

Strategic Risk Register – March 2021

Ref	Risk Category – levels 1 & 2	Lead	RAG	Change / Comment	
<b>1</b>	<b>COMPLY WITH THE LAW</b>				
1A	<b>Governance</b>	1. Information Governance Failure	CR	R	Actions and notes updated
		2. Governance failings implementing service changes	CEO	A	Narrative Updated
1B	<b>Regulatory</b>	1. Non-Compliance with Health & Safety	CEO	A	Actions and notes updated
		2. Respond to legislative change	CEO	A	Narrative Updated
		3. High levels of poor Air Quality – Renamed Impact of Climate Change	COM	A	Narrative Updated
<b>2</b>	<b>SECURE SERVICES TO USERS</b>				
2A	<b>Process</b>	1. Adequacy of Internal Control	CR	R	Actions updated
		2. Failure in Child Safeguarding	CYP	R	Narrative updated
		3. Non-delivery of transformational change	CEO	R	Narrative Updated
		4. Elections not conducted efficiently or effectively	CEO	G	Narrative Updated
		5. Serious Adult Safeguarding concerns	COM	R	Narrative Updated
2B	<b>Technology</b>	1. ICT not fit for purpose/does not meet business needs	CR	A	Actions and notes updated
		2. Cyber Security breaches corrupt or locks down systems or data	CR	R	Actions and notes updated
<b>3</b>	<b>DEVELOP STAFF &amp; PARTNERS</b>				
3A	<b>Workforce</b>	1. Loss of constructive relations	CEO	A	Narrative Updated
		2. Maintain sufficient management capacity & capability	CEO	A	Narrative Updated
		3. Cultural Resistance Impacts Employee Relations	CEO	R	New Risk
3B	<b>Partnerships</b>	1. Multi-agency governance leads to ineffective partnership working	CEO	A	Narrative Updated
		2. Agree integrated delivery models for local health and care services	COM	A	Narrative Updated
<b>4</b>	<b>SERVICES REPRESENT VFM</b>				

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Ref	Risk Category – levels 1 & 2	Lead	RAG	Change / Comment	
4A	<b>Procurement</b> 1. Failure to manage suppliers and procurement programmes.	CR	<b>A</b>	Actions updated	
4B	<b>Performance</b> 1. Failure to manage performance leads to service failure	CEO	<b>A</b>	Narrative Updated	
<b>5</b>	<b>MANAGE WITHIN BUDGET</b>				
5A	<b>Financial</b>	1. Financial failure unable to maintain delivery within balanced budget	CR	<b>R</b>	Score reduced and actions updated
		2. Unforeseen expenditure/loss of income from funding streams	CR	<b>A</b>	Actions updated
		3. Loss of income - debt collection	CR	<b>A</b>	Actions updated
5B	<b>Bus. Continuity</b>	1. Failure to contain impacts of emergency	CR	<b>A</b>	Narrative updated
	<b>Covid</b>	2. Contain the impacts of Covid-19 and deliver services	CR	<b>R</b>	Reviewed and unchanged

### Key

#### Scoring

5x5 Likelihood and Impact with 1 Low and 5 High. See Risk Management Strategy for guidance on assessing impact and likelihood

#### RAG rating

- △ Red
- Amber
- ★ Green

#### Direction of Travel

- ↗ Better
- Same
- ↘ Worse

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<b>1. Comply with the Law: A. Governance</b>										
1.A.1	Information Governance failure	△	16	8	△	➔	Executive Director for Corporate Resources	<p>Staff training modules developed</p> <p>Established policy framework</p> <p>Information Governance Board in place</p> <p>Information asset and security environment audits undertaken</p> <p>Regular EMT briefings - Director has been invited to and will attend EMT with an update on IG work and activities</p> <p>New SIRO and MD of shared service briefed and aware of past vulnerabilities</p>	<ul style="list-style-type: none"> <li>• Roll out mandatory online information governance and security training for all staff</li> <li>• Implement audit recommendations</li> <li>• Complete transfer of the IG function to ITDS and review staff structures, processes and technology capabilities</li> </ul>	<p>Dec 21 (slipped Dec 20)</p> <p>Jun 21 (slipped Dec 20_)</p> <p>Sep 21 (slipped Dec 20)</p>
	Impact		4	4						
	Likelihood		4	2						

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Ref	Risk	Current status	Current score	Target score	Current v target	Direct'n of travel	Responsible	What have we done & source of assurance	What are we planning to do	By when
<b>1. Comply with the Law: A. Governance</b>										
1.A.2	Governance (opportunities and threats) in the implementation of service changes	★	8	8	★	➔	Director of Law, Governance and HR	<ul style="list-style-type: none"> <li>• Corporate Strategy to 2022 adopted</li> <li>• Member and Director finance training delivered and additional budget briefing sessions organised .This will continue for future years</li> <li>• 21/22 budget agreed by Council following a new, themed approach</li> <li>• New corporate programme management office established to ensure consistent approach to major programme and projects with grip and delivery central elements.</li> </ul>	<ul style="list-style-type: none"> <li>• Implementation of 21/22 service changes in line with Budget to live within financial limits.</li> <li>• Readying the organisation for end of lockdown following Government's roadmap, Planning for "recovery" is taking shape, aligned with London Recovery Board and missions</li> </ul>	Organised  April 12 <sup>th</sup> ;May 17 <sup>th</sup> and June 21 <sup>st</sup> , all subject to review by Govt
	<b>Impact</b>		<b>4</b>	<b>4</b>						
	<b>Likelihood</b>		<b>2</b>	<b>2</b>						

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Ref	Risk	Current status	Current score	Target score	Current v target	Direct'n of travel	Responsible	What have we done & source of assurance	What are we planning to do	By when
<b>1. Comply with the Law: B. Regulatory</b>										
1.B.1	Non-compliance with Health & Safety Legislation	●	12	6	△	➔	Chief Executive	<ul style="list-style-type: none"> <li>• Corporate H&amp;S manual.</li> <li>• Regular prog. of audits reported to H&amp;S Cttee</li> <li>• Directorate H&amp;S Working Group meets quarterly with representation from across all divisions and reports to Unions</li> <li>• Full H&amp;S programme of training available.</li> <li>• H&amp;S guidance is updated and staff briefed when working practices change</li> <li>• Monitor OH referrals</li> <li>• All DMTs reviewed annual self-assessments, incidents and audits</li> <li>• Review approach to tree risk assessments and related work programme</li> </ul>	<ul style="list-style-type: none"> <li>• Undertake a review of how H&amp;S is currently managed and recruit and adjust accordingly, This will cover:                             <ul style="list-style-type: none"> <li>- Operational</li> <li>- Assets (inc PO Handbook)</li> <li>- Staff welfare</li> </ul> </li> <li>• Implement changes to H&amp;S governance as part of Corporate Resources Finance Review consultation</li> <li>• H&amp;S Board monitoring progress with fire risk works and statutory &amp; planned building maintenance works</li> <li>• Reviewing revisions to service H&amp;S risks for assessments impact of Covid risks</li> </ul>	<p>Done Review as part of service planning 2021.</p> <p>Sept 21</p> <p>Quarterly Next meeting Jul 21</p> <p>For the duration of the Covid response</p>
	Impact		4	3						
	Likelihood		3	2						

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Ref	Risk	Current status	Current score	Target score	Current v target	Direct'n of travel	Responsible	What have we done & source of assurance	What are we planning to do	By when
<b>1. Comply with the Law: B. Regulatory</b>										
1.B.2	Failure to anticipate and respond appropriately to legislative change	★	8	8	★	➔	Director of Law, Governance and HR	<ul style="list-style-type: none"> <li>• Keeping up to date and engaged with relevant professional bodies and government departments</li> <li>• Data observatory established</li> <li>• Regular policy briefings prepared for review and to aid insight</li> </ul>	<ul style="list-style-type: none"> <li>• If appropriate to provide reports to Council on changes necessary to reflect legislation.</li> <li>• Responding to Govt consultations and lobbying in various areas of political change</li> <li>• Update relevant documents to reflect legislative changes; provide training on any new legislative arrangements</li> </ul>	Ongoing -
	<b>Impact</b>		4	4	★					
	<b>Likelihood</b>		2	2	★					

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1.	Comply with the Law: B. Regulatory									
1.B.3	Impact of climate change (e.g. air quality, extreme weather, flooding, compliance with new requirements/standards for service delivery).	●	12	6	△	➔	Executive Director for HRPR	<ul style="list-style-type: none"> <li>Climate Emergency Strategic Action Plan published 2020, update approved by Mayor and Cabinet in March 2021</li> <li>Continuing to work with Air Quality Management Area Plan and London, National and European strategies to improve Air Quality.</li> <li>Borough Resilience Forum has produced a Multi-Agency Flood Plan and held a flooding exercise in April 2021.</li> <li>Strategic Air Quality Board quarterly.</li> </ul>	<ul style="list-style-type: none"> <li>Action Plan to be reviewed annually by Sustainable Development and M&amp;C</li> <li>Lobbying Government and other for resources to deliver on the Climate Emergency Action Plan</li> <li>Update the Borough's Flood Risk Management Strategy and ensure Business Continuity Plans address service flood risks.</li> <li>Consult on new Air Quality Management Strategy</li> </ul>	<p>Q3 21/22 Q4 21/22</p> <p>Ongoing</p> <p>Q3 21/22</p> <p>Q2 21/22</p>
	Impact		4	3						
	Likelihood		3	2						

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Ref	Risk	Current status	Current score	Target score	Current v target	Direct'n of travel	Responsible	What have we done & source of assurance	What are we planning to do	By when
<b>2. Secure Services to Users: A. Process</b>										
2.A.1	Adequacy of Internal Control Framework	△	16	8	△	➔	Executive Director for Corporate Resources	<ul style="list-style-type: none"> <li>Internal audit, risk &amp; anti-fraud work –</li> <li>Anti-fraud, Anti-money laundering, whistle blowing policies and hot lines in place</li> <li>Annual National Fraud Initiative (NFI) &amp; data matching</li> <li>Coordination/ joint working with central Govt. agencies (DWP, HMRC, BA), LH and other local housing providers.</li> <li>Quarterly reports to Exec Directors, ICB, Audit Panel monitoring trends &amp; progress</li> <li>Implemented various phases of Oracle project - Finance, PBCS, payroll and self-service live.</li> </ul>	<ul style="list-style-type: none"> <li>Next phase to get wider business improvements from Oracle to realise benefits of investment – HR PID and related finance dashboards to be built being finalised. Then project to be put into action</li> <li>Improvement plan for Liquid Logic (LAS/LCS and Controc) system and processes for CSC and ASC, aligned with service operating models and procedures. Systems live, project now monitoring BAU is stable before closing off in Jul 21</li> <li>Internal Audit focussed ensuring recommendations implemented and on core financial audits for 21/22 and 21/22 plan agreed</li> <li>Counter fraud work focused on Covid grant assurance and data matching - ongoing</li> </ul>	<p>Jun 21</p> <p>On track Next milestone Jun 21</p> <p>Done Apr 21 Next update Jun 21</p> <p>Next milestone Jun 21</p>
	Impact		4	4						
	Likelihood		4	2						



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Risk Name & Category		Current score	Target score	Current v target	Direct'n of travel	Responsible	What have we done & source of Assurance	What are we planning to do	By when
<b>FAILURE IN CHILD SAFEGUARDING</b>	▲	25	20	★	→	ED CYP (PG) Dir. CSC (LH)	<ul style="list-style-type: none"> <li>All cases risk assessed</li> <li>Thresholds for access to services linked to statutory requirements</li> <li>LCS system redesigned to improve recording and management oversight</li> <li>Virtual visiting introduced during lockdown but service has moved back to face to face visits</li> <li>Operational procedures revised</li> <li>Weekly critical safety panel created to review performance</li> <li>Quality assurance and performance framework in place to monitor practice.</li> </ul>	<ul style="list-style-type: none"> <li>Improvement Programme 2018/19 - 2021/22 to drive up quality of practice to be consistently good.</li> <li>Strengthen performance framework</li> <li>Workforce Development strategy under development to strengthen recruitment, retention and training permanent workforce</li> <li>Re-launch of supervision policy to strengthen risk management</li> <li>Child Exploitation Strategy under development in the Safeguarding Partnership to manage risk to young people in the community</li> <li>Corporate Parenting strategy agreed to ensure there are appropriate services for children in care and care leavers – being shared with other Council services and partners so that they are also aware of their responsibilities</li> </ul>	April 2022 On track Through 2021 To be launched Feb 2021 To be launched Feb 2021 To be launched Apr 202 To be launched Apr 2021
<b>IMPACT</b>		5	5	★	→				
<b>LIKELIHOOD</b>		5	4	★	→				

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<b>2. Secure Services to Users: A. Process</b>										
2.A.3	Strategic programme to develop and implement transformation change does not deliver	△	15	10	●	→	Assistant Chief Exec	<ul style="list-style-type: none"> <li>Assistant Chief Executive appointed</li> <li>Directorate PMO support in place initially to support delivery of cuts and then service transformation.</li> <li>Restructure underway to build Head of Service capacity focused on delivery of transformation and change, in addition to PMO</li> <li>Strategic programmes and projects agreed along with new governance structure</li> <li>New strategic change board arrangements in place and operational, and making a positive impact</li> </ul>	<ul style="list-style-type: none"> <li>Develop an Organisational Development Strategy.</li> <li>Build focus and capacity to develop and implement change</li> <li>EMT strategic change board receives reports regularly on progress against milestones and OKRs</li> </ul>	<p>Reviewed and agreed at EMT by July 2021</p> <p>New structure implemented by June 2021</p> <p>Ongoing</p>
	<b>Impact</b>		5	5						
	<b>Likelihood</b>		3	2						

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2.A.4	Elections not conducted in line with law	★	5	4	★	➔	Returning Officer  Director of Law, Governance and HR  Head of Elections	<ul style="list-style-type: none"> <li>Preparing for London Mayoral and Assembly elections in May 2021 to be run in a Covid secure manner</li> <li>Acting on Directions from GLRO</li> <li>Preparing for four by elections May 2021 to be run in a Covid secure manner</li> <li>Overall project plan on track and in line with milestones currently</li> <li>Extensive staff training and engagement</li> <li>Census completed, awaiting feedback on completion rates. Widespread comms undertaken to drive up completion rates</li> </ul>	<ul style="list-style-type: none"> <li>Deliver Covid safe elections 2021</li> <li>Implement Boundary Commission changes once confirmed</li> </ul>	6th May2021
	<b>Impact</b>		<b>5</b>	<b>4</b>						
	<b>Likelihood</b>		<b>1</b>	<b>1</b>						

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<b>2. Secure Services to Users: A. Process</b>										
2.A.5	Serious Adult Safeguarding Concerns	△	20	20	★	➔	Executive Director for Community Services	<ul style="list-style-type: none"> <li>Regular reports to the LSAB.</li> <li>Case audits by management.</li> <li>Monitoring through Performance DMT.</li> </ul>	<ul style="list-style-type: none"> <li>Safeguarding processes are being reviewed throughout operational and provider services and partner organisations.</li> <li>Safeguarding performance is scrutinised by the LSAB and DMT. Cases that meet the threshold for a statutory safeguarding audit review are referred to the Safeguarding adult review board that meets monthly.</li> <li>Deprivation of Liberty Safeguards applications continue to rise. To mitigate the risk of legal challenge for unauthorised detentions community DOLS are being processed on time and COP applications made.</li> <li>New system Liberty Protection safeguards will be implemented in April 2022 now that government legal sign off process has been completed.</li> </ul>	<p>Oct 20 slipped to May 2021</p> <p>Monthly DMT monitoring.</p> <p>LSAB meets quarterly and SAR meets monthly. Monthly QA sessions in place to monitor practice trends and quality provision.</p> <p>Monthly reviews to monitor practice trends</p> <p>April 2022</p> <p>Quarterly</p>

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									<ul style="list-style-type: none"> <li>• Task and Finish Group in place to monitor all actions from DHR's</li> <li>• These are reviewed at Safeguarding Boards and Safer Lewisham Partnership</li> <li>• 1 x new DHR's has begun.</li> </ul>	Reviewed in March annually
	<b>Impact</b>		5	5						
	<b>Likelihood</b>		4	4						

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<b>2. Secure Services to Users: B. Technology</b>										
2.B.1	ICT infrastructure is not fit for purpose and/or does not meet business needs (2)	●	12	6	△	➔	Executive Director for Corporate Resources	<p>Directorate participation in corporate PMO arrangements being introduced</p> <p>Review business continuity plans with emergency planning team</p> <p>Key line of business systems include:                      Academy – revs &amp; bens                      Ash – income collection                      Go Place – asset register                      Oracle – fin, HR, &amp; payroll                      PBCS – oracle budget tool                      LCS/LAS and Controc - social care                      Icasework - customer serv.                      Microsoft office suite – all services</p>	<ul style="list-style-type: none"> <li>Working with newly formed PMO in CX Directorate to ensure technology elements of change projects is aligned to objectives.</li> <li>Specific risk around Registrars running Lotus Notes – being replaced with RAFTS</li> <li>Specific Risk around planning system which is obsolete and not optimised for running on modern infrastructure</li> </ul>	<p>Ongoing</p> <p>Sep 21 (slipped Mar 21)</p> <p>Not known</p>
	Impact		4	3						
	Likelihood		3	2						

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	Risk	Current status	Current score	Target score	Current v target	Direct'n of travel	Responsible	What have we done & source of assurance	What are we planning to do	By when
<b>2. Secure Services to Users: B. Technology</b>										
2.B.2	Cyber Security breaches corrupt or locks down Council systems or data.	△	15	5	△	➔	Executive Director for Corporate Resources	<p>External independent reviews of security arrangements and practices</p> <p>Documented systems to support PSN compliance</p> <p>24 hour Security surveillance implemented</p> <p>Local network remediated and vulnerabilities removed.</p> <p>Legacy 2003 servers removed from estate</p> <p>Improved controls implemented around administrator level access</p> <p>Cyber strategy and cyber response policy approved by EMT</p> <p>Offline back-ups delivered</p> <p>SICTS infrastructure plan to be funded in budget planning going forward</p>	<ul style="list-style-type: none"> <li>Detailed programme of work to address security audit recommendations</li> <li>Shared service to develop and test disaster recovery plan – delayed due to delivery of back-ups</li> <li>Gain approval for a formal cyber response policy</li> <li>Sign off Cyber Strategy</li> <li>Secure funding to implement off line back ups strategy in line with NCSC recommendations</li> <li>Move to cloud based authentication through MS365 project</li> <li>Scope and secure funding for an Applications and Data Security project</li> </ul>	<p>Done Dec 20 (slipped Sep 19)</p> <p>Sep 21 (slipped Mar 20)</p> <p>Done</p> <p>Done</p> <p>Done</p> <p>Sep 21 (slipped Mar 21)</p> <p>Sep 21 (slipped Mar 21)</p>
	Impact		5	5						
	Likelihood		3	1						

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Ref	Risk	Current status	Current score	Target score	Current v target	Direct'n of travel	Responsible	What have we done & source of assurance	What are we planning to do	By when
<b>3. Develop Staff and Partners: A. Workforce</b>										
3.A.1	Loss of constructive employee relations	●	9	6	●	➔	Head of HR	<ul style="list-style-type: none"> <li>Refreshed people management framework in the light of Covid 19</li> <li>Continued employee assistance programme</li> <li>Extended Union engagement</li> <li>Launched Pulse surveys across a diagonal slice of staff</li> <li>Established and strengthened staff networks across the organisation</li> </ul>	<ul style="list-style-type: none"> <li>Continue to run regular Pulse surveys for staff</li> <li>Review key HR policies to ensure they are fit for purpose and reflective of a modern, agile workforce.</li> <li>Refreshing Directorate Consultative Committees with Trade Unions</li> <li>Works Council to be reinstated</li> <li>Review the timing of the next Staff Survey</li> </ul>	<p>Ongoing</p> <p>Completed by September 2021</p> <p>By October 2021</p> <p>By October 2021</p> <p>By August 2021</p>
	<b>Impact</b>		<b>3</b>	<b>3</b>						
	<b>Likelihood</b>		<b>3</b>	<b>2</b>						



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<b>3. Develop Staff and Partners: A. Workforce</b>										
3.A.2	Failure to maintain sufficient management capacity & capability to deliver business as usual and implement transformation changes	●	12	6	△	➔	Chief Executive	<ul style="list-style-type: none"> <li>All EMT posts filled with permanent appointments</li> <li>All Director level posts appointed to permanently with start dates agreed.</li> </ul>	<ul style="list-style-type: none"> <li>Complete further transformational service changes and recruit as appropriate</li> <li>Additional spend and recruitment controls remain in place</li> </ul>	<p>Ongoing</p> <p>Ongoing Next review June21</p>
	<b>Impact</b>		4	3						
	<b>Likelihood</b>		3	2						

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3.A.3	Cultural resistance to change negatively impacting employee relations	△	25	12	△	➔	ACE and Head of HR	<ul style="list-style-type: none"> <li>Regular staff and manager communications from CEX on Council direction</li> <li>Together Lewisham staff staff engagement network empowering employee voice and opportunities for staff to influence and shape future direction and new initiatives</li> <li>Leading together Lewisham – all manager engagement on council priorities and direction of travel and expectations. Providing opportunity for managers to engage and give feedback</li> <li>Staff pulse surveys conducted to gain insight on how staff feel about new initiatives</li> <li>SLT engagement and opportunity to feedback and shape initiatives</li> <li>New appraisal process launched</li> <li></li> </ul>	<ul style="list-style-type: none"> <li>Training for managers on managing and leading through change</li> <li>Outplacement support package for staff</li> <li>Roll out further 'leading together Lewisham' events to continue engagement with managers and disseminate key messages</li> <li>Learning support for managers and staff on how to lead remote teams and how to work remotely</li> <li>Continue to work with TU colleagues to develop/improve working relationships</li> <li>Re-establish regular engagement forums with TU colleagues e.g. works Council, Directorate Consultative Committee to discuss future initiatives and gain feedback from them</li> <li>People Management strategy to support OD plan</li> <li>Manager induction programme</li> <li>Introduce key courses for managers that are made mandatory</li> <li>All staff transformation/restructures programmes should be accompanied by a learning and development plan to support transition to new structure and staff development</li> </ul>	<p>Ongoing</p> <p>June 2021</p> <p>ongoing</p> <p>June 2021</p> <p>August 2021</p> <p>June 2021</p> <p>August 2021</p> <p>Ongoing</p>
	Impact		5	4						
	Likelihood		5	3						

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<b>3. Develop Staff and Partners: B. Partnerships</b>										
3.B.1	Multi-agency governance leads to ineffective partnership working  - (See also 3.B.2 Health)	★	8	4	△	➔	EMT	<ul style="list-style-type: none"> <li>Regular meetings and liaison in place between Council and key partners/stakeholders Met Police; VCS; LFB; TfL; Lewisham Homes; Registered Providers; OfSTED; schools/FE; etc.</li> <li>Ongoing strategic partnership boards in place and actively supported and engaged with</li> </ul>	<ul style="list-style-type: none"> <li>Continue regular meetings and liaison in place between Council and key partners/stakeholders Met Police; VCS; LFB; TfL; Lewisham Homes; Registered Providers; OfSTED; schools/FE; etc</li> <li>Developing place based recovery plans in partnership with anchor institutions/key partners/stakeholders.</li> <li>Continue with ongoing strategic partnership boards</li> </ul>	Ongoing
	Impact		4	4						
	Likelihood		2	1						

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3.B.2	Failure to agree with partners integrated delivery models for local health and care services	●	12	4	△	➔	Executive Director Community Services	<ul style="list-style-type: none"> <li>Partnerships in place across health and social care.</li> <li>Monitoring of initiatives takes place via DMT, S75 Board and HWBB.</li> <li>Integration planning continues with new joint posts agreed and recruited</li> <li>Developed the strategic commissioning function.</li> <li>Care at home leadership group has now been established.</li> <li>.Whole system recovery plan has been developed</li> </ul>	<ul style="list-style-type: none"> <li>Implement new joint H&amp;SC governance working arrangements</li> <li>Review holistic approach for grant funding CEO leading work to agree place based joint working arrangement for LBL and CCG / NHS various milestones. New Strategic Plan with partners required.</li> <li>Proposals for Commissioning Alliance and provider alliances are being developed.</li> <li>Continue to develop the Lewisham Health &amp; Care partnership alliance arrangements whole system change.</li> <li>Work with providers to develop an operational model for Care at Home and Adult Mental Health</li> </ul>	<p>ongoing</p> <p>June 20 Done as part of cuts proposals. Next step is implementation in 2021/22</p> <p>Ongoing</p> <p>Monthly by Lewisham Health &amp; Care Partners Board</p> <p>Jan 21</p>
	<b>Impact</b>		4	2						
	<b>Likelihood</b>		3	2						

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Risk	Risk	Current status	Current score	Target score	Current v target	Direct'n of travel	Responsible	What have we done & source of assurance	What are we planning to do	By when
<b>4. Develop Staff and Partners: A. Procurement</b>										
4.A.1	Failure to manage strategic suppliers and related procurement programmes. (13)	●	12	6	△	➔	Executive Director for Corporate Resources	<ul style="list-style-type: none"> <li>Published work on community wealth building as part of inclusive growth strategy development</li> <li>Growth in service for additional x2 posts</li> <li>Rolled out quarterly procurement training courses for all appropriate officers</li> <li>Fees and charges report published in 20/21</li> <li>Current years Social Value report was published in Aug 20</li> </ul>	<ul style="list-style-type: none"> <li>Next step is to build a contract management tool kit for officers</li> <li>Build a contract management dashboard</li> <li>Fees &amp; Charges work for 21/22 budget</li> <li>Work on memorandum trading accounts for priority services re commercial work</li> <li>Extend contract management training for all procurement and contract managers to embed use of toolkit and dashboard reporting</li> </ul>	<p>Done Apr 21</p> <p>Done Mar 21</p> <p>Done Feb 21.</p> <p>Slipped due to Covid Next Sep 21</p> <p>Next Sep 21</p>
	Impact		4	3						
	Likelihood		3	2						

Strategic Risk Register – March 2021

Ref	Risk	Current status	Current score	Target score	Current v target	Direction of travel	Responsible	What have we done & source of assurance	What are we planning to do	By when
<b>4. Services Represent VFM: A. Performance</b>										
4.B.1	Failure to manage performance leads to service failure	●	12	4	△	➔	Chief Executive	<ul style="list-style-type: none"> <li>Transferred reporting of risk to Audit Panel</li> <li>Director sessions, as part of Senior Leadership Team (SLT) held regularly to improve alignment, embed collaborative working, help shape new policies and ways of working and monitor key service activity, forecasts etc</li> <li>Good collaborative work, and a One Council approach, evidenced during response to Covid19 and through themed approach to budget 21/22 development</li> <li>Following creation of a single corporate policy and performance team, service data &amp; performance priorities have been revisited and updated performance reports are being reported to EMT regularly</li> </ul>	<ul style="list-style-type: none"> <li>Continue to embed the programme and project management approach across the Council</li> <li>Continue to embed the culture of manager's being responsible for gripping their budgets and for delivery of agreed savings</li> </ul>	TBC
	<b>Impact</b>		<b>3</b>	<b>2</b>						
	<b>Likelihood</b>		<b>4</b>	<b>2</b>						

Strategic Risk Register – March 2021

Ref	Risk	Current status	Current score	Target score	Current v target	Direct'n of travel	Responsible	What have we done & source of assurance	What are we planning to do	By when
<b>5. Manage within Budget: A. Financial</b>										
5.A.1	Financial Failure and inability to maintain service delivery within a balanced budget	△	25	4	△	➔	Executive Director for Corporate Resources	<p>Audited financial statement and VFM – unqualified</p> <p>MTFS, regular monitoring of reserves and provisions, and balanced budget</p> <p>Financial planning addresses historic pressures, emerging demand / costs, and cuts needed in future years.</p> <p>Financial planning considers commitments across collection fund, general fund, schools, housing, pension fund, and capital plans</p>	<ul style="list-style-type: none"> <li>Agree 21/22 budget with cuts identified and pressures funded to set realistic service baselines and manage reserves position for uncertainty</li> <li>Review MTFS and treasury plans with updated capital strategy</li> <li>Monitor local government finance changes – covid and spending review – to ensure changes required are made in good time</li> <li>PMO/EMT to monitor cuts are implemented as agreed or alternatives found to keep budget balanced</li> <li>Unwind Covid funding from BAU service delivery to ensure budget remains balanced through recovery work</li> </ul>	<p>Done Mar 21</p> <p>Jul 21</p> <p>Ongoing Next update Jul 21</p> <p>Next update Jun 21</p> <p>Sept 21</p>
	Impact		5	4						
	Likelihood		4	1						

Strategic Risk Register – March 2021

Ref	Risk	Current status	Current score	Target score	Current v target	Direct'n of travel	Responsible	What have we done & source of assurance	What are we planning to do	By when
<b>5. Manage within Budget: A. Financial</b>										
5.A.2	Lack of provision for unforeseen expenditure or loss of income in respect of Council's liabilities or funding streams	●	12	6	△	➔	Executive Director for Corporate Resources	<ul style="list-style-type: none"> <li>Pension Fund triennial actuarial valuation underway</li> <li>Annual review of insurance provisions and claims</li> <li>Provision and Reserves strategy regularly reviewed to support monitoring and medium term financial planning positions</li> <li>Monitor and contribute to consultations on future of local government finance</li> </ul>	<ul style="list-style-type: none"> <li>Prepare for Business Rates devolution – now on hold and London pool stopped</li> <li>Implement investments strategy following the Pension Fund valuation</li> <li>Assess impact of LGFS following the Chancellor's Autumn Budget. CSR &amp; FFR with Autumn Chancellor's budget.</li> <li>Review bad debt provisions and write offs required post Covid to ensure return to effective income collection part of recovery planning – part of accounts</li> </ul>	<p>As per Gov't timetable that has been delayed</p> <p>Jun 21</p> <p>Done Feb 21</p> <p>Next Jul 21</p>
	Impact		4	3						
	Likelihood		3	2						



Strategic Risk Register – March 2021

Ref	Risk	Current status	Current score	Target score	Current v target	Direction of travel	Responsible	What have we done & source of assurance	What are we planning to do	By when
<b>5. Manage within Budget: A. Financial</b>										
5.A.3	Loss of Income to the Council – Failure to collect debt	●	12	9	★	➔	Executive Director for Corporate Resources	<ul style="list-style-type: none"> <li>ASC charging now all on latest policy. All financial assessments re-done.</li> <li>Ash review for sundry debt concluded to move with a manual solution to:                             <ul style="list-style-type: none"> <li>○ Avoid more IT risk &amp; time</li> <li>○ Have immediate impact</li> <li>○ Realise Oracle &amp; Controcc benefits</li> </ul> </li> <li>Additional resource into debt collection team for support improved collection rates</li> <li>For 20/21 and into 21/22 due to impact of Covid-19 focused on monitoring of income collection positions for all types of debt.</li> </ul>	<ul style="list-style-type: none"> <li>ASC review of process and systems for charging and improvement programme business case agreed and presently being scoped.</li> <li>Implement auto-charging through Controcc along with LAS system reset work</li> <li>Review Collection Fund debt collection processes to improve performance as part of recovery work</li> </ul>	<p>Done Apr 21</p> <p>Done Mar 21</p> <p>Next Jul 21</p>
	Impact		3	3						
	Likelihood		4	1						

Strategic Risk Register – March 2021

Ref	Risk	Current status	Current score	Target score	Current v target	Direction of travel	Responsible	What have we done & source of assurance	What are we planning to do	By when
<b>5.Manage within Budget: B. Emergency Planning and Business Continuity</b>										
5.B.1	Failure to effectively contain the impacts of an emergency affecting the public, business, environment and/or organisation	●	10	8	★	➔	Executive Director Corporate Resources	<ul style="list-style-type: none"> <li>On-call Emergency Planning rota</li> <li>Ongoing Training of all on-call staff</li> <li>London wide standardised training packages ensure consistency and reassurance if mutual aid is required</li> <li>Business Continuity Management Programme runs on annual basis</li> <li>Provide assurance of our capability through the Resilience Standards for London</li> <li>Borough Resilience Forum meets 4 times a year to maintain an overview of the Borough risks and to maintain partnership working</li> <li>Maintain the Borough risk register</li> <li>Maintain and review lessons learned document for all incidents both internal external and COVID related</li> </ul>	<p>Current Covid response has put the Council on an incident response footing since Mar 20. Planned regular exercise are being tested through various lived examples. This continues with present lockdown restrictions and include:</p> <ul style="list-style-type: none"> <li>Run a Council Emergency Planning exercise annually</li> <li>Run an internal Business Continuity Exercise annually</li> <li>Provide table top exercises on BC and Emergency Planning throughout the year Run exercises around key risk themes through Borough Resilience Forum</li> </ul>	<p>Ongoing</p> <p>Ongoing to inform future planning</p>
	Impact		5	4						
	Likelihood		2	2						

## Strategic Risk Register – March 2021

Ref	Risk	Current status	Current score	Target score	Current v target	Direction of travel	Responsible	What have we done & source of assurance	What are we planning to do	By when
<b>COVID- 19 Overall Risk</b>										
5.B.2	Failure to effectively contain the impacts of Covid-19 and deliver services	●	20	16	★	➔	Covid Gold Officer/ Chief Executive	<ul style="list-style-type: none"> <li>• Response strategy and objectives.</li> <li>• Covid risk register identifies key areas of concern and responsibilities</li> <li>• Multi-agency partnership working following a command and control structure.</li> <li>• Sub groups established to deal effectively with key areas of response</li> <li>• Service priorities determined to support the critical functions of the council</li> <li>• Support to critical functions from non-critical services to through the Covid Action Team.</li> <li>• Community Champions programme established to ensure communications are effectively reaching all areas of the community</li> <li>• Communications strategy in place</li> <li>• Situation reporting internally and externally to ensure resilience in the response and to provide an overview across London</li> <li>• Address any changes to legislation and guidance</li> <li>• Targeted testing for identified critical key workers to limit the impacts.</li> <li>• Provide support to the Vaccination Programme</li> </ul>	<ul style="list-style-type: none"> <li>• Continue to monitor impact on services and respond to any lack of resources.</li> <li>• Groups to continue to operate on regular basis</li> <li>• Continue to respond to changes in guidance and legislation</li> <li>• Continue to provide support to staff and residents through services and communications</li> <li>• Improve compliance on restrictions through revised enforcement approach</li> <li>• Review likely expectations for Council to provide longer term public health services – e.g. in support of track and trace and vaccinations</li> </ul>	Ongoing – with engagement of Members and Senior Leadership Team
	Impact		5	4						
	Likelihood		4	4						