

Corporate Risk Register - Appendix B2

REF	DIVISION	RISK TITLE & DESCRIPTION (a line break - press shift & 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 COMPLETED:	20/04/2021
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1	Corporate Risk	Failure to deliver a sustainable Financial Strategy which meets with BBB priorities and failure of individual departments to meet budget	<p>Cause(s):</p> <ol style="list-style-type: none"> The 2021/22 Draft Budget report to Executive identified the need to reduce the Council's 'budget gap' of £14.1m per annum by 2024/25. The Council received a one-year financial settlement for 2021/22, which creates uncertainty on funding levels for future years. The fundamental review of local government funding through the Fair Funding Review and Business Rate review has been delayed until at least 2022/23 which adds to financial uncertainty in considering the impact on the financial forecast for 2022/23 to 2024/25. A significant challenge to the future year's financial position relates to the ongoing impact of the Covid 19 situation and the uncertainty relating to the cost implications of the 'new normal'. Further details are included in the Draft 2021/22 Budget and Update on the Council's Financial Strategy 2021/22 to 2024/25 report to Executive on 13th January 2021. It is not clear whether local authorities will be fully compensated for the Covid 19 impact from Government. 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 (welfare reform and ageing population); Children's Social Care, Education (central costs), 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. The new 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 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 	Finance Financial	5	5	25	<ul style="list-style-type: none"> Regular update to forward forecast Ongoing monitoring of impact of COVID situation and trends re 'new normal' Regular analysis of funding changes and new burdens particularly on Covid situation and 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. 	4	5	20	The Council continues to explore transformation opportunities to help meet the ongoing budget gap	Director of Finance
3	Corporate Risk	Failure to deliver partial implementation of Health and Social Care Integration. Plans not in place to deliver partial integration by 2020	<p>Cause(s):</p> <ol style="list-style-type: none"> Difficulty in achieving rapid change in a system as complex as health and social care. Rising social care costs due to ageing population and people living longer with increasing complex needs. Difficulties with agreeing budgets (given likely funding reductions going forward), complex governance arrangements, and workforce planning. Need to focus on collaborative working (cultural differences). Pressure for social care services to be accessible 7 days a week in terms of our own workforce and contracts with external providers in line with NHS priority to deliver 7 day working across the health sector. LBB will need to contribute to a whole system review (led by the Bromley Clinical Commissioning Group) to ensure that funding follows the patient. <p>Effect(s):</p> <ul style="list-style-type: none"> Failure to deliver statutory duties Failure to achieve our Building a Better Bromley priorities. 	Health and Social Care Integration Contractual and Partnership	2	3	6	<ul style="list-style-type: none"> A draft 2020 integration plan for health and social care integrated service delivery and commissioning across the borough was developed by May 2018 by Education, Care and Health Services and the Bromley Clinical Commissioning Group Continued work with health partners to deliver the main transformation programmes e.g. Bromley Well and the transformation of prevention Building on the work already delivered through S75 agreement with Oxleas and being implemented through the Better Care Fund workstreams e.g. Winter Resilience work, Transfer of Care Bureau, Integrated Care Records and Discharge to Assess. New Governance structure between the London Borough of Bromley and the Bromley Clinical Commissioning Group feeding into the Health and Wellbeing Board via the Integrated Commissioning Board (strategic) and Commissioning Network (operational) 	2	3	6		Director of Adult Services
4	Corporate Risk	Failure to manage change and maintain an efficient workforce to ensure that BBB priorities are met	<p>Cause(s):</p> <ol style="list-style-type: none"> The on-going need to reduce the size and change the shape of the organisation to secure priority outcomes within the resources available. Having the right people in place by implementing effective recruitment and retention strategies. Potential skills gap and deterioration of service quality through loss of experienced staff as a result of age profile of workforce and downsizing (failure to succession plan). Disruption while services realigned and staff appointed to new structure. Increasing demands and pressures on remaining staff given increased customer expectation levels, could lead to morale issues. Increased potential for internal controls to be bypassed due to flatter reporting structure. Lack of capacity to lead projects / manage change agenda and consequent ability to respond to change initiatives and the achievement of outcomes and benefits. Potential future shortage of professionally qualified practitioners in key areas, particularly around the Safeguarding agenda. Need to ensure that relevant staff have necessary disciplines to drive improvement and enable good practice and consistency in delivering change and the achievement of outcomes and benefits e.g. risk and performance management. Adverse industrial relations climate with individual and collective grievances including trade disputes with the unions, causing some disruptions to vital Council services. Increasing number of employment tribunal cases causing financial and administrative inconveniences. Having the right buildings and facilities to support fewer, more professional, differently organised staff. The need to track continued changes to government strategy and policies coupled with changes in legislation to avoid compliance issues (approx. 1,300 statutory duties). Adequacy of consultation on issues that affect residents across the borough i.e. re-organisation of libraries, Biggin Hill expansion. Adverse external audit comment and resulting ratings in relation to 'excellent in the eyes of local people'. <p>Effect(s):</p> <ul style="list-style-type: none"> Skill gaps Deterioration of service quality through loss of experienced staff Disruption while services are realigned Weaker internal controls Lack of capacity to lead on projects / initiatives 	Organisational Change Personnel	4	2	8	<ul style="list-style-type: none"> Continuously address the recruitment and retention of key individuals in critical posts. Effective succession planning and grow your own initiatives, and using the Apprenticeship Levy to address recruitment challenges in the medium-long term Ensure the organisation has the HR capacity and employment law expertise to manage change. Address the transformational and transitional capabilities (including leadership) required for a successful commissioning journey/process. Provide adequate resources to support and improve staff engagement and communications. 	4	2	8		Director of Human Resources and Customer Services
5	Corporate Risk	Ineffective governance and management of contracts	<p>Cause(s):</p> <ol style="list-style-type: none"> Ensuring client side staff have the necessary training and skills to manage and monitor contracts. Ensuring effective communication channels between client and provider to ensure contract compliance. Need for monitoring officers to check quality of outsourced services and customer satisfaction levels. Lack of understanding of the contract deliverables. Short cuts in procurement processes e.g. extending contracts rather than retendering. Compatibility of different systems and availability of IT support. Failure of a contractor / partner / provider to maintain agreed service levels resulting in an interruption to or deterioration of service delivery. Potential for operational errors / omissions by contractors (responsibility remains with LBB). Managing customer expectations and dealing with complaints where there are failures. <p>Effect(s):</p> <ul style="list-style-type: none"> Financial losses Service disruptions Provider fails to maintain agreed service levels routinely Increased resource to handle and manage complaints / customer expectations Failure to achieve our Building a Better Bromley priorities. 	Contract Management Contractual and Partnership	3	4	12	<ul style="list-style-type: none"> Contract Procedure Rules and regular Practice / Guidance notes to all Contract Owners Review of contract management and contract monitoring controls including any issues identified by internal audit Contracts Database and Quarterly Contracts Database Report to all relevant Committees Procurement Board oversight Member scrutiny including regular Contract Monitoring Reports for £500k+ contracts Regular programme of training delivery to staff Quarterly Contract Owners meetings 	3	4	12	<ul style="list-style-type: none"> Contract Management guidance on toolkit to be reviewed Review of Contract Procedure Rules Ongoing training delivery Improve compliance with annual Contract Monitoring Requirement 	Service Directors supported by Assistant Director, Governance and Contracts
6	Corporate Risk	Failure to maintain and develop ICT information systems to reliably support departmental service delivery	<p>Cause(s):</p> <ol style="list-style-type: none"> Need to ensure that Information systems are fit for future business purpose. Capacity and skill within Corporate ICT to maintain and support systems during a period of significant change and in the future. Increasing reliance on stability of ICT infrastructure in all areas of the Council (Lync telephony service). Council website now a major channel for the delivery of services (Pay for it, Apply for it, Report it). Adequacy of information governance data protection rules to ensure the confidentiality, integrity and availability of information assets. IT failure impacting on critical operational systems. Over the next 3 years we will need to undertake gateway reviews / procurement plans for at least 4 of the Council's business critical systems; Customer Relationship Manager, Carefirst, Housing info system and Education's Capita One system plus the main LBB website and SharePoint. Transfer of IT contract to new ICT 3rd party supplier. <p>Effect(s):</p> <ul style="list-style-type: none"> Service disruptions Inability to access key systems Reputation damage Inability to support organisation change and savings targets Failure to achieve our Building a Better Bromley priorities. 	ICT Data and Information Technological	3	2	6	<ul style="list-style-type: none"> Transfer of IT contract to new BT in 2016 to give greater resilience. Robust backup arrangements Enhanced antivirus/cyber security. tested system restoration arrangements. 	3	2	6	<ul style="list-style-type: none"> Review data storage /hosting arrangements. Carry out at least 4 gateway reviews for major systems. Increase stability of ICT infrastructure including Lync. 	Director of Corporate Services

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7	Corporate Risk	Failure to maintain robust Business Continuity and Emergency Planning arrangements	<p>Cause(s):</p> <ol style="list-style-type: none"> Unavailability of Council offices / depots due to explosion, fire flood or police cordons around Council buildings Operational emergencies due to severe weather conditions, fire, or major incident. Availability of staff to deliver key services if trained volunteers are taken away to deal with a major incident (the Council is a Category 1 responder under the Civil Contingencies Act). Loss of key business systems due to power problems or system failure. Inadequate IT disaster recovery arrangements leading to dislocation of Council services. Sustained industrial action affecting key services. Lack of Business Continuity Plan testing. Adequacy of contractor's business continuity plans. Shortage of staff to deliver key services in the event of a flu pandemic or similar <p>Effect(s):</p> <ul style="list-style-type: none"> Significantly prolonged service disruptions Normal service takes longer to resume Reputational damage / loss of credibility Increased costs to rectify disruptions Injury / harm Loss of access to key systems Failure to achieve our Building a Better Bromley priorities. 	Business Continuity Physical Reputational	4	3	12	<ul style="list-style-type: none"> Business Continuity Plans Emergency Planning procedures 	4	3	12	<p>To ensure that all Business Continuity Plans are up to date and are cross linked with one another across the Authority, specifically in relation to fall back sites, where there may be a number of departments using the same scarce resource.</p> <p>To consider our Business Continuity plans in the event of a major incident in the Borough (staff unable to get to work , staff 'caught up in or helping with the incident.</p> <p>To revisit the evacuation protocols within the Civic Centre site, specifically where staff would go if there was a large cordon around Bromley Town Centre.</p> <p>To continue to provide a resilient out of hours service to Emergency Planning by having Trained contactable volunteers.</p>	Director of Environment and Public Protection
8	Corporate Risk	Failure to deliver effective Children's services The Council is unable to deliver an effective children's service to fulfil its statutory obligations in safeguarding and protect those at risk of significant harm or death, sexual exploitation or missing from care	<p>Cause(s):</p> <ol style="list-style-type: none"> Local authority response to Bromley's Safeguarding Children's Board following Wood Review. <p>Effect(s):</p> <ul style="list-style-type: none"> Impact on Life chances and outcomes for children 	Children's Social Care Legal, Reputational	3	5	15	<ul style="list-style-type: none"> Multi Agency Bromley Children's Safeguarding Board (BCSB) Training programme 2019 to be set Dedicated HR programme of support in place to recruit social workers to front line posts Scrutiny of Performance Management Framework and Indicators Effective procurement framework and contract monitoring arrangements to ensure acceptable quality of service provision and value for money - under review Quality Assurance Audit Programme Phase3 Children's Services Practice Improvement Board to commence April 2019 to deliver Ofsted and local authority recommendations Continued reduction of caseloads & within Caseload promise on average Atlas Team reviewed and moved to MASH to improve safeguarding Identified Training plan for qualified social workers and other professionals reviewed and updated quarterly 	3	4	12	<ul style="list-style-type: none"> Ofsted validation - report published 7th January 2019 Phase 3 - 'to excellence' plan in development 	Director of Children's Services
9	Corporate Risk	Temporary Accommodation Inability to effectively manage the volume of people presenting themselves as homeless and the additional pressures placed on the homeless budgets	<p>Cause(s):</p> <ol style="list-style-type: none"> Changes in government funding Rising numbers of placements (approx. 20 per month). <p>Effect(s):</p> <ul style="list-style-type: none"> Failure to fulfil statutory obligations Impact on life chances and outcomes for individuals and families in temporary accommodation Increased risk of legal challenge due to provision of unsuitable accommodation (including shared accommodation) Pressure on other services 	Housing Social	5	4	20	<ul style="list-style-type: none"> Focus on preventing homelessness and diversion to alternative housing options through:- Landlord and Tenancy advice, support and sustainment Assistance, (including financial aid) to access the private rented sector Access to employment and training Debt, money, budgeting and welfare benefits advice, including assistance to resolve rent and mortgage arrears Sanctuary scheme for the protection of victims of domestic violence Effective contact monitoring arrangements to ensure acceptable quality of service provision and value for money Implementation of the More Homes Bromley initiative to ensure the supply reduces the reliance on nightly paid accommodation Implementing the Homelessness Strategy - setting up the multi agency Homelessness forum and taking forward the priorities of the strategy New incentive campaign for private sector landlords embedded and benefits being realised 	4	4	16	<ul style="list-style-type: none"> Housing Transformation Board progressing projects to increase cost effective temporary accommodation and affordable housing supply. Member approval to be sought in May 2019. Transformation Board action plan in place for next 3-4 years. Continue to develop partnership working with private sector landlords to assist households to remain in private sector accommodation. Work innovatively with a range of providers to increase access to a supply of affordable accommodation. Implement Intake and Early Intervention service to meet Homelessness Reduction Act Complete tender process for modular homes supplier for temporary accommodation 	Director of Housing, Planning and Regeneration
11	Corporate Risk	Failure to deliver the Transforming Bromley Programme	<p>Cause(s):</p> <ol style="list-style-type: none"> Failure to identify and put forward sufficient transformation proposals to deliver the quantum of savings required by 2022/23 Failure to deliver appropriate mitigation of existing projected growth pressures within the financial forecast Failure to appropriately resource each Transforming Bromley workstream with sufficient project support and subject matter expertise to enable the identification of proposals Insufficient management oversight and governance arrangements to shape the delivery of proposals to enable Member decision making and inform budget setting for each financial year Insufficient consultation and engagement with relevant stakeholders to ensure the successful delivery of proposals. <p>Effect(s)</p> <ul style="list-style-type: none"> Inability to address the Council's budget gap of £14.1m per annum by 2024/25 Unable to meet key commitments of the Medium Term Financial Strategy 	Finance Financial	4	5	20	<ol style="list-style-type: none"> Robust governance process: fortnightly meetings of the Transformation Board, chaired by the Chief Executive and attended by Chief Officers Each Transformation Board workstream attends the Transformation Board twice before proposals are reviewed by Cabinet/Directors, Group, PDS Committees and the Executive. Each Transformation Programme Board has its own Project Manager and additional Transformation Leads are brought in to support the successful delivery of proposals Communications Plan will be in place to enable the successful engagement with Members, staff and partners as needed Where transformation proposals have public law implications, an appropriate assessment will be carried out and stakeholders will be engaged. Each Chief Officer will give an standing item update at their respective PDS Committee(s) on the Transforming Bromley Programme Transformation Fund to support the successful delivery of transformation proposals subject to a suitable business case being provided A review of core statutory minimum service requirements will enable each service area to identify where potential savings could be and to evidence that where discretionary services are delivered, they are done so on a cost-recovery basis and/or they reduce long-term dependency on higher levels of statutory intervention which generate longer term growth pressures for the Council All proposals will be submitted to the Executive to inform budget setting for 2020/21. 	3	5	15	<p>In the event that the Transformation Programme fails to support the successful identification of the required quantum of savings to address the Council's underlying budget gap by 2023/24, the Council will still be legally required to deliver a balanced budget as set out in the Local Government Finance Act 1988.</p> <p>As part of the Transformation Programme, the Chief Executive, the Section 151 officer and the senior leadership team have reviewed the delivery of discretionary services across the organisation and this has informed the development of the Transformation Programme workstreams. They will, therefore, report to Members on this review and other administrative decisions in order to meet the statutory requirement for a balanced budget. If funding reductions remain and growth/cost pressures continue, these decisions are likely to have an impact on the delivery of services to our residents and service users</p>	Chief Executive

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12	Corporate Risk	Impact of COVID-19 pandemic on service delivery	<p>Cause(s)</p> <ol style="list-style-type: none"> 1. Potential for Increased staff absence rate amongst LBB employees and contractors 2. Difficulty in conducting Business as Usual due to pandemic and Government restrictions 3. Increased workloads, in key defined critical services 4. Provision of new ways of working requiring redeployment of staff 5. Reduction in Council funds through reduced income, higher expenditure or longer term Government fiscal policy 6. Challenging staff/trade union relationships 7. Loss of funded posts in key areas 8. Adopted the Department for Work and Pensions' (DWP) "Trust and Protect" principles which enabled residents in receipt of Housing Benefit to submit information and evidence via email. <p>Effect(s)</p> <ul style="list-style-type: none"> - Reduction in provision of services across the Local Authority - Impact upon delivering statutory responsibilities - Difficulty with staff deployment and associated contractual issues - Damage to Council's reputation - Impact upon employees' mental health and well being - Impact on the delivery of the Transformation Programme 2020/23 - Unable to address the Council's budget gap of £14.1m per annum by 2024/25 - Infection of staff volunteering on community testing/vaccination programmes during the pandemic 	Corporate	5	4	20	<ul style="list-style-type: none"> - Strategic and Tactical Coordination Groups established - Meeting and reporting structures in place - Decision making process streamlined - Action taken to mitigate surge in identified critical services - Effective partnership working to collectively mitigate risks - Overarching command and control structure for London Local authorities in place - Effective communication strategy and delivery in place - Preparations for a phased return to work in place - Effective partnership arrangements in place with voluntary sector and communities - Mutual aid agreement in place across the South East Boroughs - Regular dialogues and communications with staff and their representatives - Adoption of financial relief measures offered by Government - Continued lobbying of Government in relation to local financial impact - HR processes refined and in place to support staff - Experience gained during first wave of pandemic - Development of an Outbreak Control plan including track and trace capability - All documentation submitted by vulnerable claimants under the Trust and Protect principles would be reviewed once visits could resume. Any incorrect documentation which had been submitted which resulted in an overpayment would be subject to recovery. - Risk assessments and following public health guidance/PPE/vaccination etc 	5	3	15	<ul style="list-style-type: none"> - Continued preparations for anticipated second wave - Implementation and monitoring of recovery plans 	Chief Officers' Executive