

## 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	<b>Ineffective recruitment and retention strategies for hard to fill posts e.g. Adult's Social Workers, Children's Social Workers, Housing, Planning, Building Control</b>	<b>Cause(s):</b> - 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 <b>Effect(s):</b> - 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	<b>Health &amp; Safety (Council) Ineffective management, processes and systems across all Council departments Including in relation to the following areas: Lone Working Violence &amp; Aggression at work</b>	<b>Cause(s):</b> - Inadequate risk assessments - Outdated policies and processes - Poor use of data around accidents/near miss incidents - Lack of capacity to discharge the Council's H&S responsibilities - Lack of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 <b>Effect (s):</b> - 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	<b>Failure to comply with H&amp;S related legislative requirements e.g. Health and Safety at Work etc. Act 1974</b>	<b>Cause(s):</b> - Lack of awareness with legislation - Failure to effectively consult staff where appropriate - Human error / lack of understanding - Lack of capacity and capability to deliver <b>Effect(s):</b> - 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

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12	Health and Safety/Property	<b>Insufficient fire safety arrangements</b> Non compliance with Regulatory Reform (Fire Safety) Order 2005, as amended by the Fire Safety Act 2021	<p><b>Cause(s)</b></p> <ul style="list-style-type: none"> <li>- No trained fire responsible person (legal) for some sites</li> <li>- Insufficient numbers of trained fire wardens working from the site to safely manage an evacuation (in accordance with the Fire Risk Assessments)</li> <li>- Written Fire Safety Policy does not meet best practice</li> <li>- Insufficient fire safety and fire fighting equipment</li> <li>- Property related issues</li> <li>- Insufficient arrangements for outside of normal working hours</li> <li>- Insufficient arrangements to support those who may need additional assistance evacuating in a fire, including the undertaking of personal emergency evacuation plans</li> <li>- Fire risk assessments not undertaken</li> <li>- Insufficient arrangements for monitoring who is on site at any given time e.g. check in and check out arrangements</li> <li>- Lack of clarity on who is responsible for what should there be an emergency</li> <li>- Delays in requested fire warden training being delivered</li> </ul> <p><b>Effect(s)</b></p> <ul style="list-style-type: none"> <li>- Non compliance with the Regulatory Reform (Fire Safety) Order 2005, as amended by the Fire Safety Act 2021</li> </ul>	Health & Safety/Property	5	5	25	<ol style="list-style-type: none"> <li>1. Reduced number of staff on site</li> <li>2. Check in and check out arrangements adopted at the Civic Centre site</li> <li>3. Attendants to carry out fire warden duties in the event of an emergency</li> <li>5. New fire evacuation instructions for the Civic Centre site published</li> <li>6. All staff required to complete fire prevention and evacuation e-learning course</li> <li>7. Currently trying to recruit more volunteers to be fire wardens</li> <li>8. Fire Safety is standing item at Corporate Health and Safety Committee</li> <li>9. New Fire Safety policy published</li> </ol>	4	5	20	<ul style="list-style-type: none"> <li>- Learning and Development to arrange training.</li> <li>- To encourage people to become fire wardens, monthly allowance volunteers receive to increase.</li> <li>- Facilities Management to ensure Fire Risk Assessments are completed.</li> <li>- 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.</li> <li>- Facilities Management team to distribute emergency plan to site occupiers and to arrange training on plan for fire marshals.</li> <li>- Fire safety documents (including Emergency Plans) to be stored on new Fire Safety Sharepoint site to retain corporate knowledge and ensure regularly reviewed.</li> <li>- Fire Safety to be added to COE agenda as a standing item.</li> <li>- Fire drills to be undertaken.</li> <li>- Alternatives to current Civic Centre check in and check out arrangements to be reviewed due to issues with current arrangements.</li> <li>- Out of normal office hours arrangement to be reviewed</li> </ul>	Director of HR, Customer Services and Public Affairs & Director of Housing, Planning and Regeneration
13	Human Resources/Health and Safety	<b>Insufficient first aid arrangements</b> Non compliance with Health and Safety (First Aid) Regulations 1981	<p><b>Cause(s)</b></p> <ul style="list-style-type: none"> <li>- Insufficient first aid cover, for both inside and outside of normal office operating hours</li> <li>- Lack of fully stocked first aid kits</li> <li>- Delays in requested first aider training being delivered</li> </ul> <p><b>Effect(s)</b></p> <ul style="list-style-type: none"> <li>- Non compliance with the Health and Safety (First Aid) Regulations 1981</li> </ul>	Health & Safety	4	5	20	<ol style="list-style-type: none"> <li>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.</li> <li>2. Two defibrillators located at Civic Centre site.</li> <li>3. First aider training for staff members at satellite sites recently undertaken.</li> <li>4. More volunteers to be first aiders are trying to be recruited.</li> </ol>	4	3	12	<ul style="list-style-type: none"> <li>- Learning and Development to arrange first aider training.</li> <li>- Review to be undertaken of sites which need defibrillators.</li> <li>- New first aid kits and supplies to be purchased.</li> <li>- First aider monthly allowance to be increased to £20.00.</li> </ul>	Director of HR, Customer Services and Public Affairs

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