

Strategic Risk Register – June 2021

Ref	Risk Category – levels 1 & 2		Lead	RAG	Change / Comment
1	COMPLY WITH THE LAW				
1A	Governance	1. Information Governance Failure	CR	R	Actions & notes updated
		2. Governance failings implementing service changes	CEO	A	Reviewed & updated
1B	Regulatory	1. Non-Compliance with Health & Safety	CEO	A	Actions updated
		2. Respond to legislative change	CEO	A	Reviewed & updated
		3. Impact of Climate Change	HRPR	A	Reviewed & unchanged
2	SECURE SERVICES TO USERS				
2A	Process	1. Adequacy of Internal Control	CR	R	Actions & notes updated
		2. Failure in Child Safeguarding	CYP	R	Last updated April 2021
		3. Non-delivery of transformational change	CEO	R	Reviewed & unchanged
		4. Elections not conducted efficiently or effectively	CEO	G	Narrative updated
		5. Serious Adult Safeguarding concerns	COM	R	Updated narrative June 21
2B	Technology	1. ICT not fit for purpose/does not meet business needs	CR	A	No change
		2. Cyber Security breaches corrupt or locks down systems or data	CR	R	No change
3	DEVELOP STAFF & PARTNERS				
3A	Workforce	1. Loss of constructive relations	CEO	A	Reviewed & unchanged
		2. Maintain sufficient management capacity & capability	CEO	A	Reviewed & unchanged
		3. Pace of change negatively impacts service delivery and employee morale	CEO	A	Title and score change red to amber
3B	Partnerships	1. Multi-agency governance leads to ineffective partnership working	CEO	A	Reviewed & unchanged
		2. Agree integrated delivery models for local health and care services	COM	A	Updated narrative June 21

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Ref	Risk Category – levels 1 & 2	Lead	RAG	Change / Comment	
4	SERVICES REPRESENT VFM				
4A	Procurement 1. Failure to manage suppliers and procurement programmes.	CR	A	Actions updated	
4B	Performance 1. Failure to manage performance leads to service failure	CEO	A	Reviewed & unchanged	
	2. Delivery of Building for Lewisham fails	HRPR	A	New Risk	
5	MANAGE WITHIN BUDGET				
5A	Financial	1. Financial failure unable to maintain delivery within balanced budget	CR	R	Actions & notes updated
		2. Unforeseen expenditure/loss of income from funding streams	CR	A	Actions updated
		3. Loss of income - debt collection	CR	A	Actions updated
5B	Bus. Continuity	1. Failure to contain impacts of emergency	CR	A	Narrative updated
	Covid	2. Contain the impacts of Covid-19 and deliver services	CR	A	Score change from red to amber
6	OTHER				
		1.			

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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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
1. Comply with the Law: A. Governance										
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"> • Roll out mandatory online information governance and security training for all staff • Implement audit recommendations • Complete transfer of the IG function to ITDS and review staff structures, processes and technology capabilities • Focus on clearing backlog and improving timeliness of FOI and SAR response times (post Covid) now part of EMT performance monitoring. 	<p>Dec 21 (slipped Dec 20)</p> <p>Jun 21 (slipped Dec 20_)</p> <p>Sep 21 (slipped Dec 20)</p> <p>Next update Dec 21</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
1. Comply with the Law: A. Governance										
1.A.2	Governance (opportunities and threats) in the implementation of service changes	●	8	8	★	➔	Director of Law, Corporate Governance	<ul style="list-style-type: none"> Corporate Strategy to 2022 adopted Member and Director finance training delivered and additional budget briefing sessions organised. This will continue for future years 21/22 budget agreed by Council following a new, themed approach New corporate programme management office established to ensure consistent approach to major programme and projects with grip and delivery central elements. 	<ul style="list-style-type: none"> Implementation of 21/22 service changes in line with Budget to live within financial limits. Readying the organisation for end of lockdown following Government's roadmap, Planning for "recovery" is taking shape, aligned with London Recovery Board and missions 	<p>End of March 2022</p> <p>Done April 12th; May 17th and June 21st</p> <p>Next 19th July 2021 all subject to review by Govt</p>
	Impact		4	4						
	Likelihood		2	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
1. Comply with the Law: B. Regulatory										
1.B.1	Non-compliance with Health & Safety Legislation	●	12	6	△	➔	Chief Executive	<ul style="list-style-type: none"> • Corporate H&S manual. • Regular prog. of audits reported to H&S Cttee • Directorate H&S Working Group meets quarterly with representation from across all divisions and reports to Unions • Full H&S programme of training available. • H&S guidance is updated and staff briefed when working practices change • Monitor OH referrals • All DMTs reviewed annual self-assessments, incidents and audits • Review approach to tree risk assessments and related work programme 	<ul style="list-style-type: none"> • Implement changes to H&S governance as part of Corporate Resources Finance Review consultation • H&S Board monitoring progress with fire risk works and statutory & planned building maintenance works • Reviewing revisions to service H&S risks for assessments impact of Covid risks 	<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
1. Comply with the Law: B. Regulatory										
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"> Keeping up to date and engaged with relevant professional bodies and government departments Data observatory established Regular policy briefings prepared for review and to aid insight 	<ul style="list-style-type: none"> If appropriate to provide reports to Council on changes necessary to reflect legislation. Responding to Govt consultations and lobbying in various areas of political change Update relevant documents to reflect legislative changes; provide training on any new legislative arrangements 	Regularly reviewed in legal and policy teams Done June 2021 Next Sept 2021 Dec 2021 March 2222
	Impact		4	4	★					
	Likelihood		2	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
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"> Climate Emergency Strategic Action Plan published 2020, update approved by Mayor and Cabinet in March 2021 Continuing to work with Air Quality Management Area Plan and London, National and European strategies to improve Air Quality. Borough Resilience Forum has produced a Multi-Agency Flood Plan and held a flooding exercise in April 2021. Strategic Air Quality Board quarterly. 	<ul style="list-style-type: none"> Action Plan to be reviewed annually by Sustainable Development and M&C Lobbying Government and other for resources to deliver on the Climate Emergency Action Plan Update the Borough's Flood Risk Management Strategy and ensure Business Continuity Plans address service flood risks. Consult on new Air Quality Management Strategy 	<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
2. Secure Services to Users: A. Process										
2.A.1	Adequacy of Internal Control Framework	△	16	8	△	➔	Executive Director for Corporate Resources	<ul style="list-style-type: none"> Internal audit, risk & anti-fraud work – Anti-fraud, Anti-money laundering, whistle blowing policies and hot lines in place Annual National Fraud Initiative (NFI) & data matching Coordination/ joint working with central Govt. agencies (DWP, HMRC, BA), LH and other local housing providers. Quarterly reports to Exec Directors, ICB, Audit Panel monitoring trends & progress Implemented various phases of Oracle project - Finance, PBCS, payroll and self-service live. 	<ul style="list-style-type: none"> 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 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 Internal Audit focussed ensuring recommendations implemented and on core financial audits for 21/22 and 21/22 plan agreed Counter fraud work focused on Covid grant assurance and data matching - ongoing 	<p>Slipped - to Dec 21</p> <p>Slipped to close perf & finance reporting Next milestone Sep 21</p> <p>Reported to Audit Panel Jun 21. Next milestone Sept 21</p> <p>Next milestone Sept 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
FAILURE IN CHILD SAFEGUARDING	▲	25	20	★	→	ED CYP (PG) Dir. CSC (LH)	<ul style="list-style-type: none"> All cases risk assessed Thresholds for access to services linked to statutory requirements LCS system redesigned to improve recording and management oversight Virtual visiting introduced during lockdown but service has moved back to face to face visits Operational procedures revised Weekly critical safety panel created to review performance Quality assurance and performance framework in place to monitor practice. 	<ul style="list-style-type: none"> Improvement Programme 2018/19 - 2021/22 to drive up quality of practice to be consistently good. Strengthen performance framework Workforce Development strategy under development to strengthen recruitment, retention and training permanent workforce Re-launch of supervision policy to strengthen risk management Child Exploitation Strategy under development in the Safeguarding Partnership to manage risk to young people in the community 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 	April 2022 On track Through 2021 To be launched Feb 2021 To be launched Feb 2021 To be launched Apr 2021 To be launched Apr 2021
IMPACT		5	5	★	→				
LIKELIHOOD		5	4	★	→				

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2. Secure Services to Users: A. Process										
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"> Assistant Chief Executive appointed Directorate PMO support in place initially to support delivery of cuts and then service transformation. Restructure underway to build Head of Service capacity focused on delivery of transformation and change, in addition to PMO Strategic programmes and projects agreed along with new governance structure New strategic change board arrangements in place and operational, and making a positive impact 	<ul style="list-style-type: none"> Develop an Organisational Development Strategy. Build focus and capacity to develop and implement change EMT strategic change board receives reports regularly on progress against milestones and OKRs 	<p>Reviewed and agreed at EMT by July 2021</p> <p>New structure implemented by June 2021 - Done</p> <p>Ongoing</p>
	Impact		5	5						
	Likelihood		3	2						

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2.A.4	Elections not conducted in line with law	★	5	4	★	➔	Returning Officer Director of Law, Corporate Governance Head of Elections	<ul style="list-style-type: none"> Preparing for London Mayoral and Assembly elections in May 2021 to be run in a Covid secure manner Acting on Directions from GLRO Preparing for four by elections May 2021 to be run in a Covid secure manner Overall project plan on track and in line with milestones currently Extensive staff training and engagement Census completed, awaiting feedback on completion rates. 	<ul style="list-style-type: none"> Deliver Covid safe elections 2021 - Done Implement Boundary Commission changes once confirmed New Target record for Local Elections – May 22 	Ongoing to May 2022
	Impact		5	4						
	Likelihood		1	1						

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2. Secure Services to Users: A. Process										
2.A.5	Serious Adult Safeguarding Concerns	△	20	20	★	➔	Executive Director for Community Services	<ul style="list-style-type: none"> There are reports provided regularly on practice, performance and activity data to the LSAB. Monthly case audits in place that identify any practice and performance issues. Monitoring of Performance is overseen by DMT. 	<ul style="list-style-type: none"> 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. 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. New system Liberty Protection safeguards will be implemented in April 2022 now that government legal sign off process has been completed. Task and Finish Group in place to monitor all actions from DHR's These are reviewed at Safeguarding Boards and Safer Lewisham Partnership 1 x new DHR has begun. 	<p>performance monitored monthly</p> <p>Monthly quality assurance and call over sessions are in place to monitor practice, trends and quality provision</p> <p>Quarterly</p> <p>Annually in March</p>
	Impact		5	5						
	Likelihood		4	4						

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2. Secure Services to Users: B. Technology										
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 & bens Ash – income collection Go Place – asset register Oracle – fin, HR, & 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"> Working with newly formed PMO in CX Directorate to ensure technology elements of change projects is aligned to objectives. Specific risk around Registrars running Lotus Notes – being replaced with RAFTS Specific Risk around planning system which is obsolete and not optimised for running on modern infrastructure 	<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
2. Secure Services to Users: B. Technology										
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"> Shared service to develop and test disaster recovery plan – delayed due to delivery of back-ups Move to cloud based authentication through MS365 project Scope and secure funding for an Applications and Data Security project 	<p>Sep 21 (slipped Mar 20)</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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3. Develop Staff and Partners: A. Workforce										
3.A.1	Loss of constructive employee relations	●	9	6	●	➔	Head of HR	<ul style="list-style-type: none"> Refreshed people management framework in the light of Covid 19 Continued employee assistance programme Extended Union engagement Launched Pulse surveys across a diagonal slice of staff Established and strengthened staff networks across the organisation 	<ul style="list-style-type: none"> Continue to run regular Pulse surveys for staff Review key HR policies to ensure they are fit for purpose and reflective of a modern, agile workforce. Refreshing Directorate Consultative Committees with Trade Unions Works Council to be reinstated Review the timing of the next Staff Survey 	<p>Ongoing</p> <p>Completed by September 2021</p> <p>By October 2021</p> <p>By October 2021</p> <p>By August 2021</p>
	Impact		3	3						
	Likelihood		3	2						

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3. Develop Staff and Partners: A. Workforce										
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"> All EMT posts filled with permanent appointments All Director level posts appointed to permanently with start dates agreed. 	<ul style="list-style-type: none"> Complete further transformational service changes and recruit as appropriate Additional spend and recruitment controls remain in place 	<p>Ongoing</p> <p>Ongoing Next review June21</p>
	Impact		4	3						
	Likelihood		3	2						

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3.A.3	Pace of change negatively impacts service delivery and employee morale	●	12	12	★	↗	ACE	<ul style="list-style-type: none"> Regular staff and manager communications from CEX on Council direction Together Lewisham staff staff engagement network empowering employee voice and opportunities for staff to influence and shape future direction and new initiatives Leading together Lewisham – all manager engagement on council priorities and direction of travel and expectations. Providing opportunity for managers to engage and give feedback Staff pulse surveys conducted to gain insight on how staff feel about new initiatives SLT engagement and opportunity to feedback and shape initiatives New appraisal process launched Outplacement support package for staff 	<ul style="list-style-type: none"> Training for managers on managing and leading through change – Future Working Roll out further 'Future Working' events to continue engagement with managers and staff to disseminate key messages Continue to work with TU colleagues to develop/improve working relationships People Management strategy developed as part of OD strategy (post Covid version) Manager induction programme All staff transformation / restructures programmes should be accompanied by a learning and development plan to support transition to new structure and staff development 	<p>Next milestone – Sept 21</p> <p>Next milestone – Sept 21</p> <p>Quarterly</p> <p>Oct 21</p> <p>Slipped to Oct 2021</p> <p>Ongoing</p>
	Impact		4	4						
	Likelihood		3	3						

Strategic Risk Register – June 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
3. Develop Staff and Partners: B. Partnerships										
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"> 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. Ongoing strategic partnership boards in place and actively supported and engaged with 	<ul style="list-style-type: none"> 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 Developing place based recovery plans in partnership with anchor institutions/key partners/stakeholders. Continue with ongoing strategic partnership boards 	Ongoing
	Impact		4	4						
	Likelihood		2	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
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"> Partnerships in place across health and social care. Monitoring of initiatives takes place via DMT, S75 Board and HWBB. Integration planning continues with new joint posts agreed and recruited Developed the strategic commissioning function. Care at home leadership group has now been established. .Whole system recovery plan has been developed 	<ul style="list-style-type: none"> Continue to develop the Lewisham Health & Care partnership alliance arrangements whole system change. Care at home leadership group has now been established. Continue to develop strategic commissioning function. Proposals for Commissioning Alliance and provider alliances are being developed. Work with providers to develop an operational model for Care at Home and Adult Mental Health. Whole system recovery plan has been developed. Review of changes to Police/CRC + NPS/Fire 	<p>Monthly by Lewisham Health and Care Partners Board.</p> <p>Completed</p>
	Impact		4	2						
	Likelihood		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
4. Develop Staff and Partners: A. Procurement										
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"> Published work on community wealth building as part of inclusive growth strategy development Growth in service for additional x2 posts Rolled out quarterly procurement training courses for all appropriate officers Fees and charges report published in 20/21 Current years Social Value report was published in Aug 20 Contract management toolkit and supporting training Contract management dashboard for performance tracking in place 	<ul style="list-style-type: none"> Work on memorandum trading accounts for priority services re commercial work Extend contract management training for all procurement and contract managers to embed use of toolkit and dashboard reporting 	Slipped due to Covid Next Sep 21 Next Sep 21
	Impact		4	3						
	Likelihood		3	2						

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4. Services Represent VFM: A. Performance										
4.B.1	Failure to manage performance leads to service failure	●	12	4	△	➔	Chief Executive	<ul style="list-style-type: none"> Transferred reporting of risk to Audit Panel 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 Good collaborative work, and a One Council approach, evidenced during response to Covid19 and through themed approach to budget 21/22 development Following creation of a single corporate policy and performance team, service data & performance priorities have been revisited and updated performance reports are being reported to EMT regularly 	<ul style="list-style-type: none"> Continue to embed the programme and project management approach across the Council Continue to embed the culture of manager's being responsible for gripping their budgets and for delivery of agreed savings 	
	Impact		3	2						
	Likelihood		4	2						

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Ref	Risk	Current status	Current score	Target score	Current v target	Direct' n of travel	Respons ible	What have we done & source of assurance	What are we planning to do	By when
4.B.2	Delivery of the Building for Lewisham programme fails to make full use of available funding streams and/or exceeds the Councils financial parameters	●	12	8	●	➔	Executive Director HRPR	<ul style="list-style-type: none"> Held 3 x risk workshops with LH and LBL Split programme into tranches to consider risks appropriately; under construction, planning, approved pipeline, unapproved pipeline. Agreed changes to planning schemes to improve viability, including agreement to use of 40% RTB receipts. 	<ul style="list-style-type: none"> Urgent work to consider options to improve scheme viability, programme viability and provide clarity on deliverable social homes starts and completions on approved and unapproved pipeline schemes. Review Shared Ownership strategy including analysis of risk and exit strategy. Review RTB assumptions following revised Government guidance Review implications of first homes guidance on programme risk. 	<p>Q2 2021/22 and ongoing</p> <p>Q2 2021/22</p> <p>Q2 2021/22</p> <p>Q2 2021/22</p>
	Impact		4	4						
	Likelihood		3	2						

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5. Manage within Budget: A. Financial										
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"> Prepare work on 22/23 budget timetable and approach – HRA, DSG, Capital, TMS and delivery of cuts Review MTFS and treasury plans with updated capital strategy Monitor local government finance changes – covid and spending review – to ensure changes required are made in good time PMO/EMT to monitor cuts are implemented as agreed or alternatives found to keep budget balanced Unwind Covid funding from BAU service delivery to ensure budget remains balanced through recovery work 	<p>Next update Sep 21</p> <p>Done Jul 21</p> <p>Ongoing Next update Sep 21</p> <p>Reported in finance monitor Next update Sep 21</p> <p>Sept 21</p>
	Impact		5	4						
	Likelihood		4	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
5. Manage within Budget: A. Financial										
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"> Pension Fund triennial actuarial valuation underway Annual review of insurance provisions and claims Provision and Reserves strategy regularly reviewed to support monitoring and medium term financial planning positions Monitor and contribute to consultations on future of local government finance 	<ul style="list-style-type: none"> Prepare for Business Rates devolution – now on hold and London pool stopped Implement investments strategy following the Pension Fund valuation Assess impact of LGFS following the Chancellor's Autumn Budget. CSR & FFR with Autumn Chancellor's budget. Review bad debt provisions and write offs required post Covid to ensure return to effective income collection part of recovery planning – part of accounts 	<p>As per Gov't timetable that has been delayed</p> <p>Done Jun 21 Next milestone on low carbon for Sept 21</p> <p>Oct/Nov 21</p> <p>Next Jul 21 (will follow accounts work)</p>
	Impact		4	3						
	Likelihood		3	2						

Strategic Risk Register – June 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
5. Manage within Budget: A. Financial										
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"> ASC charging now all on latest policy. All financial assessments re-done. Ash review for sundry debt concluded to move with a manual solution to: <ul style="list-style-type: none"> ○ Avoid more IT risk & time ○ Have immediate impact ○ Realise Oracle & Controcc benefits Additional resource into debt collection team for support improved collection rates For 20/21 and into 21/22 due to impact of Covid-19 focused on monitoring of income collection positons for all types of debt. LL and Controc systems aligned to Oracle for ASC and CSC 	<ul style="list-style-type: none"> As part of wider consultancy review of ASC, look to improve finance assessment and self-funding recovery Review Collection Fund debt collection processes to improve performance as part of recovery work as part of unwinding Covid support and return to BAU 	<p>Sept 21</p> <p>Next Sept 21</p>
	Impact		3	3						
	Likelihood		4	1						

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5.Manage within Budget: B. Emergency Planning and Business Continuity										
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"> On-call Emergency Planning rota Ongoing Training of all on-call staff London wide standardised training packages ensure consistency and reassurance if mutual aid is required Business Continuity Management Programme runs on annual basis Provide assurance of our capability through the Resilience Standards for London Borough Resilience Forum meets 4 times a year to maintain an overview of the Borough risks and to maintain partnership working Maintain the Borough risk register Maintain and review lessons learned document for all incidents both internal external and COVID related 	<ul style="list-style-type: none"> 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: <ul style="list-style-type: none"> Run a Council Emergency Planning exercise annually Run an internal Business Continuity Exercise annually Provide table top exercises on BC and Emergency Planning throughout the year Run exercises around key risk themes through Borough Resilience Forum Restart Resilience Board to oversee arrangements and key issues. 	Ongoing – although expected to wind down over the summer of 2021 Ongoing to inform future planning Sept 21
	Impact		5	4						
	Likelihood		2	2						

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COVID- 19 Overall Risk										
5.B.2	Failure to effectively contain the ongoing impacts of Covid-19 and deliver services	●	10	9	★	↗	Chief Executive	<ul style="list-style-type: none"> • Strategy and objectives. • Covid risk register identifies key areas of concern and responsibilities • Multi-agency partnership working following a command and control structure. • Sub groups established to deal effectively with key areas of response • Service priorities determined to support the critical functions of the council • Support critical functions from non-critical services through Covid Action Team. • Community Champions programme established to ensure communications are effectively reaching all areas of the community • Communications strategy • Targeted testing for identified critical key workers to limit the impacts. • Provide support to the Vaccination Programme • Weekly EMT Covid meetings led by Public Health, including London reporting 	<ul style="list-style-type: none"> • Continue to respond to changes in guidance and legislation • Continue to provide support to staff and residents through services and communications • Move Covid emergency response management to 'business as usual' under Public Health from July 2021 • Review need to sustain as separate risk or return to BAU 	<p>Ongoing – with engagement of Members and Senior Leadership Team</p> <p>Done</p> <p>Quarterly</p>
	Impact		5	3						
	Likelihood		2	3						