disposals could impact on the Council's ability to fully fund the Capital programme'. Decrease of Net Risk Rating from 'High' to 'Significant' (Gross Risk Rating remains 'High').

	<p>Refresh of Causes:-</p> <ul style="list-style-type: none"> - Property price reductions as a result of the economic environment could have a negative impact on sale proceeds. - Limited scope to identify further Council assets for disposal. - Significant additional costs and future liabilities across the Council's operational estate arising from any further condition survey liabilities not identified at this stage. - Requirement to obtain funding for significant new Housing Schemes and impact of higher borrowing costs. - In January 2023, a report titled Capital Strategy 2023-24 to 2026-27 and Q3 Capital Programme Monitoring to Executive identified a significant increase in the Council's capital programme and resulting funding proposals given the factors identified above there is a risk that significant changes in cost and proceeds could create a new capital financing shortfall that needs to be addressed. The full funding identified excludes the potential works relating to potential works on the Churchill Theatre and library with proposals expected to be reported to Members later this year. - Only limited earmarked reserves available to support the capital programme, once other pressures (inc revenue budget gap) are factored in. <p>Refresh of Effect(s):</p> <ul style="list-style-type: none"> - Without alternative funding, the Council would require drawdown from revenue resources. This would increase the Council's revenue budget gap. - Or many schemes would not progress due to lack of funding available although the scope to do this may be limited given the critical nature of some of the works required. <p>These amendments have also been reflected in the Corporate Risk Register (Risk 16).</p>
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4. IMPACT ON VULNERABLE ADULTS AND CHILDREN

4.1 There are no direct implications for Vulnerable Adults and Children arising from the attached Risk Register extracts, although failure of the Council to meet its commitments in any risk area could indirectly impact on life chances.

5. TRANSFORMATION/POLICY IMPLICATIONS

5.1 Where applicable, the risk category in all registers is reflected as 'Financial, Operational'.

6. FINANCIAL IMPLICATIONS

6.1 The Finance department's Gross Red Risks are attached as Appendix B. Where applicable, the risk category in all registers is reflected as 'Financial, Operational'.

7. PERSONNEL IMPLICATIONS

7.1 The Human Resources' department's Gross Red Risk is attached as Appendix C. Where applicable, the risk category in all risk registers is reflected as 'Personnel, Operational'.

8. LEGAL IMPLICATIONS

8.1 Where applicable, the risk category in all registers is reflected as 'Legal, Operational'.

9. PROCUREMENT IMPLICATIONS

9.1 Where applicable, the risk category in all registers is reflected as 'Contractual and Partnership'.

10. PROPERTY IMPLICATIONS

10.1 Where applicable, the risk category is reflected as 'Physical, Operational', which includes hazards/risks associated with buildings.

11. CARBON REDUCTION/SOCIAL VALUE IMPLICATIONS

11.1 Where applicable, the risk category is reflected as Environmental.

12. IMPACT ON THE LOCAL ECONOMY

12.1 Where applicable, the risk category is reflected as Economic.

13. IMPACT ON HEALTH AND WELLBEING

13.1 There are no direct Health and Wellbeing Implications arising from the attached Risk Register extracts, although failure of the Council to meet its commitments in any risk area could directly impact on life chances.

Non-Applicable Headings:	Customer Impact Ward Councillor Views
Background Documents: (Access via Contact Officer)	None

Corporate Services Risk Register. Gross 'High' (Red) Risks Extract - Appendix A.

											DATE LAST REVIEWED:	20/04/2023	
REF	DIVISION	RISK TITLE & DESCRIPTION (a line break - press alt & return - must be entered after the risk title)	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING (See next tab for guidance)			EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING (See next tab for guidance)			FURTHER ACTION REQUIRED	RISK OWNER
					LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING		
1	Corporate Services	IT Security failure	<p>Cause(s): Failure of IT Security (responsibility across Bromley & BT) to manage risk of attack or intrusion leading to potential corruption / loss of data / loss of systems</p> <p>Effect(s): Loss of service, potential fines, resident dissatisfaction</p>	Data and Information	4	5	20	<ul style="list-style-type: none"> - Application of effective security management including effective application of anti-virus protection and security measures through the IT Contract with BT - Regular Penetration Testing undertaken - Information Security Team in place - Patch updates undertaken regularly - IG training programme - PSN Compliant 	3	5	15		Vinit Shukle
2	Corporate Services	Telecommunications failure Prolonged telecoms / switchboard failure	<p>Cause(s): Power surge, contractor failure, malicious attack, IT failure</p> <p>Effect(s): Widespread disruption across the Council</p>	Data and Information	3	5	15	<ul style="list-style-type: none"> - Stand-by arrangements available so that in the event of failure highest priority services can be recovered - Technical design takes into account the criticality of systems and ensures, where justified, that additional resilience is built in - All Critical Services now have additional independent lines as contingency (if not their first line) - Additional resilience in use of LBB mobile phones - The ICT Disaster Recovery Plan is in progress - Working with BT to implement disaster recovery arrangements as part of new backup contract - Effective application of anti-virus protection and security measures through the IT contract with BT 	2	3	6	<ul style="list-style-type: none"> - Virtualisation project will help facilitate disaster recovery provision - Secondary Session Initiation Protocol (SIP) connection being added to provide resilience. 	Vinit Shukle
3	Corporate Services	IT System Failure (partial loss) Partial loss of IT systems	<p>Cause(s): Failure of Outlook or similar applications Failure of Novell Filing Registry system which carries details of all departmental files</p> <p>Effect(s): Widespread disruption across the Council</p>	Data and Information - Operational	4	4	16	<ul style="list-style-type: none"> - Effective incident management / support and resilient systems in use so that single points of failure are minimised - Technical design that takes into account the criticality of systems and ensures, where justified, that additional resilience is built in - Ensure proactive monitoring tools are in place to highlight potential issues before there is a major incident - System now migrated to the server - No longer dependent on Win7 - all services successfully transferred. However, the Novell filing registry/Regnet system has no further upgrade options and is not compatible with Win10 which will be deployed before December 2019 (Win7 support expiry date) 	4	3	12	The Norwell System is currently used by legal team for historical file information only on a 'stand alone' PC. As part of any future platform upgrades, investigation will need to be carried out as to whether this option is still viable (by way of impact assessment) or look at migrating the historical data into Norwel (the current system).	Vinit Shukle
4	Corporate Services	IT System Failure (total loss) Complete failure of IT systems resulting in widespread disruption across the Council	<p>Cause(s): Complete loss of data centre and related hardware</p> <p>Effect(s): Widespread disruption across the Council Financial loss Reputational impact</p>	Data and Information - Operational	3	5	15	<ul style="list-style-type: none"> - Effective incident management / support and resilient systems in use so that single points of failure are minimised - Technical design that takes into account the criticality of systems and ensures, where justified, that additional resilience is built in - Ensure proactive monitoring tools are in place to highlight potential issues before there is a major incident - Backup power arrangements in the event of power issues (most likely) - Server room has fire suppression, water detection and significant physical security measures have been undertaken. 	2	4	8	- Property are planning additional works to resolve the issues that caused the outages, but until then we remain at an elevated risk.	Vinit Shukle
8	Corporate Services	Effective governance and management of information	<p>Cause(s): - Lack of organisational buy-in from information asset owners - Lack of governance - Poor awareness / education in understanding purpose</p> <p>Effect(s): - Breach of statutory obligations through failure of compliance with relevant legislation e.g. GDPR, UK DPA, FOIA, EIR - potential fines - increased information security attack surface - increased storage costs for on-prem data</p>	Data and Information - Operational	4	4	16	<ul style="list-style-type: none"> - information governance training provided to all officers - system security reviews - SIEM system monitoring - Data Protection Impact Assessments 	3	4	12	review and implementation of retention schedule in all systems hosting data	Vinit Shukle
9	Corporate Services	Compliance with Information Request laws	<p>Cause(s): - Lack of organisational awareness - responsibility for responding are add on tasks to existing roles - data sprawl and lack of retention - large data scopes - lack of indexing and search capabilities</p> <p>Effect(s): - Breach of statutory obligations through failure of compliance with relevant legislation e.g. GDPR, UK DPA, FOIA, EIR - potential fines - reputational damage</p>	Data and Information - Operational	4	5	20	<ul style="list-style-type: none"> - information governance training provided to all officers - system security reviews - SIEM system monitoring - Data Protection Impact Assessments 	3	5	15	<ul style="list-style-type: none"> - increased training and awareness - experienced resources to triage and redact where necessary - improved technical measures to assist data searches 	Vinit Shukle

Corporate Services Risk Register. Gross 'High' (Red) Risks Extract - Appendix A.

										DATE LAST REVIEWED:	20/04/2023		
REF	DIVISION	RISK TITLE & DESCRIPTION (a line break - press alt & return - must be entered after the risk title)	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING (See next tab for guidance)			EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING (See next tab for guidance)			FURTHER ACTION REQUIRED	RISK OWNER
					LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING		
12	Corporate Services	Data Protection Breach	<p>Cause(s): Failure to adapt to the upcoming change in legislation (GDPR) Failure to ensure the confidentiality, integrity, and availability of information assets.</p> <p>Effect(s): 1. Distress and/or physical impact on wellbeing of customers 2. Impact on operational integrity 3. Reputational damage to services and the authority as a whole 4. Liability in law 5. Economic damage to authority and/or customers 6. Impact on service take up due to reduced confidence from the public</p>	Data and Information - Operational	4	5	20	<p>- LBB is currently compliant with the Public Services Network Code of Connection (PSN CoCo) But has not achieved standards on the DSP Toolkit due to lack of training uptake</p> <p>The LBB Information Governance Board formally accepted the CfH IGT as the basis of LBB's internal information governance program at their meeting in August 2012. Both standards are based on the ISO27001 international best practice standard for managing information security and are therefore fit for purpose for assessing and managing the Council's information risk</p> <p>- GDPR Training programme in place - Induction programme in place - Additional resources to manage risk</p>	3	4	12		Director of Corporate Services
17	Corporate Services	Information Request non-Compliance	<p>Cause(s): Failure to meet timescales under FOIA, EIR and GDPR Failure to provide suitable answers in respect of these requests or correctly apply exemptions</p> <p>Effect(s): 1. Distress on wellbeing of customers 2. Impact on operational integrity 3. Reputational damage to services and the authority as a whole 4. Liability in law 5. Economic damage to authority due to fines</p>	Data and Information - Operational	4	5	20	<p>SAR Team formed in the Information Management Team to ensure timely triage, collation, redaction and response.</p> <p>Appeal to COE, CLT, Manager's Briefing and all officers to support the information coordinators</p>	4	4	16		Director of Corporate Services

Finance Risk Register. Gross 'High' (Red) Risks Extract - Appendix B.

REF	DIVISION	RISK TITLE & DESCRIPTION (a line break - press alt & return - must be entered after the risk title)	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING (See next tab for guidance)			EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING (See next tab for guidance)			DATE LAST REVIEWED:	04/04/2023
					LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING	FURTHER ACTION REQUIRED	RISK OWNER
3	Finance	Capital Financing Shortfall Risk of significant costs increase in the Capital Programme and possible reductions in proceeds from disposals could impact on the Council's ability to fully fund the Capital programme	<p>Cause(s):</p> <ol style="list-style-type: none"> Property price reductions as a result of the economic environment could have a negative impact on sale proceeds. Limited scope to identify further Council assets for disposal Significant increase in cost of capital schemes due to inflation and supply issues requiring an increase in funding Significant additional costs and future liabilities across the Council's operational estate arising from any further condition survey liabilities not identified at this stage. Requirement to obtain funding for significant new Housing Schemes and impact of higher borrowing costs In January 2023, a report titled Capital Strategy 2023-24 to 2026-27 and Q3 Capital Programme Monitoring to Executive identified a significant increase in the Council's capital programme and resulting funding proposals given the factors identified above there is a risk that significant changes in cost and proceeds could create a new capital financing shortfall that needs to be addressed. The full funding identified excludes the potential works relating to potential works on the Churchill Theatre and library with proposals expected to be reported to Members later this year. Only limited earmarked reserves available to support the capital programme, once other pressures (inc revenue budget gap) are factored in. <p>Effect(s):</p> <p>Without alternative funding, the Council would require drawdown from revenue resources. This would increase the Council's revenue budget gap. Or many schemes would not progress due to lack of funding available although the scope to do this may be limited given the critical nature of some of the works required.</p>	Economic - Strategy	4	4	16	<ol style="list-style-type: none"> Fundamental review of capital programme undertaken to inform updated Capital Strategy 2023/24 to 2026/27 as reported to Executive in January 2023 - this includes full capital programme, approved asset disposals, mitigations and agreed financing options. Regular reporting to Members via SAG, FSG and Executive Tight control and scrutiny [by finance] of capital spending commitments as they reach the level of business case. Quarterly reports on capital receipts (actual and forecast) to Executive. Members have approved PWLB borrowing to refinance existing housing schemes (£50m via PWLB) and the additional option of up to £10m support from the Council's revenue earmarked reserves. 	3	4	12		David Dobbs
4	Finance	Pension Fund The pension fund not having sufficient resources to meet all liabilities as they fall due	<p>Cause(s):</p> <ol style="list-style-type: none"> Investment markets fail to perform in line with expectations Market yields move at a variance with assumptions Investment managers fail to achieve their targets over the longer term Longevity horizon continues to expand. Although the triennial valuation reported that the Council's pension fund is fully funded, there is a need to address a future risk of the pension fund not having sufficient resources Deterioration in pattern of early retirements Administering authority unaware of structural changes in an employer's membership e.g. large fall in employee members, large number of retirements Pooling of investments (London CIV) may result in appointment of poorer performing investment managers. Uncertainty in financial markets due to Ukraine situation and possible future de-globalisation which can impact on performance <p>Effect(s):</p> <p>Financial</p>	Financial - Operational	3	5	15	<ol style="list-style-type: none"> Use of external advice. Financial: Monitoring of investment returns - analysis of valuation reports Demographic: Longevity horizon monitored at triennial reviews - quarterly review of retirement levels Regulatory: Monitor draft regulations and respond to consultations - actuarial advice on potential where appropriate Quarterly reports to Pensions Investment Sub-Committee Funding Strategy Statement Statement of Investment Principles Communications Policy Governance Policy Triennial valuation by actuary Strategic asset allocation review. 	2	4	8		Director of Finance
5	Finance	Failure to deliver a sustainable Financial Strategy which meets with Making Bromley Even Better priorities and failure of individual departments to meet budget	<p>Cause(s):</p> <ol style="list-style-type: none"> The 2023/24 Draft Budget report to Executive identified the need to reduce the Council's 'budget gap' of £29.6m per annum by 2026/27. The Council received a one-year financial settlement for 2023/24, with various funding allocations for 2024/25, creates uncertainty on funding levels for the medium term. The fundamental review of local government funding through the Fair Funding Review and Business Rate review is now expected to be delayed until at least 2025/26 which adds to financial uncertainty in considering the impact on the financial forecast for 2024/25 to 2026/27. Apart from cost/growth pressures relating to SEN, social care and homelessness, the significant cost increases relating to inflation continue for some time and uncertainty on the future timing of the Adult Social Reforms remain. These factors can have a significant impact on the future years' 'budget gap' identified above. More background is included in the Draft 2023/24 Budget and Update on the Council's Financial Strategy 2024/25 to 2026/27 report to Executive on 18th January 2023 and 2023/24 Council Tax report of 8th February 2023. Failure to meet departmental budgets due to increased demand on key services resulting in overspends: Housing (homelessness and cost of bed and breakfast); Adult Social Care (reforms and ageing population); Children's Social Care, Education (central costs and high needs transport), Waste (growing number of households) and limited delivery of planned mitigation savings. The risk of the Council not being able to carry out its statutory duties (e.g. pupil admissions, school improvement, child protection) as a consequence of funding pressures not being met. Dependency on external grants to fund services (schools and housing benefits are ring-fenced) - effect if grant reduces (Public Health services) or ceases. Increases in national living wage will have cost implications to the Council over the next few years (e.g. care providers and carers). Local government may be required to take on new funding responsibilities in the future without adequate funding. Impact of future welfare reforms and the phased roll out of Universal Credit. Failure to identify and highlight frauds and weaknesses in the system of internal control (which invariably have a financial impact). Overall, fraud losses are mainly benefit related (Council Tax Support / Single Person Discount). <p>Effect(s):</p> <ul style="list-style-type: none"> Increased overspends in particular services Council unable to carry out its statutory duties due to services cuts Reputational damage 	Financial - Operational	5	5	25	<p>Strategic Controls:</p> <ol style="list-style-type: none"> Regular update to forward forecast Regular analysis of funding changes and new burdens including full year impact Early identification of future savings required Transformation options considered early in the four year forward planning period Budget monitoring to include action from relevant Director to address overspends including action to address any full year additional cost Mitigation of future cost pressures including demographic changes Quarterly review of growth pressures and mitigation Continue to progress with opportunities for the Transformation Reviews towards meeting future years' budget gap. <p>Operational Controls:</p> <ol style="list-style-type: none"> Management of Risks document covering inflation, capping, financial projections etc. attached to budget reports Departmental risk analysis Reporting of financial forecast updates in year to provide an update of financial impact and action required Obtain monthly trend / current data to assist in any early action required Obtain regular updates / market intelligence Reporting full year effect of budget variations Analysis of government plans and changes 	4	5	20	The Council continues to explore transformation opportunities to help meet the ongoing budget gap	Director of Finance

Remember to consider current Internal Audit priority one recommendations when identifying, assessing and scoring risks.

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Human Resources and Customer Services Risk Register. Gross 'High' (Red) Risks Extract - Appendix C.

										DATE LAST REVIEWED:	03/01/2023		
REF	DIVISION	RISK TITLE & DESCRIPTION (a line break - press alt & return - must be entered after the risk title)	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING (See next tab for guidance)			EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING (See next tab for guidance)			FURTHER ACTION REQUIRED	RISK OWNER
					LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING		
4	Human Resources	Ineffective recruitment and retention strategies for hard to fill posts e.g. Adult's Social Workers, Children's Social Workers, Housing, Planning, Building Control	Cause(s): - Physical environment/hygiene facilities - Culture - Increasingly fluid market - Increases in demand and/or reductions in supply - Lack of experienced staff in the labour pool - Budget constraints - Lack of leadership Effect(s): - Potential service delivery impacts - Increased costs due to use of agency workers - Reduction in quality of service	Personnel / Operational	5	5	25	1. Horizon scanning to anticipate changes and trends to staff complement 2. Keeping up to date on national trends for hard to recruit professions 3. Case load review 4. Review of pay and comparison with neighbouring LAs 5. R&R Board to regularly review 6. No Quit Policy in place 7. Implement grow your own initiatives e.g. senior practitioners progression pathway, training pathways for social workers, graduate trainees, apprentices 8. Overseas recruitment 9. Signed up to the London Pledge - all Councils have a memorandum or understanding to pay social workers same rate 10. LBB staff present at recruitment fairs/events	4	4	16	Review of retention strategies 1. Development of a Talent Management Strategy. 2. Ensure that Apprenticeship Levy funds are utilised effectively 3. Consideration to resurrect 'Future Leaders Programme' 4. Recruitment event to take place in January	Director of HR, Customer Services and Public Affairs
10	Human Resources / Health & Safety	Health & Safety (Council) Ineffective management, processes and systems across all Council departments Including in relation to the following areas: Lone Working Violence & Aggression at work	Cause(s): - Inadequate risk assessments - Outdated policies and processes - Poor use of data around accidents/near miss incidents - Lack of capacity to discharge the Council's H&S responsibilities - Lack of clarity over the breakdown of responsibilities across the organisation - Ineffective monitoring of risks - Lack of competency across the workforce to identify, assess and manage health and safety risks Effect (s): - Potential prosecution of Council and / or civil claims for compensation - Increased sickness/absence - Poor staff morale - Impact on staff retention - Insurance claims - Potential accidents/fatalities - Corporate manslaughter	Health & Safety	5	5	25	1. HSW Policies reviewed and updated regularly - ongoing 2. Commitment to HSW from Chief Executive and Directors 3. Supported by HSW training and network of policies and procedures. 4. Property-related HSW matters now provided in-house by Property division 5. Corporate Health and Safety Committee and Departmental Safety Committees meet regularly 6. Quarterly health and safety updates provided to Corporate Leadership Team (CLT)	4	5	20	- Risk assessment & proactive monitoring being developed for Council. - Health and Safety policy to be revised to set out the organisation's general approach to health and safety. - Informal H&S audits to be undertaken by Corporate Health and Safety.	Director of HR, Customer Services and Public Affairs
11	Human Resources / Health & Safety	Failure to comply with H&S related legislative requirements e.g. Health and Safety at Work etc. Act 1974	Cause(s): - Lack of awareness with legislation - Failure to effectively consult staff where appropriate - Human error / lack of understanding - Lack of capacity and capability to deliver Effect(s): - Reputation damage - Prosecution - Insurance claims - Financial costs - Regulatory inspection / intervention	Health & Safety/Legal	5	5	25	1. Policies reviewed and updated regularly - ongoing 2. Regular updates provided to Corporate Health and Safety Committee on changes to legislation 3. Information provided from enforcing body shared with colleagues 4. Any areas of non-compliance identified are reported to Director of HR, Customer Services and Public Affairs 5. Holding the relevant colleagues to account for managing Council premises to required legal standards	4	5	20	- Ensure all staff do H&S training to ensure they are aware of their responsibilities.	Director of HR, Customer Services and Public Affairs

Human Resources and Customer Services Risk Register. Gross 'High' (Red) Risks Extract - Appendix C.

										DATE LAST REVIEWED:	03/01/2023		
REF	DIVISION	RISK TITLE & DESCRIPTION (a line break - press alt & return - must be entered after the risk title)	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING (See next tab for guidance)			EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK RATING (See next tab for guidance)			FURTHER ACTION REQUIRED	RISK OWNER
					LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING		
12	Health and Safety/Property	Insufficient fire safety arrangements Non compliance with Regulatory Reform (Fire Safety) Order 2005, as amended by the Fire Safety Act 2021	Cause(s) - No trained fire responsible person (legal) for some sites - Insufficient numbers of trained fire wardens working from the site to safely manage an evacuation (in accordance with the Fire Risk Assessments) - Written Fire Safety Policy does not meet best practice - Insufficient fire safety and fire fighting equipment - Property related issues - Insufficient arrangements for outside of normal working hours - Insufficient arrangements to support those who may need additional assistance evacuating in a fire, including the undertaking of personal emergency evacuation plans - Fire risk assessments not undertaken - Insufficient arrangements for monitoring who is on site at any given time e.g. check in and check out arrangements - Lack of clarity on who is responsible for what should there be an emergency - Delays in requested fire warden training being delivered Effect(s) - Non compliance with the Regulatory Reform (Fire Safety) Order 2005, as amended by the Fire Safety Act 2021	Health & Safety/Property	5	5	25	1. Reduced number of staff on site 2. Check in and check out arrangements adopted at the Civic Centre site 3. Attendants to carry out fire warden duties in the event of an emergency 5. New fire evacuation instructions for the Civic Centre site published 6. All staff required to complete fire prevention and evacuation e-learning course 7. Currently trying to recruit more volunteers to be fire wardens 8. Fire Safety is standing item at Corporate Health and Safety Committee 9. New Fire Safety policy published	4	5	20	- Learning and Development to arrange training. - To encourage people to become fire wardens, monthly allowance volunteers receive to increase. - Facilities Management to ensure Fire Risk Assessments are completed. - Facilities Management to engage fire safety supplier to produce an Emergency Plan for the Civic Centre site by end of April 2022 to include revised fire evacuation procedure which meets the best practice advice from the London Fire Brigade and HSE. Facilities Management team to implement new signage etc. - Facilities Management team to distribute emergency plan to site occupiers and to arrange training on plan for fire marshals. - Fire safety documents (including Emergency Plans) to be stored on new Fire Safety Sharepoint site to retain corporate knowledge and ensure regularly reviewed. - Fire Safety to be added to COE agenda as a standing item. - Fire drills to be undertaken. - Alternatives to current Civic Centre check in and check out arrangements to be reviewed due to issues with current arrangements. - Out of normal office hours arrangement to be reviewed	Director of HR, Customer Services and Public Affairs & Director of Housing, Planning and Regeneration
13	Human Resources/Health and Safety	Insufficient first aid arrangements Non compliance with Health and Safety (First Aid) Regulations 1981	Cause(s) - Insufficient first aid cover, for both inside and outside of normal office operating hours - Lack of fully stocked first aid kits - Delays in requested first aider training being delivered Effect(s) - Non compliance with the Health and Safety (First Aid) Regulations 1981	Health & Safety	4	5	20	1. Current Civic Centre first aiders list displayed on notice boards across the Civic Centre site and on the intranet. On the list, it encourages people to contact the Attendants Lodge who would know who the available first aiders are and make contact with them. First aiders who are on-site are encouraged to contact the Attendants Lodge to notify them that they are available to provide cover for that day. 2. Two defibrillators located at Civic Centre site. 3. First aider training for staff members at satellite sites recently undertaken. 4. More volunteers to be first aiders are trying to be recruited.	4	3	12	- Learning and Development to arrange first aider training. - Review to be undertaken of sites which need defibrillators. - New first aid kits and supplies to be purchased. - First aider monthly allowance to be increased to £20.00.	Director of HR, Customer Services and Public Affairs

Remember to consider current Internal Audit priority one recommendations when identifying, assessing and scoring risks.