Human Resources Risk Register - Appendix A8

	DATE LAST REVIEWED:	31/10/2018

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	Human Resources	Ability to respond to industrial action, changes in government initiatives or legal requirements	Cause(s): - Changes to staff terms and conditions (localisation agenda) - Lack of flexibility of workforce - Poor horizon scanning and networkings Effect(s): - Increased costs (bank / agency usage) - Reputation damage - Impacts on service delivery	Political	3	2	6	1. Early and effective engagement with staff and trade unions 2. Sound internal and external legal advice 3. Identifying appropriate legal options 4. Pro-active intelligence gathering via London Councils and other networks	3	2	6	1. Submitting timely proposals to Chief Officers and / or members of the Industrial relations committee.	Director of HR
2	Human Resources	Failure to comply with HR related legislative requirements e.g. Equalities Act 2010	Cause(s): - Lack of awareness with legislation - Failure to effectively consult staff where appropriate - Indrect / direct discrimination - Human error / lack of understanding Effect(s): - Reputation damage - Financial costs - Regulatory inspection / intervention	Legal	4	3	12	1. Bromley Council Equality Scheme in place 2. Requirement to report and record accurately equalities information 3. Equalities training in place for managers and staff	3	2	6	1. Professional updates / HR Mgt Team forward planning	Director of HR
3	Human Resources	Ineffective recruitment and retention strategies for hard to fill posts e.g. Children's Social Workers	Cause(s): - Increasingly fluid market - Increases in demand and/or reductions in supply - Lack of experienced staff in the labour pool Effect(s): - Potential service delivery impacts - Increased costs due to usage of agency workers - Reduction in quality of service	Personnel / Operational	3	3	9	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 promise	2	2	4	1. Implement grow your own initiatives e.g. senior practitioners progression pathway, training pathways for social workers, graduate trainees	Director of HR Lead Officers: Head of HR Strategy and Head of Workforce Development
4	Human Resources	Ineffective Agency Worker Checks	Cause(s): - Poor procedures - Inadequate monitoring - Lack of awareness / understanding Effect(s): - Workers with safeguarding concerns not identified - Safeguarding incident occurs (harm / injury) - Agency worker ID fraud - Reputation damage	Personnel / Operational	4	3	12	1. Managers check identity of candidate when arriving for work, with copy of DBS and proof of identity. E.g. passport, and original copy of birth certificate. 2. Up front audits with Adecco undertaken to ensure processes are robust.	4	1	4	None identified	Director of HR Lead Officer: Head of HR Strategy

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5	Human Resources	Management of the on-going transitional and transformational changes (Commissioning process, baseline exercise and service redesigns and alternative delivery options)	**Cause(s):** - Lack of expertise - Unexpected delays - Changes in strategic direction - Lack of capacity to undertake in a timely manner **Effect(s):** - New service models are ineffective / not fit for purpose - Increased costs - Legislative and legal requirements breached (e.g. TUPE) - Reduction in service quality / provision - Reputation damage	Personnel / Operational	3	2	6	1. Managing change procedure in place 2. Capacity building and additional resources to support the change process 3. Effective communication and engagement with staff and their representatives. 4. Formal consultation processes and departmental representatives 5. Regularly meetings include members	3	2	6	None identified	Director of HR Lead Officer: Head of HR Consultancy
6	Human Resources	Inability to process / access pay and personnel records	**Cause(s):** - IT failure - Loss of power - Data breach / cyber attack - Ineffective business continuity plan for manual work around **Effect(s):** - Delays or restriction in level of HR support available - Pay changes not made - Staff morale reduction if for a long period - Delays in ability to recruit	Data and Information	4	3	12	1. Back-up payroll processes/systems 2. Regular saving of personnel information on Resource Link 3. Business Continuity Plan in place	4	2	8	None identified	Director of HR Lead Officer: Head of HRIS and Reward
7	Human Resources	1) ineffective workforce planning initiatives including succession planning, talent management. 2) upskilling of staff - lack of training resources/opportunities	**Cause(s):** - Insufficient strategic management control and planning -Staff turnover (capacity) - Lack of resources **Effect(s):** - Potential service delivery impacts - Loss of skilled/experienced staff - Missed opportunity to to develop and retain talent "in house" -Recruitment Costs	Personnel / Operational	3	3	9	1. Graduate Intern Scheme 2.Apprenticeship Scheme	2	2	4	1.'Development of a Talent Management Strategy. 2. Ensure that Apprenticeship Levy funds are utilised effectively	Director of HR Lead Officers: Head of Workforce Development and Head of HR Strategy

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