

Report of: Corporate Director of Resources

Meeting of: Audit Committee

Date: 13 June 2022

Ward(s): All

Subject: Principal Risk Report 2022

1. Synopsis

- 1.1. This report presents the current principal risks facing Islington. The report represents the Council's position as at May 2022. The articulation and mitigation of risks at Islington Council is a dynamic process, with risk management embedded in decision-making.
- 1.2. The Principal Risk Report (PRR) is an annual report presenting the principal risks facing Islington written in consultation with risk leads, Directorate Management Teams (DMTs) and the Corporate Management Board (CMB). The previous PRR was presented to Audit Committee in May 2021.
- 1.3. Overall, the report details:
 - **Appendix 1: Principal Risk Map** – the heatmap diagram indicates the positioning of Principal Risks, detailing the likelihood and impact scores for each risk. The impact matrix details the risk scoring mechanism.
 - **Appendix 2: Risk Universe** – presents an overview of the risks by category, demonstrating our balance of risk;
 - **Appendix 3: How areas of risk link to our objectives** – maps the links between Principal Risks and the Council's strategic objectives.
 - **Appendix 4: Executive Summary of the Principal Risks** – details the current and target risk score for each risk, the CMB risk lead, and forward trend;
 - **Appendix 5: Principal Risk detailed information and action plans (risk on a page)** details the risk information and update alongside the action plan

for each risk to achieve the target risk score. The target risk score is an expression of our risk appetite setting out the risk score we are working towards in the next 12 months.

2. Recommendations

- 2.1. The Committee is asked to note the report.

3. Background

- 3.1. The Council's Risk Manager met with circa 30 risk leads across the Council over February and March 2022, to review principal risks. These discussions covered the achievement of previously set objectives, assessed the current risk profile, identified any new risks and mitigating actions, and current and target risk scores were revisited. During April 2022, Directorate Management Teams discussed and agreed risks within their remit. The report was discussed and agreed by the Corporate Management Board in May 2022.

Key risk themes

- 3.2. Key risk themes are currently presenting as follows:
 - Inflation – a sharp increase in inflation, primarily driven by rising fuel and energy costs, is pushing up the cost of living. Inflation is a factor in most risk areas, most notably Financial Resilience of Residents and the New Homes Programme with increasing cost of construction materials putting pressure on contractors to deliver within budget. Increased financial pressure on families could lead to a rise in Youth Crime and Domestic Violence Abuse;
 - Financial Resilience of the Council – the medium-term financial outlook for local government remains highly uncertain. Local authorities continue to receive annual funding settlements which restricts future planning. There are also potential government funding reforms on the horizon that could have a significant impact on council funding;
 - Recruitment market – a challenging recruitment market is affecting the Council's, and its providers', ability to resource specialist staff, for example in IT, social care and construction sectors. The Council is working with specialist agencies to attract staff resource.

Summary of the Council's overall risk position

- 3.3. Since the last report in May 2021, we continue to see further stabilisation in risk scores as the impact of Covid-19 is no longer acute and as unpredictable as last year. The Council has articulated 28 Principal Risks as at May 2022. Despite six Principal Risks reducing in overall risk score since the previous year, the Council is

still operating in a heightened risk environment, with 24 risks scored above the agreed target score (86%). A key factor in our external risk environment is the situation in Ukraine which has exacerbated already rising energy prices and given rise to increased cyber risk. Risks that are significantly influenced by external factors are difficult to forecast with a high level of reliability and it may be challenging to design controls to meaningfully treat these risks. Target risk scores outlined at Appendix 4 reflect our ability to mitigate risks.

- 3.4. Two principal risks have moved within target score since the last report (Covid-19 Outbreak Control, Safeguarding Children). Six principal risks have been closed (Housing Delivery Test, Decline in Local Business Resilience, Covid-19 Financial Impact (public realm), Leisure Provision Closure, Increasing Outstanding Debt, and Service Response to Covid-19). Further commentary is included below.

Watchlist

- 3.5. Two areas of risk have been identified as potentially requiring escalation to Principal Risk status in the next twelve months. Both risks are currently managed at departmental level. The two areas are detailed below:
- 3.6. Protect Duty – The Government has confirmed that it intends to develop legislation to introduce a ‘protect duty’. This is likely to create a legal requirement for those owning, operating or responsible for certain publicly accessible places to take steps to protect the public from terrorist attacks. There is work in train to prepare for what the new duty might mean for the Council. A ‘Protect and Prepare’ Board is being set up coordinate this work.
- 3.7. Ukrainian refugees - The Council has made preparations to support refugees arriving in the borough from Ukraine. A cross cutting project team was put in place at the end of March 2022 to coordinate activities, with weekly updates provided to the Leader of the Council and Executive Members. The team is looking at a range of risks attached to the response, including safeguarding risks.

New risk added

- 3.8. One new risk has been escalated to principal risk.
- 3.9. **Risk title:** Volatility in the energy market
Risk Description: Volatility of energy market causing budget pressures for the Council, Schools and residents
Cause: Unpredictable global energy market, inadequate monitoring of energy prices and Council expenditure, unfavourable terms and conditions from energy

providers, services do not adapt budgets and activities to meet pressure in energy expenditure.

Consequence: Significant overspend on Council budget, key projects and programmes scaled down, paused or cancelled, savings targets not met

Risk sponsor: Keith Townsend

Rationale: Wholesale energy commodity prices saw significant rises in the second half of 2021, with prices rising to an all-time high in March 2022 as a result of the Russian invasion of Ukraine. As of 30 March, gas commodity prices were 540% higher than the 2021/22 purchases and the electricity commodity prices are 370% higher. The Energy Services team has developed a provisional purchasing strategy for the remainder of 2022/23 to mitigate financial risk. A range of actions are being taken to reduce energy consumption in the short, medium and longer term, with linkages to the delivery of the zero-carbon target.

Closed risks

3.10. Six principal risks have been removed from the principal risk report and will be managed at Directorate level. The rationale for the change in status is provided below.

3.11. **Risk title:** Housing Delivery Test

Risk description: Failure to meet three-year rolling housing targets in line with the national requirement

Risk sponsor: Stephen Biggs

Rationale for closing: The latest data, published in January 2022, show that the Council has exceeded the target and the forward trend is positive. Islington's longer term housing delivery target was reduced two years ago, at the same time as performance has improved. These factors remove the risk of failing to meet national targets. Delivery against targets will continue to be monitored, alongside the statutory annual reporting to government on performance.

3.12. **Risk title:** Decline in local business resilience

Risk description:

Risk sponsor: Stephen Biggs

Rationale for closing: The negative impact of Covid was not as severe as predicted on local business resilience and the anticipated recession did not materialise. Local businesses will be affected by increases in cost of living and the Council is monitoring impact closely and continuing to advocate on issues such as London Living Wage and business rates reform. This risk will continue to be monitored and managed at directorate level.

- 3.13. **Risk title:** Covid-19 financial impact (public realm)
Risk description: Significant budget overspend in Environment and Regeneration 2020/21
Risk sponsor: Keith Townsend
Rationale for closing: This risk was raised in response to the acute impact of Covid-19, with significantly reduced traffic levels in 2020/21. The recovery plan for parking services enforcement and leisure services had a positive impact on income recovery and an overall departmental significant overspend for 2020/21 did not materialise.
- 3.14. **Risk title:** Service response to Covid-19
Risk description: 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)
Risk sponsor: Keith Townsend
Rationale for closing: Covid-19 impact on services has reduced significantly over the last 12 months. Covid management is built into business as usual and in case of a further wave, services are well placed to adapt. A comprehensive review and update of business continuity plans was completed at the end of 2021 and services are prepared to respond to disruptions.
- 3.15. **Risk title:** Leisure Provision Closure
Risk description: Loss of rent and service from leisure operator (GLL) for leisure centres
Risk sponsor: Keith Townsend
Rationale for closing: The leisure provider position has improved significantly over the year, with the expected surplus payable to the Council exceeding the forecast. The recovery plan is coming to an end in July 2022, when the provider returns to the pre-Covid contract position and the risk trend is assessed as improving. This risk will continue to be managed at directorate level.
- 3.16. **Risk title:** Increasing Outstanding Debt
Risk description: Failure to effectively collect monies owed to the Council from businesses and/or residents to fund Council services
Risk sponsor: Dave Hodgkinson
Rationale for closing: Taxation collection has rebounded following the pause in court proceedings due to the pandemic. The anticipated financial impact has significantly reduced since the acute stage of the pandemic last year and most of the outstanding debt will be recovered over time. This risk continues to be monitored and managed at directorate level.

Key amendments to risk articulation

- 3.17. In order to present a sharper risk profile, five risks have been merged to create two consolidated Principal Risks:
- 3.18. **Risk Title:** Financial Stability and Resilience
Risk description: Significant overspends/budget gaps
Cause: High inflationary pressures on pay and non-pay budgets (particularly energy costs), rising demand for council services (including COVID-19 legacy) and uncertainty around local government funding sources
Consequence: Unable to set a balanced/robust budget and depletion of financial reserves.
This risk is a consolidation of three previous risks related to finance: Savings Delivery, External Funding Uncertainty, and Covid-19 Financial Impact.
- 3.19. **Risk Title:** IT Transformation and Resilience
Risk description: We do not deliver IT projects which will enable/optimize business transformation and support resilient systems across the Council.
Cause: Insufficient planning/resourcing/funding to deliver the IT strategy. Lack of resources to build and monitor resilience, lack of disaster recovery planning
Consequence: Operation disruption, additional cost, reputational damage.
This risk is a consolidation of two previous risks relating to IT i.e. IT Delivery and Transformation, and IT Resilience.

4. Implications

4.1. Financial Implications

- 4.1.1. 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

- 4.2.1. 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 and contribution to achieving a net zero carbon Islington by 2030

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

4.4. **Equalities Impact Assessment**

- 4.4.1. 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.
- 4.4.2. An Equalities Impact Assessment is not required in relation to this report because the recommendation being sought does not have direct impacts on residents.

5. **Conclusion and reasons for recommendations**

- 5.1. A key component of the Council's governance framework is sound risk management arrangements. The Committee is asked to note the 2022 Principal Risk Report.

Appendices:

- **Appendix 1: Principal Risk Map** – the heatmap diagram indicates the positioning of Principal Risks, detailing the likelihood and impact scores for each risk. The impact matrix details the risk scoring mechanism.
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Final report clearance:

Signed by:

Dave Hodgkinson

Corporate Director of Resources

Date: 20 May 2022

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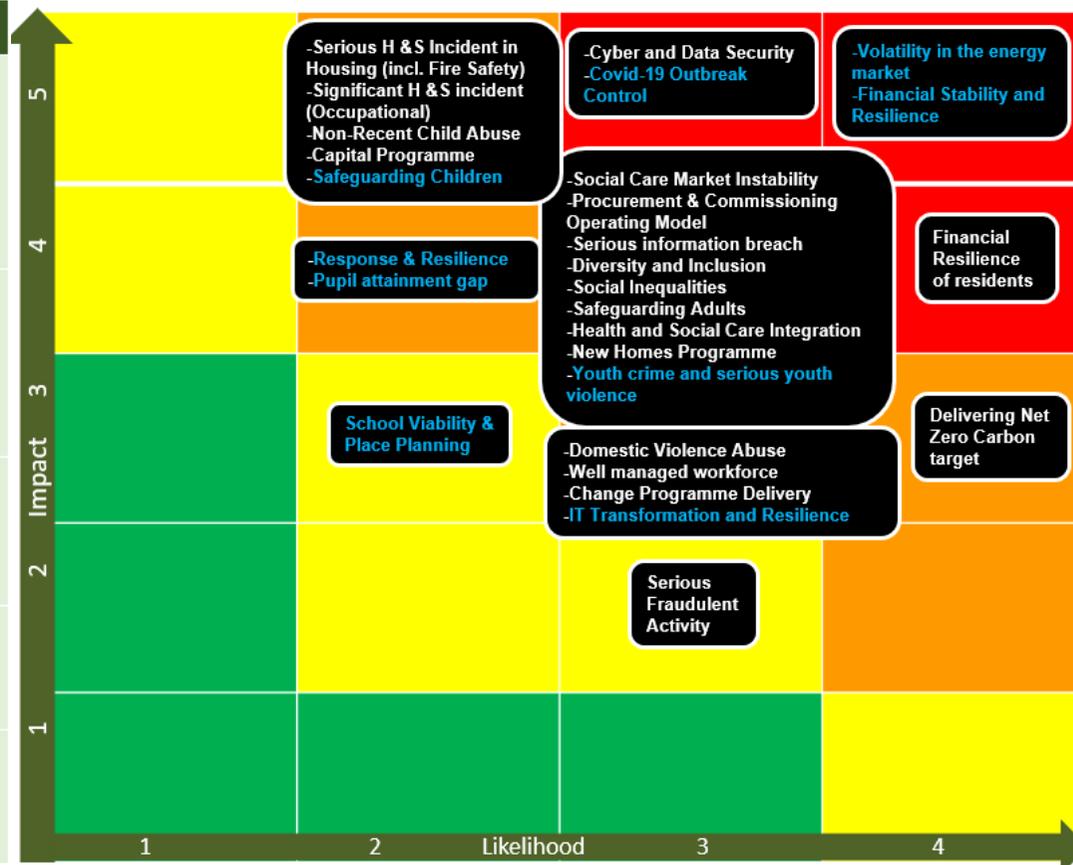
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Appendix 1 - Principal Risk Map and Impact Scoring Matrix (Note: Risk titles in blue indicate a change from the last report dated May 2021)

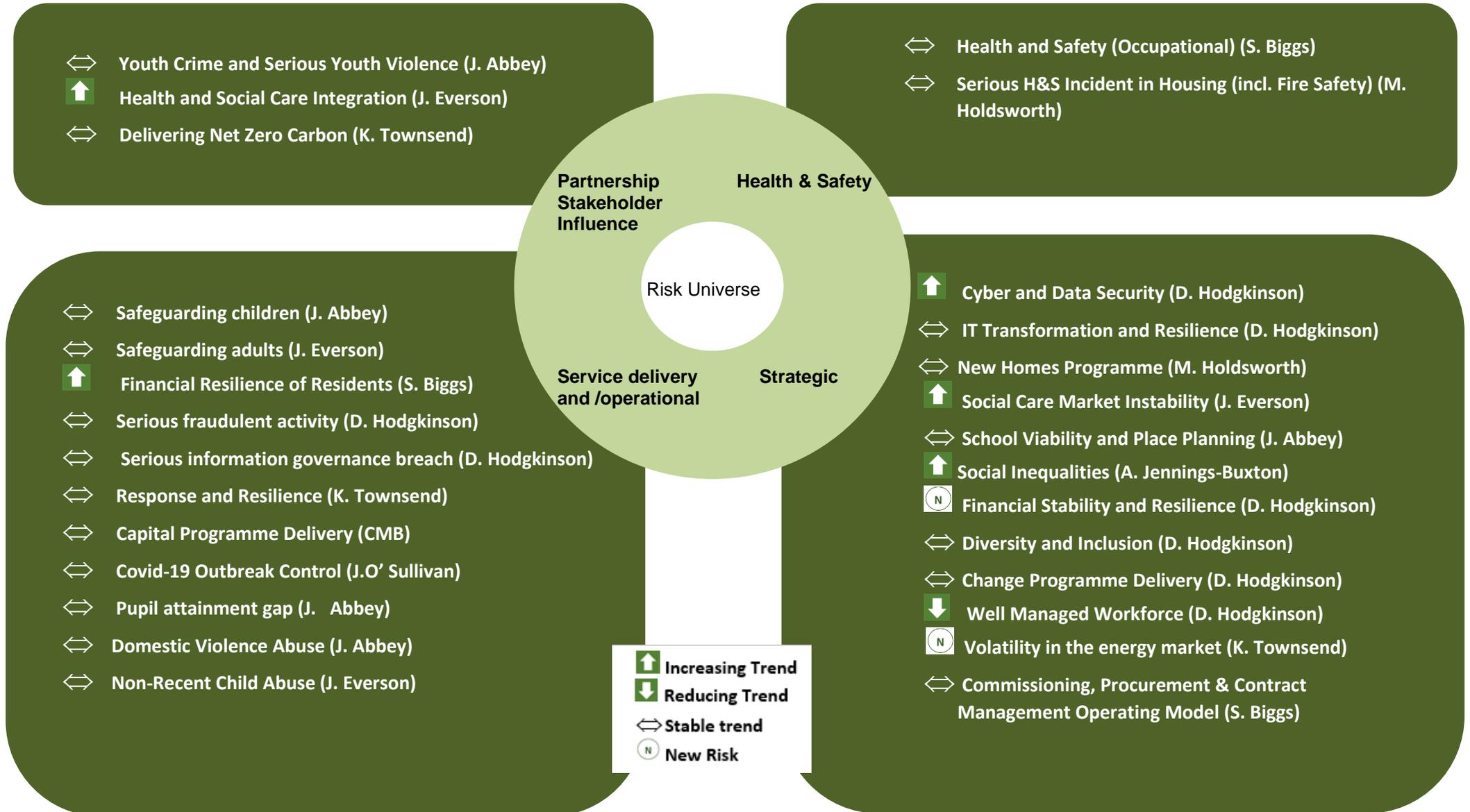
Impact Ratings	Financial	Service Delivery	Health and Wellbeing	Reputation
5	Financial loss above £10m.	Major disruption to a number of critical services.	Multiple deaths or serious/life-changing non-recoverable injury(s)/extreme safeguarding alerts likely.	Long term damage – e.g. Adverse national or local publicity, highly damaging severe loss of public confidence. Widespread and high level of criticism. Impacts on staffing and recruitment.
4	Financial loss above £8m.	Major disruption of a critical service.	Multiple casualties with recoverable injuries. Major safeguarding concerns potentially affecting multiple people. Evidence of known sustained neglect or abuse without intervention.	Medium to long term damage – e.g. Adverse local, regional or national publicity, major loss of confidence, a matter that is frequently referenced in relation to the council.
3	Financial loss above £6m.	Major disruption of an important service. Moderate disruption of a critical service.	Noticeable safeguarding risks – evidence of known neglect or abuse without intervention.	Medium term damage – e.g. Adverse publicity, local, regional and national coverage, with significant follow-up stories
2	Financial loss above £4m.	Moderate disruption of an important service.	Single casualties with recoverable injuries. Noticeable safeguarding risks – evidence of neglect.	Short term damage – e.g. Adverse publicity, national follow-up stories on the same issue.
1	Financial loss above £1m.	Brief disruption of an important service. Repeated disruption of a core service.	Medical treatment required, semi-permanent harm, up to 1 year. Safeguarding concerns of neglect.	Short term damage – e.g. Adverse publicity, regional follow-up stories on the same issue.

Likelihood Score	1 - Rare	2 – Unlikely	3 – Possible	4 – Likely
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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.

Appendix 2 - Risk Universe (Including risk forward trend)



Appendix 3: How areas of risk link to our strategic objectives



Continue to be a well-run Council and making a difference despite reduced resources			
Service Delivery	Financial Stability	People	Data, Governance and Technology
<ul style="list-style-type: none"> • Response and Resilience • Serious Health and Safety Incident (Occupational) • Commissioning, Procurement & Contract Management Operating Model • Change Programme Delivery 	<ul style="list-style-type: none"> • Financial Stability and Resilience • Capital Programme Delivery • Volatility in the Energy Market 	<ul style="list-style-type: none"> • Diversity and Inclusion • Well-managed Workforce 	<ul style="list-style-type: none"> • Serious Fraudulent Activity • Information Governance • Cyber and Data Security • IT Transformation and Resilience

Appendix 4 - Executive summary of principal risks (Details for each risk are included in Appendix 5)

L=Likelihood Score, I=Impact Score. Current risk score in brackets indicate change from last Principal Risk Report (- + 0)

Current risk score (and change since the last report)	Current Score	Target Score	Difference between current and target score	Risk	CMB Risk Sponsor	Forward trend April 2021	Forward trend April 2022	Comment on risk trend
20 (New)	L:4 I:5 Score 20	L:3 I:5 Score 15	5 points	Financial Stability and Resilience	D.Hodgkinson	-		The risk is a consolidation of three previous risks (Covid-19 financial impact, External funding uncertainty and Savings delivery). The Council is forecasting a net balanced budget position in 2021/22 and has recently set a balanced budget for 2022/23, The 2022/23 budget includes some provision for inflation being high in the short-term. The risk trend is therefore assessed as stable for the next 12 months. There is however a significant budget gap to close over the medium-term outlook to 2025/26.
20 (New)	L:4 I:5 Score 20	L:3 I:4 Score 12	8 points	Volatility of energy market cause budget pressures for the Council, Schools and residents	K. Townsend	-		An unpredictable fuel and energy market has given rise to significant risk to the Council's energy purchasing. The forward trend is assessed as increasing as uncertainty is expected to remain high until the end of the war in Ukraine.
16 (0)	L:4 I:4 Score 16	L:3 I:3 Score 9	7 points	Declining financial resilience of residents	S. Biggs			Global uncertainty is adding to an already difficult financial outlook and the cost-of-living crisis is likely to remain over the next few years. This will present challenges for residents to remain financially resilient, a significant proportion of whom already face long term income deprivation. The risk trend is therefore assessed as increasing over the next 12 months. The Council will continue to target support to our most vulnerable households through the Community Financial Resilience function and associated support

Current risk score (and change since the last report)	Current Score	Target Score	Difference between current and target score	Risk	CMB Risk Sponsor	Forward trend April 2021	Forward trend April 2022	Comment on risk trend
15 (-5)	L:3 I:5 Score 15 (Previously 20)	L:3 I:5 Score 15	0 points	Covid-19 Outbreak Control	J. O'Sullivan	↔	↔	Many national mechanisms to manage Covid-19 outbreaks removed by end of March 2022. Resources for the Council's public health response has been tapered down but could be stepped up again if required. Local support to vulnerable settings is being maintained. Although the next 12-18 months is still a period of substantial uncertainty, the risk trend is assessed as stable as overall risk exposure has reduced.
15 (0)	L:3 I:5 Score 15	L:3 I:3 Score 9	6 points	Cyber and Data Security Breach	D.Hodgkinson	↔	↑	The external risk continues to increase, and this is balanced by our continuous work to improve cyber resilience, including staff awareness and training. The situation in Ukraine is expected to lead to a further increase in malicious cyber activity and therefore the risk trend is assessed as increasing over the next 12 months.
12 (0)	L:3 I:4 Score 12	L:2 I:3 Score 6	6 points	Diversity and Inclusion	D.Hodgkinson	↔	↔	The programme of work to address diversity and inclusion is progressing well and integrated with the wider Challenging Inequality Programme. Risk trend is assessed as stable.
12 (-4)	L:3 I:4 Score 12 (Previously 16)	L:3 I:3 Score 9	4 points	Increased incidents of youth crime and serious youth violence impact on the council's ability to respond adequately	J. Abbey	↔	↔	The overall risk profile has reduced in the last year based on the decreasing trend in incidents of serious youth violence, the progress made so far on the Youth Safety Strategy, the funding increase for the service, and the Council's new youth offer. External factors for this risk remain challenging but the risk trend is assessed as stable due to the Council's ability to respond.

Current risk score (and change since the last report)	Current Score	Target Score	Difference between current and target score	Risk	CMB Risk Sponsor	Forward trend April 2021	Forward trend April 2022	Comment on risk trend
12 (0)	L:3 I:4 Score 12	L:2 I:2 Score 4	6 points	Failure to address and challenge social inequalities	A. Jennings-Buxton	↑	↑	Covid-19 and the current cost of living crisis have deepened inequalities and we are working on addressing this through the Challenging Inequalities programme and the Inequality Taskforce. Whilst there have been some positive shifts in the last 12 months, our approach is still developing and the risk trend is assessed as increasing due to the challenging external context.
12 (0)	L:3 I:4 Score 12	L:3 I:4 Score 12	0 points	Serious information breach or non-compliance with legislation	D.Hodgkinson	↑	↔	The Information Governance Team has strengthened collaboration with Information Asset Owners to embed the devolved accountability model. The risk trend has stabilised following the EU's decision on the adequacy of UK's data protection legislation following EU Exit.
12 (0)	L:3 I:4 Score 12	L:2 I:3 Score 6	6 points	Social care market instability cause provider failure or withdrawal	J. Everson	↔	↑	Over the last 12 months, providers have been supported financially through recruitment and retention grants which has supported their sustainability and ability to flex to meet additional responses that COVID has required. Increase in cost of energy, London Living Wage and inflation may increase provider instability and costs to the Council and there is therefore an increasing risk trend for the next 12 months.
12 (0)	L:3 I:4 Score 12	L:2 I:4 Score 8	4 points	Safeguarding Adults-Failure to identify or respond to preventable harm	J. Everson	↔	↔	A new quality assurance process had been developed for all packages of care and placement decisions, which is being embedded over the next few months. Whilst the current score remains the same as last report, the target score has been reduced to reflect the Council's risk appetite in this area. The risk trend remains stable.

Current risk score (and change since the last report)	Current Score	Target Score	Difference between current and target score	Risk	CMB Risk Sponsor	Forward trend April 2021	Forward trend April 2022	Comment on risk trend
12 (0)	L:4 I:3 Score 12	L:2 I:3 Score 6	6 points	Not achieving the declared net zero carbon target (by 2030)	K.Townsend	↔	↔	The net zero carbon programme is progressing well, with eight delivery work streams, each headed by a service director and supplemented with work stream leads. The first annual report on progress against the Net Zero Strategy is due in June 2022. Risk trend continues to be stable.
12 (0)	L:3 I:4 Score 12	L:2 I:4 Score 8	4 points	Commissioning, procurement and contract management operating model fails to maximise value for money and social value outcomes	S. Biggs	↔	↔	The progressive procurement strategy has established a clear direction and priorities, focused on in-house delivery and social value. However, the underpinning operating model is fragmented and insufficiently robust, risking the delivery of key strategic outcomes as well as generating value for money and compliance risks and issues. A corporate review of the operating model is being mobilised and will deliver a strengthened approach during 22/23 and there is a stable outlook for the next 12 months.
12 (0)	L:3 I:4 Score 12	L:2 I:2 Score 4	8 points	Health and Social Care Integration - Insufficient capacity and resource to meet need	J. Everson	↑	↑	The Health & Social Care Integration White Paper published in February 2022. However, uncertainty about funding and how the model will work in practice remains and the risk trend remains increasing.
12 (0)	L:3 I:4 Score 12	L:3 I:3 Score 9	3 points	New Homes Programme delivery	M.Holdsworth	↔	↔	The acute supply chain disruptions due to Covid-19 have reduced although some unpredictability remains. The Council is working closely with contactors to monitor their supply chain risk management and the risk remains stable.

Current risk score (and change since the last report)	Current Score	Target Score	Difference between current and target score	Risk	CMB Risk Sponsor	Forward trend April 2021	Forward trend April 2022	Comment on risk trend
10 (0)	L:2 I:5 Score 10	L:1 I:5 Score 5	5 points	Non-Recent Child Abuse – Failure to deliver support payment scheme	J. Everson	↔	↔	The support payment scheme was formally agreed by Executive in October 2021 and under development, including the establishing of performance arrangements and financial monitoring. The risk trend for the next 12 months remains stable.
10 (0)	L:2 I:5 Score 10	L:1 I:5 Score 5	5 points	Serious Health & Safety incident in housing (Including Fire Safety)	M.Holdsworth	↔	↔	The Fire Safety Act 2021 is coming into force in October 2022 and the Council is working on delivering an action plan to ensure compliance with the new requirements, as well as the upcoming Building Safety Act. Risk trend remains stable.
10 (0)	L:2 I:5 Score 10	L:1 I:4 Score 4	6 points	Serious H&S Incident (Occupational)	S. Biggs	↔	↔	Covid-19 risk has reduced and incorporated into business-as-usual precautions in the workplace for all infectious diseases. The Council is reviewing Health & Safety leadership and governance to strengthen the service. Risk trend remains stable with ongoing mitigation and monitoring in place.
10 (-5)	L:2 I:5 Score 10 (Previously 15)	L:2 I:5 Score 10	0 points	Safeguarding Children – Safeguarding practice and provision for children and young people are ineffective	J. Abbey	↔	↔	The complexity of need has increased overall, and the impact of Covid-19 has increased pressures on families. There are also pressures in the recruitment market. Despite this, staffing has consistently been at a level where we are able to respond appropriately to safeguarding concerns. Overall, this risk has reduced since the service returned to face-to-face contact when Covid-restrictions were removed and risk trend remains stable.

Current risk score (and change since the last report)	Current Score	Target Score	Difference between current and target score	Risk	CMB Risk Sponsor	Forward trend April 2021	Forward trend April 2022	Comment on risk trend
10 (0)	L:2 I:5 Score 10	L:1 I:4 Score 4	6 points	Capital Programme slippage and/or delivery failure	The Corporate Management Board (individual Corporate Directors, as applicable, within the Corporate Management Board)	↔	↔	The Capital Programme has an expected spend over 3 years of £539 million. It has grown significantly and therefore slippage and delivery risks are increasingly material. New capital governance arrangements were introduced in 2020 and these will be refreshed during 22/23 including closer alignment between financial and programme monitoring. The risk trend remains stable.
9 (0)	L:3 I:3 Score 9	L:2 I:3 Score 6	3 points	Failure to respond consistently to increase in Domestic Violence Abuse	J. Abbey	↑	↔	The expected spike in cases due to lockdown in 2021 did not materialise, but there has been a steady increase in safeguarding referrals over the year, many which have an element of domestic violence. The trend has stabilised as the Council is well-resourced in this area and has capacity to respond to increase in cases.
9 (0)	L:3 I:3 Score 9	L:2 I:2 Score 4	5 points	Well managed workforce to deliver corporate priorities	D.Hodgkinson	↔	↓	HR policies and procedures have been reviewed and simplified to support management of this risk. Key actions are due to be completed in 2022 which will reduce the risk when embedded. The risk trend is therefore assessed as improving.
9 (new)	L:3 I:3 Score 9	L:2 I:2 Score 4	5 points	Effective IT Transformation and Resilience	D.Hodgkinson	-	↔	Consolidation of two previous risks (IT Delivery & Transformation, and IT Resilience). A number of IT projects are reaching completion in summer 2022 which will improve resilience. The risk trend is assessed as stable over the next 12 months.

Current risk score (and change since the last report)	Current Score	Target Score	Difference between current and target score	Risk	CMB Risk Sponsor	Forward trend April 2021	Forward trend April 2022	Comment on risk trend
9 (0)	L:3 I:3 Score 9	L:2 I:2 Score 4	5 points	Change Programme Delivery	D.Hodgkinson	↔	↔	Monthly Transformation Board meetings ensure a continuous focus on strategy, accountability and impact of key strategic programmes. The risk remains stable.
8 (-4)	L:2 I:4 Score 8 (Previously 12)	L:2 I:2 Score 4	4 points	Pupil attainment gap - Systemic failure to promote attendance and quality provision and interventions	J. Abbey	↔	↔	Schools have continued the National Catch-up programme to support vulnerable pupils. Secondary schools have been issued guidance on GCSE and A level requirements for assessments in June 2022. In February 2022, new guidance was issued in line with the removing of national restrictions. A new strategy in being put in place to reduce covid impact on attainment and the risk trend continues to be stable.
8 (-4)	L:2 I:4 Score 8 (Previously 12)	L:2 I:3 Score 6	2 points	Failure to effectively respond and recover from critical incident as a service (organisational preparedness, resilience and business continuity)	K. Townsend	↑	↔	Islington has stepped down its emergency command structure for the Covid-19 response. The Emergency Planning Team is reviewing business contingency plans for services as well as developing bespoke plans for specific incident types. As the service has moved away from Covid-19 response and back to business as usual, the risk trend is assessed as stabilised.
6 (-6)	L:3 I:2 Score 6 (Previously 12)	L:2 I:2 Score 4	2 points	School viability and place planning - Failure to implement a coherent strategy for managing the demand of school places impact the pattern of provision and schools' viability	J. Abbey	↔	↔	Individual school balances have been in decline since 2019 caused by falling rolls, combined with increasing SEND and increasing cost pressures such as rising energy costs. A school organisation plan for 2022-2025 is in development and the outlook for the next 12 months is assessed as stable.

Current risk score (and change since the last report)	Current Score	Target Score	Difference between current and target score	Risk	CMB Risk Sponsor	Forward trend April 2021	Forward trend April 2022	Comment on risk trend
6 (0)	L:3 I:2 Score 6	L:2 I:2 Score 4	2 points	Serious fraudulent activity	D.Hodgkinson			The current score of a 3 likelihood (possible fraud) and 2 impact remains unchanged from the previous year. However, the risk trend has stabilised as the expected increase in fraud emanating from Covid grants did not materialise.

Appendix 5: Principal Risk detailed information and action plans (risk on a page)

Risk Information Risk Title – Financial Stability and Resilience	Risk Scores	Existing Controls				
<p>Risk - Significant overspends/budget gaps Cause – High inflationary pressures on pay and non-pay budgets (particularly energy costs), rising demand for council services (including COVID-19 legacy) and uncertainty around local government funding sources Consequence - Unable to set a balanced/robust budget and depletion of financial reserves Risk Update – The council is forecasting a net balanced budget position in 2021/22 and has recently set a balanced budget for 2022/23, with a significant budget gap to close over the medium-term outlook to 2025/26. The 2022/23 budget includes some provision for inflation being high in the short-term, based on the outlook in Autumn 2021. However, the cost-of-living crisis has significantly escalated in recent months and inflation is now forecast to be above the government’s 2% target rate for most of the MTFS period. The pandemic is expected to have a significant lasting impact on the council’s budget. The sales, fees and charges income compensation scheme has now ended, and the government has indicated that there will be no additional COVID-19 funding for local authorities in 2022/23. The medium-term local government funding outlook continues to be highly uncertain. The 2022/23 local government finance settlement is the fourth consecutive one-year settlement. It is largely a rollover of the 2021/22 settlement with additional, one-off funding to address immediate funding issues in the sector. In addition, there are potential government funding reforms on the horizon that could have a significant impact on council funding (although there would be transitional protections). The robustness of all MTFS assumptions is currently being reviewed in order to shape the new medium-term budget setting process from 2023/24 and the estimated new savings requirement.</p>	<p>Current Score: L:4 I:5 Target Score: L:3 I:5 Gap to target: L:1 I:0</p>	<ol style="list-style-type: none"> Developing the budget estimates is a council-wide process whereby estimates are worked up, challenged and refined as further information becomes available. It takes into account the most recent budget monitoring information and the latest assumptions, informed by financial modelling from external financial advisors. Savings to balance the budget have been reviewed and signed off as deliverable by key stakeholders across the organisation. The thoroughness of this process is a key source of assurance in determining that overall estimates in the budget (including contingency) are robust and that financial reserves, whilst needing to be further strengthened, are adequate. The council’s budget is underpinned by several key MTFS principles related to financial resilience. An initial self-assessment against the CIPFA Financial Management Code has been undertaken as part of the 2022/23 budget assurance work. This shows a high level of compliance against the vast majority of the CIPFA Financial Management Code statements of standard (or best) practice. The council’s recurrent budget includes £5m per annum for contingency pressure and £4m per annum replenishment of financial reserves. Directorates agree cash limited budget allocations and take responsibility for delivering a balanced budget unless a business case presenting an exceptional circumstance for contingency funding is agreed. The in-year financial monitoring position is reported to Corporate Management Board, the Executive and the Policy and Performance Scrutiny Committee (PPS) at regular intervals throughout the financial year. The council responds to government funding consultations and also lobbies through London Councils, the Society of London Treasurers and the LGA on key funding issues. 				
Action	Expected impact	Resources required	Owner	Due Date	Status	
Enhanced budget setting process in reflection of the likely scale of savings required to balance the budget over the medium term	Reduce likelihood	Staff	D. Hodgkinson	Ongoing	In progress	
Working group to consider energy purchasing strategy	Reduce likelihood and impact	Staff	D. Hodgkinson	Ongoing	In progress	

Risk Information Risk Title – Volatility in the energy market	Risk Scores	Existing Controls			
<p>Risk Volatility of energy market causing budget pressures for the Council, Schools and residents</p> <p>Cause Unpredictable global energy market, inadequate monitoring of energy prices and Council expenditure, unfavourable terms and conditions from energy providers, services do not adapt budgets and activities to meet pressure in energy expenditure.</p> <p>Consequence Significant overspend on Council budget, key projects and programmes scaled down, paused or cancelled, savings targets not met</p> <p>Risk Update: Wholesale energy commodity prices saw significant rises in the second half of 2021 with a rapid increase in September. Another large spike followed in December 2021, with prices rising to an all-time high in March 2022 as a result of the Russian invasion of Ukraine. As of 30 March, gas commodity prices were 540% higher than the 2021/22 purchases and the electricity commodity prices are 370% higher. The Energy Services team has developed a provisional purchasing strategy for the remainder of 2022/23 to manage risk. Consideration will also be given to a purchasing strategy for 2023/24, although the situation on long-term price changes may not become clear until the end of the Ukraine conflict. A range of activities is taking place to reduce energy consumption to directly reduce financial impact, including looking at the most efficient way to run council and school buildings (heating, lighting and air conditioning systems). Some of the mitigation measures will require behaviour change from staff, which, if made permanent, will reduce the council's future energy demand and costs. In the short term, site managers for council buildings and schools have been asked to review and reduce energy consumption. In the longer term, the council is planning a set of feasibility studies for all corporate buildings with a gas supply to identify how to decarbonise the buildings.</p>	<p>Current Score: L: 4 I: 5</p> <p>Target Score: L: 3 I: 4</p> <p>Gap to target: L: 1 I: 1</p>	<ol style="list-style-type: none"> 1. Weekly meetings of the Energy Risk Management Committee (ERMC) to review current market and take informed decisions on energy purchasing. 2. A temporary weekly Energy Steering Group has been created, attended by service and corporate directors and finance and energy teams. 3. Daily monitoring and reporting on energy market. The council receives market intelligence daily as well as having access to live market prices through the balancing and settlement system Elexon. 4. Electricity purchase on a quarterly basis 5. Gas purchased on a monthly basis 6. Approval process for trades in place, with ERMC making a recommendation on the prices and period to purchase at to the Corporate Director for Environment, who then gives approval to proceed to purchase at or below the level agreed. 7. Provisional purchasing strategy for the remainder of 2022/23. 8. Sessions run by the Energy Services team to provide advice for site managers of both council buildings and schools on energy efficiency. 9. Annual monitoring and targeting visits and reports produced by Energy Services team 10. Develop communications plan to encourage staff to minimise energy use in Council buildings. 11. Detailed monitoring of smart meters in council buildings 			
Action	Expected impact	Resources required	Owner	Due Date	Status
Deliver purchasing strategy for 2022/23	Reduce overall score	Staff	K. Townsend	April 2022	In progress
Accelerate installation of smart meters in Council buildings	Reduce overall score	Staff	K. Townsend	Ongoing	In progress
Building managers of the sites responsible for 80% of electricity/gas use asked to develop actions to reduce energy consumption	Reduce overall risk score	Staff	K. Townsend	Ongoing	In progress

Risk Information Risk Title – Financial Resilience of Residents	Risk Scores	Existing Controls			
<p>Risk – Failure to appropriately support residents to be financially resilient</p> <p>Cause - Government policy, global events, recovering from the Covid-19 pandemic, wider economic environment.</p> <p>Consequence - Vulnerable residents fall into significant new financial hardship. Evictions/homelessness may increase. Declining physical/emotional wellbeing of residents. Arrears/economic hardship may increase the debt position towards the Council, reducing ability to fund services.</p> <p>Risk Update – As we emerge from the Covid-19 pandemic, central government key Covid-19 support funding is coming to an end. Global uncertainty is adding to an already difficult financial outlook meaning that looking at the next few years ahead the cost-of-living crisis appears here to stay. All of this combined presents challenges for residents to remain financially resilient. We have developed a number of Economic Wellbeing workstreams to support residents during these challenging times to help them improve their financial resilience. These workstreams cover:</p> <ul style="list-style-type: none"> -Crisis Support – Utilising RSS funding to provide support for residents in severe financial hardship -Using this as a lever to signpost / refer to wider support -Maximising the use of hardship funding across the borough – both LBI and VCS -Administering government grants effectively to support vulnerable residents -Income maximisation - Ensuring low-income households access the support they are entitled to -Creating an integrated benefits and assessment team -Managing household finances – Exploring opportunities for joined up debt management approach -Communicate ways households can build up some financial resilience <p>There have been a range of benefit changes and government grants that impact our low-income households. The increased standard allowance in universal credit during Covid-19 has now been removed. The latest government grants are an extension of the Household Support Fund for LA's to help vulnerable households and the council tax energy rebate.</p>	<p>Current Score: L:4 I:4</p> <p>Target Score: L:3 (-1) I:3</p> <p>Gap to target: L:1 I:1</p>	<ol style="list-style-type: none"> 1. Residents Support Scheme provides a safety net covering crisis awards, community care awards (household goods), discretionary housing payments and council tax welfare for severe financial hardship. 2. Data led approach to making pro-active contact with cohorts of residents who appear entitled to additional benefits. 3. Benefit take-up campaigns. 4. Council Tax Support policy provides support to low-income households. Help for working age households increased for 22/23. 5. A claim for universal credit is treated as a claim for council tax support. 6. Co-ordinated cross council approach to working our partners to support residents, including partnership work with voluntary sector to provide access to employment advice and access to food banks for residents in need. 7. Updated communications to make residents aware of money advice. 8. Government hardship grants distribution. 			
Action	Expected impact	Resources required	Owner	Due Date	Status
Fully utilise Residents Support Scheme funds to provide a safety net to low-income households	Reduce impact	Staff/IT	S. Biggs	Ongoing	On track
Launch further benefit take up campaigns to maximise residents' income	Reduce impact	Staff/IT	S. Biggs	Ongoing	On track
Implement changes to Council Tax Support Policy for 2022/23	Reduce impact	Staff/IT	S. Biggs	April 22	On track
Explore options for improving residents' financial resilience	Reduce impact	Staff/IT	S. Biggs	Ongoing	On track
Distribute Government grants including Household Support Fund and Council Tax Energy Rebate to those most in need	Reduce impact	Staff /IT	S. Biggs	Ongoing	On track
Review residents' access to advice and information to help them plan and improve their financial situations	Reduce impact	Staff/IT	S. Biggs	Ongoing	On track

Risk Information Risk Title – Covid-19 Outbreak Control	Risk Scores	Existing Controls			
<p>Risk – Significant future wave/s of Covid-19 cause harm to local communities.</p> <p>Cause – Outbreak control infrastructure and capacity removed or stepped down which could hamper local response (Public Health and Environmental Health, Communications). Insufficient regional capacity (UK Health Security Agency (UKHSA) - first line response to most outbreaks). Lack of engagement/adherence to measures that help reduce risk - PH guidance/advice or lower uptake of vaccinations.</p> <p>Consequence - Failure to (a) respond rapidly enough to emergence of a significant new variant; or (b) identify/manage significant local outbreak/s and implement sufficient associated activities, communications and interventions that keep our communities safe and well, leading to a distributed outbreak in the community, and possibly further restrictive measures. Possible reputational damage for LBI. Potential for further disproportionate impacts across our most vulnerable communities.</p> <p>Risk Update – Many national mechanisms to manage Covid-19 outbreaks removed by end of March 2022, including access to symptomatic and non-symptomatic testing for the general population, the national contact tracing service and the legal requirements to self-isolate. Resources for the Council’s public health response has been tapered down but could be stepped up again if required. We are maintaining local support to residential care settings and SEN settings. In the event of another wave the priority concerns would be (a) our vulnerable settings which are relatively small in numbers, (b) the older and clinically vulnerable in the community, where vaccination and rapid access to anti-virals will be important interventions; and (c) general community advice, guidance and communications on staying safe. Spring boosters for people 75 and over, people in residential care settings and aged 12 and over who are clinically vulnerable are being rolled out. Uptake of vaccinations in the borough is steadily improving but there are still around 40,000 residents who had not been vaccinated. The Council has successfully bid for a £485k investment in hyper-local targeting of communities where vaccination rates are lower to encourage and support on-going access, which runs until summer 2022. The vaccination structure – which is primarily the responsibility of the NHS - has been tapered down but could be stepped up if required. There is still substantial uncertainty over the next 12-18 months, including around potential new variants, how covid might interact alongside a significant flu season and if a further round (or rounds) of vaccinations will be needed. Even in the event of another wave of the pandemic, unless there was a dramatically different and large mutation, the risks are likely to be lower than in previous waves due to cumulative levels of immunity in the community.</p>	<p>Current Score: L:3 (-1) I:5</p> <p>Target Score: L:3 I:5</p> <p>Gap to target: L:0 I:0</p>	<ol style="list-style-type: none"> 1. Control measures are incorporated into existing control arrangements for similar risks and hazards. 2. Outbreak Control Board – which can be convened, if or when needed 3. The Outbreak Prevention and Control plan sets out how we will effectively respond to outbreaks, protect the vulnerable and general community, and support the management of cases in complex settings. The scope and content of the Plan will be reviewed in the light of changed national and regional arrangements. 4. Outbreak Prevention and Control activities supported by available data and intelligence, kept under review. 5. There is a local vaccination steering group involving the NHS, the Council and VCS partners, which helps support the roll-out and uptake of vaccinations There is data and intelligence to inform planning and an agile response to the promotion and uptake of the vaccine. 6. There is local guidance and toolkits for schools and care homes to use in managing infection risk. 			
<p>Action</p>	<p>Expected impact</p>	<p>Resources</p>	<p>Owner</p>	<p>Due Date</p>	<p>Status</p>
<p>Continue to provide targeted support to vulnerable settings</p>	<p>Reduce L&I</p>	<p>Staff</p>	<p>J. O’Sullivan</p>	<p>Ongoing</p>	<p>In progress</p>
<p>Continue to work with partners to promote uptake of vaccination</p>	<p>Reduce L&I</p>	<p>Staff</p>	<p>J. O’Sullivan</p>	<p>Ongoing</p>	<p>In progress</p>
<p>Review the Outbreak Management Plan to respond to a potential further infection wave/s during 2022/23</p>	<p>Reduce L&I</p>	<p>Staff</p>	<p>J. O’Sullivan</p>	<p>Ongoing</p>	<p>In progress</p>

Risk Information Risk Title – Cyber and Data Security	Risk Scores		Existing Controls		
<p>Risk - Process Control Networks and/or Critical Information Assets may be compromised</p> <p>Cause - Computer-based unauthorised access or malicious modification of code</p> <p>Consequence - Denial of Service, data breach, reputational damage, disruption of service(s)</p> <p>Risk Update - We continue to review and enhance our Cyber and Data Security approach, including:</p> <ul style="list-style-type: none"> • An uplift in our Cyber defences • Enhanced implementation of two factor Authentication with expiry. • Geo fencing to reduce offshore attacks • Operating system upgrade programme (PSN Certification achieved) • IT system health-checks • Backup system replaced • Implementation of AppLocker to prevent malicious code execution • Staff training and awareness of cyber security • Upgrading IT infrastructure and controls <p>The situation in Ukraine is expected to lead to a further rise in malicious cyber activity. The Council is continuing to improve cyber resilience to mitigate this threat.</p>	<p>Current Score: L:3 I:5</p> <p>Target Score: L:3 I:3</p> <p>Gap to target: L:0 I:2</p>		<ol style="list-style-type: none"> 1. Islington council has all of the normal cyber security controls expected on an organisations network. Such as access controls, computer controls, anti-virus controls, email and web filtering, firewalls, Denial of service protection, backup controls. 2. 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 organisations cyber security risk. 3. These controls are regularly monitored, tightened and improved to deal with the changing levels of threat. 4. 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. 		
Action	Expected impact	Resources required	Owner	Due Date	Status
Procurement of a new Security Incident & Event Monitoring management service (SIEM)	Reduce Impact	Staff	D. Hodgkinson	Summer 2022	In Progress

Risk Information		Risk Scores	Existing Controls		
Risk Title – Diversity and Inclusion					
<p>Risk - Failure to attract and retain the diverse talent we need at every level of the organisation to deliver our services</p> <p>Cause - Low turnover resulting in limited opportunities for progression No management or leadership programmes in place to support progression No mentoring schemes in place. Lack of resources to deliver the required strategic approach to workforce planning. Lack of engagement by some directorates in apprenticeship programmes. Limited use of social media and modern attraction mechanisms. Inexperienced and non-diverse panel members</p> <p>Consequence - We will be unable to realise the benefits of a diverse and inclusive workforce in shaping and delivering our services.</p> <p>Risk Update - Turnover has been low as a result of Covid-19, providing limited opportunities for progression. Workforce planning has been built into new HR structure. The SLT restructure has presented an opportunity to recruit to 10 senior posts. We have refreshed our recruitment policy, procedure and approach including media strategy and progressed the Develop Diverse Recruiter's Scheme to include question banks around CARE values and training for panel members. We have completed Cohort 1 of the Islington Management Diploma, Leadership programme and Management Modules for existing/aspiring managers and Cohort 2 is in progress.</p>		<p>Current Score: L:3 I:4</p> <p>Target Score: L:2 I:3</p> <p>Gap to target: L:1 I:1</p>	<ol style="list-style-type: none"> 1. The new 'Challenging Inequality Programme now has a formulated workstream on 'Islington as an Employer' which includes a range of measures to improve equality, diversity and inclusion. The Programme Board ensures that workstreams remain on course with their action plans. This monthly meeting has robust governance and a clear focus. 2. The Public Sector Equality Duty (PSED) and Gender Pay Gap reports will incorporate an annual workforce equality plan. Both are reported annually to the Council's Audit Committee. 3. The Corporate Management Board is now in receipt of quarterly HR reports including information in relation to equalities in order to monitor progress. 4. DMTs review staff data on a monthly basis in order there is greater focus on monitoring equalities within departments. 5. Internal first approach and diverse panels 6. Cultural Competence Training in place 		
Action	Expected impact	Resources required	Owner	Due Date	Status
Deliver the Islington as an Employer workstream	Reduce L and I by 1	Existing staff resource	D. Hodgkinson	Ongoing	On track
Develop Islington's employer brand and employee value proposition	Reduce L and I by 1	Existing staff resource	D. Hodgkinson	September 2022	In progress
Develop talent strategy	Reduce L and I by 1	Existing staff resource	D. Hodgkinson	September 2022	In progress
Review current rewards and benefits	Reduce L and I by 1	Existing staff resource	D. Hodgkinson	September 2022	In progress

Risk Information Risk Title – Youth crime and serious youth violence	Risk Scores	Existing Controls			
<p>Risk - Increased incidents of youth crime and serious youth violence impact on the council's ability to respond adequately. A perceived failure to respond adequately to/prevent crime involving young people, despite extensive investment in services & well publicised plans.</p> <p>Cause - Early childhood trauma, disrupted attachment may lead to children unable to self-regulate; therefore, more likely to offend. Contextual factors e.g. living in high crime neighbourhoods, poverty and discrimination. Interventions are not sufficiently tailored or impactful.</p> <p>Consequence - Media coverage contributes to fear of crime, negative attitudes towards young people compounding the issues they face. More young people in criminal justice system and disproportionate impact on BAME communities</p> <p>Risk Update - The decreasing trend in serious youth violence and knife crime continues across London and in Islington. But the severity of cases is still prevalent. Organised crime groups are becoming more sophisticated in how they exploit young people. Implementation of the Youth Safety Strategy is progressing well and there are biannual reports on progress, the next one due in April 2022. Islington data compares favourably against national figures on youths in custody and reoffending but higher than average for first time offending. The overall risk profile has reduced in the last year based on the progress made so far on the Youth Safety Strategy, the funding increase for the service, and the Council's new youth offer. External factors for this risk remain challenging.</p>	<p>Current Score: L:3 (-1) I:4 Target Score: L:3 I:3 Gap to target: L:0 I:1</p>	<ol style="list-style-type: none"> 1. Youth Safety Strategy 2020-25, focused on protecting our children and young people from violence, abuse and exploitation. It includes a comprehensive partnership action plan that is overseen by the Youth Safety Delivery Group to keep track of progress and drive improvements, hand-in-hand with community partners and statutory organisations. The strategy builds upon our practice models especially the trauma informed approach and is based on our own academic research about 'what works'. There is robust monitoring in place of this multi-agency strategy, with quarterly monitoring on strategy metrics and targets and also monitoring against national data sets. 2. The Violence Reduction Unit (VRU) Parental Support project in Islington and Camden extended until March 2022. 3. VRU used to sustain the Transition to Secondary school project. and to now supporting families affected by child to parent violence 4. The Met Police Violence Suppression Unit (VSU) dealing with high harm offenders and groups with covert operations continuing. 5. Co-location of 2 police officers in Community Safety & ASB teams ASB early warning system to collect information on emerging issues that are shared with our partners. 			
Action	Expected impact	Resources required	Owner	Due Date	Status
Implementation of the Youth Safety Strategy	Reduce impact and likelihood	Staff	J. Abbey	Ongoing	In Progress

Risk Information Risk Title – Serious information breach or non-compliance with legislation	Risk Scores	Existing Controls			
<p>Risk - The Council does not keep sensitive and/or personally identifiable information secure</p> <p>Cause - Non-compliance with policy and procedures,</p> <p>Consequence - Fine, Reputational Damage, risk to individuals, further legal action</p> <p>Risk Update –</p> <p>The council has reported five data breaches to the ICO since the last risk update. All were closed with no further action as the ICO were satisfied with the mitigating actions taken and that there was no evidence of wider systemic failures.</p> <p>There is further regulatory change around data protection on the horizon. The government launched a consultation on proposed changes in September (closing in November). The findings of this have yet to be released but it's anticipated that there will be some changes to the law.</p> <p>Updated video training was issued to all staff over MetaCompliance during the last financial year.</p> <p>The council has a network of Information Asset Owners (IAOs) who are members of SLT and accountable for ensuring that any risks to their information is well managed. Over the last year the Information Governance Team have strengthened our communication with this group and meet with each IAO and their Information Leads on a quarterly basis.</p> <p>The council is in the process of implementing a system called Corestream to manage the UK GDPR mandatory paperwork such as data protection impact assessments. This will support the council's compliance with UK GDPR and make it easier for the council to demonstrate compliance.</p>	<p>Current Score: L:3 I: 4</p> <p>Target Score: L:3 I:4</p> <p>Gap to target: L: 0 I: 0</p>	<ol style="list-style-type: none"> 1. The Information Governance Board is in place to ensure that the SIRO receives assurance that the council is managing all information risks and complying with legislation. The Board also reviews any new risks to compliance – both DP and FOIA. 2. Timeliness of FOIs and SARs – this continues to be monitored – and action is taken in areas with low compliance to identify what support may be required. 3. Monitoring of ICO guidance – ongoing 4. Embedding of the accountability principle – this continues 			
Action	Expected impact	Resources required	Owner	Due Date	Status
<p>Create new Information Governance Strategy and associated action plan that ensures a continuous programme of improvements in terms of compliance with our legal obligations.</p>	<p>Reduce overall risk score</p>	<p>Staff</p>	<p>D. Hodgkinson</p>	<p>End June 2022</p>	<p>In Progress</p>
<p>Implement open data strategy so that members of the public are able to access information more efficiently. The council will publish a schedule of when information will be published to support this.</p>	<p>Reduce overall risk score</p>	<p>Staff</p>	<p>D. Hodgkinson</p>	<p>Sep 2022</p>	<p>In Progress</p>

Risk Information Risk Title – Social Care Market Instability	Risk Scores	Existing Controls			
<p>Risk – Significant provider failure/ withdrawal of providers</p> <p>Cause – Financial strains causing providers to withdraw from the market</p> <p>Consequence – Safeguarding risks to individuals, Financial.</p> <p>Risk Update – During surges of the COVID-19 pandemic, regular weekly reporting to both ASC Silver and LBI GOLD meetings have taken place to update on the position with regards in particular to the care home and domiciliary care providers. Regular Communication arrangements have been in place to keep in touch with providers and identify any potential issues that may arise. Contract monitoring has been taking place despite access issues, virtual visits have enabled visual contact and review where appropriate to be maintained. Face to face visits have recommenced. Increase cost of energy, LLW and inflation may increase provider instability and costs to the Council.</p>	<p>Current Score: L:3 I:4</p> <p>Target Score: L:2 I:3</p> <p>Gap to target: L:1 I:1</p>	<ol style="list-style-type: none"> 1. 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. Providers have been supported financially through recruitment and retention grants which has supported their sustainability and ability to flex to meet additional responses that COVID has required. 2. We have worked across NCL to secure additional care home capacity at times of increasing pressure (winter and surges). 3. 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. 4. Impact of increases in energy costs, LLW and inflation will be partially offset by Fair Cost of Care Grant 5. We have contingency plans in place to manage either provider failure or provider withdrawal from the market. 6. 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. 7. There are a number of workforce initiatives underway across Islington and North Central London to promote social care careers and workforce development. 			
Action	Expected impact	Resources required	Owner	Due Date	Status
Monitoring of the local and national provider market	Reduce Likelihood	Staff	J. Everson	Ongoing	In progress
Collaboration across North Central London with local authority and NHS colleagues to support the social care market and workforce.	Reduce Impact	Staff	J. Everson	Ongoing	In progress

Risk Information Risk Title – Delivering Net Zero Carbon	Risk Scores		Existing Controls		
<p>Risk - Not achieving the declared net zero carbon target (by 2030) due to a reliance on Central Government policy and funding and scale and availability of external and external funding required.</p> <p>Cause - Lack of supportive national policy and funding for decarbonisation; Lack of organisational commitment to deliver the NZC ambitions; Resource and/or funding constraints (access to external funding) to deliver the Net Zero Carbon Strategy; Lack of influence over key stakeholders (local/national)</p> <p>Consequence - Reputational risk of failing to meet net zero carbon target; unsatisfactory reduction in the levels of carbon emissions; poor air quality impacting on residents' health and wellbeing; and impacts our ability to alleviate fuel poverty, particularly for vulnerable residents.</p> <p>Risk Update: The net zero carbon programme is progressing well, with eight delivery work streams, each headed by a service director and supplemented with work stream leads. The dedicated programme delivery team is now in place with a Director, a Head of Service, two strategic business managers, a programme support officer, a communications officer, a green economy officer, an officer for housing and buildings, and a finance officer. A planning officer and officer for transport are to be recruited. A communications and engagement strategy is in development, which will be a critical component to encourage residents and businesses to take action to reach the carbon target. In October 2021, the Council held a Climate Festival in collaboration with local community groups to build engagement in the community. The Council has commissioned University College London to conduct a piece of work to establish the cost of retrofitting all buildings in the borough. We continue to seek external funding for carbon reduction initiatives (e.g. install double glazing, insulation). The first annual report on progress against the Net Zero Strategy is due in June 2022. The current and expected increases in fuel prices will increase carbon cost and could result in accelerate progress towards renewables.</p>	<p>Current Score: L:4 I:3</p> <p>Target Score: L:2 I:3</p> <p>Gap to target: L:2 I:0</p>	<ol style="list-style-type: none"> 1. Net Zero Strategy and implementation programme in place. 2. Quarterly Net Zero Carbon (NZC) executive board meetings in place to provide strategic oversight, escalation, approvals and reporting. 3. Alignment and interface between the NZC exec board and the Housing delivery board. 4. Monthly net zero carbon programme board meetings to report on progress; manage risk, issues and dependencies across the programme. 5. Delivery of a cycle of presentations on NZC themes at the scrutiny committee meeting to provide oversight, engagement and reporting. 6. The Council is the lead authority on the Renewable Power work stream on the London Councils climate change programme – opportunity to influence at the regional level 			
Action	Expected impact	Resources required	Owner	Due Date	Status
Develop a community communications and engagement plan	Reduce Likelihood	Staff/Budget	K. Townsend	July 2022	In progress
Strategic review of carbon offset funding, and development of a broader financial strategy that will support and contribute to the delivery of priority requirements for the programme	Reduce Likelihood	Staff	K. Townsend	Ongoing	In progress
Benefits realisation framework under development to enable effective impact monitoring (carbon monitoring and other KPIs) for the programme	Reduce Likelihood	Staff/Budget	K. Townsend	July 2022	In progress
Deliver London wide work-plans in our role as lead authority for Renewable Power on the London councils climate change programme	Reduce Likelihood	Staff	K. Townsend	Dec 2023	In progress

Risk Information Risk Title – Commissioning, procurement and contract management operating model fails to maximise value for money and social value outcomes	Risk Scores			Existing Controls	
<p>Risk – Procurement and commissioning operating model not sufficiently robust and strategic to fully realise the Progressive Procurement Strategy 2020/27. The operating model may not be fit-for-purpose and is not in line with the centralised approach to Category Management, dealing with procurement and supply issues within the Progressive Procurement Strategy 2020/27, meaning potential:</p> <ul style="list-style-type: none"> • Not realising maximum value for money for the Council or savings from a corporate level of control • Risk to delivery of key Council priorities agreed by members in terms of community wealth building, inclusive economy, social value, fairness etc. • Significant contractor failure/contractors failing to deliver within the agreed parameters (Quality, cost and schedule) <p>Cause - Ineffective/Non-compliance with corporate contract management procedure and/or contractual terms</p> <p>Consequence - Service disruption, reduced quality of service, additional financial burden, reduced social value</p> <p>Risk Update -</p> <p>We continue to implement the progressive procurement strategy 2020/27, with contract management as a major focus. Capacity in the team has been increased through centralisation. Two senior members of specialist staff cover supply relationship and assurance management. The Heads of Strategic Category Management progress setting strategies and direction with commissioning service departments. The Head of Delivery and Performance role maintains the operational support functional delivery of procurement and supply at the centre, including some contract management. The Council has engaged external training providers to deliver contract management training to staff as a strand of the procurement strategy. We have completed the first year of the training programme which will increase internal capabilities of contract management to improve standards and strengthen the devolved model. The training programme will run throughout the strategy period end in 2027.</p> <p>It is a challenging environment for providers in a post-covid world with rising inflation and increasing costs and the Council continues to monitor suppliers' viability and ability to deliver within the agreed parameters.</p>	<p>Current Score: L:3 I:4</p> <p>Target Score: L:2 I:4</p> <p>Gap to target: L:1 I:0</p>			<ol style="list-style-type: none"> 1. Keeping guidance under constant review and improvement. 2. Commissioning and Procurement Board for overarching direction and Supply Chain Practitioners Group for knowledge sharing 3. Reviewing the operating model regularly with a push for greater control of contract management through a central category management model. 4. Staff training on procurement and contract management 5. Conducting drop-in sessions – social value in contract management 	
Action	Expected impact	Resources required	Owner	Due Date	Status
Continue to deliver the implementation plan for the progressive procurement strategy	Reduce Likelihood	Staff	S.Biggs	Ongoing	In Progress
Reviewing category management and working practice to assess quality of end-to-end processes from start to end of a contract and benefits of more a centralised approach.	Reduce Likelihood	Staff	S.Biggs	Ongoing	In progress

Risk Information Risk Title – Non-Recent Child Abuse	Risk Scores	Existing Controls			
<p>Risk - Failure to adequately plan and deliver the Support Payment Scheme and resilience/recovery support for survivors could affect delivery of services or have a significant financial impact</p> <p>Cause - Practical support offer does not meet the needs of survivors. Failure to accurately plan, quantify, administer and monitor the support payment scheme.</p> <p>Consequence - Decline in the health and wellbeing of survivors. Expenditure exceeds budget for the support payment scheme. Reputational and political damage</p> <p>Risk Update: Support payment scheme proposal agreed by Council Executive Implementation of the Support Payment Scheme due to launch in Spring 2022. Review of resilience and recovery support for survivors initiated.</p>	<p>Current Score: L:2 I:5</p> <p>Target Score: L:1 I:5</p> <p>Gap to target: L:1 I:0</p>	<ol style="list-style-type: none"> Existing practical support offer in place which encompasses trauma counselling, specialist advice, support and assistance for care, housing, appropriate welfare benefits, access to further education and suitable employment and support to access to care records. Established relationship, and liaison, with the Islington Survivors Network and other groups who support survivors. Programme governance in place to plan and monitor the full support offer survivors of non-recent child abuse including the approved Support Payment Scheme. A full support offer has a practical support element, a financial element and recognition and acknowledgement by the council of the abuse suffered to helps survivors to heal and to move forward from their experiences. 			
Action	Expected impact	Resources required	Owner	Due Date	Status
Implement a support payment scheme that balances survivors' feedback and the council's legal and fiduciary duties.	Reduce Likelihood	Staff/Finance	J. Everson	Spring 2022	In Progress
Establish performance arrangements for the support payment scheme and practical support that is regularly monitored by the NRCA Strategic Board. This will also include financial monitoring.	Reduce Likelihood	Staff/Finance	J. Everson	Spring 2022	In Progress
Practical support offer reviewed with survivors to ensure that it reflects emerging needs.	Reduce Likelihood	Staff	J. Everson	July 2022	In Progress

Risk Information Risk Title – Serious Health and Safety Incident in Housing	Risk Scores	Existing Controls				
<p>Risk - Serious Health and Safety incident in the Council's housing stock Cause - Non-compliance with statutory duties /regulations Consequence - Multiple fatalities Risk Update - Front door upgrade/replacement programme was delayed due to the pandemic but have been progressed in the last 12 months. The pilot on inter-linked alarms was successfully completed and the full project is being rolled out this summer and due to complete in 2023. The Fire Safety Act 2021 is coming into force in October 2022 and the Council is working on delivering an action plan to ensure compliance with the new requirements, as well as the upcoming Building Safety Bill. In 2021, PWC conducted an audit of asbestos management across the council which resulted in some actions for housing.</p>	<p>Current Score: L:2 I:5 Target Score: L:1 I:5 Gap to target: L:1 I:0</p>	<ol style="list-style-type: none"> 1. Homes & Estates Safety Board provide challenge. 2. Ongoing delivery of Fire Safety Action Plan 3. 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). 4. Fire Risk Assessments for all 126 tall blocks have been completed and published online for transparency. 5. Liaison with the Ministry of Housing, Communities and Local Government and London Councils on emerging resident safety issues. 6. Housing Directors Fire Safety Sub-Group – monthly meeting to review actions, include senior staff from the London Fire Brigade (LFB) and Department for Levelling Up, Housing and Communities 7. Cyclical testing for electrical, lightning, legionella and construction risks remains on track. 8. Responsive testing service for asbestos containing materials (ACMs) in place. 9. Moving all areas relating to building safety under new Head of Service post to improve oversight and management of risk. 				
Action	Expected impact	Resources required	Owner	Due Date	Status	
Continue liaison with Department for Levelling up, Housing and Communities and London Fire Brigade	Reduce Likelihood	Staff	M. Holdsworth	Ongoing	In progress	
Project to roll out inter-linked alarms in street properties	Reduce Likelihood	Staff	M. Holdsworth	June 2023	In progress	
Deliver programme of work to ensure compliance with Fire Safety Act 2021 and Building Safety Bill	Reduce Likelihood	Staff/IT	M. Holdsworth	April 2023	In progress	
Implement actions from asbestos audit	Reduce Likelihood	Staff	M. Holdsworth	April 2023	In progress	

Risk Information Risk Title – Serious Health and Safety Incident (Occupational)	Risk Scores	Existing Controls			
<p>Risk - Serious Health and Safety Incident Cause - Non-compliance with policies or procedures Consequence - Life-changing injury, fatality, compromising the health, safety and wellbeing of workforce, service users or public, potential enforcement action. Risk Update - 2021 asbestos management audit has been completed and the team is following up on recommendations. Whilst most Covid-19 restriction has been lifted in people’s private life, Health and Safety regulations about precautions in the workplace continue to be applicable for all infectious diseases, alongside other relevant hazards. As services returned to normal face to face operations, health and safety incidents have increased to expected levels given the size of the organisation and the extent of hazards involved in delivering services. We have seen a slight increase in incidents involving the general public and service users against Council employees. Mental health and staff wellbeing is coming through as the longer-term consequence of the pandemic. HR is leading on proactive work on wellbeing with support from H&S team. The team will continue to conduct a rolling programme of compliance audits and the Auditing Plan will be expanded to include all services. Review British Safety Council gap analysis completed in May 2019 to inform the audit plan above and implement relevant recommendations. Health and Safety leadership and governance is currently under review to ensure a fit for purpose service.</p>	<p>Current Score: L:2 I:5 Target Score: L:1 I:4 Gap to target: L:1 I:1</p>	<ol style="list-style-type: none"> 1. Regular reviews of Corporate Health and Safety policy and other Health and Safety policies. 2. Auditing plan to monitor compliance with H&S policies. 3. Health and Safety training included in corporate induction for new starters. Role specific training provided by services with support from Corporate Health and Safety Team. 4. Annual health and safety performance report to CMB. 5. Schools which have a service level agreement with H&S Team are supported by corporate health and safety and regularly audited. 6. Ongoing joint work with Public Health and HR to support managers and services (place, physical and mental wellbeing). 			
Action	Expected impact	Resources required	Owner	Due Date	Status
Implement recommendations from asbestos audit	Reduce Likelihood	Staff	S. Biggs	Aug 2022	In progress
Deliver expanded 3-year (2022-25) H&S audit plan with annual reviews	Reduce Likelihood	Staff	S. Biggs	April 2023 (next review)	Started

Risk Information		Risk Scores	Existing Controls			
Risk Title – Safeguarding Children						
<p>Risk Safeguarding practice and provision for children and young people are ineffective to current and new familial and extra familial risks</p> <p>Cause Non-compliance with procedures, safeguarding practice and provision for children and young people are ineffective to current and new risks, lack of suitable trained and recruited staff, increase in demand</p> <p>Consequence Significant harm to a child(ren), death of a child</p> <p>Risk Update: The complexity of need has increased overall, and the service has also seen an increase in demand in certain areas. A particular challenge since end of 2021 has been to meet the needs of increasing numbers of unaccompanied children. There have been significant delays in court proceedings meaning children have stayed in care for longer and the lack of certainty about their permanent family could be emotionally harmful. This is now easing with the courts functioning again. Covid-19 and Brexit has caused pressure in the recruitment market, creating difficulties in staffing residential care homes adding to the already concerning placement sufficiency situation. The impact of Covid-19 has created increased pressures on families which is manifesting in increasing levels of poverty, increasing cases of domestic violence, mental health and contextual safeguarding risks. Staffing has consistently been at a level where we are able to respond to safeguarding concerns and comply with procedures. Overall the likelihood of this risk materialising has reduced since the service returned to BAU face to face contact when Covid-restrictions were removed.</p>		<p>Current Score: L:2 (-1) I:5</p> <p>Target Score: L:2 I:5</p> <p>Gap to target: L:0 I:0</p>	<ol style="list-style-type: none"> 1. Robust Quality Assurance and monitoring processes in place. 2. Training and development processes in place which give ongoing assurance regarding quality of work and adherence to legal framework 3. Workforce strategy in place. 4. Close liaison with family courts to ensure cases which can be heard progress to final hearing, so children are afforded permanency. 5. Placements sufficiency strategy (additional resources in our placement team and working regionally to devise solutions). 6. Increased mental health and clinical support in care leaving service for UASC children (unaccompanied). Specialist UASC project officer. 			
Action	Expected impact	Resources required	Owner	Due Date	Status	
Children looked after transformation	Reduce likelihood and impact	Staff/Finance	J. Abbey	Ongoing	In Progress	
Working locally, regionally and nationally to alleviate the lack of care placements.	Reduce Likelihood	Staff	J. Abbey	Ongoing	In Progress	

Risk Information Risk Title – Safeguarding Adults	Risk Scores	Existing Controls				
<p>Risk - Failure to fulfil our statutory obligation to identify or respond to significant preventable harm to adults at risk of abuse</p> <p>Cause - Provider Failure, significant provider concerns around quality of care, Non-Compliance with procedures, inadequate IT systems.</p> <p>Consequence - Risk to Individual, Reputational. Financial.</p> <p>Risk Update – We have continued production of additional guidance to assist staff to carry out safeguarding duties with confidence. We have created a quality assurance process for all packages of care and placement decisions. In order to join up between areas of shared concern during COVID for adults and children’s services we have utilized partnership meetings. Spot Provider Monitoring Calls are taking place to ensure providers have wrap around support during COVID. Social Work Teams and in house services continue to proactively check on people who are known to be particularly vulnerable. Ethical Framework is being promoted to all professionals to increase practice that is respectful, proportionate, collaborative, and person-centered and seeks to minimise harm. Additional support is now available for social workers responding to complex and high-risk domestic abuse concerns across adults and children’s services. Daily Safeguarding meetings have commenced in January, these replace the monthly MARAC (multi-agency risk assessment conference) meeting and have produced significantly better outcomes for vulnerable victims of DV who no longer need to wait up to a month for their case to be heard and protection plans to be implemented. All Safeguarding Investigations now have to go to a closure panel to ensure appropriate closure and all decisions are scrutinised via an audit process.</p>	<p>Current Score: L:3 I:4</p> <p>Target Score: L:2 I:4</p> <p>Gap to target: L:1 I:0</p>	<ol style="list-style-type: none"> 1. 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 2. We are working with providers to help viability. 3. Continuous cycle of placement reviews and frequent case audits. 4. Practitioner forums 5. Partnership Board, this has helped us to improve our joint working and strategic decision making. 6. Monthly Meeting with those involved in registered care settings including partners in health, CQC and Healthwatch - Early-stage intervention and escalation. 7. Quality Assurance Framework for Adult Safeguarding is being incorporated into a new department wide Quality Assurance Framework 8. Safeguarding Adults procedure and relevant ADASS guidance in place. 9. Interactive training for staff on implementing the Mental Capacity Act and Safeguarding Adults in practice <p>Covid-19 controls</p> <ol style="list-style-type: none"> 1. 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. 2. We have produced a range of information/ guidance for staff and are delivering video-based practice clinics to support social workers undertaking safeguarding enquiries. We enhanced support for providers including having daily briefings, supplying PPE and Coordinating of Deliveraid for care home staff to receive hot meals. In response to the impact of vaccinations and infection control measures we are reviewing our contact arrangements to provide direct contact where it safe and reasonable to do so, this will lead to increased surety. 				
Action	Expected impact	Resources required	Owner	Due Date	Status	
Implementing Making Safeguarding Personal using a strength-based approach and utilising a Trauma Informed Approach.	Reduce L	Staff	J. Everson	Ongoing	In progress	
Fully implement revised Safeguarding QA process	Reduce L&I	Staff	J. Everson	Sept 2022	In progress	
Modern Day Slavery - rolling out a specialised training and guidance package for staff	Reduce L	Staff	J. Everson	Ongoing	In progress	
Preparing for delivery of training for the new Liberty Protection Safeguards all relevant staff once the new Code of Practice is published.	Reduce L	Staff	J. Everson	Delayed	Delayed	

Risk Information Risk Title – Health and Social Care Integration	Risk Scores	Existing Controls			
<p>Risk - Insufficient capacity, resource and integration within the local health and care system to meet resident's needs.</p> <p>Cause - National and local funding constraints Differing priorities of key partners, including the move to an Integrated Care System and new governance arrangements for the NHS and role of the Local Authority</p> <p>Consequence - Poor health and care outcomes for residents</p> <p>Risk Update - The Health & Social Care Integration White Paper was updated and published on 9 February 2022. It provides a promising base on which to build a more collaborative culture. Subject to on-going discussions, it will be important to acknowledge that local government place is where real changes happen, and appropriate funding is maintained to ensure delegated functions at place level can effectively be delivered.</p>	<p>Current Score: L:3 I:4</p> <p>Target Score: L:2 I:2</p> <p>Gap to target: L:1 I:2</p>	<ol style="list-style-type: none"> 1. Health & Wellbeing Board, via the Leader of the Council is required to sign off our annual BCF plans with the NHS 2. Quarterly Section 75 meetings at Service Director level provide joint governance oversight of our pooled budgets 3. Annual Section 75 reports to the Health & Wellbeing Board provide strategic governance over our pooled budgets 4. The Fairer Together Partnership, and its sub-boards will provide a clear and more effective governance framework for integration locally including more shared and local decision making around our local resource. The Fairer Together Borough Board, and its sub-boards is proving to be an effective forum for establishing vision, working principles and a plan of action across the Islington footprint. 			
Action	Expected impact	Resources required	Owner	Due Date	Status
<p>In response to the White Paper, effective Islington place level joint arrangements in place reporting into the Fairer Together Board and H&WB to strengthen Health & Social Care cross system working and on-going integration.</p>	<p>Reduce overall risk score</p>	<p>Capacity to effectively coordinate agreed ICS arrangements</p>	<p>J. Everson</p>	<p>Sept 2022</p>	<p>In progress</p>

Risk Information Risk Title – Domestic Violence Abuse	Risk Scores	Existing Controls				
<p>Risk - Lack of confidence and failure around decision making and interventions, lead to inconsistent response to dealing with an increase in Domestic Violence Abuse</p> <p>Cause - Accessibility to early intervention, economic slowdown resulting in increase in poverty, mental health issues and tensions within homes, inadequate capacity within the service</p> <p>Consequence - Serious harm to individuals and families</p> <p>Risk Update- The expected spike in cases due to lockdown in 2021 did not happen, but there has been a steady increase in safeguarding referrals over the year, with a particular increase after Christmas 2021, many which have an element of domestic violence. The Council is well resourced in this area and capacity to respond to increase in cases. There has been significant investment in this area over the last few years, and the Council has increased capacity from 4 to 54 investigators in addition to family support and resources. We are reliant on partner organisations such as the police and probation services, both of which has been stretched over the last few years. There are daily safeguarding meetings in place and every case is heard within three working days.</p>	<p>Current Score: L:3 I:3</p> <p>Target Score: L:2 I:3</p> <p>Gap to target: L:1 I:0</p>	<ol style="list-style-type: none"> The additional £2 million council investment agreed for 2020-23 to tackle VAWG has transformed the Council’s offer, and this has been bolstered by additional funding secured from Public Health, MOPAC and VRU. This has been used to: <ul style="list-style-type: none"> Increase the number of Independent Domestic Violence and DA support roles in Islington -co-located in mental health, sexual health services, Bright Start and MASH, TYS and BAME services Extend the IRIS project providing DA training to GP practices, chemists etc. Sustain the DA counselling services Establish DA Daily Safeguarding meetings Raise awareness and improve response to VAWG through a comprehensive workforce development programme building on Keel project Provide phones to victims/survivors reporting DA and to survivors Establish a new Intimate Partner Violence service Secured funding for a full time PHD student with University of Essex until 2023 to evaluate the VAWG Transformation programme The police’s safeguarding teams in Islington are continuing to work closely with the council to ensure the safety of those experiencing DA and their children. A borough wide communications campaign is bringing VAWG services to the attention of residents & stakeholders. Housing services campaign to promote the support available to residents and all housing officers are trained to support tenants experiencing DA Dept. for Levelling Up, Housing and Communicates Earned Autonomy funding secured for 2021-22 funding 2 Project Officers in the Workforce Development Team, 1.5 IDVAs in Brightstart and contributing to work with DA perpetrators and DA counselling. 				
Action	Expected impact	Resources required	Owner	Due Date	Status	
Delivery of the VAWG Service transformation	Reduce Likelihood	Staff	J. Abbey	Ongoing	In progress	
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.	Reduce Likelihood	Staff	J. Abbey	Ongoing	In progress	
Implement VAWG Strategy for Islington	Reduce Likelihood	Staff	J. Abbey	Ongoing	In progress	

Risk Information		Risk Scores	Existing Controls		
Risk Title – Well Managed Workforce					
<p>Risk- Failure to successfully manage our workforce to deliver corporate priorities</p> <p>Cause - Lack of management experience/ability to manage performance effectively through a focus on outcomes. Lack of management development programmes. Absence of structure within the performance management approach. Lack of a behaviours framework. Outdated procedures. Increase in remote working</p> <p>Consequence - Workforce may not be engaged, delivering its full potential, impacting service delivery.</p> <p>Risk Update: The move to Remote Working will mean new ways of developing and managing performance. We have reviewed our HR policies and simplified them. The Chief Executive continues provide frequent management communications to improve information flow. We have completed a review of performance management and probation procedures. We have completed Cohort 1 of the Islington Management Diploma, Leadership programme and Management Modules for existing/aspiring managers and Cohort 2 is in progress. We have launched a behaviours framework to underpin CARE values and associated toolkit to support performance</p>		<p>Current Score: L:3 I:3</p> <p>Target Score: L:2 I:2</p> <p>Gap to target: L:1 I:1</p>	<ol style="list-style-type: none"> 1. Chief Executive management communications. 2. HR Policies streamlined and simplified 3. Performance management procedure 4. Probation Procedure 5. Behaviours' Framework and toolkit 6. Staff engagement survey 7. Islington Management Diploma, Leadership programme and Management Modules for existing/aspiring managers 		
Action	Expected impact	Resources required	Owner	Due Date	Status
Procurement and implementation of learning management system and deployment of performance modules	Reduce L and I by 1	Existing staff resource System costs (budgeted)	D. Hodgkinson	March 2022	On track
Develop culture change workstream under FutureWork Programme	Reduce L and I by 1	Existing staff resource FutureWork Programme Resources (subject to business case)	D. Hodgkinson	September 2022	On track
Review of performance development approach	Reduce L and I by 1	Existing staff resource	D. Hodgkinson	July 2022	On track
Embedding of CARE values across the organisation	Reduce L and I by 1	Existing staff resource	D. Hodgkinson	December 2022	On track

Risk Information Risk Title – New Homes Programme	Risk Scores	Existing Controls			
<p>Risk - Delay to our ability to deliver the New Build Programme, quality, time and cost.</p> <p>Cause - External market factors, resourcing, contractor failure, delay in planning approval, poor resident engagement.</p> <p>Consequence - Reputational damage, service delivery. Loss of opportunity for residents.</p> <p>Risk Update: Whilst the acute impact from Covid-19 supply chain disruptions has reduced, there is still some unpredictability in production and supply of construction materials, we are working closely with contactors to monitor their supply chain risk management. There is still risk around financial viability for some projects which is being monitored closely. Most of the financial risk the Council can control but it could mean delivering fewer affordable homes than projected. In our external environment, rising fuel prices will inevitably lead to increases in cost of materials, e.g., steel which will add pressure to contractors' ability to delivery within budget. New requirements, such as net zero carbon target and fire safety legislation, have also added costs to the programme.</p> <p>We have increased project management capacity over the last 12 months and integrated the project management office into the programme structure to ensure efficient delivery of the programme. Despite the challenges from the pandemic and current market conditions the commitment to deliver the 550 council homes will still be met.</p>	<p>Current Score: L:3 I:4</p> <p>Target Score: L:3 I:3</p> <p>Gap to target: L:0 I:1</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>Housing Delivery Board (HDB) chaired by Cllr Ward, provides 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>New Homes Project Board (NHPB) Operational focus review all schemes, meet twice monthly.</p> <p>Communications strategy.</p> <p>Regular contact with contractors and review of their ability to manage risk.</p> <p>Working with employers' agents to understand industry trends.</p>			
Action	Expected impact	Resources required	Owner	Due Date	Status
Continued monitoring and engagement with contractors to manage any delays.	Reduce Impact	Staff	M. Holdsworth	Ongoing	In Progress

Risk Information Risk Title – IT Transformation and Resilience	Risk Scores	Existing Controls			
<p>Risk - We do not deliver IT projects which will enable/optimize business transformation and support resilient systems across the Council to ensure residents have effective digital services.</p> <p>Cause - Insufficient planning/resourcing/funding to deliver the IT strategy. Lack of resources to build and monitor resilience, lack of disaster recovery planning</p> <p>Consequence - Operation disruption, additional cost, reputational damage</p> <p>Risk Update - There have been a number of recent projects to deliver improvements to our IT resilience which are now coming to fruition. We have upgraded the core and edge switch replacement, Storage Area Network (SAN) replacement is almost complete, and the Virgin Media Wide Area Network (WAN) project is completed. We have also completed work to install a generator at 222 Upper Street offices to protect data servers in the event of a power failure. However, further electrical work is required at 222 necessitating long weekend outages. The pressure of staff shortages remains as skilled IT resources continue to be in high demand. The marketplace has changed post-lockdown, with businesses pushing ahead with IT projects that were either paused due to the lockdown, or to remediate deficiencies/vulnerabilities discovered in the pandemic context. IT skills as at an all-time high demand and cost.</p>	<p>Current Score: L:3 I:3</p> <p>Target Score: L:2 I:2</p> <p>Gap to target: L:1 I:1</p>	<ol style="list-style-type: none"> 1. 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. 2. Digital Services has established shared same processes, tools and methodologies to create greater transparency and control of projects. 3. As a strategy the council is moving to cloud and Software as a Service (SaaS). For example, the Office365 components run in cloud and will still operate if 222 fails entirely. The target is to vacate datacentres within 2 years in favour of cloud delivery. 4. Business Continuity plans are in place. 5. WAN Transformation & core/edge switch replacement has renovated the corporate network and reduced reliance on 222 as the network hub. Boundary services have been partially moved to cloud with remote working. 6. Investment in SAN replacement and move to cloud-based backup (off tape) has been completed 7. Applications will be progressively upgraded to cloud where they are naturally architected to be more resilient, and are not vulnerable to on-premises hardware failures. 8. The cloud approach also spreads the attack surface for cyber activity reducing the impact should an attack be successful. 			
Action	Expected impact	Resources required	Owner	Due Date	Status
Continued delivery of IT strategy	Reduce overall score	IT/Staff/Finance	D. Hodgkinson	Ongoing	In Progress
Continued delivery of planned IDS projects	Reduce Likelihood	Staff/IT	D. Hodgkinson	Ongoing	In progress

Risk Information Risk - Change Programme Delivery	Risk Scores	Existing Controls			
<p>Risk - Inadequate organisational capacity to manage transformational change programmes to support delivery of strategic ambitions.</p> <p>Cause - Financial challenge, inadequate governance mechanisms, lack of project management capability</p> <p>Consequence - Change activity faces delay, declining quality and cost escalation, financial/other benefits are not met in full.</p> <p>Risk Update – The Corporate Project Management Office has taken substantial action to mitigate the risk to change programme delivery, including: established a Transformation Board to ensure proactive oversight and risk assurance against our strategic change programmes; Directorate Delivery Boards to review benefits, risks and issues against every change project and programme; PMO forum to develop and share best practice relating to benefits, risk and issue management; approval for move to online reporting solution to enable robust governance across the council in all change projects and programmes.</p>	<p>Current Score: L:3 I:3</p> <p>Target Score: L:2 I:2</p> <p>Gap to target: L:1 I:1</p>	<ol style="list-style-type: none"> 1. PMO toolkit set up on the website to enable consistency in reporting and assurance. 2. Directorate Delivery Boards (DDB) in place across five directorates, chaired by corporate director and focusing on key change programme delivery and directorate performance. 3. Monthly Transformation Board meetings in place, chaired by Chief Executive to maintain a continuous focus on strategy, accountability and impact of key strategic programmes - bi-monthly rolling programme 			
Action	Expected impact	Resources required	Owner	Due Date	Status
Review of Directorate Delivery Boards to ensure clear mechanism to enable grip and pace, development with HR on training and support for project management, clear risk management and change control framework, move to online reporting tool.	Reduce impact and likelihood	Staff	D. Hodgkinson	Mar 2023	In progress

Risk Information Risk Title – Failure to effectively respond and recover from critical incident	Risk Scores	Existing Controls			
<p>Risk - Failure to effectively respond and recover from critical incident as a service and organisational preparedness, resilience and business continuity. There is a risk we are not able to recover critical internal processes or respond effectively to a major incident following a disruptive event (internally/externally) within a suitable timeframe</p> <p>Cause - Inadequate emergency response/contingency plans business continuity (BC) planning and disaster recovery</p> <p>Consequence - Damage to reputation, resident safety, increased cost for response due poor planning, unacceptable response time.</p> <p>Risk Update - Covid support - Islington has stepped down its emergency command structure for Covid.</p> <p>Emergency Planning have closed the Borough Emergency Control Centre for Covid having managed the establishment of the PCR mass testing sites (Sobel Centre and Finsbury Leisure Centre), for the lateral flow testing programme across the borough, logistics for the roll out of lateral flow testing programme in all secondary schools, providing all the required equipment for January opening, lateral flow testing in prisons, assisted with outbreaks. Emergency Planning also produced a plan for surge testing (operation Eagle) to support easing of lockdown, lead a review of BC Plans after first wave to ensure learning is captured, continued to manage provision of PPE to Care homes, domiciliary care and front-line services as well as management of Covid marshals' scheme; recruitment plan, training.</p> <p>Business as usual activity: The Emergency Planning team have continued to respond to a number of incidents, including a couple of large incidents within the community; this included the nationwide fuel disruption and several large utility failures within the community requiring large scale evacuations. Emergency Planning are now reviewing contingency plans as part of the regular review cycle and planning exercises as well as working on bespoke plans such as Operation London Bridge.</p>	<p>Current Score: L:2 (-1) I:4</p> <p>Target Score: L:2 I:3</p> <p>Gap to target: L:0 I:1</p>	<ol style="list-style-type: none"> 1. Business Continuity plans are in place, and a 3-phase process is underway, with phase 1 (May 2020) and phase 2 (Dec 2021) now completed. 2. Arrangements for business continuity are being reviewed to enhance our approach to resilience and improve consistency across our services, including a review of the Islington Resilience Board. 3. We are fully compliant with EP 2020 requirements. 4. We undertake lessons learned review after any incidents. 5. Considering redeployment of staff to support surge test planning. 6. Maintain increased capacity of LALO's to support function. 7. An audit on Business Continuity has not resulted in any major findings. 8. Emergency generator at 222 office 			
Action	Expected impact	Resources required	Owner	Due Date	Status
Consider exercise of BC plans	Reduce Likelihood	Staff	K. Townsend	Summer 2022	In progress
Review of BC and crisis response plans and processes	Reduce Impact	Staff / Equipment	K. Townsend	Autumn 2022	In progress

Risk Information Risk Title –Pupil Attainment Gap	Risk Scores	Existing Controls				
<p>Risk - Systemic failure to promote conditions (i.e. attendance) and quality provision and interventions which compound and increase pupil attainment gap for pupils</p> <p>Cause – Despite the return to full time face to face education, from Autumn 2021, schools have been impacted by pupil and staff attendance due to isolation restrictions and the more transmissible Omicron variant.</p> <p>Consequence - Pupils may not achieve their full academic potential (potential for a greater impact on vulnerable pupil’s educational outcomes), levels of persistent absence, fixed term exclusions and the number of pupils opting to electively home educate have continued to be a challenge when re-engaging students in the longer term.</p> <p>Risk Update: Schools have continued of the National Catch-up programme to support vulnerable pupils. This provision has been improved following guidance that schools can recruit their own tutors rather than through a national scheme. All Y2 pupils completed the statutory Phonics Assessment in December 2021. Those pupils who did not meet the expected standard will have a further opportunity in June 2022. Secondary schools have been issued with further guidance on GCSE and A level requirements for assessments in June 2022. Attendance is reported every two weeks to Executive member for Children and Families. This information is also shared with the Social Care teams and with social workers attached to young people. During the autumn term 2021 attendance remained above national (96%). Development of holiday and food project (HAF) is in place to support schools for the next three years (Easter and Summer programmes) Reporting arrangements will be similar to previous HAF programmes. In February 2022, new guidance was issued in line with the removing of national restrictions.</p>	<p>Current Score: L:2 I:4</p> <p>Target Score: L:2 I:2</p> <p>Gap to target: L:0 I:2</p>	<ol style="list-style-type: none"> 1. All educational settings updated risk assessments and completed necessary premise checks as required to return to face-to-face education from Sept 2021. Attendance was monitored closely and regular contact was in place to ensure that poor attendance trends did not become embedded in school culture. 2. Effective systems and processes were in place when there was a positive COVID result in a setting. This was effectively tracked, and appropriate support provided by Public Health and Islington Learning and Schools department. A “traffic light system was introduced by Public Health to support schools manage an outbreak of COVID-19 when cases exceeded DfE contingency thresholds. 3. In January 2022, a total of 868 CO2 monitors had been delivered to 66 settings in the Islington to support ventilation arrangements in schools. 4. Schools continue to have risk assessments in place that reflect the current guidance. 5. Promote quality tutoring and agreed interventions to improve attainment. 6. Schools no longer need to report positive cases to the local Public Health Team. The PH team will continue to support schools; however, the focus of support will be on SEND settings, hospitalisation and death. 7. Schools are currently preparing for national assessments in KS1, KS2, GCSE and A Levels. Guidance has been issued to secondary schools regarding GCSE and A Level requirements for exams. Assessment outcomes for KS1 and KS2 will not be published. 				
<p>Action</p>	<p>Expected impact</p>	<p>Resources required</p>	<p>Owner</p>	<p>Due Date</p>	<p>Status</p>	
<p>Developing an Education Strategy to reduce the impact of COVID-19, with a focus on readdressing priorities most impacted because of the pandemic. They are underpinned by a 12-month delivery plan. They included: Reduce exclusions, improve attendance by reducing persistent absence, reduce students at risk of NEET (post - 16 and post - 19), improve outcomes for secondary schools, improve outcomes for vulnerable learners, increase the uptake of the free education entitlement</p>	<p>Reduce impact</p>	<p>NA</p>	<p>J. Abbey</p>	<p>July 2022/23</p>	<p>In Progress</p>	

Risk Information Risk Title – Capital Programme Slippage and/or Delivery Failure	Risk Scores		Existing Controls			
<p>Risk Failure to adequately manage (cost/schedule/receipts) capital programmes</p> <p>Cause Inadequate governance and project management</p> <p>Consequence Financial Loss, breach of governance/regulation, reputational damage</p> <p>Risk Update: The council committed to a new Corporate Asset Strategy in March 2020. The strategy aims to establish a bold new approach that ensures investment is directly linked to core council ambitions around fairness and community wealth building. It is designed to deliver a strategic, long-term approach to managing and enhancing our community asset base. The Capital Strategy and Capital Programme was approved as part of the budget setting programme at full Council in February 2021. The total expected spend over three years is £539 million. The Capital investment will be used in the following areas:</p> <ul style="list-style-type: none"> - Decent and affordable homes - Jobs and opportunity - A safer Borough for all - Greener and Cleaner Islington - Enhancing Community Assets <p>One of the key risks will be the capital funding obtained from projected capital receipts financing, this is intrinsically linked with the housing new build capital programme, and that there is uncertainty around the timing and value of these receipts given present economic conditions. New capital governance arrangements were introduced in 2020 and these will be refreshed during 22/23 including closer alignment between financial and programme monitoring.</p>	Current Score: L:2 I:5	Target Score: L:1 I:4	Gap to target: L:1 I:1	<ol style="list-style-type: none"> 1. Major Projects Board 2. Corporate Asset Delivery Board 3. Housing Delivery Board 4. A common set of project level and programme/directorate level reporting will be implemented to ensure consistency and robust delivery tracking 5. Enhanced Reporting and monitoring of capital spend as part of the monthly monitoring. 6. Capital receipts controls – We maintain a regular review of the property market and have been prudent in our financial assumptions. Timing delays can largely be managed through the use of HRA reserves. In the event of a decrease in projected capital receipts, the new build programme would need to be re-assessed in line with the overall available funding. 		
Action	Expected impact	Resources required	Owner	Due Date	Status	
Ongoing monitoring of progress and delivery	Reduce overall score	Staff	CMB	Ongoing	In progress	

Risk Information Risk Title – Social Inequalities	Risk Scores	Existing Controls				
<p>Risk - Failure to challenge and address social inequalities in Islington Cause - Poor prioritisation, lack of clear governance, and/or detailed project/programme management, broader external social issues/change leading to increasing inequalities Consequence - Loss of community confidence in the Council. Poor outcomes for residents. Risk Update - For the last 18 months the Council has been working hard to tackle inequality for staff and residents and was recently recognised for the achievements thus far, winning the GG2 Leadership and Diversity Award for local government and being shortlisted for LGC Award for Diversity and Inclusion (to be announced in July). We know that a number of factors, including Covid-19 and the current cost of living crisis, has deepened inequality and we are working on addressing this through the programme. The programme has robust governance arrangements with the Challenging Inequality Programme Board (officer board) Race Equality Working Group (Cllr group), Challenging Inequality Coalition (community) and regular meetings with staff forums. We are also currently carrying out our largest ever engagement exercise to understand how inequality impacts the daily lives of residents and their hopes and aspirations for the future. Our inequality taskforce is helping to challenge and shape our thinking. Whilst winning this award shows we are on the right track we know there is still a lot more to do.</p>	<p>Current Score: L:3 I:4 Target Score: L:2 I:2 Gap to target: L:1 I:2</p>	<ol style="list-style-type: none"> 1. Challenging Inequality Programme to drive action across the Council, ensuring the equality agenda remains a priority for the Council. 2. The programme is also currently being reviewed by internal audit to ensure the governance arrangements are robust. 3. Challenging Inequality programme board 4. Directorate Leads 5. Clear Programme plan - including as employer, strategic leader and as a service provider. 6. Through the boards, will be monthly progress and review. 7. Race Equality Staff Network 8. Race Equality working group (member led) 9. Disability forum 10. LGBT network 11. Women’s network 12. Challenging Inequality Coalition with community 				
Action	Expected impact	Resources required	Owner	Due Date	Status	
	Analyse results from Let’s Talk Islington engagement exercise and develop a response	Reduce Likelihood	Staff/Policy	A. Buxton-Jennings	Ongoing	In progress
	Ensure community and staff input remains at the heart of the programme and that we are able to demonstrate impact the programme is having	Reduce Likelihood	Staff	A. Buxton-Jennings	Ongoing	In progress

Risk Information Risk Title – School Viability and Place Planning	Risk Scores		Existing Controls		
<p>Risk - Failure to implement a coherent strategy for managing the demand of school places, that could impact the pattern of provision and schools’ viability</p> <p>Cause - Significant reduction in pupil demand reflective of reduced birth and fertility rates within inner-London, reduction in pupil yield from new housing. Real terms reduction in school level funding over the medium term.</p> <p>Consequence - Schools become non-financially sustainable and unable to deliver the broad and balanced curriculum. Loss of confidence in the Council (all stakeholders)</p> <p>Risk Update: Demand for school places has fallen. In part this drop in demand has been driven by declining birth rates across London. Local evidence on births, health visiting and GP registrations (of children under 12 months), indicates that the recent reduction in births in Islington is likely to remain an ongoing trend. In 2019, the GLA identified problems of overestimation in the official ONS migration estimates, this is particularly acute in areas of London with high international flows and had led to inflated numbers of children in the projections that have now been revised. Individual school balances have been in decline since 2019 caused by the falling rolls, combined with increasing SEND and increasing cost pressures such as rising energy costs.</p>	<p>Current Score: L:3 I:2</p> <p>Target Score: L:2 I:2</p> <p>Gap to target: L:1 I:0</p>		<ol style="list-style-type: none"> 1. Monitoring of school budgets 2. Quality assurance of school deficit recovery plans 3. Supporting school to create appropriate staffing structures 4. Financial Audits of schools – including sharing lessons learnt 5. Priority support providing focussed support to maintain provision 6. Development of a School organisation plan for 2022-2025. 7. The school organisation programme board established, briefings and workshops held with key stakeholders in 2021/2022. 8. Updated roll projections completed with robust checking. 9. Admissions consultation completed (for admission in 23/24) 		
Action	Expected impact	Resources required	Owner	Due Date	Status
Production of an agreed school organisation plan	Reduce Likelihood	Staff – PM support	J Abbey	End July 2022	In progress
Increased monitoring of school budgets	Reduce Likelihood	Staff	J Abbey	Ongoing	In progress

Risk Information Risk Title – Serious Fraudulent Activity	Risk Scores	Existing Controls			
<p>Risk- Serious Fraud or corruption Cause - Lack of adequate governance arrangements including key controls and fraud awareness Consequence - Financial and Reputational damage to the Council Risk Update: The Corporate Investigations team has increased its capacity. The team is continuing to manage the reactive case load. Controls conversations and control recommendations are being made, as apt, as a result of investigative activity. The work on the National Fraud Initiative is continuing.</p>	<p>Current Score: L:3 I:2 Target Score: L:2 I:2 Gap to target: L:1 I:0</p>	<ol style="list-style-type: none"> 1. A robust whistleblowing policy (updated March 2022) and anti-fraud strategy is in place. 2. Regular reporting to Audit Committee takes place including bi-annual whistleblowing monitoring reports and an annual fraud report. 3. Internal Audit and Corporate Investigations work closely to ensure that intelligence is shared to support the identification of fraud risks. 4. 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. 5. Fraud risks feed into the annual Audit Plan. Delivery of the Audit Plan ensures that recommendations are made to address control weaknesses. 6. The Corporate Investigations team stay abreast of fraud alerts and fraud risks. 			
Action	Expected impact	Resources required	Owner	Due Date	Status
Continue to engage in National Fraud Initiative	Reduce likelihood	Staff	D. Hodgkinson	October 2022	Ongoing

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