

**Report of: Corporate Director - Resources**

<b>Meeting of:</b>	<b>Date</b>	<b>Agenda item</b>	<b>Ward(s)</b>
Audit Committee	29 <sup>th</sup> September 2020	-	All

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**SUBJECT: Principal Risk Report – Summer 2020**
**1. Synopsis**
**Introduction**

- 1.1. This report presents the current principal risks facing Islington. 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 (DMTs) and the Corporate Management Board (CMB).
- 1.2. This iteration provides an update on the Principal Risk Report presented to Audit Committee in January 2020 and the action update presented to Audit Committee in July 2019. The updated report, indicates our risk profile post Covid-19.
- 1.3. Following the unprecedented year the Council has had to date as a result of the Covid-19 pandemic; the Council's Risk Manager met with some 25-30 risk leads across the Council over summer 2020, to revisit principal risks (as agreed previously in December 2019). Discussions also sought to evaluate how the Council was responding to challenges, and to assess how the Council's risk management framework was being utilised to support delivery of objectives during Covid-19. This report represents the outcomes of those discussions and includes an updated

overall Principal Risk Report which is intended to support the organisation to navigate its challenges in the coming year. The process for updating risks included meeting risk leads, discussing achievement of previously set objectives, identifying new risks and mitigating actions, revisiting risk scores. Feedback from risk leads has been that the process was helpful; and revisiting risks and focussing on objectives supported the renewal/recovery period that the Council was entering into.

1.4. The introduction to this report highlights key events and key changes that have occurred since the last report. Thereafter the report (Appendix 1) presents the risk impact matrix, principal risk map, risk universe, executive summary and how our Islington Strategy 2018-22 links to our risks. Appendix 2 provides detail for each principal risk, including the cause of the risk and consequence, as well as key actions to mitigate risks.

### Changes in Risk Score

1.5. Covid-19 has seen a wide-ranging and large-scale impact on Islington as a borough – affecting our citizens, partners and businesses and us as an organisation. This has resulted in shifts in the delivery of services, changes in where and how people work, and resourcing and financial challenges. As a result, following discussions with risk leads across the Council, a number of our principal risk scores have changed to reflect the current external environment and the ongoing risks associated with the pandemic. Changes in risk scores are highlighted in the **Executive Summary (included in Appendix 1)** below. Risks emanating from Covid -19 have been weaved into our existing Principal Risk Report as the impact of Covid -19 is all encompassing.

### 1.6. Additions

The following new risks have been added:

- 1.6.1 **Risk Title** – Covid-19 Outbreak Control – details the challenges surrounding our ability to effectively identify, plan and manage local cluster of Covid-19 and our role in outbreak management going forward, in order to keep our residents safe and well.
- 1.6.2 **Risk Title** – Service Response to further Covid-19 details the importance of our service level resilience and preparedness in response to a second wave, this risk also discusses the need for us to adapt our services in order to meet the need of residents in the event of a second wave of Covid-19.
- 1.6.3 **Risk Title** – Increase in Economic Inequalities; details the challenges we may have in supporting local businesses and the disproportionate access to employment during challenging economic conditions and the impact that a downturn in the employment market would have on existing economic inequalities and the demand for Council services.
- 1.6.4 **Risk Title** – Covid-19 Financial Impact; details the risk of significant budget overspend for 2020/21 caused by a loss of income and additional incurred costs to support residents during Covid-19, leading to the lack of sufficient resources to fund our priorities

1.6.5 **Risk Title** - External Funding Uncertainty (Longer Term); details the potential for significant budget gaps for 2021/22 and beyond due to the delay of government reviews of local authority funding arrangements and/or and economic slowdown, this may mean we cannot attain a balanced budget for 2021/22.

*Risks 1.6.4 and 1.6.5 above replace the risk titled Financial Strategy from the January 2020 Principal Risk Report to Audit Committee.*

1.6.6 **Risk Title** – Diversity and Inclusion; details our current focus and the challenges we face in recruiting and retaining a diverse and inclusive workforce at levels across the Council and the impact that we may fail to realise the benefits of a diverse and inclusive workforce in shaping and delivering our services.

1.6.7 **Risk Title** – Information Technology (IT) Resilience; details the risk that our IT may not be sufficiently resilient to meet the demands of services leading to operational disruption, additional cost, and reputational damage.

1.6.8 **Risk Title** - Well managed workforce; details the risks around workforce management, engagement and performance. We propose this risk replaces the existing risk of 'Recruitment and Retention'. The rationale for this being that the pressing risk is the management of the workforce, this may be especially challenging given the current requirement to work remotely, leading to some staff potential becoming dis-engaged and under-performing.

1.6.9 **Risk Title** – Domestic Violence Abuse; details the potential for a significant increase in Domestic Violence Abuse Assaults caused by Covid-19 lockdown conditions causing increased tensions, reduced accessibility to early intervention, economic slowdown resulting in increase in poverty and tensions within homes leading serious harm to individuals and families.

1.6.10 **Risk Title** – Compounded Pupil Attainment Gap; details the potential for Covid-19 to exacerbate the potential differential access to education for different socio-economic groups meaning that the attainment of pupils may disproportionately reduce as a result of Covid-19 measures causing pupils to not achieve their full academic potential.

1.6.11 **Risk Title** – Social Inequalities; details the inequalities highlighted by Covid-19 and the Black Lives Matters movement. These events have further highlighted disproportionality and racial inequality that exists in our society for those from minority ethnic backgrounds, these inequalities may lead to poor outcomes for residents and loss of faith in the Council if we fail to address.

1.6.12 **Risk Title** – Leisure Provision Closure – details the difficulties that our Leisure Provider is experiencing as a result Covid-19, the Covid-19 lockdown resulted in our leisure centres being shut for a number of weeks, these closures created financial and operational difficulties for our provider and uncertainty around how customer confidence/behaviour. These challenges may result in the failure of our provider and potential closure of our leisure centres.

- 1.6.13 **Risk Title** – Covid-19 Impact (Parking) – details the challenges caused by Covid-19 and the subsequent lockdown have had on parking income, this income is used to fund Council services. There remains uncertainty regarding motorist behaviour following lockdown which generates uncertainty in funding of our services.

An appendix has been shared (**Appendix 2**) should Audit Committee seek further detail for each principal risk (including the cause of the risk and consequence, as well as key actions to mitigate risks.

### **Amended Risks**

1.7. The Change Programme Delivery risk has been amended to separate out the element of savings delivery from the broader change activity being undertaken across the Council. There are now two risks, titled as follows:

- 1.7.1. **Risk Title** - Savings Delivery – The risk that we are not able to actively manage and deliver the savings agreed in our Medium Term Financial Plan.
- 1.7.2. **Risk Title** - Change Programme Delivery – The risk that we are not able to actively manage and deliver change initiatives across the Council.

### **Deletions**

1.8. The risk of CCTV failure is to be deleted and retained for local management within the Environment and Regeneration Directorate.

**Rationale:** Soon after publication of the January 2020 iteration of this report; funding was granted and received for a CCTV upgrade project. Work is now underway and due to complete in August 2020. A project board has been established and is monitoring progress of this work to digitise our CCTV systems.

### **Watchlist**

1.9. The Council declared a Climate Emergency in June 2019, recognising the need to drastically reduce carbon emissions in the borough. A pledge has been made to work towards being a net zero borough by 2030. A strategic commitment of this nature presents significant operational, reputational and health risks. 'Climate Emergency' is to be placed on the watchlist for review once our public consultation has been concluded and our climate strategy has been developed and risk assessed.

## **2. Recommendation**

2.1 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. This iteration provides an update on the Principal Risk Report presented to Audit Committee in January 2020, and the Action update presented to Audit Committee 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 recommendation**

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

## **Appendices:**

**Appendix 1** – Principal Risk Overview

**Appendix 2** – Principal Risk Detail

**Final report clearance:**

**Date: 14 September 2020**



**Signed by:**

Dave Hodgkinson – Corporate Director – Resources

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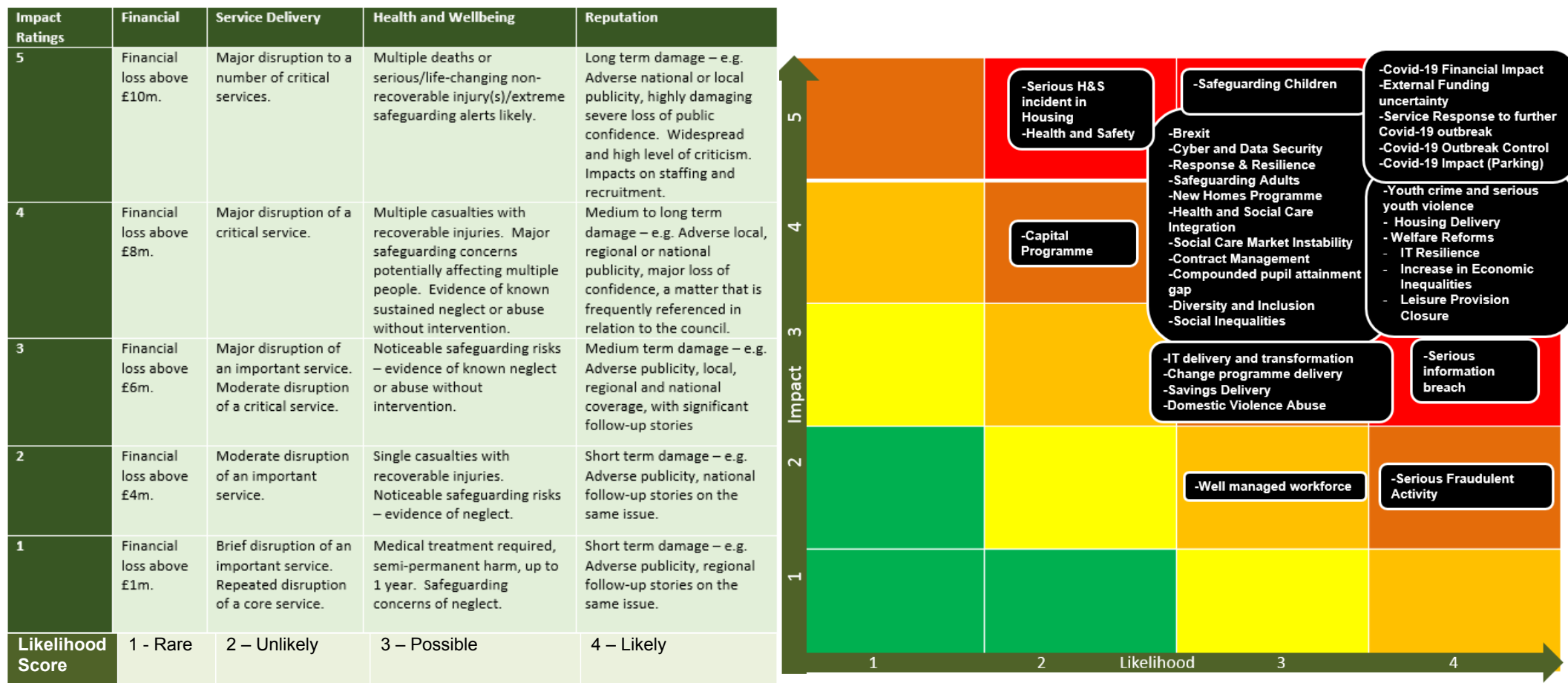
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**REPORT ENDS**

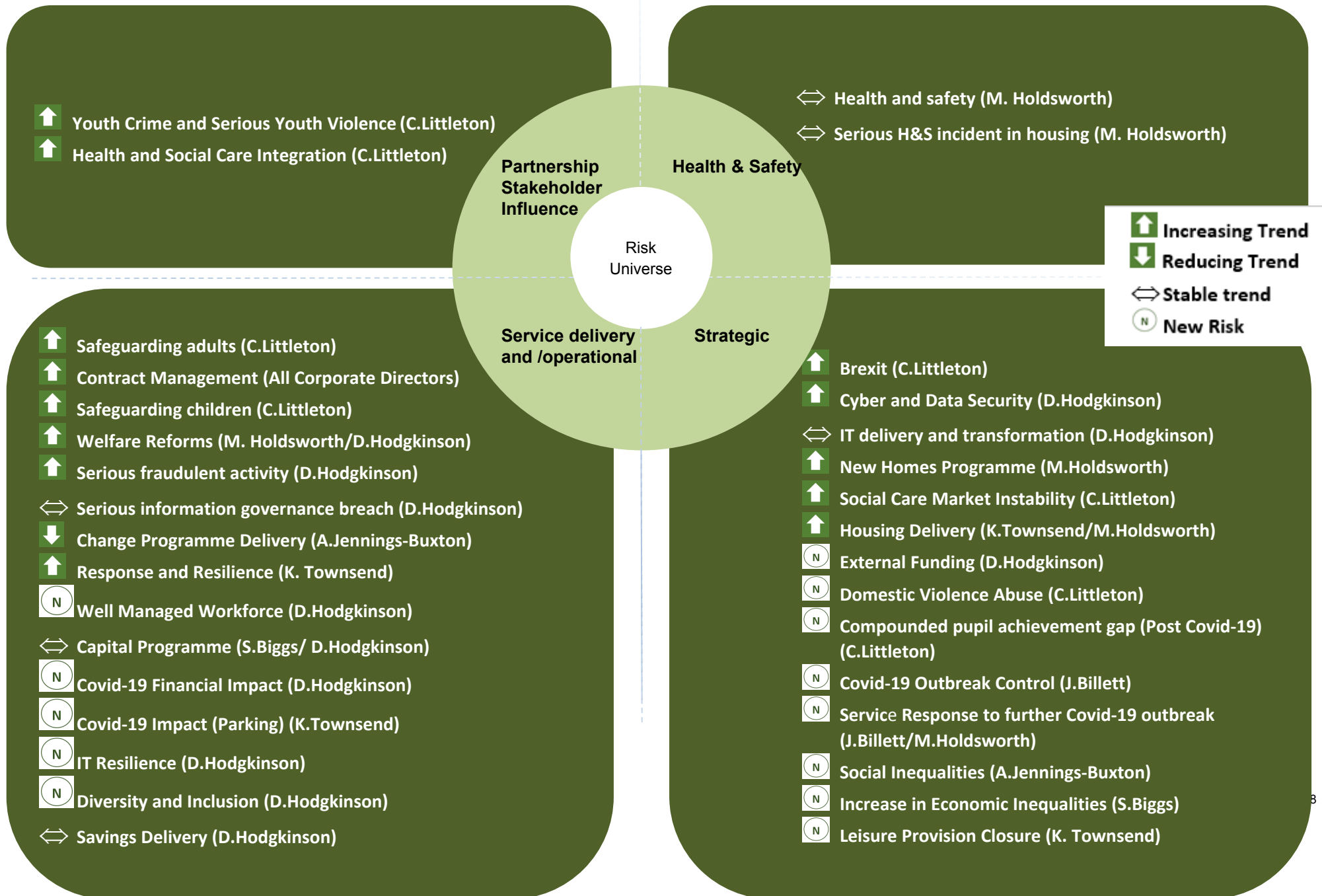
## Appendix 1 – Principal Risk Overview

### 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 risk forward trend)























## Executive summary of the principal risks

L=Likelihood Score I=Impact Score (0) – denotes no movement in risk score since Jan 20, if a '+' or '-' is indicated this denotes a change in the risk score since Jan 20

Risk Score	L	I	Risk Title	Corporate Management Board (CMB) Risk Sponsor	Risk Score Outlook Dec 19	Risk Score Outlook July 20	Comment on change in trend
20 (-)	4	5	Covid-19 Outbreak Control	J.Billett	-	↑	Outbreak management has been occurring since the start of the pandemic with the London Coronavirus Response Centre (LCRC) leading the initial response in all settings and local authorities providing support to settings experiencing ongoing outbreaks. Our role in the management of outbreaks has been enhanced, our role now extends to taking a lead in supporting local settings or communities with complex outbreaks, where local knowledge and insight is required and managing the response to community cluster, with support advice from LCRC.
20(-)	4	5	Service Response to further Covid-19 outbreak	J.Billett/M.Holdsworth	-	↑	Council services are beginning to return to a 'new normal' following the initial peak of Covid-19, there remains a risk of a further surge in Covid-19, we are undertaking a number of activities to ensure we can meet the needs of residents going forward in the event of a further surge in Covid-19.
20 (-)	4	5	Covid-19 Financial Impact	D.Hodgkinson	-	↑	The impact of the measures put in place to tackle the Covid-19 risk our financial position are significant. However a portion of our Covid-19 related costs/losses are considered one-off, therefore as lockdown is eased we may start to recover cost certainty and the ability to collect delayed income.
20 (-)	4	5	External Funding Uncertainty	D.Hodgkinson	-	↑	We have some short term certainty around our funding position due to the confirmation of the delay to these reviews, however the structure/scale and pace of expected funding changes remain uncertain impacting our ability to plan our finances
20 (-)	4	5	Covid-19 Impact (Parking)	K.Townsend	-	↔	Covid-19, and the possibility of local lock-downs continue to create uncertainty around motorists behaviour in the longer term, however this risk is stabilising month on month as signs of motorist activity and returning businesses support the operation across the borough. Cashless parking has seen a steady month on month increase operating at 75% compared to the same period last year. On-street enforcement and CCTV continue to support parking compliance. Suspension requests and permit payments are also showing positive signs with increased activity.
16 (-)	4	4	Increase in Economic Inequalities	S.Biggs	-	↑	Covid-19 has further deepened the existing economic inequalities within Islington, whilst the full economic impact of Covid-19 is not yet known the predicted economic slowdown may significantly disproportionately increase unemployment. We are working with our local businesses and priority groups (BAME, Disabled, Women and Young People) to reduce inequalities.

Risk Score	L	I	Risk Title	Corporate Management Board (CMB) Risk Sponsor	Risk Score Outlook Dec 19	Risk Score Outlook July 20	Comment on change in trend
16 (-)	4	4	Youth crime and serious youth violence	C.Littleton	↔	↑	Although violent crime overall declined in Islington in 2019-20 and crime reduced significantly during lockdown it is now starting to increase. There are concerns regarding the longer term impact of Covid-19 on vulnerable young people and families in the borough and on violent crime. In particular the continued closure of schools and youth clubs etc. The council is working to provide a comprehensive youth offer as usual during the summer but this is restricted due to Covid-19 safety measures. Risk levels can change rapidly and so the forward trend remains at a high-risk score.
16 (+4)	4	4	Welfare reforms	M. Holdsworth/M. Bevis	↑	↑	Universal Credit applications have increased at double the pre-Covid rate, primarily due to job losses caused by coronavirus, resulting in larger than expected rent arrears, although rates have now returned to normal. Additionally government messaging around evictions and rents has been confusing for residents, with some believing they don't have to pay rent during this period of crisis.
16 (+4)	4	4	Housing Delivery	K.Townsend/M.Holdsworth	NEW	↑	The element of this risk which is related to slow down in construction largely outside of our control. There has been increase in risk to the Local Plan adoption as the Planning Inspectors raised further misses related to the housing supply delaying the process and adoption of the plan.
16 (-)	4	4	IT Resilience	D.Hodgkinson	-	↑	A number of improvements are required to improve our IT resilience, in light of the external environment and challenges the need for this work has increased.
16 (-)	4	4	Leisure Provision Closure	K.Townsend	-	↔	We continue to closely monitor and support GLL during the phased re-opening. This risk is heavily dependent on how central government structure the phased re-opening and customer uptake.
15 (+5)	3	5	Safeguarding children	C.Littleton	↔	↑	Covid-19 has impacted the likelihood score of this risk as although we have been visiting some children face to face during Covid-19, those that have been visited virtually, the practitioner cannot guarantee that the child is able to speak out or that they are able to pick up on cues if a child is being harmed. Research and evidenced based practice tells us that the longer abuse and neglect goes on for the increase effect it will have on children and the more trauma they suffer. Therefore increasing the intensity of the intervention to help the child and family recover from that trauma.

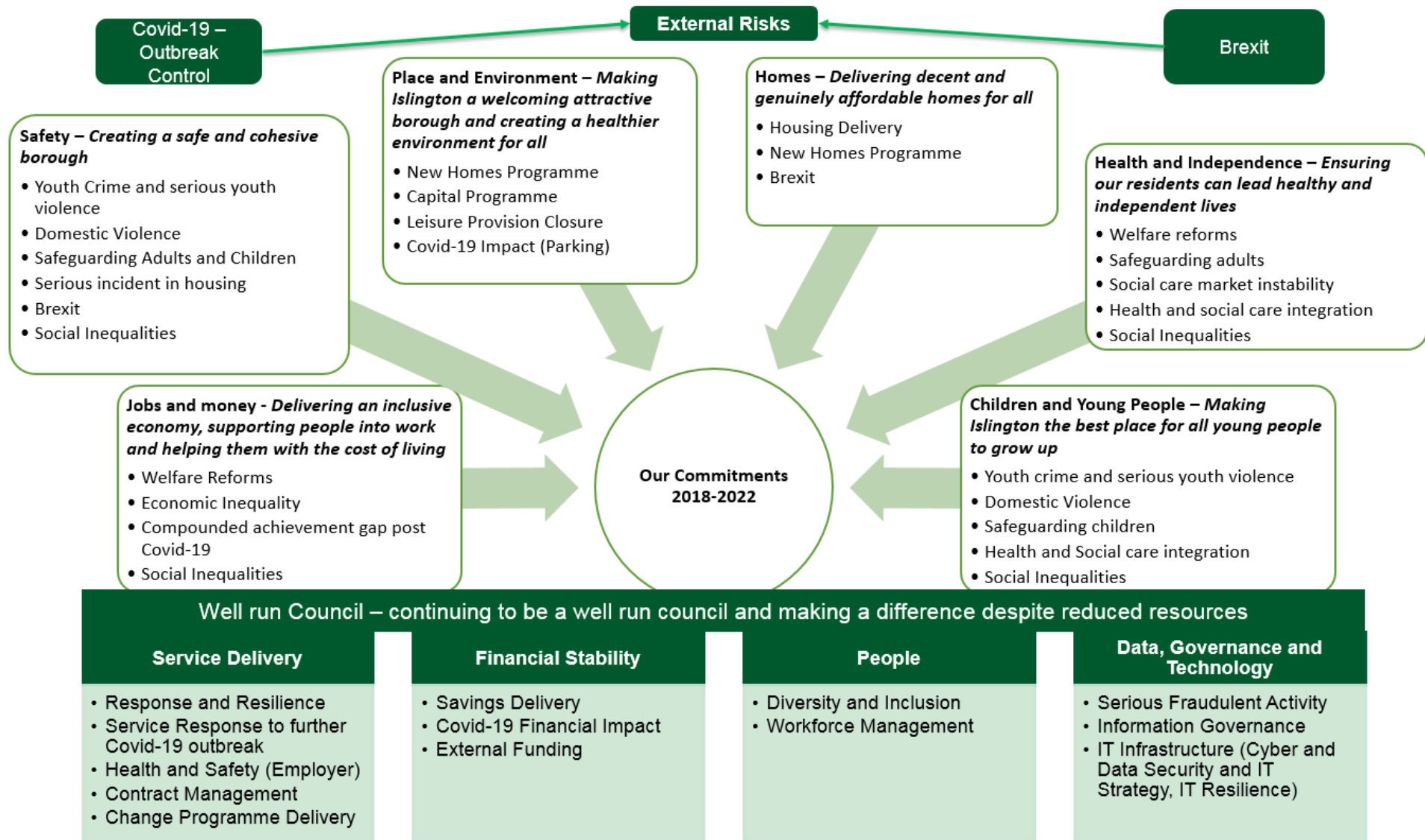
Risk Score	L	I	Risk Title	Corporate Management Board (CMB) Risk Sponsor	Risk Score Outlook Dec 19	Risk Score Outlook July 20	Comment on change in trend
12(-)	3	4	Diversity and Inclusion	D.Hodgkinson	-		Covid-19 and other world-wide events raised the issue of the perceived unfairness in relation to BAME staff specifically. Diversity and Inclusion run throughout the Workforce Strategy, but greater focus will now be given to address staff concerns. To achieve that a new cross cutting 'Challenging Inequality Programme Board' has been established with Corporate Director leadership. Islington is determined to achieve 'Equalities Gold Standard' which sets out a clear set of actions to achieve this ambition and to ramp up management actions in this area. Human resources are drafting an action plan or interventions such as reverse mentoring that could be implemented quickly to ensure that we can meet our fairness aspirations and the Equalities Gold Standard.
12 (-)	3	4	Social Inequalities	A.Jennings-Buxton	-		The disproportionate impact of Covid-19 and the Black Lives Matter movement have exacerbated the deep inequalities faced not only by the black community but also for those from other minority ethnic backgrounds, highlighting the racial inequality that still exists in our society. The impact has been far reaching, not only in terms of risk of contracting the, but also manifesting across a wide range of issues such as employment, education and housing to name a few. Islington is committed to addressing and challenging these inequalities, we have invested in resources and established a new framework to help us reduce inequalities. Our new 'Challenging Inequality Programme' will provide the framework through which we will collectively work towards our ambition of being the fairest borough in London and tackle the racial injustice that still exists.
12 (-)	3	4	Brexit	C.Littleton			The risks associated with Brexit need to be reassessed in light of Covid-19 when the Brexit Resilience Group resume their meetings. Planning for this will be ramped up in the coming period, taking into account the potential for a no deal alongside winter pressures and Covid-19.
12 (0)	3	4	Cyber and Data Security	D.Hodgkinson			Covid-19 has impacted the way we work, shifting to remote working. We continue to enhance our cyber security, however the external cyber threats are becoming ever more sophisticated and Covid-19 saw a trend for an increase in the frequency of Cyber-attacks.
12 (0)	4	3	Serious information breach or non-compliance with legislation	D.Hodgkinson			The risk score is likely to remain stable. The council currently has a range of controls in place to manage the risk but can never fully eliminate human error that either results in a breach of data or non-compliance with legislation. The range of sanctions available to the Information Commissioner's Office (ICO) remain unchanged and therefore the Impact continues to be quite high due to the potential fines available to the ICO.

Risk Score	L	I	Risk Title	Corporate Management Board (CMB) Risk Sponsor	Risk Score Outlook Dec 19	Risk Score Outlook July 20	Comment on change in trend
12 (-)	3	4	Response and resilience	K.Townsend			The Covid-19 response provided an opportunity for us to test our approach to resilience planning, and provided comfort around our level of organisational response. External factors including Covid-19, Social unrest in response to the Black Lives Matter movement and/or Brexit increase the pressure on our existing resources in the Emergency Planning Unit and may impact our ability to respond to multiple events.
12 (0)	3	4	Safeguarding adults	C.Littleton			The risk score remains unchanged however there has been an increase in the number of safeguarding concerns raised as a result of Covid-19 and the subsequent restrictions of movement and absence of local community based facilities for local residents. This has been addressed with new guidance for staff, awareness raising information for the public and additional resources allocated to the safeguarding unit to support the timely enquiries into safeguarding concerns in complex cases and care homes. We have also supported the development of safeguarding awareness within the mutual aid/connected communities groups.
12 (0)	3	4	New Homes Programme	M.Holdsworth			Economic outlook for income is uncertain, construction delays or translation into cost pressures are not yet fully understood.
12 (0)	3	4	Social Care Market Instability	C.Littleton	NEW		The trend is increasing as the impact and consequences of the Covid-19 pandemic are fully realised. There is no evidence currently that any local providers are at imminent risk of failure but uncertainty as to the future impact of the pandemic means this remains high risk. The majority of our care homes are large providers with robust support in place. Covid-19 has ignited the national debate about the uncertainty of long term funding for social care, whilst the risk of a no deal Brexit remains a real possibility.
12 (+4)	3	4	Contract Management	S.Biggs			The likelihood of potential service provision failure, not achieving value for money or missing social value aspirations has increased to 'possible' from 'unlikely'. A number of contractors in multiple sectors (including construction and leisure) are experiencing financial difficulties.
12 (0)	3	4	Health and Social Care Integration	C.Littleton	NEW		The North Central London (NCL) Clinical Commissioning Group (CCG) is now fully operational. The local Borough Partnership provides a forum for shared decision making on a borough level, we continue to work with the NCL CCG to ensure the shared arrangements meet the needs of Islington residents. Section 75 governance work was delayed due to the pandemic but is now restarted.


Risk Score	L	I	Risk Title	Corporate Management Board (CMB) Risk Sponsor	Risk Score Outlook Dec 19	Risk Score Outlook July 20	Comment on change in trend
12 (0)	3	4	Compounded pupil attainment gap	C.Littleton	-	↑	Covid-19 highlighted differential access to education for different socio-economic groups, in access to technology, reduced contact to assess progress and barriers to learning. A number of measures have been put in place to provide options for pupils to access education and also schemes are in place to allow additional learning over the summer period. However the uncertainty around the potential for a second wave of Covid-19 remains, this may further impact on academic achievement.
10 (0)	2	5	Serious H&S incident in housing	M.Holdsworth	↔	↔	Works to mitigate risk is being undertaken but this programme of work will be ongoing due to size of council stock
10 (+2)	2	5	Health and safety	M.Holdsworth	↔	↔	Enhanced risk due to Covid-19 pandemic but mitigated by staff working from home during lockdown and effective risk assessment regime in place for those who are attending the workplace
9 (-)	3	3	Domestic Violence Abuse	C.Littleton	-	↑	Covid-19 has increased the risk of domestic violence abuse globally; while we have not seen that increase in Islington yet we are expecting reporting and incidents to increase as lockdown measures ease. However the strong partnership response and increased investment in services in Islington means that we have increased capacity to respond and provide interventions to victims/survivors and their families.
9 (-)	3	3	Change Programme Delivery	A.Jennings-Buxton	↔	↓	Our governance of change programmes has improved through the establishment of the Corporate Delivery Framework. As this framework starts to embed we expect the level of risk to reduce
9 (-)	3	3	Savings Delivery	D.Hodgkinson	↔	↔	Covid-19 is currently not expected to have a significant direct impact on in-year savings delivery. However, the medium-term outlook is very uncertain and possible impacts include delays to commercial property income savings. Our governance of MTFS has improved through the establishment of the Corporate Delivery Framework.
9 (0)	3	3	IT delivery and transformation	D.Hodgkinson	↔	↔	We will need to escalate the timing on digitisation to respond to Covid-19 and explore options to bring works within budget.
8 (-1)	2	4	Capital Programme	D.Hodgkinson/ S.Biggs	NEW	↔	We are currently re-profiling some projects to reflect the impact of Covid-19 on scheduling. A new system of governance is in place enhancing our programme control
8 (+2)	4	2	Serious fraudulent activity	D.Hodgkinson	↑	↑	Covid-19 may lead to an increase in fraud due to relief measures being offered such as business grants. The challenging economic environment may also result in an increase in fraud attempts.

Risk Score	L	I	Risk Title	Corporate Management Board (CMB) Risk Sponsor	Risk Score Outlook Dec 19	Risk Score Outlook July 20	Comment on change in trend
6 (-)	3	2	Well Managed Workforce	D.Hodgkinson	-	↔	Covid -19 has demonstrated that our workforce is adaptable and can respond impressively to crises when required. It is therefore possible to act sooner on several aspects contained in the strategy such as greater focus on management, flexible working and there are still targets to meet in the level of agency spend, sickness rates and % of BAME staff in the top 5% of earners, however clear action plans exist in these areas and it is expected that further progress will be made. System improvement in Human Resources (HR) will enable improved management information to support managers.


## How our risks link to our objectives






## Appendix 2 – Principal Risk Detail


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
20	4	5	<p><b>Risk Title</b>  <b>Covid-19 Outbreak Control Risk</b></p> <p>The Council lacks the appropriate preparedness and resilience to identify, respond to and manage outbreaks and/or community clusters of Covid-19.</p> <p><b>Cause</b>  Lack of data to inform our outbreak response. Lack of resources /surge capacity (Public Health and Environmental Health) to respond to outbreaks. Insufficient Public Health (PH) England London Coronavirus Response Centre (LCRC) capacity (first line response to most outbreaks). Lack of engagement/adherence with PH advice &amp; guidance and/or Test and Trace within local community &amp; local organisations/institutions.</p> <p><b>Consequence</b>  Failure to identify/manage local outbreaks and / or the activities that keep our communities safe and well, leading to a distributed outbreak in the community, need for further restrictive measures.</p> <p><b>Risk Trend:</b> </p>	<p>Outbreak management has been occurring since the start of the pandemic with London Coronavirus Response Centre (LCRC) leading the initial response in all settings and local authorities providing support to settings experiencing ongoing outbreaks.</p> <p>The NHS Test and Trace service launched on 28 May 2020 across England. NHS Test and Trace will require an expansion of our local outbreak support capacity working in close collaboration with PHE. The Council will take a lead in supporting local settings or communities with complex outbreaks, where local knowledge and insight is required.</p> <p>Our role in managing community clusters has been enhanced, with the Council taking the lead on managing the response, with support and advice from LCRC.</p> <p>Our Outbreak Management Plan provides a framework for the multi-agency response to Covid-19 outbreaks that occur within the London Borough of Islington.</p> <p><i>Caveat – our role and responsibilities in the event of an outbreak are fully defined in our Outbreak Management Plan.</i></p>	<p>Covid-19 Resilience Risk Register  Borough Emergency Command Centre  Covid-19 Response Team (Public Health Team and Environmental Health Team)  Covid-19 Health Protection Group  Islington Borough Resilience Forum</p> <p><b>The Outbreak Management Plan;</b>  Outbreak Prevention and Control plan has been published and is available on the <a href="#">website</a>. The Outbreak Management Plan has been completed pending some small additional updates relating to the regional and national service. The plan sets out how the London Borough of Islington will swiftly, safely and effectively respond to outbreaks and support the management of cases in complex settings. The plan focuses on identifying and containing potential outbreaks in places such as workplaces, accommodation settings, care homes and schools, ensuring testing capacity is deployed effectively and helping the most vulnerable in self-isolation access essential services locally. It also supports an integrated approach between local and national government, with a range of other partners such as the NHS, GPs, businesses, employers, voluntary organisations, community partners, and the general public. Outbreak Prevention and Control activities are supported by a local data dashboard, which will be updated and reviewed on a daily basis using national and regional data sources. There remain some gaps in the data available to local authorities.</p>	<p>The Outbreak Management plan will be reviewed monthly. Initial testing of the plan will take place via a workshop with scenario-based testing with the Islington Contact Tracing Working Group. This will validate the plan, develop staff competencies and give them practice in carrying out their roles and to test new and well-established procedures. Participation in sub-regional peer review exercise with other NCL boroughs and PHE on Outbreak Control Plans, and in other regional exercises. Ongoing training, awareness raising and communication with local partners, networks and communities to increase knowledge and awareness of Test and Trace and the necessary actions and control measures that all individual sectors will need to follow.</p> <p><b>TARGET COMPLETION:</b>  Ongoing</p>





Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
20	4	5	<p><b>Risk Title</b> Service Response to further Covid-19 outbreak</p> <p><b>Risk</b> Council services are not adapted to respond to a further surge in Covid-19 (lacking the capacity/ability to rapidly scale up support to residents whilst maintaining a focus on business as usual)</p> <p><b>Cause</b> Business continuity plans may not be executable (Lack of supplies/resources) or up to date. Lack of available financial and/or human resource to rapidly scale services.</p> <p><b>Consequence</b> Inability to deliver our corporate plans whilst sustaining business as usual. Failure to provide appropriate resources for residents, businesses or visitors and/or sustained inability to deliver critical services and keep residents safe.</p> <p><b>Risk Trend:</b> </p>	<p>We have been planning for a 'new normal' an exercise is underway to refocus to ensure we can meet the needs of residents going forward, the exercise was broken down to look at:</p> <ul style="list-style-type: none"> <li>• Risk Assessment &amp; Mitigation - Assessing risks on pre-Covid 19 delivery plan including major projects, departmentally and corporately</li> <li>• Rebuilding for the longer term - Refreshing strategic objectives for each of our three corporate programmes: Community Wealth-Building, Fairer Together, Strengthening Team Islington</li> <li>• Developing refreshed delivery plans - Each Department and Corporate Programme produced refreshed Delivery Plans</li> </ul>	<p>Strategic Resilience Group Covid-19 Resilience Risk Register Borough Emergency Command Centre Covid-19 Response Team (Public Health Team and Environmental Health Team) Covid-19 Health Protection Group Islington Borough Resilience Forum Corporate Delivery Board Business Continuity Plans have been reviewed to recognised potential impact of future infections.</p>	<p>Resilience Strategic Group and Resilience Leads Group to keep under review. <b>TARGET COMPLETION:</b> Ongoing Health protection group to provide an overview and track trends and local infections and escalation in terms of council response to surge. <b>TARGET COMPLETION:</b> Ongoing</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
20	4	5	<p><b>Risk Title</b> Covid-19 Financial Impact</p> <p><b>Risk</b> Significant budget overspend for 2020/21</p> <p><b>Cause</b> Loss of Income and additional incurred costs to support residents during Covid-19.</p> <p><b>Consequence</b> The Council may not have sufficient resources to fund all of its priorities</p> <p><b>Risk Trend</b> </p>	<p>The Council's financial resilience is at immediate risk as a result of Covid-19 measures. A number of activities have been undertaken to support residents and our Council services throughout the pandemic. A number of these measures have significant and unbudgeted impacts.</p> <p>Covid-19 has resulted in an unexpected loss of income from in excess of £45m (from lost income in parking and leisure, council tax, business rates and rents). The exact quantum of this lost income remains uncertain due to the nature of the pandemic and the measures in place.</p> <p>The financial pressure on both the General Fund (GF) and Housing Revenue Account (HRA) mean there is a risk that the Council may not have sufficient resources to fund all of its priorities.</p> <p>The government have provided some financial support to the Council, however this support does not cover the cost our losses to date, the government may provide further financial support but this has not been confirmed, we assume that not all of our costs will be reimbursed.</p> <p>We are keeping our financial position under review as lock-down is eased and services come back on-line, residents and businesses resume payments and we start to return to a new normal.</p>	<p>The Corporate Management Board and the Executive closely monitor financial performance delivering robust financial monitoring on a monthly basis.</p> <p>Members and Officers have been working with other local authorities and bodies to lobby for additional funding.</p> <p>We are continuously reviewing and updating the financial position to aid understanding the issue and financial planning</p>	<p>Monitoring options to fund budget shortfall.</p> <p><b>TARGET COMPLETION: Ongoing</b></p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
20	4	5	<p><b>Risk Title</b> External (Longer Term) Funding Uncertainty</p> <p><b>Risk</b> Significant budget gaps for 2021/22 and beyond</p> <p><b>Cause</b> Delay of government review of local authority funding arrangements, Economic Slowdown,</p> <p><b>Consequence</b> Unable to attain a balanced budget for 2021/22, impact on MTFS.</p> <p><b>Risk Trend</b> </p>	<p>The Fair Funding review is expected to impact on Islington finances by moving money away from London towards the north of the Country. We were expecting the review to be implemented for 2021/22 but this is now to be delayed.</p> <p>We are also anticipating that the next Spending Review will reflect the fact that the Government has borrowed significant sums to deal with the pandemic and therefore the overall funding available to local government is likely to reduce.</p> <p>Finally, Government has committed to resetting the business rates funding model to remove the growth that authorities have built up over the past few years. Again, this reset is delayed, the delays to these reviews increases the amount of uncertainty in our budgets and forecasting.</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 LBI will respond to consultations as they arise.</p> <p>Understanding and modelling expected impact to enable financial/service planning, informing MTFS.</p>	<p>We will respond to the government funding consultations.</p> <p><b>TARGET COMPLETION:</b> Ongoing</p>
20	4	5	<p><b>Risk Title</b> Covid-19 Impact (Parking)</p> <p><b>Risk</b> Significant budget overspend in Environment and Regeneration 2020/21</p> <p><b>Cause</b> Change in motorists behaviours post Covid-19 Lockdown</p> <p><b>Consequence</b> A reduction in enforcement to support free key worker parking. Loss of income which would impact our ability to fund our services and meet the needs of residents.</p> <p><b>Risk Trend:</b> </p>	<p>On street, CCTV and cashless parking revenues have significantly declined as a result of the Covid-19 lockdown, this decline in parking revenues may generate a significant budget gap. We estimate the scale of the risk to be £8.5m.</p> <p>We have been monitoring motorist's behaviour throughout lockdown and as lockdown measures have been eased. Within parking we have actively refer to government guidance and London Councils relating to enforcement activity.</p> <p>We have provided parking permits for key workers during lockdown and continue to provide these to support key workers in Islington. Our approach to this continues to be monitored.</p>	<p>As traffic volumes increase in the coming months we expect a change in motorist behaviour. The Council has a People Friendly Street Programme (Low Traffic Neighbourhoods, School Streets and the lorry control programme) which will be rolled out.</p> <p>In order to support the above measures we are implementing a recovery plan for enforcement services and monitoring via our parking account scrutiny board.</p>	<p>Pro-active monitoring of motorists behaviour</p> <p><b>TARGET COMPLETION:</b> Ongoing</p> <p>Continue to implement planned savings projects</p> <p><b>TARGET COMPLETION:</b> Ongoing</p> <p>CCTV expansion to support the people friendly streets programme</p> <p><b>TARGET COMPLETION:</b> Ongoing</p>

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
16	4	4	<p><b>Risk Title</b> Increase in Economic Inequalities</p> <p><b>Risk</b> Increase in economic inequalities and significantly reduced economic wellbeing</p> <p><b>Cause</b> Economic slowdown, leading to increased unemployment and business failure. Lack of confidence (investors and developers)</p> <p><b>Consequence</b> Significant increase in poverty and unemployment across Islington, increasing demand for Council services. Employment spaces not utilised and optimised. Potential loss of income for the Council</p> <p><b>Risk Trend:</b></p> 	<p>Significant income inequality exists in Islington, the Covid-19 crisis may further deepened these existing inequalities.</p> <p>In response to the increase in risk in this area the existing Inclusive Economy programme has now expanded to integrate adult employment, and further develop its partnerships and enhance its approach to sectoral working.</p> <p>There are a number of activities which are underway to support residents and local business, these include:</p> <ul style="list-style-type: none"> <li>- Responding to and distributing resources released by central government for small businesses, including developing advice for businesses about how to safely re-open and adapt following Covid-19</li> <li>- We have drafted our Community Wealth building framework to maximise the Council's recovery efforts to support local residents and businesses.</li> <li>- Targeted employment support for our priority groups (these include young people, BAME, disabled and women)</li> </ul>	<p>Distribution of central government resources i.e. the small business support schemes</p> <p>Development of bespoke re-opening advice and business adaptation advice</p> <p>Online offer in respect of employment support and working with housing to target council tenants and our street population</p> <p>Seeking funding to support businesses and to help residents get back into work.</p> <p>Re-scoped existing inclusive knowledge economy project to respond to emerging opportunities in life sciences.</p> <p>Re-scoping social value expectations from affordable workspace portfolio</p> <p>Skills Strategy - Development of skills strategy to focus on supporting residents including priority groups, newly unemployed and those who need re-skilling to change sector.</p>	<p>Continue to monitor central government advice and action as appropriate</p> <p><b>TARGET COMPLETION:</b> Ongoing</p> <p>Developing green economy strategy to enable an inclusive economy</p> <p><b>TARGET COMPLETION:</b> October 2020</p> <p>Research on impact of Covid-19 crisis, particularly on priority groups</p> <p><b>TARGET COMPLETION:</b> Ongoing</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
16	4	4	<p><b>Risk Title</b> Youth Crime and Serious Youth Violence</p> <p><b>Risk</b> Increase in crime and harm from Serious Youth Violence. A perceived failure to respond adequately to/prevent crime involving young people, despite funding &amp; well publicised plans.</p> <p><b>Cause</b> Early childhood trauma, disrupted attachment may lead to children unable to self-regulate; therefore they are more likely to offend. Interventions are not sufficiently tailored or impactful. The pull of gang affiliation/ offending means trauma/ behaviours are not addressed early enough</p> <p><b>Consequence</b> Media coverage contributes to fear of crime, negative attitudes towards young people compounding the issues they face. More young people in criminal justice system</p> <p><b>Risk Trend:</b> </p>	<p>In 2019 - 2020 Islington recorded (compared to 2018-19) a 6% reduction in Violence Against the Person compared to a 2.8% increase across MPS boroughs as a whole. There were reductions in all knife crime categories (knife crime with injury under 24yrs down 43%) and gun crime offences down (41%).</p> <p>During the lockdown period Islington saw significant crime reductions in the majority of crime areas (40% reduction overall) including across all violent crime types.</p> <p>Crime has started to increase since the easing of the lockdown measures. The areas of concern for Islington centre around a small number of parks / estates where established gangs / groups are causing issues with increasing drug dealing and robbery. The borough has also seen an increase in gang tensions, linked to “drive byes” where videos in rival areas are filmed to taunt / call out other gangs and posted on social media.</p> <p>The likely impact of any post-Covid-19 economic downturn on family incomes and youth and adult employment in the borough is likely to be most damaging for the most disadvantaged. There are also significant concerns regarding the long term impact on young people of the Covid-19 situation on children’s emotional health and wellbeing, education and the safety of children while not in school including around the risks of criminal exploitation.</p>	<p><b>Controls</b> Delivery of Working Together for a Safer Islington Plan 2017 – 20 continues while the new Youth Safety Plan is being developed. Investment in youth services, Integrated gangs team, youth violence prevention and Missing and Exploited team. Youth violence prevention work in schools through IYLA – Improving Young People Lives through Awareness The Trauma informed approach is being rolled out in schools; there have been reductions in behaviour incidences and exclusions, also being rolled out at a neighbourhood level, across council, voluntary sector and partner agencies. Violence Reduction Unit (VRU) funding has been used to sustain and extend the Transition to Secondary school project. The VRU funding is also being used to expand trauma training for VCS, Family Strengthening Conferences, IDVA in TYS working with children and young people. Islington and Camden have secured £400k additional VRU funding to deliver a Parental Support project. The Met police have a Violence Suppression Unit (VSU) dealing with high harm offenders and groups with covert operations continuing. Islington has seen continued reductions in First Time Entrants to the Youth Justice System and Custodial numbers are down The work of the IGT was highlighted as good practice in the March Ofsted inspection of Islington Children’s Services The growth funding to expand VAWG services support families where there is child to parent violence. Focus on exclusions and school attendance</p>	<p>The work on the new Youth Safety Plan for Islington has continued during lockdown with a view to launch in August. <b>TARGET COMPLETION:</b> August 2020 launch The VRU parenting support project offering community based, peer-to-peer support in the context of a public health approach to violence reduction in Camden and Islington <b>TARGET COMPLETION:</b> Starts August 2020 Co-location of police officers into Community Safety &amp; ASB teams <b>TARGET COMPLETION:</b> September 2020 Disproportionately project: Islington, Haringey and City University during</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
16	4	4	<p><b>Risk Title</b> Welfare Reforms</p> <p><b>Risk</b> Cannot efficiently collect rent following introduction of Universal Credit (UC) when housing support is paid directly to the claimant.</p> <p><b>Cause</b> Government policy, Covid-19 (accelerated number of UC applications)</p> <p><b>Consequence</b> Vulnerable residents in significant new financial hardship. Evictions and homelessness may also increase.</p> <p><b>Risk Trend</b> </p>	<p>Welfare reforms continue to present a major challenge for the council and its residents. Residents receiving Universal Credit have higher rent debts three times higher than those on Housing Benefits.</p> <p>Due to the closure of 222 Upper Street along with partner organisations, all UC support services are being triaged through the council's telephone network. Calls are managed to help with housing issues along with signposting to other services such as iWorks and IMAX.</p> <p>The current period has seen a larger than expected increase in council tenants claiming Universal Credit by almost double. Numbers rose by approximately 1200 between March and June against an expectation of 600. This has contributed to an increase in rent arrears of over £1.2m during this period.</p> <p>The Coronavirus Act 2020 amended the expiry period for Notices of Seeking Possession from 4 weeks to 12 weeks in attempt to reduce evictions during this period. Locally the decision was made to not serve notices to tenants.</p> <p>Evictions were suspended by closing the courts, which are now scheduled to re-open at the end of August pending social distancing requirements. Whilst there have no evictions during this period, the financial impact of these measures is estimated to be £300,000 along with 9 unrecovered homes, which would normally be used to house families on the waiting list.</p>	<p>Programme of support for residents, identifying most vulnerable and tailoring our support accordingly.</p> <p>We will reduce 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 and targeting them with support.</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, which is continuing.</p> <p>Co-ordinated cross-council response in conjunction with key external partners. 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 Department of Work and Pensions (DWP) to discuss UC roll out and issues.</p> <p>Continue to ensure staff are trained on UC and have up to date information.</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. <b>TARGET COMPLETION: Late 2020</b></p> <p>Restructure Income services to include Universal Credit support team for council tenants <b>TARGET COMPLETION: Late 2020</b></p> <p>Analysis of UC data to understand how best to support residents. <b>TARGET COMPLETION: Ongoing</b></p> <p>Review cross council approach to supporting residents in debt. <b>TARGET COMPLETION: Mid-late 2020</b></p> <p>Exploring the financial and economic legacy of Covid-19. <b>TARGET COMPLETION: Mid-late 2020</b></p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
16	4	4	<p><b>Risk Title</b> Housing Delivery</p> <p><b>Risk</b> Failure to meet overall housing targets</p> <p><b>Cause</b> Shortage of sites, market turbulence/slowdown impacting developers (including private developers, housing associations etc.).</p> <p><b>Consequence</b> 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><b>Risk Trend:</b> </p>	<p>We have failed to meet the delivery targets set out under the Housing Delivery test for 17/18 and 18/19. We anticipate it will be challenging to meet the requirements for 19/20, it is also likely that data for the current year may be incomplete. The impact of Covid-19 means it may be challenging to conduct our Annual Monitoring Survey to establish the current position of construction in the borough due to difficulties with on-site inspections.</p> <p>There is some uncertainty around how the Housing Delivery Test will be handled this year by the government due to Covid-19. The Greater London Authority (GLA) are lobbying government to suspend housing delivery test.</p> <p>We submitted our Local Plan to the Planning Inspectorate on 12<sup>th</sup> February 2020, examination and hearings (initially scheduled for June, were moved provisionally to September 2020 partly due to Covid-19). The Hearings have now been further delayed and the Council has been asked to undertake further work to evidence how the short and long term housing targets will be met. This additional work is only partly linked to impacts of Covid-19.</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 was submitted for Examination in February 2020. The Examination Hearings were initially delayed due to Covid-19, but have been further delayed by Inspectors raising further concerns about housing supply. The Council is required to do further work to demonstrate the how short and long term housing target will be met. It is unclear at this stage when the Hearings will be held.</p> <p><b>TARGET COMPLETION: Adoption likely towards the spring/summer 2021.</b></p> <p>Reviewing options and working with developers to accommodate central government request to extend construction site hours to support housing delivery, there are very significant challenges to overcome in Islington and we have already experienced some pushback for residents.</p> <p><b>TARGET COMPLETION: This will be ongoing (the council will respond the developers requests)</b></p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
16	4	4	<p><b>Risk Title</b> IT resilience</p> <p><b>Risk</b> Our IT is not sufficiently resilient to meet the demands of services</p> <p><b>Cause</b> Lack of investment in technology, lack of resources to build and monitor resilience, lack of disaster recovery planning</p> <p><b>Consequence</b> Operational disruption, additional cost, reputational damage</p> <p><b>Risk Trend:</b> </p>	<p>We have identified a number of areas of improvement for our IT ecosystems, these improvement areas required to improve resilience and reduce single points of failure. One of our data centres has a much lower capacity than the other and can support limited services.</p> <p>One of our offices has no generator connection (former attempts were disrupted by outside events) and can only short power outages can tolerated on Uninterruptable Power Supply (UPS) supplies, this reduces our overall resilience due to our network design dependency.</p> <p>At an application level, on-premises applications are generally all running off one instance and are therefore susceptible to hardware or software failure. Backups are to tape which has a long restore time.</p> <p>To improve resilience the following has occurred:</p> <ul style="list-style-type: none"> <li>• Council email is hosted on the cloud (Microsoft Office 365) which provides a robust and scalable solution moving forward.</li> <li>• Network account control has been shared with the cloud (Microsoft Azure AD). This has been set as the primary domain for network access which makes user access control more resilient to cope with council network issues.</li> <li>• Split tunnelling has been introduced so staff working from home can access their email (Office 365), SharePoint Online, and Microsoft Teams (for collaboration and communication) with less dependency on the council network.</li> </ul> <p>The bandwidth of the council's network circuits have been increased to 1GB from 500MB.</p>	<p>Investment in a variety of upgrades and mitigations will progressively reduce this risk. As a strategy the council is moving to Software as a Service (SaaS). For example, the Office365 components run in cloud and will still operate if 222 fails entirely.</p> <p>The generator connection has been delayed due to Covid-19.</p> <p>The Wan Transformation will update the network and reduce reliance on 222 as the Hub. Boundary services will be moved to cloud.</p> <p>The investment in SAN replacement and the move to cloud based backup (off tape) has been approved by CMB.</p> <p>As part of that approval, upgrades to the Core switches and Wi-Fi will provide resilience and support to the on-premises networking.</p> <p>Applications will be progressively upgraded to cloud where they are architected to be more resilient in themselves, and are not vulnerable to on-premises hardware failures.</p>	<p>Replacing out of data network switches <b>TARGET COMPLETION: Dec 2020</b></p> <p>Move applications out of the data centre. <b>TARGET COMPLETION: Ongoing as per application life cycle</b></p> <p>WAN Transformation <b>TARGET COMPLETION: Dec 2020</b></p> <p>Generator connection <b>TARGET COMPLETION: Dec 2020</b></p> <p>Reviewing solutions to modernize the council's data storage and data backup systems to make them both more resilient and more flexible. <b>TARGET COMPLETION: Ongoing</b></p>





Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
16	4	4	<p><b>Risk Title</b> Leisure Provision Closure</p> <p><b>Risk</b> loss of rent and service from leisure operator (GLL) for leisure centres</p> <p><b>Cause</b> the closure of leisure facilities and swimming pools as a result of Covid-19 and future financial viability of GLL as a result of loss of income.</p> <p><b>Consequence</b> Financial loss to the Council – complete loss of service for residents.</p> <p><b>Risk Trend:</b></p> 	<p>The impact of the Covid-19 lockdown resulted in the complete closure of our leisure facilities (operated by GLL). These services were closed between 23<sup>rd</sup> March to 24<sup>th</sup> July, GLL are now implementing a phased re-opening. During the phased re-opening there remains some uncertainty around customer confidence (impact of social distancing measures) which may impact usage and business recovery.</p> <p>We have been working closely with GLL during lockdown to provide support and guidance (as appropriate). A mobilisation plan has been created and scrutinised. We are running an open book process (full disclosure of accounts) to inform our financial planning. GLL have provided detailed financial information, our finance team will now utilise this to conduct a financial viability assessment.</p> <p>External legal support has been procured and contractually, we have signed a Deed of variation for the first period of support (setting our support process). A second deed of variation is being sought to provide parties with certainty.</p> <p>We have appointed specialist leisure consultants to support the re-fresh of the council's Leisure Strategy.</p>	<p>Cross London GLL Panel – all boroughs which utilise GLL meet on a regular basis to share best approaches and insight.</p> <p>Sub-group of boroughs which investigates alternative arrangements if the GLL failure occurs.</p> <p>Regular client meetings.</p> <p>Formal review points agreed (performance).</p>	<p>Monitoring of GLL's financial position <b>TARGET COMPLETION:</b> Ongoing</p> <p>Financial Assessment <b>TARGET COMPLETION:</b> End August</p> <p>Viability Assessment <b>TARGET COMPLETION:</b> End September</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
15	3	5	<p><b>Risk Title</b> Safeguarding children</p> <p><b>Risk</b> Ineffective protection of children and parents</p> <p><b>Cause</b> Non-compliance with procedures</p> <p><b>Consequence</b> Significant harm to a child(ren)</p> <p><b>Risk Trend</b> </p>	<p>OFSTED conducted their inspection of our Children's Services in Islington in March 2020 and rated those services as outstanding. The services for children in need and children in need of protection were rated outstanding, our provision for care leavers and looked after children were rated as good. Our leadership and overall effectiveness were also outstanding.</p> <p>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. This approach to quality assurance has been praised by Ofsted in recent Inspections.</p> <p>Covid-19 has impacted our residents and their children, some of the key themes are:</p> <ul style="list-style-type: none"> <li>• A circa 20% reduction in referrals to social care (mainly attributable to close in schools and referrals from schools)– we are monitoring this and reviewing as we anticipate there may be a delay in demand and we perhaps may see a surge in referrals after lock-down and an increase in the severity of cases due to delayed referrals.</li> <li>• An increase in the number of children coming into care and more children staying in care (due to partial closure of family courts), this may result in a short term surge in our looked after population.</li> <li>• Increasing concerns about domestic violence</li> <li>• Concerns for parental mental health and the impact on young carers</li> <li>• Decrease in Unaccompanied Asylum Seeking Children (UASC) – this is due to large numbers of UASC being detained at Ports as part of the Covid-19 response. This delay in accessing care may lead to an increase in trauma at presentation.</li> </ul> <p>We reviewed the changes to legislation passed by parliament and only adopted those which were necessary.</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. The ILACs Ofsted action plan is in place</p> <p>All QA and monitoring processes continue to be in place.</p> <p>Workforce strategy in place.</p> <p><b>Additional Controls for Covid-19</b></p> <ul style="list-style-type: none"> <li>• Close liaison with family courts to ensure cases which can be heard progress to final hearing so children are afforded permanency.</li> <li>• Pro-active assessment of prospective adopters so there isn't a backlog of children being adopted.</li> <li>• Family and friends carers continue to be assessed.</li> <li>• Increased staffing capacity within looked after children's service to ensure quality.</li> <li>• Placements sufficiency strategy (additional resources in our placement team and commissioning external review).</li> <li>• Launching fostering recruitment strategy</li> <li>• Social Care grant dedicated £500k for our looked after children's and specialist foster carer schemes.</li> <li>• Increased mental health and clinical support in care leaving service for UASC children. Specialist UASC project officer funded by Home Office.</li> <li>• National safeguarding campaign for children, undertaking face to face and virtual meetings with children we know.</li> <li>• Our Early help services are reaching out to families.</li> </ul>	<p>There are 2 recommendations from the Ofsted inspection which are being progressed as part of an action plan, this will be agreed by Ofsted in July.</p> <p><b>TARGET COMPLETION: July for agreement</b></p> <p>QA to continue wherever possible in Covid-19</p> <p><b>TARGET COMPLETION: Ongoing</b></p> <p>Data and performance monitoring changed to track more closely key data during Covid-19</p> <p><b>TARGET COMPLETION: Ongoing</b></p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3	4	<p><b>Risk Title</b> Diversity and Inclusion</p> <p><b>Risk</b> Failure to attract and retain the diverse talent we need at every level of the organisation to deliver our services</p> <p><b>Cause</b> Lack of resources to deliver the required strategic approach to workforce planning Lack of engagement by some directorates in apprenticeship programmes.</p> <p><b>Consequence</b> We will be unable to realise the benefits of a diverse and inclusive workforce in shaping and delivering our services.</p> <p><b>Risk Trend</b> </p>	<p>Fairness is a clear Council priority and this should extend to its employees. It is therefore essential that the Council leads the way on having a staffing establishment that reflects the composition of the borough's population. To that end it is determined to achieve the 'Equalities Gold Standard' which sets out clear targets for departments to meet to achieve this ambition.</p> <p>Although the Gender Pay Gap is positive, the BAME pay gap demonstrates that there is insufficient representation of BAME employees in the upper pay grades and in particular the top 5% of earners.</p> <p>The Council's Workforce Strategy outlines several actions that are in the process of being implemented. These include updating the most used policies, improving processes such as recruitment to ensure that potential obstacles to efficient and fair management can take place.</p> <p>Improved management information has demonstrated there are improvements to be implemented to further remove perceived barriers. Further analysis in relation to recruitment be needed in order to refine.</p> <p>A new Reverse Mentoring Scheme is being introduced and the provision of management development opportunities are being made available to encourage staff take up.</p> <p>In addition, the creation of the new Policy and Inclusion section sitting in Chief Executive's Delivery Unit will add further resource and impetuous in boosting actions to ensure that together with HR tangible results can be achieved.</p>	<p>The new 'Challenging Inequality Programme Board' will ensure that departments remain on course with their action plans to achieve the Equalities Gold Standard. This monthly meeting has robust governance and a clear focus.</p> <p>The Public Sector Equality Duty (PSED) and Gender Pay Gap reports are published nationally. Both are reported annually to the Council's Audit Committee and it is proposed that they also are presented to the Personnel Policy Scrutiny (PPS) Committee.</p> <p>The Workforce Strategy is also subject to six monthly reviews at PPS.</p> <p>The Corporate Management Board is now in receipt of quarterly HR reports including information in relation to equalities in order to monitor progress.</p> <p>DMTs review staff data on a monthly basis in order there is greater focus on monitoring equalities within departments.</p>	<p>Implementation of the workforce strategy <b>TARGET COMPLETION:</b> Ongoing</p> <p>Reverse mentoring scheme <b>TARGET COMPLETION:</b> Ongoing</p>
Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3	4	<p><b>Risk Title</b> Social Inequalities</p> <p><b>Risk</b> Failure to challenge and address social inequalities in Islington</p> <p><b>Cause</b> Poor prioritisation, lack of clear governance, and/or detailed project/programme management</p> <p><b>Consequence</b> Loss of community confidence in the Council. Poor outcomes for residents.</p> <p><b>Risk Trend:</b></p> 	<p>Islington is a diverse borough with a proud history of championing equality for all, however there is still too big a gap between those with secure, good-quality housing and those without; between those with the confidence, networks and qualifications to seize opportunities and those who feel those opportunities are out of reach. Many problems and issues our residents face are the result of, or compounded by, inequality. Despite changes in attitudes, behaviours and beliefs, discrimination, unconscious bias, and prejudice still holds certain people or groups back and prevents them from fully participating in society. Despite social progress and the advancements of rights and freedoms there are still entrenched, systemic inequalities in our society.</p> <p>Numerous studies from Public Health England and others have shown that Covid-19 has had a disproportionate impact on those from Black and Asian Minority Ethnic backgrounds. Covid-19 has exacerbated the deep inequalities faced not only by the black community but also for those from other minority ethnic backgrounds</p> <p>Our new 'Challenging Inequality Programme' sets out how we will tackle inequality in our capacity as an employer, a strategic leader and as a service provider. The programme will consolidate the work undertaken around leadership, accountability and engagement, as well as the Covid-19 equalities action plan to form a programme which seeks to create a fairer borough for everyone, with a particular focus on race inequality. Our new Challenging Inequality Programme will provide the framework through which we will collectively work towards our ambition of being the fairest borough in London and tackle the racial injustice that still exists.</p> <p>Whilst race equality and responding to Covid-19 are initial priorities for the programme for the reason outlined, equally important is that we do not lose sight of our work in relation to all the other disadvantaged groups. As the programme develops we will broaden our focus to include other issues.</p>	<p>Challenging Inequality Programme</p> <p>Challenging Inequality programme board</p> <p>Directorate Leads</p> <p>Clear Programme plan</p> <p>- including as employer, strategic leader and as a service provider.</p> <p>Through the boards, will be monthly progress and review.</p> <p>Race Equality Staff Network</p>	<p>Implement and adopt the Challenging inequality Programme</p> <p><b>TARGET COMPLEITON:</b></p> <p>Ongoing</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3	4	<p><b>Risk Title</b> Brexit <b>Risk</b> Disruption to local/council services and supply chains. <b>Cause</b> 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) <b>Consequence</b> Increased cost of services, reduced quality of services, contractor or supply chain failure, civil unrest and increased cost of living for residents. <b>Risk Trend</b> </p>	<p><i>Brexit preparation work has been conducted under the Brexit Resilience group (BRG). The BRG had 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.</i></p> <p><i>Work has been ongoing to support and encourage staff and residents to apply for EU Settled Status including;</i></p> <ul style="list-style-type: none"> <li><i>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;</i></li> <li><i>detailed planning is in place to support vulnerable residents who will need assistance applying for the settlement scheme</i></li> <li><i>the provision of the ID Verification Service within Registrars;</i></li> <li><i>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;</i></li> <li><i>open information sessions across council buildings</i></li> </ul> <p><i>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 were hosted at the council which have provided advice for both residents and businesses.</i></p> <p>The above work has been paused in line with other London authorities during the lockdown period of Covid 19 to enable key services to deal with more immediate issues.</p> <p>The Emergency Planning Unit has tactical plans in place as part of contingency planning. Business continuity plans need to be updated to consider a no risk scenario within the context of the management of the Covid-19 position.</p>	<p>The BRG was working towards increasing awareness and preparedness for the outcome of Brexit prior to the Covid-19 lockdown. 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.</p> <p>Risk registers will be updated again with monitoring to commence in the autumn.</p> <p>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>Monitor central government guidance. <b>TARGET COMPLETION:</b> Ongoing, to Monitor London Resilience Group when it resumes on this issue <b>TARGET COMPLETION:</b> Ongoing</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3	4	<p><b>Risk Title</b> Cyber and data security</p> <p><b>Risk</b> Process Control Networks and/or Critical Information Assets may be compromised</p> <p><b>Cause</b> Computer-based unauthorized access or malicious modification of code</p> <p><b>Consequence</b> Denial of Service, data breach, reputational damage, disruption of service(s)</p> <p><b>Risk Trend</b> </p>	<p>Some Cyber Security activities have been impacted by the response to Covid-19. We are now actively bringing those activities back into focus.</p> <p>The risks and challenges encountered by the IDS response to Covid-19 have been recorded and monitored.</p> <p>The response to Covid-19 put pressure on the council's network due to the uptake in home working. Adaptations were quickly made to improve and ensure network access. To better secure our staff and their devices whilst working from home we plan to implement a cloud-based proxy and firewall (Zscaler) this year. Applocker, a Microsoft/Windows control has been implemented – this prevents unauthorised applications (including malware) running on laptops.</p> <p>We have received the Cyber Security audit report from PWC and will work through its findings.</p> <p>To improve the effectiveness and cohesion of Cyber Security controls across the network we will define an improved governance regime and metrics. Further a Cyber Security strategy will be developed to align our security with the IDS direction of travel to layer the security boundary on the cloud and hardness cloud based services.</p> <p>The technical debt on the network is still a challenge. Windows 7 PC estate is being replaced by Windows 10. Windows server 2008 will be placed under extended Microsoft support. A project is underway to upgrade the Windows server 2008 estate.</p>	<p>Islington council has all of the normal cyber security controls expected on an organizations network. Such as access controls, computer controls, anti-virus controls, email and web filtering, firewalls, Denial of service protection, backup controls.</p> <p>These controls are supported by processes such as service delivery, change control processes, technical design processes which are operated by IDS personnel. Together these manage the organizations cyber security risk.</p> <p>These controls are regularly monitored, tightened and improved to deal with the changing levels of threat.</p> <p>Additionally data (at-rest) on PC's is protected by encryption (MS BitLocker) and data exchanged between PC's WFH and the council's network is protected by VPN/TLS (in-transit) encryption.</p>	<p>Enterprise Resource Planning outline business case has been approved. Procurement will progress for appropriate system. <b>TARGET COMPLETION: 2021</b></p> <p>Introduce (for approval) a set of Cyber Breach Exercises planned to test cyber resilience. <b>TARGET COMPLETION: Oct 2020</b></p> <p>Transition to Windows 10 <b>TARGET COMPLETION: September 2020</b></p> <p>Technology debt programme: <b>TARGET COMPLETION: Ongoing</b></p> <p>The Cyber business continuity exercise has been deferred until after the upcoming election, this will involve turning on the emergency generator <b>TARGET COMPLETION: No date set – will be scheduled post Covid-19 response</b></p> <p>Implementation of cloud-based proxy and firewall. <b>TARGET COMPLETION: September 2020</b></p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3	4	<p><b>Risk Title</b> Response and resilience</p> <p><b>Risk</b> 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><b>Cause</b> Inadequate business continuity (BC) planning and disaster recovery</p> <p><b>Consequence</b> Damage to reputation, resident safety, increased cost for response due poor planning, unacceptable response time.</p> <p><b>Risk Trend</b> </p>	<p>The generator project has been paused due to Covid-19 and needs to be completed as a matter of urgency to improve our resilience. The approach to the project will be reviewed in order to ensure plans are up to date and reflect the current external environment.</p> <p>In response to Covid-19 we quickly established our emergency command structure and activated the Borough Emergency Control Centre (BECC). This was supported by our Crisis Management Support Team and LALO's (Local Authority Liaison Officers) who took on various roles within the BECC in addition to remaining on standby to assist with our wider contingency arrangements. We have developed our pool of loggists, these loggists captured decision making during the Covid-19 response. The Covid-19 response provided an opportunity for us to test our approach to resilience planning, and provided comfort around our level of organisational response. This also provided an opportunity to test our strategic and tactical level command structures, these structures proved effective resulting in a quick and effective response.</p> <p>During Covid-19 there was a large fire and subsequent evacuation of an Islington council estate, our crisis response team were able to successfully respond and manage the incident, for several hours, demonstrating our resilience capabilities.</p> <p>Ahead of the Covid-19 pandemic Business Continuity plans were refreshed to include a pandemic scenario, this allowed services time to reflect on how best to respond and prepare</p> <p>Writing an exercise to test our Local Outbreak Plan to ensure our command structure and wider partnerships can be tested.</p> <p>We will also continue to review lessons learned from Covid-19.</p>	<p>Business Continuity plans are in place, however arrangements for business continuity are being reviewed to enhance our approach to resilience and improve consistency across our services.</p> <p>The Islington Resilience Board meet to improve the BC culture and ensure plans are completed.</p> <p>We are fully compliant with EP 2020 requirements</p> <p>We undertake lessons learned review after any incidents.</p>	<p>Connect the emergency generator and ensure it is fully functioning</p> <p><b>TARGET COMPLETION: December 2020</b></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&amp;R, People's and Corporately with Met Police. Previous planned Cyber scenario to be moved to 2020 exercising.</p> <p><b>TARGET COMPLETION: 2021</b></p> <p>Review BCP template, implement changed, align with corporate risk framework and send to directorates.</p> <p><b>TARGET COMPLETION: 2021</b></p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3	4	<p><b>Risk Title</b> Safeguarding adults</p> <p><b>Risk</b> Failure to fulfil our statutory obligation to identify or respond to significant preventable harm to adults at risk of abuse</p> <p><b>Cause</b> Provider Failure, Non-Compliance with procedures, inadequate IT systems.</p> <p><b>Consequence</b> Risk to Individual, Reputational. Financial.</p> <p><b>Risk Trend</b></p> 	<p>Safeguarding themes have emerged during the lockdown period. Initially we were aware of scams and financial abuse. Once the lockdown had been enforced for a period of time we received significantly more referrals for people who were self-neglecting and for high risk domestic abuse than we had seen in the same corresponding period last year.</p> <p>We responded quickly to changes in legislation and practice brought by the Coronavirus Act and subsequent Care Act Easements legislation although Safeguarding Adults wasn't directly affected by the Easements legislation. We have continued to provide in-house specialist nursing support where required and remote support where it was appropriate to safeguard residents from Covid-19.</p> <p>Care homes in the borough have had cases of Covid-19 resulting in the sad deaths of some residents. We have worked to support the homes with accurate and timely advice and support as per guidance from Public Health England. We have also continued to offer face to face specialist input from our Care Homes Nurse Specialist and remote support from our social work teams, Deprivation of Liberty Safeguards Office and Safeguarding Adults Unit. We currently have 2 care homes in a 'provider concern' process, these providers have sustainable improvement plans in place. We continue to monitor the impact of Covid-19 on providers. Social workers and other colleagues were needing to respond to serious safeguarding concerns whilst limited in their ability to see service users and carers face to face due to guidance and restrictions imposed by Public Health England.</p> <p>In a rapidly changing environment we recognised that staff required additional, flexible and creative support. We ensured that we retained a very clear link between emergency policy and legislation and practice.</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>Adult Social Care and the Safeguarding Adults Board are represented at the Safer Islington Partnership, Islington Safeguarding Children's Board, MARAC Steering Group, VAWG Board, Community Safety Partnership Board and PREVENT</p> <p>We are working with providers to help viability. Continuous cycle of placement reviews and frequent case audits.</p> <p>Practitioner forums Partnership Board, this has helped us to improve our joint working and strategic decision making.</p> <p>Monthly Meeting with those involved in registered care settings including partners in health, CQC and Healthwatch - Early stage intervention and escalation.</p> <p>Quality Assurance Framework for Adult Safeguarding is being incorporated into a new department wide Quality Assurance Framework Safeguarding Adults procedure and relevant ADASS guidance.</p> <p>Interactive training for staff on implementing the Mental Capacity Act in practice</p> <p>Improving connections meetings.</p> <p><b>Covid-19 controls</b></p> <p>Additional support from paid advocates in care homes where their relatives usually provide advocacy, this has brought significant additional reassurance for relatives who have been unable to visit their loved ones.</p> <p>We have produced a range of information/guidance for staff and are delivering video based practice clinics to support social workers undertaking safeguarding enquiries.</p> <p>We enhanced support for providers including having daily briefings, supplying PPE and Coordinating of Deliveraid for care home staff to receive hot meals</p> <p>Our training converted to video</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.</p> <p><b>TARGET COMPLETION:</b> Ongoing</p> <p>We are preparing for delivery of training for the new Liberty Protection Safeguards all relevant staff once the new Code of Practice is published.</p> <p><b>TARGET COMPLETION:</b> Delayed as standards are delayed</p> <p>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</p> <p><b>TARGET COMPLETION:</b> Ongoing</p> <p>Implementing Making Safeguarding Personal using a strength based approach and utilising a Trauma Informed Approach.</p> <p><b>TARGET COMPLETION:</b> Ongoing</p>





Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3	4	<p><b>Risk Title</b> New Homes Programme</p> <p><b>Risk</b> Delay or Inability to deliver the New Build Programme, quality, time and cost.</p> <p><b>Cause</b> Resourcing, contractor failure, delay in planning approval, poor resident engagement.</p> <p><b>Consequence</b> Reputational damage, service delivery. Loss of opportunity for residents</p> <p><b>Risk Trend</b> </p>	<p>Our construction sites suspended work in March 2020 in response to Covid-19, however all sites are now re-open. Sites are operating with reduced numbers of operatives (in-line with government guidance). Around 8 weeks of construction were lost during shutdown.</p> <p>Supply chains also shut during the peak on pandemic, some European supply chains were however maintained, this has resulted in increased lead times for some orders. This in combination with the reduced capacity will impact the progress of construction across the programme for a considerable period.</p> <p>We are monitoring financial forecasts and reviewing the position of the residential sales markets, we are about to launch the digital sale of one project and will monitor.</p> <p>We have not experienced any main contractor failures during Covid-19. We are monitoring supply chains and contractors as we go forward as the impact of Covid-19 emerges.</p> <p>We are unable to hold physical consultation events currently due to social distancing requirements therefore have reviewed the Council's legal obligation and policy approach to consultation and developed an updated policy approach for use whilst social distancing controls remain in effect to ensure that residents are meaningfully engaged and that the Council fulfils its statutory obligations in relation to consultation.</p> <p>This includes additional timescales for survey and response to printed distributed material and the use of digital engagement platforms (zoom). Residents will be asked to provide demographic information and feedback to ensure that we assess the suitability of this approach and respond.</p>	<p>Employed a communications officer to improve resident engagement.</p> <p>Engaged a team of architects to review opportunities for building, reviewing different building techniques.</p> <p>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.</p> <p>Programme structure includes contingency.</p> <p>Project Board, Operational focus review all schemes, meet bi-monthly</p> <p><b>Communications strategy</b> Additional controls are being put in place to monitor the effectiveness of engagement during the Covid-19 pandemic</p> <p><b>Covid-19</b> Regular contact with contractors and review of their response to approved industry guidelines for construction during Covid-19 (CLC SOP v.4) Working with employers agents to understand industry trends. Checking environmental impacts of constructions for those who are shielding.</p>	<p>Restructure approved and following a short pause to assess Covid-19 impact, is now being implemented.</p> <p>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. The implementation of this has been delayed by approximately one quarter</p> <p><b>TARGET COMPLETION: Established over 2020/2021</b> Monitoring impact of delay on completions across the programme – <b>TARGET COMPLETION: Ongoing</b> Reviewing options to provide temporary storage for supplies to increase robustness of supply chains <b>TARGET COMPLETION: Ongoing</b> Exploring predictably costed housing – to reduce costing across the programme through use of fully modular and hybrid systems <b>TARGET COMPLETION: Ongoing</b></p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3	4	<p><b>Risk Title</b> Social Care Market Instability</p> <p><b>Risk</b> Significant provider failure/ withdrawal of providers</p> <p><b>Cause</b> Financial strains causing providers to withdraw from the market</p> <p><b>Consequence</b> Safeguarding risks to individuals, Financial.</p> <p><b>Risk Trend</b></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 which was successfully achieved. The Covid-19 pandemic has prompted a range of additional actions (some flagged within the safeguarding section) designed to support and work more closely with our Islington providers. .Although our older adults care market is small and consists mainly of larger providers organisations, we have established a strong partnership with them to ensure any financial risk to viability is flagged early and worked on together. Additional pots of funding have helped to maintain support for both staffing and PPE at a time of significant increased demand.</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>Covid-19 has ignited the national debate about the uncertainty of long term funding for social care, whilst the risk of a no deal Brexit remains a real possibility.</p> <p>We continue to monitor the impact of Covid-19 on providers.</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, this has seen a significant increase in spot providers, particularly in the domiciliary care market. .</p> <p>We have regular provider forums and have increased opportunity to have 1:1 discussions with providers during the Covid-19 pandemic 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</p> <p><b>TARGET COMPLETION: Ongoing</b></p> <p>Regular review of contingency plans-every three months</p> <p><b>TARGET COMPLETION: ONGOING</b></p> <p>Collaboration across North Central London with local authority and NHS colleagues to support the social care market and workforce.</p> <p><b>TARGET COMPLETION: ONGOING</b></p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3	4	<p><b>Risk Title</b> Compounded pupil attainment gap</p> <p><b>Risk</b> The attainment of pupils may disproportionately reduce as a result of Covid-19 measures.</p> <p><b>Cause</b> Covid-19 restrictions and adaptations in place in schools exacerbate the differential access to education for different socio-economic groups, in access to technology, reduced contact to assess progress or barriers to learning.</p> <p><b>Consequence</b> Pupils may not achieve their full academic potential (potential for a greater impact on vulnerable pupil's educational outcomes), leading to difficulty re-engaging students in the longer term.</p> <p><b>Risk Trend:</b></p> 	<p>At the outset, the concern that lock down measures could disproportionately affect some groups in relation to attainment, was identified as a key risk.</p> <p>Also that in the short and long term socio economic factors could further compound this risk as families come under increasing pressure.</p> <p>This risk is compounded further by inequalities that exist for some families in accessing remote learning and home learning materials, because they do not have IT equipment or connectivity. This digital inequality was identified as a key risk factor.</p> <p>Equally it is known that attending school is a factor in safeguarding children and young people.</p> <p>The risk that without a detailed Back to School plan there could be further compounding of disadvantage in the Autumn term 2020 and that this needed to be underpinned by an effective Digital inclusion policy.</p> <p>A clear framework for communication with Head teachers and governors was needed to secure the delivery of controls was need and this is now secure.</p>	<p>All schools have remained open for vulnerable children and key workers throughout the lockdown period. Attendance has been above national comparators where they are available – the number of vulnerable children increased week on week.</p> <p>From the 2nd of June schools reopened for specified groups –attendance has increased day on day and informal feedback from the Department for Education suggests that attendance of these groups is in line with or above the national picture .</p> <p>Improving access to IT equipment began straight away and this has remained a priority identifying funding both within the Council and externally. A rigorous Strategy for Digital Inclusion is being developed based on a survey carried out with schools.</p> <p>A comprehensive programme of summer learning materials/activities are available, accessed through the Home Learning Page.</p> <p>A Recovery Curriculum including enrichment has been put in place schools have undertaken risk assessments to manage the safe return. .</p> <p>Work is underway to ensure that the 'Catch Up' programme in September is appropriately targeted and has the greatest impact on potentially underachieving groups.</p> <p>Work has been done with Headteachers and Governors to build parental confidence in the safe return to school in September.</p> <p>Headteachers are actively targeting the vulnerable to encourage them to access the summer offer.</p>	<p>In the event of further partial or full closure school due to a spike in cases alternative learning plans are being put in place. This includes work being undertaken to secure Digital Inclusion.</p> <p><b>TARGET COMPLETION:</b> September 2020</p>

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3	4	<p><b>Risk Title</b>  <b>Contract Management Risk</b>            Significant contractor failure/contractors failing to deliver within the agreed parameters (Quality, cost, schedule &amp; social value)  <b>Cause</b>            Ineffective/Non-compliance with corporate contract management procedure and/or contractual terms  <b>Consequence</b>            Service disruption, reduced quality of service, additional financial burden, reduced social value  <b>Risk Trend</b></p> 	<p>Central resources have been identified as insufficient to provide an effective corporate support function to departmental contract managers, many of whom have little or no experience in contract management or commercial skills training. Lack of central support risks value for money, delivery of key Council aspirations and social value, effecting the corporate drive for value for money and Community Wealth Building. Initial training has been delivered but contract management is heavily devolved, making it difficult to fully imbed with one-off training. Contract managers have sought support on a range of matters from ensuring delivery, finance and achieving corporate aspirations. Subsequent training has been commissioned.</p> <p>A proposal for a new Supply Relationships and Assurance function (replacing originally named Strategic Contract Management and Contract Assurance) has been proposed, but current funding levels are insufficient for delivery. The central function is deemed essential to reduce waste and inefficiency, and a loss of tight control also risks delivery of social value asks.</p> <p>Contractor failures have occurred – some before Covid-19, particularly in social care. During Covid-19 central government issued Procurement Policy Notes and the Council produced a detailed guidance note for contract managers including options around payment mechanism flexibility.</p> <p>A number of providers have indicated financial difficulties from leisure to construction. During the Covid-19 pandemic, lots of contract changes were done at pace within services, with likely varying levels of quality and oversight. Recent informal analysis of data suggests that not all contracts or variations to contracts have been properly recorded as per Constitutional requirements. An incomplete picture places the Council in breach of proper transparency requirements and risks economy, efficiency and effectiveness of service provision, reduces opportunities to highlight duplication and impacts the possibility for overall Council effective planning.</p>	<p>Whilst guidance exists there is a strong need for this to be under constant review and improvement, particularly in line with new corporate aspirations post Covid-19 recovery.</p> <p>Commissioning and Procurement Board for overarching direction and Supply Chain Practitioners Group for knowledge sharing are still present, but have been impacted by Covid-19.</p> <p>Training has been commissioned, but the roll-out has been impacted by Covid-19 and needs reviewing for content and means of delivery.</p>	<p>Urgent review and implementation of an effective and properly funded Supply Relationship and Assurance service to work with internal officers and external providers and partners needed. In particular, new capacity is required to ensure the Council polices and ensures delivery of providers' social value commitments.</p> <p>Alternative and expanded training content and means of delivery for that content required.</p> <p>Review of contracts overall as part of category management, the current savings targets of the Council and work plan of Commissioning and Procurement Board is required.</p> <p>Implementation of a new and agreed Progressive Procurement Strategy 2020/25, setting out aspirations for Community Wealth Building and Social Value throughout the supply chain practice required.</p> <p><b>TARGET FOR COMPLETION:</b>            Commenced by December 2020.</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	3	4	<p><b>Risk Title</b> Health and Social Care Integration</p> <p><b>Risk</b> Insufficient capacity, resource and integration within the local health and care system to meet resident's needs.</p> <p><b>Cause</b> National and local funding constraints Differing priorities of key partners, including a new 5 borough commissioning approach and governance for the NHS</p> <p><b>Consequence</b> Poor health and care outcomes for residents</p> <p><b>Risk Trend</b> </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 of circa £88million of which around 40% 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 require disinvestment elsewhere such as more specialist services. As a result of austerity and rising demand both the NHS and social care already have challenging savings programmes with significant savings projected over the next 3 years.</p> <p>The COVID-19 Pandemic has taken much of the focus over the last 4 months which has enabled very different styles of joint working to be established. Stronger partnerships have emerged which have seen cross agency working that has promoted prevention and early intervention as a theme. Effective care and support to Islington residents has been evident from hospital discharge through to primary care and support in individuals own homes – better integration and coordination has been a key feature of this work.</p>	<p>Health &amp; 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 &amp; 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. The recently established Fairer Together Borough Board is proving to be an effective forum for establishing vision, working principles and a plan of action across the Islington footprint.</p>	<p>We will continue to work with NCL CCG to ensure the Council voice and influence in the 5 borough Integrated Care System (ICS);</p> <p><b>TARGET COMPLETION: Ongoing</b></p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
12	4	3	<p><b>Risk Title</b> Serious information breach or non-compliance with legislation</p> <p><b>Risk</b> The Council does not keep sensitive and/or personally identifiable information secure</p> <p><b>Cause</b> Non-compliance with policy and procedures</p> <p><b>Consequence</b> Fine, Reputational Damage</p> <p><b>Risk Trend</b> </p>	<p>Since the last update the IG Team have continued to ensure that the council remains compliant with legislation, a number of activities have been undertaken since the last update which include:</p> <ul style="list-style-type: none"> <li>Data Protection Impact Assessment Template has been issued to staff and is now in use.</li> <li>A joint Cyber and Data Protection awareness campaign was run in December to remind staff the importance of protecting themselves.</li> <li>Review of escalation processes for FOIs and SARs whilst taking proactive action to support Directorates where compliance has slipped.</li> <li>Review of the IG Strategy and identified actions, to develop an updated work plan for the year.</li> <li>Review of the IG Working Group to ensure that this is adding value.</li> <li>Updating the retention schedule (ongoing).</li> <li>Provided support on a number of corporate systems that needed to be in place quickly to support the work around Covid-19 (Zoom, MS Teams, We Are Islington)</li> <li>Ensured that advice was provided quickly, efficiently and accurately around the sharing of data to support the council's response for residents during the Covid-19 pandemic.</li> <li>Created an addendum to the corporate Privacy Notice to ensure that how we were using data during the pandemic was made clear to residents.</li> </ul> <p>The IG Team were very busy in the early days of lockdown due to the change in working arrangements for staff and the need to ensure that data was shared in a timely manner where required. This had an impact on our priorities and saw a shift in focus. As we enter a more 'stable' time, the work previously identified is now being worked on again.</p> <p>Since the last report the council has reported one incident to the Information Commissioner's Office. The ICO have closed this case with no further action. They were satisfied that the council had taken swift action to manage the incident, that the corporate policies were followed and that the incident as a result of human error.</p>	<p>There has been some change to the controls, which is a combination of change in SIRO and the impact that Covid-19 initially had on working arrangements:</p> <p>Training was initially suspended both class-room training and metacompliance pop-up modules. The IG Team are in the process of considering how to deliver class-room training to comply with social distancing and it's likely that online courses will be provided. The IG Team will be issuing metacompliance modules to all staff in July to remind them of the importance of keeping data secure, particularly whilst working arrangements are so different.</p> <p>The IG Team are working with the provider of the Information Asset Owner training regarding an online course.</p> <p>The new SIRO formally started on 20 April 2020. There have been two meetings with him to outline the role of the SIRO and the work that the IG Team are undertaking. Due to Covid-19, the SIRO course had been cancelled (external course) and a meeting is scheduled on 17 July to review the key actions for the IG Team and discuss the future of the Corporate Governance Group. The Corporate Governance Group is in place to ensure that the SIRO receives assurance that the council is managing all information risks and complying with legislation. The Group also reviews any new risks to compliance – both DP and FOIA.</p> <p>A review of the IG Working Group is currently underway. This has been in place for over 18 months and has not quite fulfilled the role we had expected. We are trying to identify a way of making this more beneficial for those that attend as well as the IG Team to ensure that we are receiving the assurance that's required.</p>	<p>The Retention schedule continues to be reviewed although timescales have now slipped due to the impact that Covid-19 had on work. The deadline for this is October 2020.</p> <p>Information Security and Cyber Training – this is JC's rather than mine, but I am aware that work is underway to get something in place. Mock ICO audit is booked for Q4</p> <p>Monitoring of ICO guidance – is ongoing</p> <p>Timeliness of FOIs and SARs – this continues to be monitored and we did not meet the target in April. Covid-19 had an impact on this – compliance is increasing and we continue to actively monitor this. The council is no longer being monitored by the ICO.</p> <p>Embedding of the accountability principle – this continues and is due to step up the delivery pace, work was paused on this due to Covid-19 as priorities were shifted elsewhere. This work is crucial to ensuring the council becomes more mature in its management of data.</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
10	2	5	<p><b>Risk Title</b>            Serious H&amp;S incident in housing</p> <p><b>Risk</b>            Serious Health and Safety incident in the council's housing stock</p> <p><b>Cause</b>            Non-compliance with statutory duties /regulations</p> <p><b>Consequence</b>            Multiple fatalities</p> <p><b>Risk Trend</b>  </p>	<p>The Homes &amp; Estates Safety Board continues to meet quarterly to provide challenge and assurance that our measures and systems are robust.</p> <p>We are continuing to work closely with the London Fire Brigade to develop easy-to-access and data-secure information systems identifying residents who would be vulnerable in the event of fire and to include this in premises information boxes (PIBs) as appropriate.</p> <p>We continue to undertake works to comply with fire safety regulations and deliver our fire safety action plan.</p> <p>Front door upgrades and replacements have been paused during lockdown but we are looking to restart as soon as possible.</p> <p>Contracts for installation of inter-linked alarms in street properties have been mobilised, pilots have been completed and discussions with Building Control are ongoing.</p> <p>Expanded Polystyrene (EPS) insulation removed from Fyfield, and replacement works completed.</p> <p>All High Pressure Laminate (HPL) cladding has been tested and confirmed to meet building regulations.</p> <p>Installation of new wet rising main at Michael Cliffe House is underway and work continues to programme.</p> <p>Access for Gas Safety checks has been challenging during lockdown, this has impacted gas compliance rates.</p>	<p>Homes &amp; 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>Front door upgrade/replacement 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, lightning, legionella and construction risks remains on track.</p> <p>Responsive testing service for asbestos containing materials (ACMs) in place.</p>	<p>Liaison with LFB and MHCLG to ensure we are on top of emerging issues.</p> <p><b>TARGET COMPLETION: Ongoing</b></p> <p>Monitor develop of Hackitt review consultations and Grenfell Inquiry recommendations and respond as appropriate.</p> <p><b>TARGET COMPLETION: Ongoing</b></p> <p>Inter-linked alarms in street properties – 2 contractors, each have completed a pilot property. Contractors being instructed, we are developing a risk based programme.</p> <p><b>TARGET COMPLETION: Completion in June 2022</b></p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
10	2	5	<p><b>Risk Title</b> Health and safety</p> <p><b>Risk</b> Significant Health and Safety Incident</p> <p><b>Cause</b> Non-compliance with policies or procedures</p> <p><b>Consequence</b> Life-changing injury, fatality, compromising the safety and wellbeing of service users, public or the workforce, potential enforcement action.</p> <p><b>Risk Trend</b> </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>British Safety Council (BSC) Audit action plan continues to be implemented and monitored.</p> <p>Review of the Alcohol, Drug and Substance Misuse Policy has been completed and is awaiting final sign-off from the Trade Unions.</p> <p>We have developed Risk Assessment templates covering buildings, job functions/roles and individual staff to assist building controllers, service managers and staff to assess specific risks during the pandemic.</p> <p>Many staff have been working from home during lockdown. Modifications have been made to buildings in order to ensure they are Covid-19 secure. PPE has been provided to staff as appropriate.</p>	<p>Regular auditing of schools continues.</p> <p>With-cause drug and alcohol testing has continued; random testing for council employees and agency workers in safety critical roles will resume once revised policy is signed off.</p> <p>Annual reviews of Corporate policy, regular review of other Health and Safety policies.</p> <p>Health and Safety training included in corporate induction.</p> <p>Annual report to CMB</p> <p>Schools which have a service level agreement with People Directorate are supported by corporate health and safety and regularly audited</p> <p>Staff Briefings around working arrangements during the pandemic (Communication campaign).</p>	<p>Implementation of Action Plan arising from BSC Audit.</p> <p><b>TARGET COMPLETION: Ongoing</b></p> <p>Review Asbestos database IT system.</p> <p><b>TARGET COMPLETION: July 2020</b></p> <p>Health and Safety policy to be reviewed and presented to CMB</p> <p><b>TARGET COMPLETION: July 2020</b></p> <p>Annual health and safety performance report to CMB.</p> <p><b>TARGET COMPLETION: annually</b></p> <p>Design &amp; Technology audit in secondary schools to be commissioned for the next academic year</p> <p><b>TARGET COMPLETION: July 2020.</b></p> <p>Improvements to the on-boarding process need to be discussed with HR and implemented.</p> <p><b>TARGET COMPLETION: Ongoing</b></p> <p>Drug and alcohol policy review</p> <p><b>TARGET COMPLETION: June 2020</b></p>





Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
9	3	3	<p><b>Risk Title</b> Domestic Violence Abuse</p> <p><b>Risk</b> There is a significant increase in Domestic Violence Abuse Assaults</p> <p><b>Cause</b> Lockdown conditions causing increased tensions, accessibility to early intervention, economic slowdown resulting in increase in poverty and tensions within homes.</p> <p><b>Consequence</b> Serious harm to individuals and families</p> <p><b>Risk Trend</b></p> 	<p>Violence against Women and Girls (VAWG) has a devastating impact on victims/survivors, children, families and the wider community, Islington experiences very high levels of domestic violence and abuse. In Islington here were 30,837 Domestic Abuse (DA) offences recorded by the Metropolitan Police in 19/20 (compared to 30,470 in 18/19). 80% of Children Social Care cases in Islington involve DA. Local VAWG services and the DA MARAC are seeing increasing numbers of high risk victim/survivors affected by multiple disadvantage around issues such as homelessness, mental health and substance misuse.</p> <p>In 2018 council research found that DA was present in the childhood of 100% of the 25 most concerning young people in Islington YOS. Islington's VAWG Strategy 2017 – 2021 sets out the partnership's approach to redouble the commitment to intervene as early as possible to support survivors, children and families to stay safe, report crimes and rebuild their lives. A number of new initiatives have launched including the Keel Multi agency team working with families affected by VAWG (2019-20), housing's work to achieve DAHA accreditation, and the Islington Say No More campaign launched in November 2019. Islington's commissioned VAWG services including Solace and Samira engaged with 1200+ victims/survivors in 2019-20 and several hundred practitioners participated in VAWG training delivered by the IRIS project, Islington Says No More, ISCB and FGM training.</p> <p><b>The Impact of Covid-19</b> Domestic Abuse was expected to increase 20% globally during lock down (UN Population Fund). Nationally, Domestic Abuse killings doubled since the Covid-19 lockdown. There were at least 19 killings of women by men in the UK between 23 March and 22 April, including the killing of children. However Islington did not see the expected rise in DA and reports to the police during the first two months of lock down remained at the same level as the previous year, although there has been an increase since the easing of lock down measures. Islington also did not see an increase in requests for emergency housing linked to DA but DA services became very busy with a doubling of contacts to the Solace Advice line. The council and partners met regularly to monitor the situation throughout the Covid-19 period and provide a coordinated response. A number of robust Covid-19 contingency measures were quickly established and our services continued to offer flexible support to victims and survivors throughout lock down.</p>	<p>In February 2020 we announced £2 million of funding over the next 3 years in tackling VAWG to transform the council's offer, bolstering existing services, extending their reach. This is geared towards prevention and early intervention to break cycles of violence.</p> <p>The funding is being used to increase VAWG service provision in Islington including</p> <ul style="list-style-type: none"> <li>• Recruit more (IDVAs) to work in mental health, maternity ward, A&amp;E, children's social care, housing and BAME services</li> <li>• Continue the Identification and Referral to Improve Safety (IRIS)</li> <li>• Sustain the Keel counselling service for DA victims and witnesses</li> <li>• Develop a new multi-agency Intimate partner Violence Service</li> <li>• Raise awareness and improve response to all types of VAWG through a comprehensive workforce development programme building on Keel project</li> <li>• Provide phones to victims/survivors reporting DA and to survivors</li> <li>• Establish a Daily Domestic Violence and Abuse Safeguarding Meeting</li> </ul> <p><b>Covid-19 contingency measures</b> Provided welfare grants to victim/survivors who faced additional financial pressures. The police's safeguarding teams in Islington worked closely with the council to ensure the safety of those experiencing DA and their children. A borough wide communications campaign to bring VAWG services to the attention of residents and other stakeholders. Housing services campaign to promote the support available to residents and all housing officers in the borough are trained to support tenants experiencing</p>	<p>Delivery of the VAWG Service transformation</p> <p><b>TARGET COMPLETION:</b> Ongoing</p> <p>Keel Legacy; A comprehensive action plan to sustain the learning and good practice from the Keel project that successfully tested a new approach to working with families experiencing DA in 2019-20. The evaluation of the Keel by the University of Bedfordshire and the council internal evaluation has identified a number of priorities and actions that are being implemented over the next few years.</p> <p><b>TARGET COMPLETION:</b> Ongoing</p> <p>VAWG Strategy Refresh The current strategy ends in 2021 so work is underway to develop a new VAWG Strategy for Islington</p> <p><b>TARGET COMPLETION:</b> Launch 2021</p>


Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
9	3	3	<p><b>Risk Title</b> Change Programme Delivery</p> <p><b>Risk</b> Failure to implement a robust governance mechanism to support delivery of strategic ambitions.</p> <p><b>Cause</b> Capacity, financial challenge, governance, project management, Covid-19</p> <p><b>Consequence</b> Change activity faces delay, declining quality and cost escalation, financial/other benefits are not met in full.</p> <p><b>Risk Trend</b></p> 	<p>Delivery of our strategic ambitions will be managed through our Corporate Delivery framework, which sits under the Strategy &amp; Change service (Chief Execs). This includes the council's PMO. The Corporate Delivery framework is established, with directors taking responsibility for the delivery of change and transformation within their own directorates through a monthly Directorate Delivery Board. This feeds into a Corporate Delivery Board to enable oversight and review for the Chief Exec.</p> <p>The controls in place for project and programme management are starting to highlight areas of concern across strategic projects and programmes (including MTFS savings), allowing for controls to be applied as appropriate.</p> <p>All agreed savings have been reviewed by Corporate Directors and re-profiled to reflect latest expected delivery milestones. In a couple of cases, savings have been decreased and added to the budget gap because the original agreed saving was considered unrealistic</p> <p>The total value of savings at risk of non-delivery (i.e. Red rated) has decreased since the previous update, hence the decreasing trend. However, there remains significant risk around the delivery of the agreed savings programme with around 10% currently Red rated and around two-thirds either Red or Amber rated.</p> <p>A further development has been the integration of the savings tracker with the monthly budget monitoring and reporting process. This is coordinated through the Heads of Finance for each directorate, and a reconciliation of all changes is maintained by Financial Planning. Alongside this, there is a more joined-up approach between finance and the Corporate Delivery Board.</p> <p>Covid-19 is currently not expected to have a significant direct impact on in-year savings delivery. However, the medium-term outlook is very uncertain and possible impacts include delays to commercial property income savings.</p>	<p>A PMO toolkit has been set up on the website to enable consistency in reporting and assurance.</p> <p>The last DMT of the month is now Directorate Delivery Board (DDB), focusing on key change programme delivery and directorate performance.</p> <p>The first CMB of the month is now Corporate Delivery Board (CDB), focusing on strategic change programme delivery and corporate performance.</p> <p>Bi-monthly, a new Delivery Executive forum enables discussion and Member assurance on change programme delivery and performance. This is attended by the Leader, Cllr Gill, Chief Executive, Director of Strategy and Change, Director of Resources and Head of Corporate Delivery.</p> <p>Updating of savings tracker and escalation of issues/changes as part of the monthly budget monitoring and reporting process to CMB, the Executive and the Policy and Performance Scrutiny (PPS) Committee.</p>	<p>Review and enhance the role of delivery executive <b>TARGET COMPLETION: July 2020</b></p> <p>Finalise corporate delivery framework 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 <b>TARGET COMPLETION: July 2020</b></p> <p>Undertake an audit of PMO to ensure effective processes and procedures in risk management and assurance <b>TARGET COMPLETION: DECEMBER 2020</b></p> <p>Updated one-page business cases, where not already available, to support every saving on savings tracker <b>TARGET COMPLETION: September 2020</b></p>

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
9	3	3	<p><b>Risk Title</b> Savings Delivery</p> <p><b>Risk</b> Failure to deliver agreed budget savings</p> <p><b>Cause</b> Capacity, project management, governance, flaws in original business case</p> <p><b>Consequence</b> Financial/other benefits delayed or not achieve, in part or in full.</p> <p><b>Risk Trend</b> </p>	<p>The council's medium-term financial strategy (MTFS) is based on the realisation of a number of savings proposals. Corporate Directors are responsible for the delivery of change and savings within their own directorates.</p> <p>All agreed savings have been reviewed by Corporate Directors and re-profiled to reflect latest expected delivery milestones. In a couple of cases, savings have been decreased and added to the budget gap because the original agreed saving was considered unrealistic</p> <p>The total value of savings at risk of non-delivery (i.e. Red rated) has decreased since the previous update, hence the decreasing trend. However, there remains significant risk around the delivery of the agreed savings programme with around 10% currently Red rated and around two-thirds either Red or Amber rated.</p> <p>A further development has been the integration of the savings tracker with the monthly budget monitoring and reporting process. This is coordinated through the Heads of Finance for each directorate, and a reconciliation of all changes is maintained by Financial Planning. Alongside this, there is a more joined-up approach between finance and the PMO.</p> <p>Covid-19 is currently not expected to have a significant direct impact on in-year savings delivery. However, the medium-term outlook is very uncertain and possible impacts include delays to commercial property income savings.</p>	<p>Updating of savings tracker and escalation of issues/changes as part of the monthly budget monitoring and reporting process to CMB, the Executive and the Policy and Performance Scrutiny (PPS) Committee.</p> <p>The new Corporate Delivery Board meets monthly and focuses on delivery and performance issues, including risks around savings delivery.</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.</p>	<p>Updated one-page business cases, where not already available, to support every saving on savings tracker <b>TARGET COMPLETION: September 2020</b></p> <p>Robust multi-disciplinary assurance process for agreeing budgets savings (replacing previous Design and Compliance group) <b>TARGET COMPLETION: December 2020</b></p> <p>Continued embedment of the new Corporate Delivery Board <b>TARGET COMPLETION: Ongoing</b></p>

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
9	3	3	<p><b>Risk Title</b> IT delivery and transformation</p> <p><b>Risk</b> We do not deliver IT projects which will enable/optimize business transformation across the Council</p> <p><b>Cause</b> Insufficient planning/resourcing/funding to deliver the IT strategy.</p> <p><b>Consequence</b> Operation disruption, additional cost, reputational damage</p> <p><b>Risk Trend</b> </p>	<p>In light of Covid-19 our systems were reviewed and quickly reconfigured to improve resilience to support a significant increase in the number of staff working from home.</p> <p>The impact on the implementation of our projects has been variable, some projects have been paused and some funding withdrawn to allow focus on the Covid-19 response, however some project timeframes have escalated to support the Covid-19 response. Our technology road map will be reviewed post-Covid-19 to ensure it supports the organisation in the best way.</p> <p>Our Enterprise planning group is in place and undertaking forward planning.</p> <p>CMB have approved a 7 figure investment in infrastructure remediation and other upgrades to support the Covid-19 response.</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. 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. This group is sharing the same processes, tools and methodologies as the central PMO to create greater transparency and control. New telephone exchange</p>	<p>Migration to Windows 10 New PC's <b>TARGET COMPLETION: September 2020</b></p> <p>Replacing out of data network switches <b>TARGET COMPLETION: Dec 2020</b></p> <p>Windows 2008 migration programme <b>TARGET COMPLETION: Nov 2020</b></p> <p>Move applications out of the data centre. <b>TARGET COMPLETION: Ongoing as per application life cycle</b></p> <p>Submit our PSN and PCI compliances for SIRO review and sign off. <b>TARGET COMPLETION: September 2020</b></p>

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
8	2	4	<p><b>Risk Title</b> Capital Programme</p> <p><b>Risk</b> Failure to adequately manage (cost/schedule) capital programmes</p> <p><b>Cause</b> Inadequate governance and project management</p> <p><b>Consequence</b> Financial Loss, breach of governance/regulation, reputational damage</p> <p><b>Risk Trend:</b></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). The total capital investment budget for 2020/21 to 2022/23 is £479m. 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>A new approach to governance of the capital programme is in place, it includes the establishment of new processes and the establishment of new Boards to provide oversight.</p> <p>The Major Projects Board will consider and approve the gateway zero recommendations (subject to Corporate Asset development Board review and any formal approvals) and for in-flight schemes (including those currently live) it will receive periodic updates from the delivery lead and make all material recommendations relating to the scheme's progress (subject to formal approvals)</p> <p>A similar process will operate for third party schemes, adjusted to reflect the Council's decision-making requirements</p> <p>All other capital schemes will be managed through Directorate Delivery Boards or the Housing Delivery Board</p> <p>The Housing Delivery Board may wish to receive reports on MPB schemes with major residential components to ensure it retains oversight of new homes targets</p> <p>Corporate Directors will periodically update the Corporate Delivery Board on directorate level capital programmes, and the Programme Director Community Wealth Building will do similarly for MPB schemes</p> <p>This scheme of governance has enhanced the effectiveness of our controls in monitoring schemes but also act as a gateway to identifying potential schemes with high risk and therefore recommending that they do not progress onto the capital programme.</p>	<p>Major Projects Board Corporate Asset Delivery Board</p> <p>A common set of project level and programme/directorate level reporting will be implemented to ensure consistency and robust delivery tracking</p>	<p>A common set of project level and programme/directorate level reporting will be implemented <b>TARGET COMPLETION: September 2020</b></p>

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
8	4	2	<p><b>Risk Title</b>            Serious Fraudulent Activity  <b>Risk</b>            Serious Fraud or corruption  <b>Cause</b>            Lack of adequate governance arrangements including key controls and robust fraud awareness  <b>Consequence</b>            Financial and Reputational damage.  <b>Risk Trend</b></p> 	<p><b>Business as usual including training</b></p> <ul style="list-style-type: none"> <li>- Internal Audit (Investigations) have undertaken a number of reactive fraud investigations and continue to work with services to investigate fraud.</li> <li>- Fraud training has been developed by HR however rollout and refresh has been paused due to Covid-19.</li> <li>- There has been no further test activity with the CIPFA Counter Fraud Hub since our last report.</li> </ul> <p><b>Covid-19</b>            The Council's Covid-19 response saw an increased use of purchase cards as well as relief measures such as payments of grants. Our fraud resource provide control advice where applicable.</p> <p>We provided information and support to those areas with a potential for Covid-19 related fraud, providing guidance papers and advice, for example our purchase card and Revenue streams.</p> <p><b>Whistleblowing</b>            -Whistleblowing work continued on both existing and new cases;            - A revised whistleblowing policy was taken to Audit Committee in May 2020.</p>	<p>A robust Anti-Fraud strategy and whistleblowing policy (updated May 2020) are in place. Regular reporting to Audit Committee takes place including bi-annual whistleblowing monitoring reports and an annual fraud report. Internal Audit and Corporate Investigations work closely ensuring that intelligence is shared 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. 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. Corporate Investigations stay abreast of fraud alerts and fraud risks.</p> <p><b>Covid 19</b></p> <p>During the Covid-19 emergency and the immediate response that followed, Internal Audit (Investigations) provided antifraud advice (including where the Council was delivering new Covid-19 related services or providing financial assistance/relief packages), to ensure that robust controls and fraud prevention measures were in place. Advice was provided in the following areas:</p> <ul style="list-style-type: none"> <li>• Payment of Covid-19 related grants,</li> <li>• Emergency use of the Council's purchase cards for Covid-19 related expenditure.</li> </ul> <p>During the Covid-19 emergency period, Internal Audit Investigations continued to deliver reactive investigation work</p>	<p><b>Covid 19</b>            Continue to consider anti-fraud measures for relief payments and other risks emanating from Covid 19  <b>TARGET COMPLETION: Ongoing</b></p> <p><b>Resourcing</b>            Review the resourcing of the Corporate Investigations with a view to increasing resource to improve our ability to proactively investigate potential fraud.  <b>TARGET COMPLETION: Autumn 2020</b></p> <p>Review the positioning and resourcing of investigations (including the whistleblowing caseload and the impact on the shared Internal Audit service workload):  <b>TARGET COMPLETION: Autumn 2020</b></p> <p><b>Training and networking</b>            Refresh work on completion of fraud training. <b>TARGET COMPLETION: Autumn 2020 (HR leading)</b></p> <p>A review of the continuing role of the Fraud Forum needs to be undertaken.  <b>TARGET COMPLETION: December 2020</b></p>

Risk Score	L	I	Risk	Activity Highlights	Summary of Controls	Actions and potential future controls
6	3	2	<p><b>Risk Title</b> Well managed workforce</p> <p><b>Risk</b> Failure to successfully manage our workforce to deliver corporate priorities (including recruitment and retention)</p> <p><b>Cause</b> Lack of management experience/ability to manage performance effectively through a focus on outcomes, absence of a performance management system</p> <p>Increase in remote working.</p> <p><b>Consequence</b> Workforce may not be engaged, delivering its full potential, impacting service delivery.</p> <p><b>Risk Trend:</b></p> 	<p>As a result of Covid-19 the majority of Council staff are now working from home more regularly, this may in some cases lead to a reduction in engagement in the absence of pro-active management. The working from home requirement may also impact new starters who have been unable to meet their new teams and engage face to face with their managers.</p> <p>We have been conducting regular pulse surveys introduced - Wellbeing survey #3 sought assessment by staff and managers of management skill levels across a range of competencies</p> <p>Managers conferences in July 2020 to set out C Executive/Leadership expectations, engaging managers in performance improvement and identify support requirements for managers (policy, guidance, training, HR support)</p> <p>Face to face training programme paused as a result of Covid-19. Webinars have now begun.</p>	<p>Managers Conferences in July 2020 to focus on performance and identify areas for development</p> <p>Wellbeing survey June 2020 to identify management skills/areas for development for future development planning</p> <p>Chief Executive management communications.</p> <p>HR Policies streamlined and simplified</p>	<p>Management skills development programme <b>TARGET COMPLETION:</b> March 2021</p> <p>Review of performance management and probation procedure <b>Target Completion:</b> tbc</p> <p>Procurement and implementation of combined learning management and performance management system <b>TARGET COMPLETION</b> March 2021</p>

**PAPER ENDS**