

Risk Score*	L	I**	Risk Title	Risk	Actions and potential future controls identified in March 2019	Target Completion Dates	Updated Action Notes	Action Status	CMT Sponsor
20	4	5	Brexit	Disruption to local/council services and supply chains.	Review the output of the Brexit preparedness template data to ensure service risk mitigation is captured in 'business continuity plans' in conjunction with council wider strategy towards Brexit.	End Feb 2019 for completion of all BC plans (on track)	Risk template has been completed by directorates and reviewed frequently. A focus of the BRG going forward will be the financial impact of Brexit on the borough.	Complete	C.Littleton
					Monitor central government guidance.	Ongoing, with weekly briefings	Reporting back to London Councils and MHCLG has been suspended as we're waiting for the outcome of the Conservative leadership contest. This reporting is likely to start again late summer as we approach the 31 October Brexit deadline	In progress/ on-track	C.Littleton
					Monitor London Resilience Group	Ongoing, with weekly briefings	London Resilience have not reconvened and government planning (Operation Yellow Hammer) have not reconvened yet either	In progress/ on-track	C.Littleton
16	4	4	Youth Crime and serious youth violence	There is an increase in crime and in the harm Serious Youth Violence causes. There is a perceived failure to respond adequately to/prevent crime involving young people, despite funding and well publicised plans.	Youth Crime communications plan is being updated in 2019	End of March 2019	This is on going joint piece of work with Community Safety and is reported to LBI Police liaison meeting. Youth and Community are developing a new Youth Crime Bulletin that will be sent to partners from Aug 2019 on a monthly basis.	In progress/ on-track	C.Littleton
					Review of the Working Together for a Safer Islington Plan taking place this year in preparation for a new plan in 2020.	The current plan will be completed by Dec 2019 with writing a new one leading to the launch of the new plan in April 2020	A task and finish group has been established to oversee the review of the Youth Crime prevention plan with strategic leads and VCS, parents and young people reps, a project plan is in place with time frames for completion. Work has started including review of effectiveness of existing services, and contextual safeguarding exercises with 100+ young people to identify their concerns and priorities for change. Public Health have agreed to support a needs assessment to inform the new plan.	Not due for 6 months or more/Ongoing	C.Littleton
12	3	4	Cyber Security	Process Control Networks and/or Critical Information Assets may be compromised	Develop Enterprise Resource Planning, this will introduce more automation. This is important around role based access and is effective in ensuring legacy access is removed as staff move/leave.	April 2021 (subject to project planning)		Not due for 6 months or more/Ongoing	N.Beardmore
					Roll-out training	April 2021 and ongoing (subject to project planning)	Training workshops planned for general competency uplift.	Not due for 6 months or more/Ongoing	N.Beardmore
					Introduce (for approval) a set of CIO authorities which sets out the scope of products and services for which the CIO's approval must be obtain. This will be a significant help in ensuring no 'weak link' components provide new threat vectors for attacks.	01/04/2019 - the "CDIO authorities" have been endorsed by CMD and now being applied to ensure technology related initiatives are subject to appropriate assessment.		Complete	N.Beardmore
					Cyber Breach Exercise planned to test cyber resilience.	Dec-19	New Head of Cyber Sec starts July 2019	Not due for 6 months or more/Ongoing	N.Beardmore
12	4	3	Serious information breach or non-compliance with legislation	The Council does not keep sensitive and/or personally identifiable information secure	Retention and deletion of data on systems is being identified and implemented	Ongoing aiming March 2020	July 2019 - Transferred ownership to J. Cumming	In progress/ on-track	N.Beardmore
					New training provider being identified for Information asset Owner's	End of Feb	New training provider has been identified and the first sessions have been held. More will be arranged later in the year.	Complete	N.Beardmore
					Information Security and Cyber Security Awareness training being identified	Sep-19	July 2019 - Transferred ownership to J. Cumming	In progress/ on-track	N.Beardmore
					Proposed mock ICO Audit to take place in 2021 to review effectiveness of strategy.	2021	This isn't scheduled yet.	In progress/ on-track	N.Beardmore
					Reviewing the roles and responsibilities of the Data Security Working Group and the GDPR Working Group.	Mar-19	We now have an Information Governance Working Group (IGWG) which comprises both groups. New ToR have been written and the first two meetings have been held (third due to be held on 11 July).	Complete	N.Beardmore
					Monitoring of ICO guidance and revision to guidance and templates	As required	Annual update of policies has taken place and changes made as required. No updated guidance has been released from ICO to date that has required extensive updates but we are constantly monitoring this through newsletters etc.	In progress/ on-track	N.Beardmore
12	3	4	Response and resilience	There is a risk we are not able to recover critical internal processes or respond effectively to a major incident following a disruptive event (internally/externally) within a suitable timeframe	Implement outstanding actions arising from the audit of business continuity including the need for critical services to have appropriate out of hours arrangements to respond to incidents	01/06/2019 - new date being agreed	Delay has occurred in agreeing out of hours arrangements with services during changes in senior management. This has now been resolved and actions back on track,	In progress/ on-track	Kevin O'Leary
					Connect the emergency generator and ensure it is fully functioning (Shared Digital Services /Public Realm/Facilities)	Sep-19	The complexity of the project has led to a review of the lead service and the intention is to reassign to Emergency Planning (Dan Lawson) and Facilities (Martin Bevis). Proposed end date of Dec 2019	In progress/ on-track	Kevin O'Leary
					Resources need to kept under review as we work to comply with the London Resilience Forum standardised model	Jan-20	On going progress is being made towards EP2020	In progress/ on-track	Kevin O'Leary
					Complete 4 BCP exercises including testing of a Cyber Attack and serious incident affecting housing stock.	Dec-19	Original exercises held in abeyance and replaced with BC testing relating to Brexit risks. Exercise programme dates have been shifted, aiming to carry out 4 by Apr 2020	In progress/ on-track	Kevin O'Leary

12	3	4	Safeguarding Adults	Failure to fulfil our statutory obligation to identify or respond to significant preventable harm to adults at risk of abuse	There is Longer term ambition to source an IT solution for Mental Health recording. The Mental Health Trust would like to have one recording system for C&I, Camden and Islington councils. Any shared system will need to be agreed by all organisations involved as there are potential risks to LBI in changing our LAS module for a more generic system that meets the reporting needs of all three organisations. On top of the preliminary investigations to assess the appetite and suitability of a shared system the development of any new system will need time to ensure time for testing and bug fixing.	Sep-20		Not due for 6 months or more/Ongoing	C.Littleton
				There will be an Audit Safeguarding Adults and Mental Health undertaken by Internal Audit.	End 2019		Not due for 6 months or more/Ongoing	C.Littleton	
12	3	4	New build Housing	Delay or Inability to deliver the New Build Programme, quality, time and cost.	Funding resource for planning officers	Jul-19	Recruitment completed and substantially in post.	In progress/ on-track	M.Holdsworth
					We submitted a bid to the GLA in January 2019 through the Homebuilding Capacity fund to fund more Planning and Development Managers	Announcements in Spring 2019	Funding bid partially awarded - revised spend in discussion with GLA	In progress/ on-track	M.Holdsworth
					Reviewing how the team operates to identify improvements, one of the potential changes include appointing a Service Director for the New Build programme	Apr-19	Service Director in post, service development planning underway including establishment of PMO / commercial and technical design roles	In progress/ on-track	M.Holdsworth
					Develop communications strategy Implement the remaining action plan recommendations.	May-19	Communications strategy in place with key messages across program.	In progress/ on-track	M.Holdsworth
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12	3	4	Financial Strategy	The Council fails to balance the Council's budget over the medium term – including making cash savings.	We will respond to the government funding consultations.	21-Feb-19	The Council responded to the Consultation on time. We continue to lobby through SLT and London Councils. At present the risk remains as the Government is yet to make a decision. The Council has highlighted this risk in the MTFS and potential scenarios are being modelled to ensure the MTFS reflects this risk.	In progress/ on-track	S151 officer
					Embedding the PMO, this includes a training programme defined in the P3M training framework, which includes project and risk management training.	Sep-19	Training has been procured by the PMO - ongoing action	In progress/ on-track	S151 officer
10	2	5	Safeguarding Children	Ineffective protection of children and parents	Develop action plan from recent Joint Targeted Area inspection [held December 2019] and published in January 2019	End of March 2019	The JTAI action plan is in place, it is multi agency and being monitored through the ISCB	In progress/ on-track	C.Littleton
					Continue to adhere to Quality Assurance Framework and to report regularly to Safeguarding Accountability Meeting and Scrutiny panel as necessary	Ongoing	All QA and monitoring processes continue to be in place. Self Evaluation [as required by Ofsted] was completed in December 2018 and presented to Annual Engagement Meeting with Ofsted in January 2019. No further actions or developments identified by ofsted.	In progress/ on-track	C.Littleton
10	2	5	Serious Health and Safety	Serious Health and Safety incident in the council's housing stock	Liaison with LFB and MHCLG to ensure we are on top of	Ongoing	Ongoing scrutiny of compliance via Homes & Estates Safety Board.	In progress/ on-track	M.Holdsworth
					Engagement with government consultation on delivery of Hackitt recommendations, expected this spring.	Jun-19	Awaiting consultation	Delayed	M.Holdsworth
9	3	3	IT Delivery and transformation	We do not deliver IT projects which will enable	Our IT Business Plan will be presented to CMB in March	Mar-19	Business Plan endorsed by CMB in March. Public version is in link.	Complete	N.Beardmore
					The Business Plan includes a functional review of our in house capabilities; the proposed sourcing arrangements to engage external expertise; and the identification of critical infrastructure that is at or close to end-of-life. To support this, a set of appropriate architectural principles and guidelines will establish the roadmap for the remediation programme. Key roadmap decisions include the adoption of the Microsoft suite of products (including MS Project Server) to enable integration as well as the initiation of an ERP programme to underpin our core HR, Payroll and Finance functions. The budget is still being unravelled from the Shared Digital arrangement but it is clear that there will be budget pressures which will potential limit the rate of progress.	Infrastructure remediation will be planned subsequently and as resources and funding allows. Completion of all critical (out of support) remediation by August 2020.	New organisation in place and new functions being established. Financial situation at transfer from SD is OK. However, growth in user numbers and demand for digital training represent the largest cost pressures. Projects to exit Windows 7, Sharepoint 2010, ISDN telephony and other critical infrastructure are aggressive but on track	Not due for 6 months or more/Ongoing	N.Beardmore

9	3	3	Change Programme Delivery	Failure to implement change projects	Continued embedment of the PMO	Ongoing	Monthly DMT and CMB sessions running since April to review highlight reports New business cases reporting through to DMTs and through to PDB for approval first Delivery Executive held in July with Leader and Lead Member to update on the programme.	In progress/ on-track	N.Beardmore
				The above includes a training programme defined in the P3M training framework, which includes project and risk management training Training Programme now underway, with first masterclasses delivered. Communications to go round on the online training module in the week of 25/2/19. Introducing Office Project Online, to support governance and management process	Mandate for investment will go to Programme Delivery Board in March, and if agreed will aim for implementation in June	training programme underway including online and face to face elements, and open to PMs across the council. Project Online implementation - first test expected at end of September 2019. In the interim highlight reports produced manually.	In progress/ on-track	N.Beardmore	
8	2	4	Welfare Reforms	Cannot efficiently collect rent following introduction of Universal Credit (UC) when housing support is paid directly to the claimant. Evictions and homelessness may also increase.	We are working to introduce direct debit payment options for our tenants across the month and staff have been trained as Digital Champions, which will include support to those who require it to navigate Universal Credit.	Jan-20	Working towards upgrading our Housing Management system. Some issues with the new version and process failure, working closely with IDS and Northgate to resolve	In progress/ on-track	N.Beardmore
					Develop further UC and refresher training rolling programme.	Jul-19	Further training has been rolled out, including to staff at BrightStart centres. Income staff have received additional training	Complete	N.Beardmore
					Reviewing our triage model at 222 Upper Street, along with our personal budgeting and digital support (in conjunction with DWP and Citizens Advice).	Aug-19	Review conducted and new service began early May. We are expanding on this service to make it as effective as possible, comms plan in place - launching a further face to face offer linked to UC/ Debt/ Rent arrears	In progress/ on-track	N.Beardmore
					Scrutiny of Housing Benefit data through Policy in Practice to identify those most at risk from migration to UC, including families with children turning 5.	May-19	Regular programme of letters to those with young children and at risk of migration. Letters sent quarterly, currently analysing results of first two mailings	In progress/ on-track	N.Beardmore
8	2	4	Health and Safety	Significant Health and Safety Incident	Liaison with partners organisations ongoing including engagement with pilots and lessons learned' events.	Service development roll out 2019/20.	Continuing to develop relationships with partners, incl information sharing where possible	In progress/ on-track	N.Beardmore
					Audit arranged with British Safety Council to review the Council's health and safety management arrangements.	Apr-19	British Safety Council audit completed and initial feedback presented to CMB 9/6/19. Action plan to be drawn up and presented to CMB 20/8/19, All of the actions currently in the action log will be covered along with the other BRE recommendations. Timescales will be included in the draft action plan. Review of drug & alcohol testing policy underway, due to complete September 19.	In progress/ on-track	M.Holdsworth
					Working group (HR and H&S) reviewing on-boarding process to ensure staff with complex needs are adequately provided for.	Jun-19	As above	In progress/ on-track	M.Holdsworth
					Asbestos module testing to be completed.	Aug-19	As above	In progress/ on-track	M.Holdsworth
					Health and Safety policy to be reviewed and presented to CMB	May-19	As above	In progress/ on-track	M.Holdsworth
					Annual health and safety performance report to CMB	May-19	As above	In progress/ on-track	M.Holdsworth
8	2	4	Contract Management	Significant contractor failure/contractors failing to deliver within the agreed parameters (Quality, cost and schedule)	Implementing audit recommendations, this includes: Reviewing above guidance, Strategic Contract Management provision (toolkit standard guidance and documents).	Finished by end 18/19 financial year	Contract Management Guidance (updated), Decommissioning Guidance (updated), contract management plan (new), contract continuous development plan (new), Contract due diligence letter (new), Supplier meeting agenda (new), Poor performance letter (new), Contract extension letter (updated), contract amendment (new), Existing Contractor Re-tender (updated). Audit currently being undertaken.	Complete	N.Beardmore
					Allocating a Senior Manager and Manager under the Head of Service to provide Strategic Contract Management advice and contract financial assurance (operational contract management to remain within services).	End of quarter one 2019/20	A wider review of deploying resources and a host of additional requirements have been placed on the team. A report has been drafted which has been shared with senior management for how this is to progress.	Delayed	N.Beardmore
					Strategic Procurement facilitating and co-ordinating under the SCPG actions to obtain best practice across the organisation and develop this into guidance, forms and templates for use at the end of the Procurement Toolkit.	End of quarter one 2019/20	A year long review took place with Supply Chain Practitioners Group across the Council coordinated by Strategic Procurement. Information passed to the auditors and awaiting recommendations.	Complete	N.Beardmore
					Commissioning and Procurement Board – To identify a schedule of contracts from which to receive/challenge information on contract management by Commissioning and Procurement Board.	Compile list by end Q1 and commence review in Q2.	Attached spend report and contract breakdown. Report went to Resources Management Team (RMT) 4 June 2019 and will go across the Council at Commissioning and Procurement Board (CPB) 27 June 2019. Reports to be decided in due course.	In progress/ on-track	N.Beardmore
					Commissioning and Procurement Board – To review contracts over £500k p/a where there are points of optional extension for justification of action to be taken.	Done in conjunction with above.	Attached spend report and contract breakdown. Report went to Resources Management Team (RMT) 4 June 2019 and will go across the Council at Commissioning and Procurement Board (CPB) 27 June 2019. Reports to be decided in due course.	In progress/ on-track	N.Beardmore
					Providing training to ensure new guidance is understood	Roll-out planned Q2 2019/20 financial year.	Training has been commissioned, awaiting scheduling from trainer. Expected by end of 2019.	In progress/ on-track	N.Beardmore

4	2	2	Serious Fraudulent Activity	Serious Fraud or corruption	Refreshing the terms of reference and reporting route for Fraud Forum in March 2019 to ensure the forum' benefits are clearly defined and delivered.	Summer 2019	The Fraud Forum has not been delivering original objectives and Housing Investigations (who lead the forum are reviewing the way forward in consultation with Internal Audit - Investigations).	Not due for 6 months or more/Ongoing	S151 officer
					Review the resourcing of the Corporate Investigations with a view to potentially increasing resource to improve our ability to pro-actively manage fraud.	Summer 2019	Resourcing of investigations is being considered as part of the savings programme.	Not due for 6 months or more/Ongoing	S151 officer
					HR to roll-out fraud training.	Summer 2019	HR and Internal Audit-Investigations will review the training module in July/August 2019 ahead of HR launching the training.	In progress/ on-track	S151 officer
					LCFH provides alerts of potential fraud for our further investigation.	Ongoing, as alerts come in	The LCFH has not gone live yet so alerts are not being received.		CMB

* Risk scores were agreed by the Corporate Management Board (CMB) in March 2019, the scores reflect the risk after the application of existing controls.

** An impact matrix can be seen at the 'impact matrix' tab below