

Report of: Interim S151 Officer

Meeting of:	Date	Agenda item	Ward(s)
Audit Committee	28 th January 2020	-	All

SUBJECT: Principal Risk Report – January 2020**1. Synopsis****Section 1**

1.1. This report presents the current principal risks facing Islington.

1.2. The Principal Risk Report is an annual report, written in consultation with risk sponsors, risk leaders, Departmental Management Teams and the Corporate Management Board. The last Principal Risk Report was considered by Audit Committee in March 2019. A further update on actions taken to mitigate Principal Risks was shared with Audit Committee in July 2019.

1.3. The introduction (below) to this report highlights key events that have occurred since the last report and outlines key changes to the report. Thereafter the report presents the risk impact matrix, principal risk map, risk universe, executive summary and how our Corporate Plan links to our risks. The final section and main body of the report provides an update for each principal risk.

1.4. **Section 2** presents :

- An executive summary detailing principal risks and trends since the last update to CMB and Audit Committee,
- A risk universe demonstrating the current risks by category,

- The Council's current risk map,
- How our risks link to our objectives, and maps the identified risks against our objectives,
- The principal risk update, which provides an update for each risk, detailing recent developments and key mitigating actions underway.

1.5. A number of changes in scoring since the last iteration of the report have occurred, the changes in risk score are denoted in brackets in the Section 2 (Executive Summary), shown next to the risk score.

1.6. For each risk detailed in the report, there are a number of controls (mitigations) in place. This report provides a summary of these current controls but does not detail all of the controls already in place. Where appropriate potential future controls actions have been included.

Additions

- 1.7. In recognition of the need to ensure adequate governance and oversight of capital spend, and the impact of potential financial loss on the achievement of our objectives, we have included the Capital Programme as a new Principal risk.
- 1.8. In recognition of the change in local NHS commissioning arrangements to move to one Clinical Commissioning Group governed at a 5 borough level (from 1 April 2020), and the impact of commissioning budgets and operations; we have included Health and Social Care Integration risk as a new Principal risk.
- 1.9. In recognition of the increasing challenges in terms of recruitment and retention of staff, and the impact of retaining quality staff has on our service delivery, we have included Recruitment and Retention as a new Principal risk.
- 1.10. In recognition of the increasing financial pressures on private providers in the social services sector, and the impact of provider failure on residents, we have included Social Care Market Instability as a new Principal risk.
- 1.11. In recognition of the increasing pressures in the housing and construction markets, and the impact on our commitment to deliver housing stock under the requirements of the Housing Delivery Test, we have included Housing Delivery as a new Principal risk.
- 1.12. In recognition of the need to invest in our CCTV in order to enhance the provision across Islington, and the impact of a failure potentially leading to a breach of regulation and/or inability to capture adequate CCTV recordings, we have included CCTV failure as a new Principal risk.

Deletions

- 1.13. There have been no deletions since the last report.

2. Recommendations

- 2.1 Committee is asked to note the report.

3. Background

The Principal Risk Report is an annual report presenting the principal risks facing Islington written in consultation with risk sponsors, risk leaders, Departmental Management Teams and the Corporate Management Board. A further update on actions taken to mitigate Principal Risks is also shared with Audit Committee in-year. This iteration provides an update on the Principal Risk Report presented to Audit Committee in March 2019, and the Action update presented in July 2019.

4. Implications

4.1. Financial implications

The programme of work has been met from within the existing risk management budget. The financial implications of individual principal risks are met by local budgets

4.2. Legal Implications

There are no legal implications arising from this report. Legal advice and support will be provided, where necessary, in relation to individual risks.

4.3. Environmental implications

There are no known environmental implications arising from the recommendations in this report.

4.4. Resident Impact Assessment

The council must, in the exercise of its functions, have due regard to the need to eliminate discrimination, harassment and victimisation, and to advance equality of opportunity, and foster good relations, between those who share a relevant protected characteristic and those who do not share it (section 149 Equality Act 2010). The council has a duty to have due regard to the need to remove or minimise disadvantages, take steps to meet needs, in particular steps to take account of disabled persons' disabilities, and encourage people to participate in public life. The council must have due regard to the need to tackle prejudice and promote understanding.

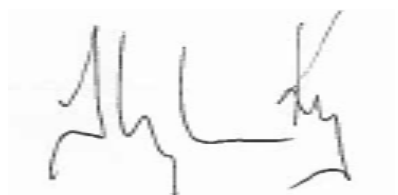
A Resident Impact Assessment has not been completed because the decision currently being sought does not have direct impacts on residents.

5. Reason for recommendations

5.1 To note the Principal Risks facing Islington and actions currently being undertaken/planned to reduce these risks.

Final report clearance:

Signed by:



9 January 2020

Acting S151 Officer

Date:

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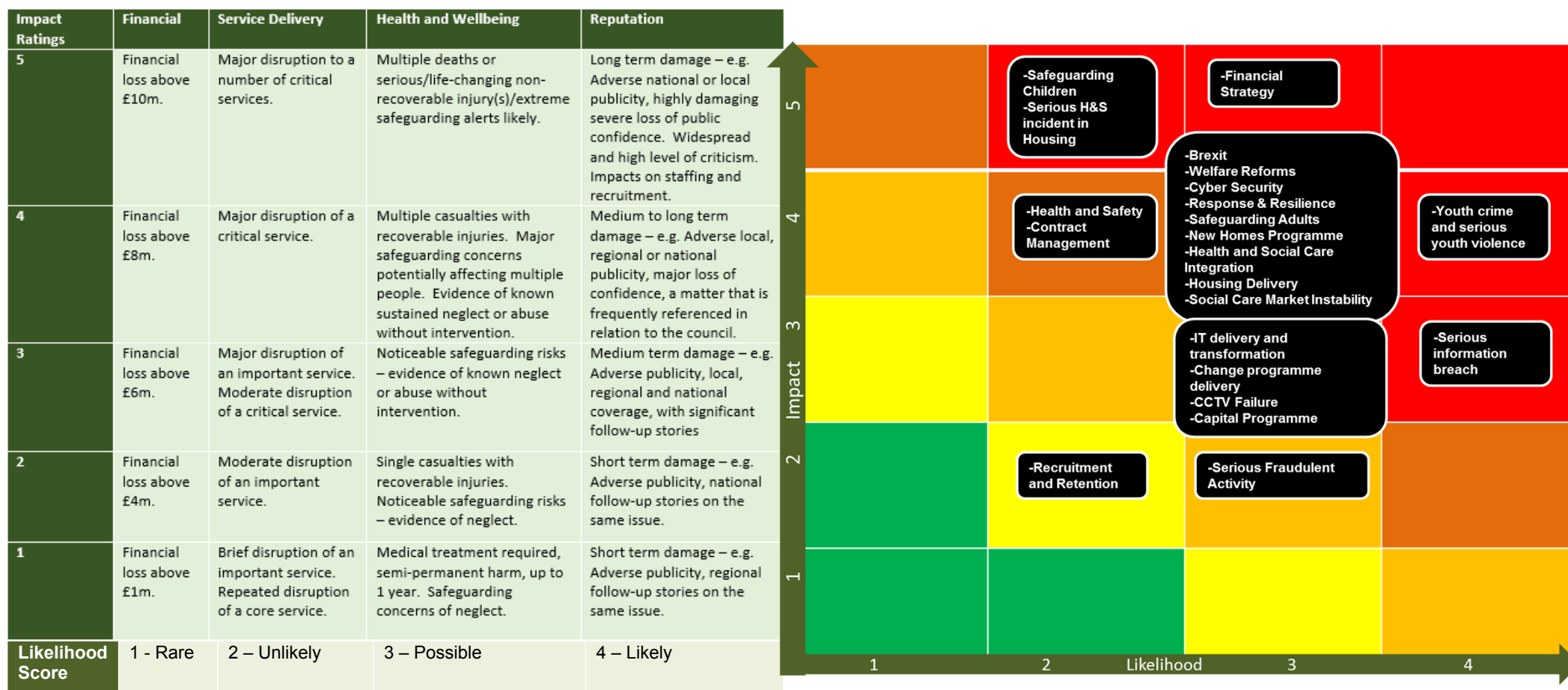
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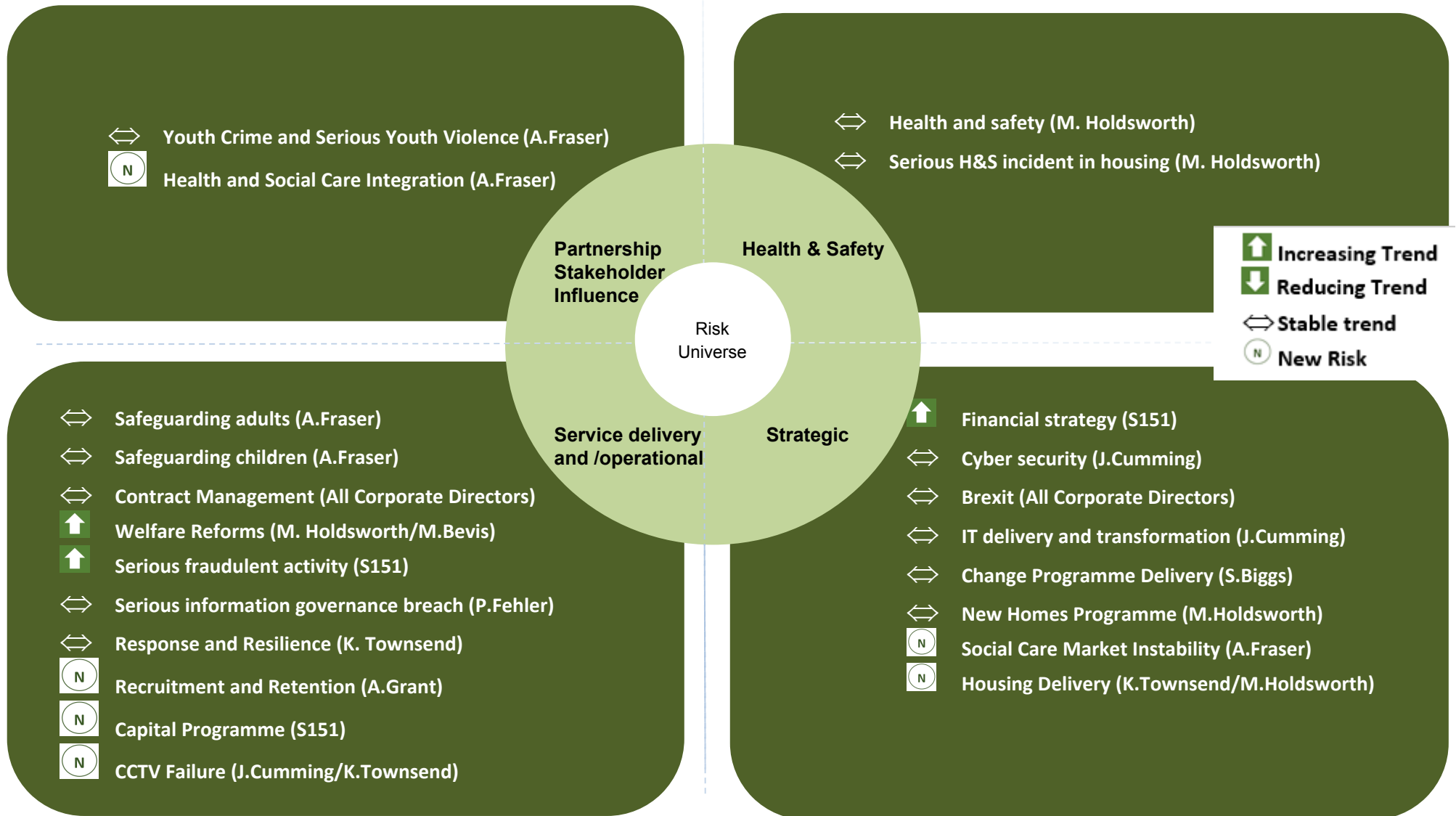
Section 2

Risk impact matrix and heatmap



Note: risks have been scored considering the above criteria in view of the current controls in place. The criteria (Financial, Service Delivery, Health and Wellbeing or Reputation) considered most appropriate to each risk has been chosen. Risks in the same black box share the same scoring, the order they appear in the box is not indicative of severity.

Risk Universe (Including latest risk trend)



Ⓝ New Risk

↑ Risk Increasing

↔ Risk Outlook Stable

↓ Risk Reducing

Executive summary of the principal risks

L=Likelihood Score I=Impact Score (0) – denotes no movement in risk score since March 19, if a '+' or '-' is indicated this denotes a change in the risk score since March 19

Risk Score	L	I	Risk Title	CMB Risk Sponsor	Risk Score Outlook March 19	Risk Score Outlook Dec 19	Comment on change in trend
16 (0)	4	4	Youth crime and serious youth violence	A.Fraser	↔	↔	Although crime overall is declining in Islington, violence and knife crime is increasing across London and risk levels can change rapidly and so the forward trend remains at a high risk score.
15 (+3)	3	5	Financial strategy	Section 151	↔	↑	The Government postponed the full 3 year Spending Review that was planned for summer 2019 as well as the fair funding review, and provided a one year settlement in September 2019. This therefore increases future uncertainty and the impact score of this particular risk.
12 (-4)	3	4	Brexit	All	NEW	↔	This report is compiled before the general election scheduled for 12th December, the outcome of the election is expected to inform the governments approach to Brexit. Our planning around critical services escalated before the October EU exit deadline increasing our oversight and the robustness of our critical services, resulting in a reduction in both the likelihood and impact score.
12 (+1)	3	4	Welfare reforms	M. Holdsworth/M. Bevis	↑	↑	It is planned around late 2023/2024 that remaining legacy benefit claimants will be moved over in a managed migration. However, it is likely that most will have naturally migrated by this time. Council tenants on Universal Credit (UC) have consistently higher rent arrears than those on Housing Benefit, the increasing numbers migrating to UC result in the likelihood score being increased by 1 to reflect the increased risk of rent arrears and financial difficulty.
12 (0)	3	4	Cyber security	J.Cumming	↑	↔	Our protection continues to increase, the level of attack is constant with seasonal adjustment e.g. elections
12 (0)	4	3	Serious information breach or non-compliance with legislation	P.Fehler	↑	↔	Residents are more educated regarding GDPR/DPA18 resulting in an increasing request for advice. The application of GDPR/DPA18 has not yet been tested increasing uncertainty of potential fines.
12 (0)	3	4	Response and resilience	K.Townsend	↑	↔	The external environmental triggers continue to worsen meaning our planning needs to be increasingly robust. Record number of incidents responded to in 2018/19, current figures show incidents in 2019/20 on course to rise again, however within the bands of the current risk score


Risk Score	L	I	Risk Title	CMB Risk Sponsor	Risk Score Outlook March 19	Risk Score Outlook Dec 19	Comment on change in trend
12 (0)	3	4	Safeguarding adults	A.Fraser	↔	↔	The risk score remains stable however the complexity of cases has been increasing, this has been met with a plan for additional training for our staff to support residents.
12 (0)	3	4	New Homes Programme	M.Holdsworth	NEW	↔	The continued deterioration of the housing market combined with BREXIT pressures on construction costs has caused overall cost pressure within the programme, however strategic delivery and the organisational growth structure have helped to support strategic delivery.
12 (0)	3	4	Housing Delivery	K.Townsend/M.Holdsworth	-	NEW	n/a. Trend is not captured for new risks
12 (0)	3	4	Social Care Market Instability	A.Fraser	-	NEW	n/a .Trend is not captured for new risks.
12 (0)	3	4	Health and Social Care Integration	A.Fraser	n/a	NEW	n/a. Trend is not captured for new risks.
10 (0)	2	5	Safeguarding children	A.Fraser	↔	↔	Overall numbers of referrals and repeat referrals have been declining indicating that our model of practice is having a positive impact on residents.
10 (0)	2	5	Serious H&S incident in housing	M.Holdsworth	↔	↔	The Council's core activities and functions have not changed significantly and so the risk remains stable.
9 (0)	3	3	IT delivery and transformation	J.Cumming	↔	↔	The problem areas within our IT infrastructure have been identified and remediation works have progressed.
9 (0)	3	3	Change Programme Delivery	S.Biggs	↔	↔	The Programme Management Office has demonstrated that the levels of control have been effective with a number of examples testing the project and programme management.
9 (0)	3	3	CCTV Failure	K.Townsend/ J.Cumming	-	NEW	n/a. Trend not captured for new risks.
9 (0)	3	3	Capital Programme	Section 151	n/a	NEW	n/a .Trend is not captured for new risks.
8 (0)	2	4	Health and safety	M.Holdsworth	↔	↔	The Council's core activities and functions have not changed significantly and so the risk remains stable.


Risk Score	L	I	Risk Title	CMB Risk Sponsor	Risk Score Outlook March 19	Risk Score Outlook Dec 19	Comment on change in trend
8 (0)	2	4	Contract Management	All	↔	↔	While the risk remains stable, the external environment affecting the finances and operations of many of our contractors and the potential impact on service delivery for council services remains a challenge.
6 (+1)	3	2	Serious fraudulent activity	Section 151	↑	↑	There has been an increase in investigative activity over the last year; with the trend likely to continue, resulting in an increase in the likelihood score.
4 (0)	2	2	Recruitment and retention	A. Grant	n/a	NEW	n/a .Trend is not captured for new risks.


How our risks link to our objectives (pillars)





1. Principal risk report – Risk information to note (Risks listed in descending order i.e. largest risk score to lowest risk score)


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
16	4	4	<p>Risk Title Youth Crime and Serious Youth Violence</p> <p>Risk 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.</p> <p>Cause Early childhood trauma and disrupted attachment may lead to children being unable to self-regulate and therefore they are more likely to offend. Interventions with young people and families are not sufficiently tailored to have sufficient impact. The pull of gang affiliation and offending means that the trauma and the behaviours of young people are not addressed at an early enough stage to improve outcomes</p> <p>Consequence Media coverage contributes to fear of crime and negative attitudes towards young people compounding the issues they face. More young people within the criminal justice system</p> <p>Risk Trend </p>	<p>Overall crime in Islington has shown a slight increase of 1.1% after two years of decline (Sept 2019), while London has seen crime rises of over 8%</p> <p>Islington has continued to see reductions in:</p> <ul style="list-style-type: none"> • Knife crime injuries victims under 25 down -26.5% • Knife offences down 10.3% • Gun offences down 23% • Youth Violence down 7.8% • Snatch theft offences down 63% • Robbery offences down 13% <p>However there was an increase in youth violence of 5.5% and Islington also continues to see a number of concerning knife crime incidents.</p> <p>Key activities include:</p> <ul style="list-style-type: none"> • The MOPAC Knife crime plan 2017 and Islington's Knife Harm reduction plan are delivering a number of actions including a new leaflet for parents, extending IOM arrangements to include adults carrying knives and focused work to reduce school exclusions • MOPAC developing Violence Reduction Unit for London 2019, Corporate Director attends VRU meetings • Islington has been allocated £270k VRU funding over 2 years • Pan London County Lines project • Delivery of Working Together for a Safer Islington plan work streams and local knife harm work • Council scrutiny on school exclusions 2019 with recommendations to reduce vulnerability • Disproportionality project in the Youth offending service/Targeted youth support • Transitions project is picking up year 6 children in their transition to secondary school • Keel project is testing a new way of working with families affected by domestic violence and abuse, focussed on repair as well as immediate safety – evaluation in 2020 • Continued reduction in first time entrants to Youth Justice System and recent reduction in youth custody rates in Islington 	<p>Delivery of Working Together for a Safer Islington Plan 2017 – 20</p> <p>Knife Harm plan and work 2018 - 2019</p> <p>Investment in youth services, Integrated gangs team, youth violence prevention and Missing and Exploited team.</p> <p>Youth violence prevention work in schools through IYLA – Improving Young People Lives through Awareness</p> <p>Trauma informed approach is being rolled out</p> <p>Work at neighbourhood level to address hotspots, across council, voluntary sector and partner agencies</p> <p>VRU funding will be used to sustain and extend the Transition project, train more VCS partners on trauma informed practice, arrange 3 Family Strengthening Conference and employ a 'KIDVA' an Independent Domestic Violence Advocate to work with children and young people</p> <p>Schools are being trained in Trauma Informed practices and there have been reductions in behaviour incidences and exclusions.</p> <p>National and local research has been used to consider the link between exclusions, exploitation and Serious Youth Violence and awareness raising has taken place as well as the offer of preventative early help services for children at risk.</p> <p>*Expansion of VAWG services and growth bid in place to address levels of DVA in the borough</p> <p>*London wide campaigning re addressing Child Criminal Exploitation</p> <p>Continued focus on exclusions and school attendance</p>	<p>Youth Crime communications plan has been updated</p> <p>Review of the Working Together for a Safer Islington Plan taking place this year in preparation for a new plan in 2020.</p> <p>TARGET COMPLETION: The current plan will be completed by March 2020 with writing a new one leading to the launch of the new plan in July 2020</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
15	3	5	<p>Risk Title Financial Strategy</p> <p>Risk The Council fails to balance the Council's budget over the medium term – including making cash savings.</p> <p>Cause Decision making (robust consideration)</p> <p>Consequence Immediate – Serious depletion of limited financial reserves reducing financial resilience Longer term – Reduced financial sustainability impacting service delivery</p> <p>Risk Trend </p>	<p>The outturn for 2017/18 enabled the Council to improve its financial resilience due to underspend of £5.5m that was realised at the year end.</p> <p>During 2018/19 a detailed review of the E&R budget pressures led to a proposed realignment of resources in year which will reduce the ongoing contingency and ensure the service has the resources required to meet current demand. The total value of this adjustment is £2.7m.</p> <p>The general fund reserve balance at the 31 March 2019 totalled £10.8m (excluding schools), with other earmarked reserves of £69.5m</p> <p>The final MTFP approved a £34m savings programme leaving a gap to be addressed in future years which has formed the basis of this year's financial review.</p> <p>The Government postponed the full 3 year Spending Review that was planned for the 2019 summer as well as the fair funding review, and provided a one year settlement in September. This therefore increases future uncertainty and one of the main reasons for increasing the impact assessment of this particular risk. The outcome will determine how funding will be allocated between each Local Authority but until the outcome of these two events is known there is huge uncertainty over the Council's funding position from 2021/22.</p> <p>The one year spending review has seen more resources aligned to Local Government which has supporting addressing this gap and due to the early identification of efficiencies and savings it has enabled the consideration of growth for the first time in nearly 10 years.</p> <p>A new MTFP will be presented to members in early 2020 with final approval as part of the budget setting process in February 2020.</p>	<p>The Programme Delivery Board and Programme Management Office provide a programme management approach to monitoring key savings programmes and other financial programmes.</p> <p>The Corporate Management Board and the Executive closely monitor financial performance delivering robust financial monitoring on a monthly basis</p> <p>Society of London treasurers. London Council's and GLA lobbying regarding the outcomes of the Government reviews with Fair Funding consultation submissions due by 21 February 20</p> <p>LBI will respond to consultations as they arise.</p>	<p>We will respond to the government funding consultations.</p> <p>TARGET COMPLETION: Ongoing</p> <p>Embedding the PMO, this includes a training programme defined in the P3M training framework, which includes project and risk management training.</p> <p>TARGET COMPLETION: Ongoing</p>


Risk Score	L I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3 4	<p>Risk Title <u>Brexit</u></p> <p>Risk Disruption to local/council services and supply chains.</p> <p>Cause Challenges regarding cost and availability of labour, goods and services, decrease in funding from central government following withdrawal from the European Union (No-deal or terms of deal)</p> <p>Consequence Increased cost of services, reduced quality of services, contractor or supply chain failure, civil unrest and increased cost of living for residents.</p> <p>Risk Trend </p>	<p>Brexit preparation work is being conducted under the Brexit Resilience group (BRG). The BRG has calls with the London Resilience coordinators at MHCLG and London Councils on preparations. In the run up to Brexit deadlines, the BRG provides weekly updates to MHCLG, detailing any rising concerns, this includes issues such as civil unrest, community cohesion and food bank status.</p> <p>Work has been ongoing to support and encourage staff and residents to apply for EU Settled Status including;</p> <ul style="list-style-type: none"> the 'We are Islington' campaign, which celebrates the positive contribution of non-UK Europeans who live and work in Islington, whilst also signposting to the settlement scheme; detailed planning is in place to support vulnerable residents who will need assistance applying for the settlement scheme the provision of the ID Verification Service within Registrars; free legal advice in collaboration with local group 'Islington in Europe' and two local immigration law firms, to provide a number of free immigration and legal advice events for those concerned about their rights and future in the UK; open information sessions across council buildings <p>The inclusive economy team has engaged with small and medium businesses to ensure that they know where to get information regarding business and Brexit. A number of events have been hosted at the council which have provided advice for both residents and businesses.</p> <p>The Emergency Planning Unit has tactical plans in place as part of contingency planning. Business continuity plans are up to date to consider a 'no deal' scenario.</p>	<p>The BRG is working towards increasing awareness and preparedness for the outcome of Brexit. The BRG represents services across the council, its purpose is to assess risks and issues to the council as a consequence of Brexit and ensure that contingency plans are in place. Risk registers are continually monitored and reviewed by the BRG on a weekly or fortnightly basis, We attend the London Resilience Group, this enables us increased oversight and discussion with other Boroughs and emergency services, providing guidance on contingency planning.</p> <p>Brexit preparedness template sent to all services.</p>	<p>Monitor central government guidance.</p> <p>TARGET COMPLETION: Ongoing, with weekly briefings</p> <p>Monitor London Resilience Group</p> <p>TARGET COMPLETION: Ongoing, with weekly briefings</p>


Risk Score	L I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3 4	<p>Risk Title Welfare Reforms</p> <p>Risk Cannot efficiently collect rent following introduction of Universal Credit (UC) when housing support is paid directly to the claimant.</p> <p>Cause Government policy</p> <p>Consequence Vulnerable residents to significant new financial hardship. Evictions and homelessness may also increase.</p> <p>Risk Trend </p>	<p>Welfare reforms continue to present a major challenge for the council and its residents. Residents receiving Universal Credit are presenting with an increased rent debt than those on Housing Benefit.</p> <p>We have undertaken a review of our triage model at 222 Upper Street, along with our personal budgeting and digital support (in conjunction with DWP and Citizens Advice). We have established a new support service based in the customer service hub at 222 Upper Street. This is staffed by Income Recovery officers who will help and advise those either receiving or about to claim Universal Credit. This offer is open to all residents, and officers will help them with housing issues along with signposting to other services such as iWorks and IMAX.</p> <p>We have scrutinised our Housing Benefit data through Policy in Practice to identify those most at risk from migration to UC, including families with children turning 5. Also targeting those tenants not receiving Council Tax support to encourage them to apply.</p> <p>We continue to work closely with early adopter local authorities and pilot landlords/authorities to learn from their experiences.</p>	<p>Programme of support for residents, identifying most vulnerable and tailoring our support accordingly.</p> <p>We have reduced caseload/patch sizes for officers and are working more closely with VCS organisations in providing budgeting and access to employment advice and food bank support/advice.</p> <p>Use of analytical data to identify those most at risk from transferring to Universal Credit</p> <p>We have convened a joint member and senior officer group to ensure the council was fully prepared for the introduction of UC Full Service from June 2018</p> <p>Co-ordinated cross-council response in conjunction with key external partners.</p> <p>Continue to disseminate key messages to residents and frontline staff about our approach and support in respect of UC</p> <p>Support the scrutiny review of UC by Policy and Performance Committee</p> <p>Monitor rent arrears, offer of alternative payment arrangements and provide advice service demand</p> <p>Formal and ongoing liaison with Depart of Work and Pensions (DWP) to discuss UC roll out and issues.</p> <p>*Developed further UC and refresher training rolling programme.</p>	<p>Online direct debits will be introduced as part of Northgate Online, which will be delivered during 2020. Staff have been trained as Digital Champions, which includes support to those who require it to navigate Universal Credit.</p> <p>TARGET COMPLETION: Mid-late 2020</p> <p>Restructure Income services to include Universal Credit support team for council tenants</p> <p>TARGET COMPLETION: July 2020</p>

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3	4	<p>Risk Title Cyber security</p> <p>Risk Process Control Networks and/or Critical Information Assets may be compromised</p> <p>Cause Computer-based unauthorized access or malicious modification of code</p> <p>Consequence Denial of Service, data breach, reputational damage, disruption of service(s)</p> <p>Risk Trend </p>	<p>We have made a number of enhancements to our cyber security protection, including:</p> <ul style="list-style-type: none"> - Implementing protected Domain Name System (DNS), this has been effectively utilised, blocking a phishing attack. - We have conducted Cyber-threat training for staff in key areas (such as payroll) alongside a general awareness programme for all staff - Our servers are kept up to date with patching although there is a need to further automate such activity. We are upgrading to Windows 10 as Windows 7 becomes end of life, an open pilot will be conducted in November 2019. - We have progressed our programme of migration to improve resilience and distribute risk by migrating key business application to 'SAS' (Cloud based). <p>We have also recruited a Head of Cyber Security.</p> <p>A Technical Design Authority has been approved and implemented which ensures cyber security considerations are included in the early stages of an initiative and closer engagement with IT during purchase.</p>	<p>Good practice boundary controls are in place and the additional controls will add effective protection against the constantly evolving threats.</p> <p>Continued backup of data provides an effective remediation for ransomware.</p> <p>*Movement of services to SAS reduces the threat</p> <p>*CIO authorities which sets out the scope of products and services for which the CIO's approval must be obtain.</p> <p>This will be a significant help in ensuring no 'weak link' components provide new threat vectors for attacks.</p>	<p>Enterprise Resource Planning outline business case has been approved. Procurement will progress for appropriate system.</p> <p>TARGET COMPLETION: 2021</p> <p>Introduce (for approval) a set of Cyber Breach Exercises planned to test cyber resilience.</p> <p>TARGET COMPLETION: Early 2020</p> <p>Transition to Windows 10</p> <p>TARGET COMPLETION: February 2020</p> <p>Technology debt programme:</p> <p>TARGET COMPLETION: Ongoing</p> <p>The Cyber business continuity exercise has been deferred until after the upcoming election, this will involve turning on the emergency generator</p> <p>TARGET COMPLETION: June 2020</p>

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	4	3	<p>Risk Title Serious information breach or non-compliance with legislation</p> <p>Risk The Council does not keep sensitive and/or personally identifiable information secure</p> <p>Cause Non-compliance with policy and procedures</p> <p>Consequence Fine, Reputational Damage</p> <p>Risk Trend </p>	<p>Following the approval of the Information Governance and Information Security Strategy by CMB in January 2019, work has continued to ensure the council remains compliant and continues to improve, a number of activities have been undertaken since the last update including:</p> <ul style="list-style-type: none"> • Information Governance Action Plans have been created and are monitored on a monthly basis • Joint Data Controller Clauses have been created • Records of Processing Activities has been reviewed • Server locations have been reviewed to ensure preparation for Brexit • Data Protection Impact Assessment templates has been reviewed for to account for complex linked dataset processing <p>Since the last report the council has reported one incident to the Information Commissioner's Office, which was closed with no further action. The ICO was satisfied with the controls the council have in place and the response to the incident.</p>	<p>E-Learning training modules: GDPR released in August 2018 Data Handling released in September 2018 Metacompliance system delivers desktop compliance messages. Corporate Governance Group provides oversight and challenge Monthly meetings with Senior Information Risk Owner (SIRO) to provide oversight and challenge Information Governance and Information Security Action plans in place (reviewed monthly) Mandatory Information Asset Owner Training in place and mop up training has been taking place. Intention to have one course per quarter from next financial year. *Information Governance Working *Group has been created. Departmental reps provide update on progress against actions.</p>	<p>Retention and deletion of data on systems is being identified and implemented TARGET COMPLETION: Ongoing; aiming for March 2020 Information Security and Cyber Security Awareness training being identified TARGET COMPLETION: August 2020 Proposed mock ICO Audit to take place in 2021 to review effectiveness of strategy. TARGET COMPLETION: 2021 Monitoring of ICO guidance and revision to guidance and templates TARGET COMPLETION: As required Improve timeliness of FOI and Rights requests to ensure the council is consistently achieving compliance of 90% or higher TARGET COMPLETION: April 2020 Ensure that the council continues to embed the 'Accountability Principle'. TARGET COMPLETION: 2022</p>

Risk Score	L I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3 4	<p>Risk Title Response and resilience</p> <p>Risk 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</p> <p>Cause Inadequate business continuity (BC) planning and disaster recovery</p> <p>Consequence Damage to reputation, resident safety, increased cost for response due poor planning, unacceptable response time.</p> <p>Risk Trend </p>	<p>Business Continuity Exercises relating to Housing and Cyber-attack were postponed due to Brexit scenario testing, they are to be rescheduled. Brexit scenario testing has been undertaken to test our preparedness for a number of Brexit related events.</p> <p>The emergency generator at 222 Upper St remains installed, but not yet connected nor tested.</p> <p>We have completed the review of Emergency Planning and team is now fully staffed at 4 FTE, resources need to be kept under review as we work to comply with the London Resilience Forum standardised model and increasing responsibilities including new management of Safety & Security of elected members and increasing Event planning.</p> <p>A complete refresh of the Business Continuity Plan and Business Impact Analysis (BIA) template has been undertaken. The revised template was sent in November 2019 to each service for feedback. Following feedback new documentation will be produced incorporating changes, the new template will also be aligned with the corporate risk management framework. A new programme of business continuity training is being developed and will be released alongside revised BC documentation.</p> <p>The Islington Resilience Board has been set-up and held their first meeting, with lead Service Directors for each department. First meeting was held and a follow up meeting will take place in March 2020.</p> <p>We have undertaken real-time BC responses during the borough-wide water outage. The lessons learned after events have been used to inform reviews of services BC plans.</p> <p>In 2018-2019 there were a record number of incidents dealt with and responded to by the Emergency Planning Unit, this trend looks to continue into 19/20.</p>	<p>Arrangements for business continuity are being reviewed and are being implemented.</p> <p>The Islington Resilience Board will meet to improve the BC culture and ensure plans are completed.</p> <p>Resources in the EPU have been increased and will be kept under review.</p> <p>Exercises are planned to test areas identify as highest risk.</p> <p>Undertake lessons learned review after any incidents.</p>	<p>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. Various meetings with Housing have now produced a draft plan for dealing with emergencies out of hours. TARGET COMPLETION: Dec 2019</p> <p>Connect the emergency generator and ensure it is fully functioning TARGET COMPLETION: June 2020</p> <p>Complete 4 BCP exercises including testing of a Cyber Attack and serious incident affecting housing stock. Priority changed to test BC against Brexit risks; this was completed with E&R, People's and Corporately with Met Police. Previous planned Cyber scenario to be moved to 2020 exercising. TARGET COMPLETION: June 2020</p> <p>Review BCP template, implement changed, align with corporate risk framework and send to directorates. TARGET COMPLETION: April 2020</p>


Risk Score	L I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3 4	<p>Risk Title Safeguarding adults</p> <p>Risk Failure to fulfil our statutory obligation to identify or respond to significant preventable harm to adults at risk of abuse</p> <p>Cause Provider Failure, Non-Compliance with procedures, inadequate IT systems.</p> <p>Consequence Risk to Individual, Reputational. Financial.</p> <p>Risk Trend </p>	<p>An independent review of social work in the Mental Health Trust was conducted, actions included reviewing the Section 75 agreement to ensure the social agenda is correct. We have set-up a Partnership Board, this has helped us to improve our joint working and strategic decision making.</p> <p>We currently have 2 care homes in a 'provider concern' process, these providers have sustainable improvement plans in place. We work with providers on early solutions that mitigate risks and ensure prevention of harm to our service users and carers wherever possible.</p> <p>We are implementing Making Safeguarding Personal using a strength based approach and utilising a Trauma Informed Approach. We are providing support for social workers through forums and professional workshops. We work to ensure that social workers are enabled and equipped to deliver high quality assistance and support that empowers and assists service users and carers to strengthen their resilience and independence whilst promoting their safety and wellbeing.</p> <p>The Liberty Protection Safeguards are expected to come into force in October 2020. We have created a local implementation network so that partners and providers can ensure they are sufficiently prepared. We are preparing for delivery of training for all relevant staff once the new Code of Practice is published at the end of 2019.</p> <p>We are focusing on Modern Day Slavery rolling out a specialised training and guidance package for staff to ensure that staff are able to respond appropriately to concerns relating to trafficking and slavery of vulnerable groups. Over 300 people have been trained in 2019. We have undertaken some successful work assisting vulnerable victims of trafficking in collaboration with the Whittington Hospital.</p> <p>In response to the rising number of safeguarding concerns and deaths involving rough sleepers and homeless people we are ensuring that wherever possible learning from serious cases is embedded in practice. We are also working ensure specific safeguarding concerns relating to individuals who are homeless receive a personalised offer of support in order to minimise risks.</p>	<p>We are working with providers to help viability, and continuing to spread our services between providers.</p> <p>Continuous cycle of placement reviews – within 6 weeks of a new placement, annual review thereafter.</p> <p>Frequent case audits.</p> <p>Practitioner forums looking at quality of work and experience of officers, to obtain feedback and undertake training.</p> <p>Monthly Meeting with those involved in registered care settings including partners in health, CQC and Healthwatch to undertake pro-active provider monitoring. Early stage intervention and escalation.</p> <p>Quality Assurance Framework for Adult Safeguarding is in place.</p> <p>Robust safeguarding adults and mental capacity act policies and procedures are in place and regularly reviewed.</p> <p>Safeguarding Adults procedure and relevant ADASS guidance.</p> <p>Improving connections meetings.</p> <p>Constant contract monitoring in-place, Modern Day Slavery training continues to roll out across the department and council.</p> <p>Ongoing engagement with the Home Office and the Human Trafficking Foundation.</p> <p>Safeguarding and housing meeting.</p> <p>Housing and Community Safety are members of the Safeguarding Adults Board. Islington Council participate in a 4 borough Partnership ensuring that bids for funding reflect the complex needs of individuals.</p>	<p>There is Longer term ambition to source an IT solution for Mental Health recording to have one recording system for Camden and Islington councils. There are potential risks to LBI in changing our LAS module for a more generic system. The development of any new system should include time for testing</p> <p>Milestones <i>New proposed electronic forms to be agreed by end December 2019.</i> <i>Processes for reporting and running of LAS in parallel to be agreed by MH Partnership Board by January 2020</i> <i>Testing period to take place between January and March 2020</i> <i>System/process modifications following test period by April 2020</i></p> <p>Follow up Audit Safeguarding Adults and Mental Health undertaken by Internal Audit.</p> <p>TARGET COMPLETION: By end March 2020 The SAR into the death of the homeless man was published (August 2019). We are working to an action plan, to ensure cases of vulnerable rough sleepers with complex needs are considered in a multidisciplinary context TARGET COMPLETION: By end February 2020.</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3	4	<p>Risk Title New Homes Programme</p> <p>Risk Delay or Inability to deliver the New Build Programme, quality, time and cost.</p> <p>Cause Resourcing, contractor failure, delay in planning approval, poor resident engagement.</p> <p>Consequence Reputational damage, service delivery. Loss of opportunity for residents</p> <p>Risk Trend </p>	<p>A new Service Director was appointed in April 2019, the Service Director has created an organisational growth structure for the New Homes programme. This structure will support an increase in the rate of build under the programme, improve programme controls, increase our in-house capability and allow us to review our in-sourcing going forward. The new structure will see the addition of specialist support to support technical design management, cost control and the establishment of a Programme Management Office.</p> <p>The organisational growth structure has identified the need for increased resources in other service areas, including allocations to improve residents journeys into new homes and property services to support the design of low carbon energy systems. The additional posts we were previously seeking, in planning and legal services, were approved and the roles recruited.</p> <p>The continued deterioration of the housing market combined with BREXIT pressures on construction costs has caused overall cost pressure within the programme, a number of options have been developed to manage this across the remainder of the programme. There have been some delays in awarding contracts, this has been due to our work to value engineer these contracts prior to award, and this delay has meant that an increasing proportion of completion will occur in the final stages of the programme. However Strategic delivery under the programme has been within expected parameters although with a significant reduction in over programming.</p> <p>We have received an indicative award from the home building capacity fund of £180,000 which will be used to improve technical understanding of build over construction.</p>	<p>Employed a communications officer to improve resident engagement. Engaged a team of architects to review opportunities for building, reviewing different building techniques. Programme Board (NHB) Chaired by Cllr Ward, provide challenge and oversight. Reporting improved to provide better oversight (strategic information). Quality, schedule, cost. Meet bi-monthly. Programme structure includes contingency. Project Board, Operational focus review all schemes, meet bi-monthly Communications strategy</p>	<p>Approval for restructure sought by end 2019/20 with recruitment commencing. In advance of PMO recruitment and establishment operational management of New Homes Project Board (NHPB) in redesign to be consistent with delivery assurance officer group approach in emerging corporate property governance framework Expected to be in place by end 2019/2020</p>


Risk Score	L I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3 4	<p>Risk Title Housing Delivery</p> <p>Risk Failure to meet overall housing targets</p> <p>Cause Shortage of sites, market turbulence/slowdown impacting developers (including private developers, housing associations etc.).</p> <p>Consequence Inability to meet our commitment to residents. A weakening position over time to secure planning benefits (including affordable housing from any site and our ambitious policies in the new local plan would not be given full weight in the planning process)</p> <p>Risk Trend NEW</p>	<p>The Housing Delivery Test (HDT) was introduced in 2018 through a revision to the National Planning Policy Framework (NPPF). The HDT is an annual measurement of housing delivery in a local planning authority area which measures the number of net additional dwellings provided in a local authority area against the homes required. The HDT results are reported annually and cover a rolling three year period. Islington's 2018 HDT results show that Islington delivered 71% of its housing target between April 2015 and March 2018. By way of context, approximately a third (108) of Local Planning Authorities (LPAs) had a level of delivery below 95%. Due to the three year rolling mechanism any under/over achievement of results will be carried forward for the next two reporting cycles.</p> <p>A key aspect of housing delivery is the local housing market. Islington is an Inner London borough where land prices are high, which can be a barrier to entry for developers looking to build new housing. However, development returns are also high, meaning that there is a clear incentive to build out permissions once secured. In Inner London, there appears to have been a slowdown in housing development activity in recent years, which correlates with wider economic uncertainties. This is likely to have been one of the main causes of the specific under-delivery evident in 2017/18.</p> <p>The new London Plan (and emerging Local Plan) sets a target for delivery of 7,750 homes between 2019/20 and 2028/29, or 775 homes per annum. This is a significant reduction from the previous housing target of 1,264 units per annum, set out in the adopted London Plan; this is mainly due to a reduction in the availability of large housing sites, as assessed in the Strategic Housing Land Availability Assessment (SHLAA).</p> <p>Islington has a five-year supply in excess of the housing target set out in the new London Plan, and has consistently maintained a five year supply in recent years; however, there is an increasing lack of sites in Islington, partly due to the fact that many development sites have been delivered and the fact that Islington is a small, densely developed borough. This is the key reason why Islington's housing target has reduced significantly in the new London Plan.</p>	<p>Authorities that fall below 95% delivery are required by the NPPF to produce an action plan to assess the causes of under-delivery and identify actions to increase delivery in future years. In addition, authorities where housing delivery falls below 85% are required to include a 20% buffer in their five-year housing land supply calculation.</p> <p>Our action plan identifies the reasons for under-delivery, explores ways to reduce the risk of further under-delivery and sets out measures we intend to take to improve levels of delivery.</p>	<p>The emerging Local Plan is currently at Proposed Submission (Regulation 19) stage; the Council intends to submit the plan for examination by the end of 2019, with examination hearings likely to take place in spring 2020</p> <p>TARGET COMPLETION: Adoption likely towards the end of 2020</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3	4	<p>Risk Title Social Care Market Instability</p> <p>Risk Significant provider failure/ withdrawal of providers</p> <p>Cause Financial strains causing providers to withdraw from the market</p> <p>Consequence Safeguarding risks to individuals, Financial.</p> <p>Risk Trend NEW</p>	<p>During 2019 we experienced the withdrawal of one of our block providers, the provider cited financial viability as the cause. This led to the need to find new providers for affected care users</p> <p>We currently have 2 care homes in a 'provider concern' process, these providers have sustainable improvement plans in place. We also host a monthly partnership meeting that reviews quality issues and concerns in registered care providers in order to enable us to nip concerns in the bud, work with providers on early solutions that mitigate risks and ensure prevention of harm to our service users and carers wherever possible.</p> <p>The trend is increasing as the uncertainty about long term funding for social care continues along with challenging economic conditions. There is a risk of increased instability in the event of a no deal Brexit if economic conditions are adversely impacted; exacerbation of workforce fragility is likely in the event of a no deal Brexit.</p>	<p>We are working with the provider market to ensure as wide a range of providers as possible to reduce the risk of adverse impact if providers withdraw from the market.</p> <p>We have regular provider forums so concerns and risks can be addressed quickly.</p> <p>We have regular RADAR meeting with the wider health and social care MDT and CQC which enable us to share intelligence about providers and respond quickly and collectively.</p> <p>We have contingency plans in place to manage either provider failure or provider withdrawal from the market. These plans have been implemented on two occasions and the transfer of care has been safe and successful on both occasions.</p> <p>We are currently reviewing our existing model of homecare with a view to developing a new, more sustainable local offer that could improve quality for both recipients of care and paid carers.</p> <p>There are a number of workforce initiatives underway across Islington and North Central London to promote social care careers and workforce development.</p>	<p>Monitoring of the local and national provider market TARGET COMPLETION: ONGOING</p> <p>Regular review of contingency plans-every three months TARGET COMPLETION: ONGOING</p> <p>Collaboration across North Central London with local authority and NHS colleagues to support the social care market and workforce. TARGET COMPLETION: ONGOING</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
20	4	5	<p>Risk Title Health and Social Care Integration</p> <p>Risk Insufficient capacity, resource and integration within the local health and care system to meet resident's needs.</p> <p>Cause National and local funding constraints Differing priorities of key partners, including a new 5 borough commissioning approach and governance for the NHS</p> <p>Consequence Poor health and care outcomes for residents</p> <p>Risk Trend NEW</p>	<p>The move to 5 borough commissioning for the NHS, especially in the context of a very significant financial deficit across the North Central London region, could pose a risk to our local financial and strategic collaboration</p> <p>Including the Better Care Fund (BCF) we currently have pooled budgets across the Islington Health and Care system totalling just over £88m of which £31.8m comes from the NHS.</p> <p>Our aspiration is to increase integration locally because we know that it will improve resident experience and outcomes.</p> <p>Our collective aspiration across the health and social care system is also to invest more of our combined resource in early intervention and prevention but we also know that this will either require disinvestment from more specialist services or transformation funding to double run prevention interventions.</p> <p>As a result of austerity and rising demand both the NHS and social care already have challenging savings programmes</p>	<p>Health & Wellbeing Board, via the Leader of the Council is required to sign off our annual BCF plans with the NHS</p> <p>Quarterly Section 75 meetings at Service Director level provide joint governance oversight of our pooled budgets</p> <p>Annual Section 75 reports to the Health & Wellbeing Board provide strategic governance over our pooled budgets</p> <p>The emerging Fairer Together Partnership will provide a clearer and more effective governance framework for integration locally including more shared and local decision making around our local resource</p>	<p>As the governance framework for 5 borough NHS commissioning emerges it will be important to clarify:</p> <ul style="list-style-type: none"> • Governance arrangements for Section 75 pooled budgets and joint commissioning • Council voice and influence in the 5 borough Integrated Care System (ICS); especially with regards to financial decision making • Decision making powers of the emerging borough based Borough Partnership Board <p>TARGET COMPLETION: April 2020</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
10	2	5	<p>Risk Title Safeguarding children</p> <p>Risk Ineffective protection of children and parents</p> <p>Cause Non-compliance with procedures</p> <p>Consequence Significant harm to a child(ren)</p> <p>Risk Trend </p>	<p>Actions from 2018/19 all completed OFSTED and associated inspection bodies e.g. CQC, HMIP conducted a Joint Thematic Inspection on Child Sexual Abuse in the Family Environment and made suggestions to be carried forward by the partnership, action plan in progress. There are areas of concern regarding Child Abuse Investigations and the police response and this is being take forward. There continue to be robust Quality Assurance processes in place, including a twice yearly Practice Week, which is now well embedded and which gives senior managers a real experience of the quality of work on the ground and for practice to be evaluated and understood from the perspective of both staff and children and families. Areas for development identified during practice week are fed into the Quality Assurance Framework action plan. In addition there are monthly Practice and Outcomes Boards involving all relevant senior managers where performance data and information from audits and practice week are coalesced into action planning where this might be necessary.</p> <p>This approach to quality assurance has been praised by Ofsted in a recent Joint Targeted Area Inspection.</p> <p>The new Workforce Strategy, i2019-2022 is being launched. Monthly Recruitment and Retention group has led to a significant reduction in the use of agency staff and strong levels of permanent staff, which in turn creates greater consistency of practice and greater stability for families.</p>	<p>Robust Quality Assurance processes in place. Training and development processes in place which give ongoing assurance regarding quality of work and adherence to legal framework</p> <p>The JTAI action plan is in place, it is multi agency and being monitored through the ISCB. Practice week is focusing on key areas raised on the JTAI Child sexual abuse and neglect.</p> <p>All QA and monitoring processes continue to be in place.</p>	<p>Self-Evaluation, as required by Ofsted, to be completed in December 2019 and presented to Annual Engagement Meeting with Ofsted in January 2020</p> <p>TARGET COMPLETION: December 2019</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
10	2	5	<p>Risk Title Serious H&S incident in housing</p> <p>Risk Serious Health and Safety incident in the council's housing stock</p> <p>Cause Non-compliance with statutory duties /regulations</p> <p>Consequence Multiple fatalities</p> <p>Risk Trend </p>	<p>The Homes & Estates Safety Board continue to meet quarterly to provide reassurance that our measures and systems are robust.</p> <p>We are continuing to work closely with the London Fire Brigade to identify vulnerable residents, this actively helps us to identify those residents that require additional support or equipment.</p> <p>We continue to comply with fire safety regulations and deliver our fire safety action plan.</p> <p>Front door upgrades continue. Contract for installation of inter-linked alarms in street properties mobilised, pilots have been completed.</p> <p>Expanded Polystyrene (EPS) insulation removed from Fyfield, replacement works due to be completed 20th December.</p> <p>Braithwaite cladding removed and replaced in Summer 2019</p> <p>Hungerford Road, we are currently specifying the cladding replacement, the work have been specified, contractor award, work starting in February 2020. Waking watch in place to mitigate risk</p> <p>Internal Audit Review of the Fire Risk Assessment Process has been undertaken (September 2019), Action plan has been developed to address points raised in Audit.</p>	<p>Homes & Estates Safety Board provide challenge.</p> <p>Ongoing delivery of Fire Safety Action Plan</p> <p>Ongoing Fire Risk Assessment programme, with annual cycle for tall buildings with 'tolerable' rating (rather than every 3 years as per regulations – commitment given post-Grenfell).</p> <p>Fire Risk Assessments for all 126 tall blocks have been completed and published online for transparency.</p> <p>Gas compliancy continues to be very strong – 99.93% at October 19</p> <p>Front door upgrade programme underway.</p> <p>Liaison with the Ministry of Housing, Communities and Local Government (MHCLG) and London Councils on emerging resident safety issues.</p> <p>Housing Directors Fire Safety Sub-Group – monthly meeting to review actions, include senior staff from the London Fire Brigade (LFB) and MHCLG.</p> <p>Cyclical testing for electrical, asbestos, legionella and construction risks remains on track.</p>	<p>Liaison with LFB and MHCLG to ensure we are on top of emerging issues.</p> <p>TARGET COMPLETION: Ongoing</p> <p>Monitor develop of Hackitt review consultation and Grenfell Inquiry recommendations.</p> <p>TARGET COMPLETION: Ongoing</p> <p>Inter-linked alarms in street properties – 2 contractors, each have completed a pilot property. Building control to review and provide sign-off, we will then schedule programme of works.</p> <p>TARGET COMPLETION: January 2020</p> <p>Deliver actions from the Internal Audits</p> <p>TARGET COMPLETION: March 2020</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
9	3	3	<p>Risk Title IT delivery and transformation</p> <p>Risk We do not deliver IT projects which will enable/optimize business transformation across the Council</p> <p>Cause Insufficient planning/resourcing/funding to deliver the IT strategy.</p> <p>Consequence Operation disruption, additional cost, reputational damage</p> <p>Risk Trend </p>	<p>The IT business plan was agreed in March 2019, we are now in the process of implementing. However the IT function has needed to undertake a higher volume of remedial work than first anticipated, updating Windows etc. There is an increasing need to manage the balance between remediation and transformation works in order to transform to IT services. We have a project delivery practise, (responsible for project plans, methodologies, monthly reporting to RMT) to support transformation.</p> <p>The Enterprise planning group is developing a five year plan for the programme of change.</p> <p>We are currently evolving an architectural plan that puts in place a digitisation layer, enabling digitised services for transformation.</p> <p>We have updated our PSN and PCI compliances.</p>	<p>The current controls include the ongoing use of the Information Technology Infrastructure Library (ITIL) service delivery framework to ensure operational services are effective in maintaining the current platforms on which we need to build.</p> <p>In addition, the interim organisational structure (established following the Shared Digital separation) has grouped IT the project managers into a new practice in which more formalised project disciplines have been introduced.</p> <p>This group is sharing the same processes, tools and methodologies as the central PMO to create greater transparency and control.</p> <p>New telephone exchange</p>	<p>Migration to Windows 10 New PC's TARGET COMPLETION: February 2020</p> <p>Replacing out of date network switches TARGET COMPLETION: June 2020</p> <p>Windows 2008 migration programme TARGET COMPLETION: June 2020</p> <p>Move applications out of the data centre. TARGET COMPLETION: Ongoing as per application life cycle</p> <p>Submit our PSN and PCI compliances for SIRO review and sign off. TARGET COMPLETION: August 2020</p>

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
9	3	3	<p>Risk Title Change Programme Delivery</p> <p>Risk Failure to implement change projects</p> <p>Cause Capacity, financial challenge, governance, project management.</p> <p>Consequence Change activity faces delay, declining quality and cost escalation, financial/other benefits are not met in full.</p> <p>Risk Trend </p>	<p>Our MTFS is based on the realisation of a number of savings proposals, these proposals will be managed through our Programme Management Office (PMO). The PMO sits within the Chief Executive's office. The PMO is now established with all Corporate Directors taking responsibility for the delivery of change and transformation within their own directorates.</p> <p>The controls in place for project and programme management are starting to highlight areas of concern in the appropriate phase of the PMO process, allowing for controls to be applied as appropriate.</p> <p>The PMO has started exception reporting, if exceptions are agreed by CMB then they are removed from the budget into the corporate gap. This has increased control over the budgets and expectations at all levels. Live information is being fed back from the PMO to the finance department to contribute to budget setting, on a monthly basis.</p> <p>c10% of savings are at risk of non-delivery in year, these savings are being closely monitored. c90% of savings proposal for year 1 are either on target/or in progress.</p> <p>We are currently assessing the benefits of more automated project reporting across the programme, Project Online is one of the options we are considering.</p>	<p>A PMO Design and Compliance and Programme Delivery Board meet fortnightly in order to develop and review the governance structure of the PMO.</p> <p>The Programme Delivery Board (PDB) is also established and meets fortnightly. All new business cases for change go through these boards to provide technical sign off on new initiatives and receive some corporate challenge to ensure the proposals are realistic and the benefits are deliverable.</p> <p>Each key programme or project is monitored at the appropriate level, be it DMT for departmental initiatives or the relevant board for cross cutting initiatives. Highlight reports are provided to PDB, and then onto CMB for review with appropriate escalation where benefits are considered at risk.</p> <p>The PMO provides a briefing to members to provide oversight.</p> <p>The PMO training programme is in place and available to staff and project managers.</p>	<p>Continued embedment of the PMO TARGET COMPLETION: Ongoing</p> <p>Review and enhance the role of delivery executive TARGET COMPLETION: March 2020</p> <p>Review PDB and associated processes to identify scope to establish a more agile and focused model, to include a consistent approach for managing projects falling outside of the PDB process TARGET COMPLETION: March 2020</p>
9	3	3	<p>Risk Title CCTV failure</p> <p>Risk Failure of current CCTV equipment</p> <p>Cause Dated equipment, lack of proactive investment</p> <p>Consequence Breach regulations, inability to capture adequate recordings</p>	<p>Our current CCTV systems are not consolidated, owned by different areas of the Council and not centrally controlled, some of our equipment needs updating as it is 'end of life'.</p> <p>During the current budget setting process, members made the request that an examination of CCTV took place to work towards a corporately controlled asset. The primary need is to bring together the various assets, view from a single control room, identify risks and future investment needs.</p> <p>Funding has been allocated for an initial review.</p>	<p>A project board has been set up with representation from the key services, including Digital Services and Information Governance.</p>	<p>Consider options for a consultant to review strategic direction of CCTV. TARGET COMPLETION: End January 2020</p>

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
9	3	3	<p>Risk Title Capital Programme</p> <p>Risk Failure to adequately manage (cost/schedule) capital programmes</p> <p>Cause Inadequate governance and project management</p> <p>Consequence Financial Loss, breach of governance/regulation, reputational damage</p> <p>Risk Trend </p>	<p>Across the Council we have a number of projects which require capital investment in order to achieve their key outcomes. These projects are varied in nature and are funded by different means (including the general fund and schools money).</p> <p>The total capital investment budgeted for 20/21 is £168 million. This investment will fund new homes, infrastructure development and some new funding has been set aside for three types of capital projects; new projects, in-flight projects and projects with back maintenance.</p> <p>During the management of some of our current projects the project budget has been exceeded and the timeline has been delayed, we have been working to review the learnings from these projects and ensure they can be taken forward to improve our management of future capital projects.</p>	<p>Capital programmes form a key element of financial monitoring across the council, including oversight from management teams and executive.</p> <p>Detailed annual analysis.</p>	<p>Explore options for the formation of a Capital Board to provide oversight.</p> <p>TARGET COMPLETION: April 2020</p> <p>Complete proposal for the new capital strategy and associated governance, this will be a key future control providing member led oversight of the entire programme, 10 year planning horizon, dedicated governance for major projects, this will be aligned with financial regulations</p> <p>TARGET COMPLETION: April 2020</p>

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
8	2	4	<p>Risk Title Health and safety</p> <p>Risk Significant Health and Safety Incident</p> <p>Cause Non-compliance with policies procedures</p> <p>Consequence Life Changing injury, fatality compromising the safety and wellbeing of service users, public or the workforce, potential enforcement action.</p> <p>Risk Trend </p>	<p>The Health and Safety Executive investigation into vibrating tools has been completed, actions arising have been implemented.</p> <p>Employees with complex needs - We have conducted an observed fire drill, this exercise had satisfactory results.</p> <p>Occupational Health and Safety Management System documents have been reviewed and will be considered by the Corporate Management Board in conjunction with the Health and Safety Policy.</p> <p>Children's services have reviewed Service Level Agreements with schools, there is now greater clarity about who is responsible for Health and Safety in schools across the borough.</p> <p>British Safety Council (BSC) Audit undertaken in April 2019, the action plan arising from the audit has been agreed by CMB (in August 2019, actions are currently being implemented).</p> <p>Review of the Drug and Alcohol testing policy is underway, recommendations will be taken to CMB in February 2020.</p>	<p>Regular auditing of schools continues. Drug and Alcohol testing continues (random testing) for council employees and agency workers in safety critical roles. Annual reviews of Corporate policy, regular review of other Health and Safety policies. Health and Safety training included in corporate induction. Annual report to CMB</p>	<p>Implementation of Action Plan arising from BSC Audit. TARGET COMPLETION: Ongoing</p> <p>Asbestos module testing to be completed. TARGET COMPLETION: July 2020</p> <p>Health and Safety policy to be reviewed and presented to CMB TARGET COMPLETION: March 2020</p> <p>Annual health and safety performance report to CMB. TARGET COMPLETION: March 2020</p> <p>Audit of D&T audit in secondary schools to be commissioned in the next academic year TARGET COMPLETION: July 2020.</p> <p>Improvement in the on-boarding process need to be discussed and implemented. TARGET COMPLETION: Ongoing</p> <p>Drug and alcohol policy review TARGET COMPLETION: February 2020</p>

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
8	2	4	<p>Risk Title Contract Management</p> <p>Risk Significant contractor failure/contractors failing to deliver within the agreed parameters (Quality, cost and schedule)</p> <p>Cause Ineffective/Non-compliance with corporate contract management procedure</p> <p>Consequence Service disruption, reduced quality of service, additional financial burden</p> <p>Risk Trend </p>	<p>Contract management is undertaken within each service by in-service contract managers. We are in the process of improving the corporate governance around this function to improve quality, discussion, control and consistency of contract management. Internal Audit have completed a review of the strategic arrangements in place to oversee the Council's contracting with third parties.</p> <p>As part of our refresh and in consideration of the Audit findings we have undertaken the following activities since the last report:</p> <ul style="list-style-type: none"> We have now updated our suite of contract management guidance (as per the audit recommendations), this guidance is available on the staff intranet. A report has been prepared proposing the likely future structure of contract management, this report will be subject to review in-line with organisational design matters and the outcomes of appropriate approvals. A year of Supply Chain Practitioner Groups have been coordinated and facilitated by Strategic Procurement, these groups have improved understanding, standardisation in regards to contract management. These groups have also helped to establish and integrate contract management best practice into business as usual practices and processes. Extensive training programme for contract management has been launched and is underway. 	<p>Corporate governance guidance exists for use by contract managers.</p> <p>Commissioning and Procurement Board to provide direction and oversight on all supply chain matters.</p> <p>The Supply Chain Practitioners Group (SCPG) – are responsible for improving and sharing best practice on operational supply chain matters, including contract management</p> <p>Training and advice is available ad hoc on specific contract management issues through procurement.</p> <p>Contract extensions over £500k revenue are challenged by Commissioning and Procurement Board.</p>	<p>Commissioning and Procurement are compiling a schedule of contracts. Each department will provide two significant contracts, these contracts will then be reviewed and challenged on the basis of best practice.</p> <p>TARGET COMPLETION: End 2019 Training will be delivered during 2019/20 from one-off funds supplied. Noted that funds moving forward are insufficient to sustain agreed audit training requirements.</p> <p>TARGET COMPLETION: End 2020 An exercise is underway to ensure that all services have proper oversight of the contracts within their service areas</p> <p>TARGET COMPLETION: end of Financial year 2019/20.</p>

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
6	3	2	<p>Risk Title Serious Fraudulent Activity</p> <p>Risk Serious Fraud or corruption</p> <p>Cause Lack of adequate governance arrangements including key controls and robust fraud awareness</p> <p>Consequence Financial and Reputational damage.</p> <p>Risk Trend </p>	<p>Internal Audit (Investigations) have undertaken a number of reactive fraud investigations and continues to work with services to investigate fraud.</p> <p>Fraud training has been developed and tested and is awaiting roll-out, some operational issues with host system has been encountered which has delayed the release of the training.</p> <p>The whistleblowing policy has been updated and has been approved by Audit Committee in January 2019.</p> <p>The annual fraud report was presented to Audit Committee in September 2019 including Housing Investigations data (in addition to corporate investigations data) for the first time.</p> <p>There has been no further test activity with the London Counter Fraud Hub since our last report.</p>	<p>A robust Anti-Fraud strategy and whistleblowing policy are in place.</p> <p>Regular reporting to Audit Committee takes place including bi-annual whistleblowing monitoring reports and an annual fraud report.</p> <p>Internal Audit and Corporate Investigations work closely ensuring that intelligence is share to support the identification of fraud risks. Internal Audit and Investigations also work jointly on some investigations to ensure that Internal Audit are able to make recommendations to enhance controls and prevent the recurrence of fraud.</p> <p>Fraud risks feed into the annual Audit Plan. Delivery of the Audit Plan ensures that recommendations are made to address control weaknesses. Review of governance arrangements during individual audits routinely include a review of policies and procedures.</p> <p>Corporate Investigations stay abreast of fraud alerts and fraud risks.</p> <p>Whistleblowing arrangements are in place.</p>	<p>Review the resourcing of the Corporate Investigations with a view to potentiay increasing resource to improve our ability to pro-actively investigate potential fraud. Proposal to increase fraud resourcing was taken to D&C in September 2019 TARGET COMPLETION: March 2020</p> <p>HR to roll-out fraud training. TARGET COMPLETION: May 2020</p> <p>A review of the purpose of the Fraud Forum needs to be undertaken. TARGET COMPLETION: March 2020</p>

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
4	2	2	<p>Risk Title Attracting and retaining talent</p> <p>Risk Failure to attract and retain the talent we need to deliver our services</p> <p>Cause Lack of resource to deliver HR Strategy</p> <p>Consequence We will be unable to anticipate and meet future workforce needs to ensure we have the "right people with the right skills in the right roles at the right time and at the right cost"</p> <p>Risk Trend NEW</p>	<p>We have developed the Workforce Strategy, this strategy is designed to help the organisation to grow, to retain and recruit the very best of talent to deliver strategic outcomes, outputs and objectives of LBI's vision for the future.</p> <p>HR staff are engaged in the development of a strategic approach to workforce planning including: working with the LGA on a pilot in public realm that may be rolled out organisationally, with a focus on utilising levy funded training to develop capacity; L&OD team leading on a multi-disciplinary team project to identify the organisational and workforce data required to inform workforce planning; Resources allocated to train HR staff in strategic workforce planning. Support from Public Health in data analysis and interpretation pending development of capacity within HR.</p>	<p>The council has an apprenticeship programme that enables draw-down of funds from the apprenticeship levy to upskill current employees. The programme also funds training for new apprentices. Both programme strands provide development to meet skills needs.</p> <p>We attained Good Work Standard accreditation in 2019, this is promoted on our recruitment pages to demonstrate our competitive working practices and benefits</p>	<p>Implement the Workforce Strategy for Year 1, and complete the development of workforce planning TARGET COMPLETION: March 2020</p> <p>Review of recruitment procedures, benchmarking with other public sector authorities as to how they recruit the best talent. Develop a coherent strategic approach to define, attract and grow future workforce and leaders. TARGET COMPLETION: March 2020</p> <p>Work is underway to meet the Workforce Strategy commitment to consolidate and promote the current benefits package. Longer term the package will be reviewed. This will require; early consultation with trade unions. TARGET COMPLETION: March 2021</p> <p>To increase employee brand we are working closing with Internal Communications and will be purchasing a LinkedIn license. This will enable us to attract more applicants to Islington and reduce agency spend TARGET COMPLETION: January 2020</p>

PAPER ENDS