

# Risk Management Annual Report

2020/21



# Contents

	Page
1. Introduction	3
2. Purpose of Risk Management	3
3. Role of Business Assurance	4
4. Embedding Effective Risk Management in 2020/21	5
5. Corporate Risk Register	7
6. Other Risk Management Developments	9
7. Forward Plan	10
8. Emerging Risks (including impact of Covid-19)	11
9. Further Information	12
<u>Appendix A</u> - Corporate & Group Risk Management Process Map	13
<u>Appendix B</u> - Corporate Governance of Risk Management	14
<u>Appendix C</u> - Directorate Risk Registers	15

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**Version Control**

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0.1	01.09.2021	First Draft	Stephanie Rao, Internal Audit Manager
0.2	15.09.2021	Draft for CRMG	Stephanie Rao, Internal Audit Manager
1.1		Final for AC	Muir Laurie, Deputy Director of Exchequer Services & Business Assurance

## 1. Introduction

- 1.1 The London Borough of Hillingdon (LBH) has a statutory responsibility to ensure arrangements are in place for managing risks. The Accounts and Audit (England) Regulations 2015 state that a local government body shall ensure that its financial management is adequate and effective as well as having a sound system of internal control which facilitates the effective exercise of its functions and includes arrangements for the management of risk. Further, the CIPFA/Solace governance framework “Delivering Good Governance in Local Government (2016)” outlines the need for risk management to be embedded into the culture of the organisation, with members and officers recognising that risk management is part of their role.
- 1.2 Risk management is about managing opportunities and threats to objectives and in doing so help create an environment of “no surprises”. Risk management is a crucial element of good management and a key part of corporate governance. It should be viewed as a mainstream activity and something that is an integral part of everyday management of the organisation.
- 1.3 Risk Management is already inherent in much of what the Council does. Good practices such as safety systems, procurement and contract regulations, financial regulations and internal control are not labelled as Risk Management but these and many other processes and procedures are used to manage risk.

## 2. Purpose of Risk Management

- 2.1 The Council is committed to providing high quality services in the most efficient and cost effective way that puts its residents first. The management of risk is a core element of corporate governance to ensure the Council's priorities for improvement as well as day-to-day services are delivered as expected. For the purpose of this policy and guidance, risk is considered to mean anything that will, or has the potential to adversely affect the achievement of service improvement priorities and/ or disrupt day-to-day operational service delivery.
- 2.2 Risks can never be entirely eliminated but proportionate and targeted action can be taken to reduce risks to an acceptable level. It is essential that managers and their teams manage risks to achieve the following business benefits:
  - Achieve the Council's priority in putting residents first;
  - Ensure robust financial management;
  - Protect staff and residents;
  - Protect valuable assets; and
  - Maintain and promote the Council's reputation.
- 2.3 Managing risk is part of everyday business for the Council and is a process that involves; the early identification of risks, assessing their potential consequences and determining the most effective way to reduce the likelihood and/or impact of the risk. This policy and guidance provides a framework to ensure:
  - Clear accountabilities and well defined roles and responsibilities for managing risks;
  - Risks are promptly identified and their likelihood and impact on Council business is accurately assessed and appropriate action is taken to mitigate the potential risk;
  - Employees have the knowledge and skills to identify and manage risks;
  - Decisions are taken having considered relevant risks; and
  - The impact of risk management is evaluated.

### 3. Role of Business Assurance

- 3.1 The role of Business Assurance (BA) is to provide independent and objective assurance on the risk management process. BA ensures effective risk management by supporting CMT to:
- Incorporate risk management into service improvement and everyday management arrangements such as service and financial planning;
  - Identify, assess and manage risks so as to minimise the potential costs and disruption to services caused by undesired events;
  - Make informed decisions based on a balance between risk and the benefits that may be realised from opportunities for service improvement;
  - Encourage innovation and improvement through taking calculated and well managed risks to improve services for residents;
  - Raise employee awareness of risk management through promotion, training, performance management and review;
  - Produce the Annual Governance Statement in relation to the authority's system of internal control, corporate governance arrangements and risk management framework; and
  - Work in partnership to manage risks.
- 3.2 The Council's approach to risk management requires managers and staff to undertake the following steps, which are illustrated below:



- 3.3 For further info about the Framework please refer to the [Council's Risk Management Policy 2020-23](#).
- 3.4 Our risk management process is mapped to provide clarity and transparency within the BA team and the wider Council. A copy of the process map can be found at **Appendix A**.

## 4. Embedding Effective Risk Management in 2020/21

4.1 Risk management is integrated into a number of different management and service planning arrangements within the Council. Effective risk management helps to mitigate against the financial and reputational risks arising from the broad range of insurable risks to which LBH is exposed. This section of the report describes some of the key ways risk was identified, assessed and mitigated throughout day-to-day Council business in 2020/21.

### 4.2 Service and Financial Planning

4.2.1 Risk management is an embedded part of service and financial planning. Managing strategic risks is a core responsibility for senior managers in close liaison with Elected Members. The financial planning process requires Directorates to consider and report risks that may affect or arise from service improvement and financial budget proposals. The Council's capital programme includes risk management as part of the criteria to allocate resources.

4.2.2 At the start of the 2020/21 financial year, all budgets across the Council are reviewed and approved by the appropriate Head of Service, Assistant Director and Deputy Director, which ensures that risks can be identified and monitored throughout the financial year. During the financial year, budget monitoring is undertaken for all budgets on a monthly basis, with savings and other higher risk areas subject to enhanced oversight and scrutiny.

4.2.3 All projects included in the proposed Capital Programme have been linked to corporate priorities and/or the CRR and have been risk assessed against the [Council's Risk Scoring Methodology](#).

4.2.4 The Care Governance Provider Risk Panel governs the quality of service providers in Social Care. The panel, on a monthly basis, reviews all pay uplift requests and any provider financial instability on a risk based approach.

### 4.3 Project Management

4.3.1 LBH has an organisational wide common approach to the management of any projects. The management of risks (positive and negative) is seen as one of the key requirements for delivering successful projects at the Council. Where a project management approach is required, the risks to achieving the project are monitored throughout the life of the project.

### 4.4 Committee Reports

4.4.1 All reports to Cabinet are signed off by the relevant Senior Finance Manager and subsequently, by Corporate Finance. Compliance with requirements on risk management is one of the criteria used to evaluate whether the Committee or Cabinet report is appropriate for sign off.

### 4.5 Contractual Arrangements

4.5.1 Any risks which are identified through the contract management process are recorded and managed for individual service providers and kept under review as part of the Council's contract management framework. Further, work is undertaken to ensure the contract management process is aligned and compliant to current legislative and regulatory requirements (such as GDPR Article 28) to minimise data breaches and subsequent potential fines.

### 4.6 Competency Framework and Automated PADA Process

4.6.1 There has been a growing focus on shaping our organisation's risk culture as a key approach to managing risk. This has been supported by refreshed competencies which are a set of behaviours that define the Council's expectations of its employees, so that they can be successful in their work.

4.6.2 A new automated PADA process which includes the new competency was developed and rolled out in March 2021. This new process will be an effective risk management tool to set, monitor and review staff performance against key objectives and competencies. This also demonstrates our organisation's development of risk maturity as the managers will be assessed on their risk management performance.

#### **4.7 Promotion, Training and Support**

4.7.1 All managers are encouraged to complete the e-learning risk management module, which is included in the mandatory induction process and checklist. The purpose of the e-learning module is to support the development of a robust approach to risk management within the Council. BA and the Corporate Risk Management Group (CRMG) continue to monitor training and support for risk management and provide further information/ briefings on risk management as and when needed. Completion rates have been steady and BA continues to promote the module via staff publications.

4.7.2 Training on risk management for elected Members and the Independent Chair of the Audit Committee is facilitated by BA. This is offered either on an individual basis as part of the induction process, or alternatively as part of the annual Member Development Day. In addition, a specific session on risk management is included as part of the Training and Development Plan for Audit Committee Members that is co-ordinated by Democratic Services.

4.7.3 The Council's Risk Management Policy and Guidance and the terms of reference for CRMG were last reviewed and updated in March 2021.

#### **4.8 General Data Protection Regulations (GDPR)**

4.8.1 An updated refresher GDPR mandatory training programme was rolled out to all LBH staff in June 2019 and then October 2020 to ensure that all employees are aware of their responsibilities around data protection. LBH staff received GDPR training ensuring that staff all understand LBH's data handling and processing responsibilities remains a key workforce objective. This training forms part of the mandatory induction process for new staff and was included as a Performance and Development Appraisal objective as a mandatory target for all staff.

#### **4.9 Counter Fraud**

4.9.1 Counter Fraud continues to adopt a risk-based approach to identify the highest risks when risk assessing fraud referrals and this commitment is set out in the Council's Counter Fraud Strategic Plan. Each fraud referral is assessed based on its systemic, financial, reputational and operational risk to the Council to enable appropriate allocation.

4.9.2 This approach is underpinned by the Council's Fraud Universe and a full range of investigative policies and procedures. The Fraud Universe is regularly reviewed in collaboration with key stakeholders to enable the team to adapt to any emerging risks. As part of the commitment to creating a stronger counter fraud culture, a new improved program of Fraud Awareness is being delivered across the organisation and externally, which includes the use of social media.

#### **4.10 Health and Safety System**

4.10.1 LBH's Health and Safety (H&S) management system (Assure) assists in managing H&S for the Council's undertakings, integrating H&S and the assessment of risk into the Council's daily business. Further to this, the auditing tool on Assure has been developed and is now in use by the H&S team. Dashboard reports now include incidents, DSE assessments, audits, actions, health surveillance attendance and risk assessments.

## 4.11 Insurance

- 4.11.1 Effective risk management helps to mitigate against the financial and reputation risks arising from the broad range of insurable risks to which LBH is exposed. The current review and tender of LBH insurance contracts will support the transfer of financial risk through a mixed portfolio of suppliers specialising in particular insurance sectors, alongside actions by the Risk and Insurance Team to raise awareness of such risks.
- 4.11.2 Insurance dashboards have been embedded to further enable management to adopt a risk-based approach and decision-making regarding insurance claims and risk exposure. The dashboards are scheduled to be rolled out shortly and are tailored to specific service areas and include trend analysis, high profile cases, high cost and high frequency of claims. The dashboards also include recommendations of actions that can then be taken to minimise the impact and likelihood of future claims.

## 4.12 Risk Champions

- 4.12.1 Each Directorate (Group) has a risk champion representing their Directorate who will help and assist in the risk management process giving support, advice and guidance on best practice developments in risk management:
- To promote risk management within their Directorate and is being applied; and
  - To ensure appropriate reporting to SMT's and CRMG.

## 4.13 Corporate Governance of Risk Management

- 4.13.1 The local authority has well established governance arrangements for monitoring and reviewing risks (refer to **Appendix B**).

## 5. Corporate Risk Register

- 5.1 The Council's CRR is an essential part of the Local Authority's corporate governance arrangements. The CRR provides evidence to the Corporate Management Team (CMT) and the Audit Committee about how identified corporate risks are being managed and the mitigating actions in place. All key corporate and directorate specific risks must be recorded in the relevant Council Risk Register and reviewed at least quarterly. There are currently 2 levels of risk register in full operation across the Council: the **Corporate** Risk Register and **Directorate** (Group) Risk Registers.

### Corporate Risk Register

- 5.2 This is used for risks which are graded 'red' or are considered strategic and cross cutting which affects the longer term strategy of the Council.

### Directorate (Group) Risk Registers

- 5.3 These are used for risks which are specific to a Directorate i.e. Corporate Services & Transformation, Planning, Environment, Education & Community Services, Infrastructure, Transport & Building Services, Finance, Children's and Adults Social Care. These are reviewed by the respective Senior Management Team (SMT) who assess whether the risk could have a significant effect on service delivery and planned priorities.
- 5.4 Risk owners must use the [Council's Risk Scoring Methodology](#) to assess a risk. The assessment of a risk is based on a combined score from the likelihood of the risk occurring and the impact in the event that the risk is fully realised. The risk scoring methodology shows the risk criteria in use to guide managers when assessing the likelihood/impact of the risk and the score the assessment will produce. Managers must assess and report the current risk (refer to **Appendix C** to review an analysis of directorate risks for 2020/21 Q4).

## 5.5 Risk Reporting

5.5.1 The CRR is reviewed and updated on a quarterly basis by senior managers and the Lead Cabinet Member for risk management. The CRR is then reviewed by CRMG and Audit Committee where it is then signed-off (pending no further changes). The quarterly CRR papers include a 1 page summary which contains a snapshot of all the risks, the direction of travel and the risk score. The table below contains the dates and groups who reviewed the CRR in 2020/21:

	CRMG	CMT*	Audit Committee
2020/21 Q1	24/08/2020	09/09/2020	01/10/2020
2020/21 Q2	06/01/2021	13/01/2021	04/02/2021
2020/21 Q3	29/03/2021	06/04/2021	20/04/2021
2020/21 Q4	05/07/2021	12/07/2021	29/07/2021

\* = Change in process in 2021, CMT review risk papers via email circulation

## 5.6 Analysis of Corporate Risk Register

5.6.1 The following tables highlight for 2020/21:

- The number of new and retired risks;
- The number of Corporate Risks where the risk scores have increased, decreased or remained the same; and
- The changes and movement of each individual risk in the CRR between Q1 and Q4.

Number of Corporate Risks brought forward from 2019/20	14
Number of new Corporate Risks in 2020/21	1
Number of retired Corporate Risks in 2020/21	1
Number of Corporate Risks where the Risk Scores have increased	1
Number of Corporate Risks where the Risk Scores have decreased	3
Number of Corporate Risks where the Risk Scores have remained static*	10
<b>Total Number of Corporate Risks in 2020/21</b>	<b>14</b>

20/21 Quarter CRR Risk	Q1	Q2	Q3	Q4
1. Heathrow	Improving E1	Static E1		
2. Housing Needs	Static B2			
3. Children's Demand Asylum & Trafficked	Improving B2	Static B2	Improving D3	Deteriorating C3
4. Litigation	Static B3			
5. Budget	Deteriorating C1	Static C1		
6. Suppliers	Static C1			
7. HS2	Static C2			
8. NYGL	Static D2		Retired D2	
9. School Places	Static D2			
10. GDPR	Static D1			
11. Cyber Security	Static D1			
12. Mayor's Plan	Retired F3			
13. Brexit	Improving C3	Static D1		
14. Schools Grant	Static E1			
15. Coronavirus	New Risk A1	Static A1		

Key:  The risk has not changed in this specific quarter

## 6. Other Risk Management Developments

### 6.1 Training

- 6.1.1 BA updates the CRMG of those who have completed the risk management e-learning module and report these to the Risk Champions on a quarterly basis. This helps to ensure that all managers are aware of their risk management responsibilities.

### 6.2 Internal Audit Findings

- 6.2.1 BA continues to communicate key findings from Limited and Nil assurance IA reports to CRMG for discussion. This enables current weaknesses to be considered as part of the review of the Corporate and Directorate Risk Registers.

### 6.3 Brexit

- 6.3.3 In April 2019 the EU and UK government reached agreement for an extension to Article 50 to the 31st October 2019, and then extended once again to the 31st January 2020 with exit terms and economic arrangements agreed. Brexit and related impacts continued to be monitored, Borough EU Settlement Scheme figures and captured as a risk on the Corporate Risk Register, which is updated quarterly and owned by the Chief Executive.

- 6.3.1 Across the organisation, a range of risk management activities in preparation for Brexit were undertaken. Strategic co-ordination was in place where CMT had oversight of Brexit related risks and controls by Directorate (Group). Preparedness and consideration of resilience related impacts on critical services and meeting statutory duties was regularly discussed and considered. LBH undertook a range of activities to raise awareness and signpost residents and businesses in line with guidance, utilising the 'Get Ready for Brexit' and EU Settlement Scheme campaigns and programme of social media posts. The Council worked collaboratively with partner agencies and stakeholders, enabling key concerns and the identification of priority issues, which could be escalated through reporting structures via the Resilience and Emergencies Division to support pan-London assessments of immediate and longer-term impacts of the UK's exit from the EU on London local authorities. The risk has been captured on the Council's Corporate Risk Register and is monitored on a quarterly basis.

### 6.4 Covid-19 Pandemic

- 6.4.1 The pandemic presented LBH with a unique array of challenging issues to address and respond to within tight timeframes. The Council continues to assess the key risk areas and impacts of the Covid-19 pandemic and has reassessed and updated risk registers and completed service and individual risk assessments. In response to the risks and impacts identified, the Council has undertaken a comprehensive range of actions that has been captured on the Council's Corporate Risk Register which includes; implementation of the Covid-19 Recovery Board and Recovery Plan, food distribution and deliveries to residents, accommodation for all rough sleepers in the borough, issued financial grants, processed Council Tax and Business Rates adjustments, as well as providing support for service users, vulnerable residents, businesses and suppliers.
- 6.4.2 The Council continues to assess key risk areas and impacts of the coronavirus pandemic and has updated its corporate and service risk registers, as well continued implementation of the Council's Coronavirus Recovery Plan. Work continues in partnership with PHE and Central Government which includes ongoing participation at Health Protection Board with partner agencies and weekly conference calls with Local Authority Chief Executives. This has resulted with the Council achieving the Joint Committee in Vaccination and Immunisation priorities 1<sup>st</sup> to 4<sup>th</sup> by March 2021.

- 6.4.3 The Council has implemented local Track and Trace, community lateral flow testing sites, monitors 18 managed quarantine facilities in the Borough and continues to respond to any variants of concern. Further activities are underway in relation to vaccination hesitancy and the lockdown easements to enable LBH to adapt our local response accordingly.
- 6.4.4 The combined impact of the central/local government response and activities undertaken has resulted in LBH incurring additional costs, income losses with potential delay to savings programmes and cost pressures (which have exacerbated some existing risks on our RRs). A detailed review of Covid-19 related financial grants was undertaken in January - March 2021. The impact of central and local government response and activities undertaken has resulted in LBH incurring significant additional costs combined with major losses of income, with delays to savings programmes and creating additional financial pressures.
- 6.4.5 As part of the recovery work there is currently a range of Business Improvement Delivery reviews underway across the organisation to help mitigate the huge impact on the financial resilience, service delivery and forward planning arrangements. There is a new 'normal' with significant changes and alternative ways of working to continue to deliver services to our residents, whilst making them more resilient and effective.

## 6.5 Small Business Grant Verifications

- 6.5.1 During the Covid-19 pandemic, IA, Counter Fraud and Exchequer Services worked collaboratively to process and verify the various business grants funded by Central Government. Staff were provided training to undertake the verifications process of grants paid to minimise the risk of monies being received by ineligible recipients. The main two types of grants which were being verified by team members were specifically the 'Small Business Rates Grants' and the 'Retail, Hospitality & Leisure Grant'. Cash grants of £25k have been given to businesses in these sectors with rateable value between £15k - £51k. Small businesses (rateable value below £15k) received a cash grant of £10k. Further grant schemes were announced throughout the year to support businesses impacted by various levels of national and local restrictions.

## 7. Forward Plan

### 7.1 Move to 'Risk Managed'

- 7.1.1 The Chartered Institute for Internal Audit's Risk Maturity Model is a benchmarking tool to assess the Council's organisation's risk maturity.
- 7.1.2 In accordance with this model our current risk maturity level is '**Risk Defined**'. A key objective of the forward plan is to develop the organisation's risk maturity to the next level of '**Risk Managed**'. The planned programme of work and activities support the development and key requirements to move the organisation to this level. Service level risk registers are still currently under development, with implementation deferred due to the reallocation of resource in 2019/20 and into 2020/21 to support Brexit and the ongoing Covid-19 response activities.

### 7.2 Automated PADA Process

- 7.2.1 Following the implementation of the automated PADA process, further work to incorporate the determination, assessment and management of risks into job descriptions is ongoing.

### 7.3 Operational Risk Registers

- 7.3.1 Business Assurance will continue working across the Council assisting in the development of Team/ Operational Risk Registers to embed operational risk management within the service, in line with the Council's risk management process and supported by associated escalation processes to Group and/ or Corporate risk registers. This allows the Council to identify and address emerging risks that may crystallise.

## 8. Emerging Risks

### 8.1 Coronavirus Pandemic (including impact of Covid-19)

8.1.1 We are in a healthcare crisis and major economic downturn, with the Council facing a multitude of challenges, all of which are exacerbating geopolitical risks. Risk professionals continue to analyse the pandemic's implications and effects to provide insights on the changing risk landscape. Some of the emerging risks the Council continue to face are set out below.

### 8.2 Governments could be left with higher debt

8.2.1 We are in a period of major change globally that will affect all aspects of the public sector. The impact of the pandemic combined with an increasing aging population, greater numbers and more complex child referrals, an increase in homelessness and a growing demand for services for children with special educational needs or disabilities, will inevitably lead to increasing cost pressures on local authorities. The scale of government's transformation programmes, limited government capacity, ongoing financial constraint and the challenges of an ageing population mean that both the delivery of public services and the expectations of those who rely on them are changing.

8.2.2 Subsequently, local authorities across the country continue to face increased pressure to cut investment in preventative and early help measures in order to meet existing demand, which impacts on the future sustainability of the services and ability to meet statutory duties within a finite budget.

### 8.3 Continuation of Grant Funding

8.3.1 Local Authorities have delivered a range of services funded by Coronavirus grants. There is uncertainty as to how long funding will continue, however the lasting impact of the pandemic will be felt for many years to come. These issues are likely to have a significant impact in the short and long term and could affect financial reporting.

### 8.4 Citizen Behaviour

8.4.1 More widely, governments will need to understand how, if at all, citizen behaviour has changed going forward. In some areas, the pandemic may leave a lingering legacy on demand such as in higher education, for which the numbers of international students could be subdued in the short and medium term with significant implications for those institutions that rely on them for income. More positively, insight from the crisis could inform new strategies to relieve pressure on infrastructure and public services, or drive behaviour change to help meet net zero carbon targets.

8.4.2 Citizen response to the pandemic has caused numerous operational issues for local authorities, including:

- Increased demand for local authority services, including adult and child social care, services for the homeless, public health and support for the vulnerable (which is further exacerbated by other macro events, such as the demand and support needs of those fleeing Afghanistan);
- A reduction in key sources of income;
- Closure of local authority offices, premises and facilities;
- Increased cohort requiring Council tax and business-rates relief; and
- Staff sickness and absences.

## **8.5 Housing and Social Care**

- 8.5.1 Social care and housing weakened by years of declining real-terms public funding and rising demand, has been impacted by the pandemic. Further, the social care sector in the UK is facing shrinking care capacity and exponentially rising demand, driven by factors such as underfunding and a lack of joined-up thinking. A survey by the Association of Directors of Adult Social Services has found rising demand pressures, reporting that more people with care and support needs are seeking help to escape abuse, and 35% seeing rising numbers of rough sleepers needing support. Sixty-eight per cent said more people were presenting with mental health issues, and a similar proportion (69%) said more people were being referred for support from the community.

## **8.6 Cyber Security**

- 8.6.1 Cyber-attacks against all businesses including local authorities continues to be listed as one of the top ten risks and continue to grow in both volume and sophistication. Local authorities are facing significant challenges and pressure as they are more at risk than any business, school or bank due to the sensitive information they hold on residents that could be used to build up a 'profile'. Further to this, supply chain attacks are prevalent and an effective method of deploying malware. The vetting of the cyber security approach of key suppliers is essential to reduce this risk.

## **8.7 Dedicated Schools Grant**

- 8.7.1 The Dedicated Schools Grant (DSG) is the main grant that central government allocates to local authorities for educational provisions in their areas. The DSG is divided into three nominal blocks: schools, high needs and early years. Local authorities face significant financial pressure due to the Children & Families Act 2014 expanding the number eligible for support, and in turn, the proportion of the DSG required to fund 'Special Educational Needs and Disabilities' within the High Needs Block. Formal 'Safety Valve' negotiations with DfE are scheduled, where further detail to be provided to DfE as part of the 'Safety Valve' negotiations including more a detailed project recovery plan and resourcing and the associated governance arrangements to reduce the deficit.

## **9. Further Information**

- 9.1 The Council's Annual Risk Management Report for 2020/21 was produced by Business Assurance; please contact the Deputy Director of Exchequer Services & Business Assurance if there is anything in this report you wish to discuss in this respect.

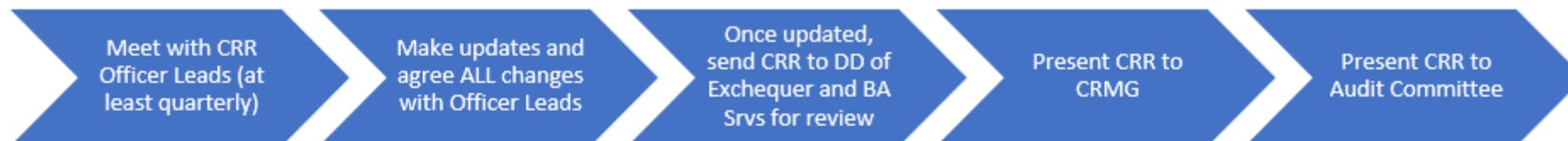
Muir Laurie

**Deputy Director of Exchequer Services & Business Assurance**

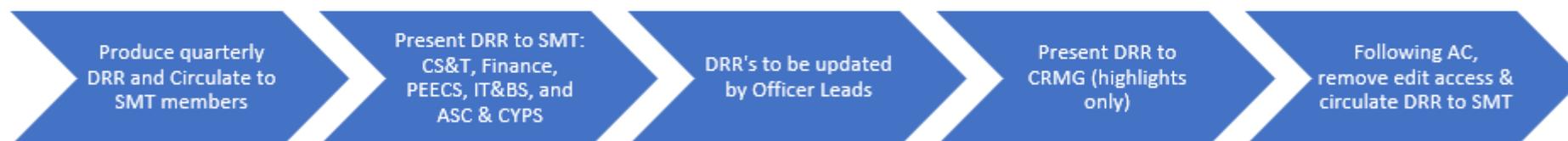
16<sup>th</sup> September 2021

## Corporate and Directorate Risk Management Process Map

### Corporate Risk Register Process:



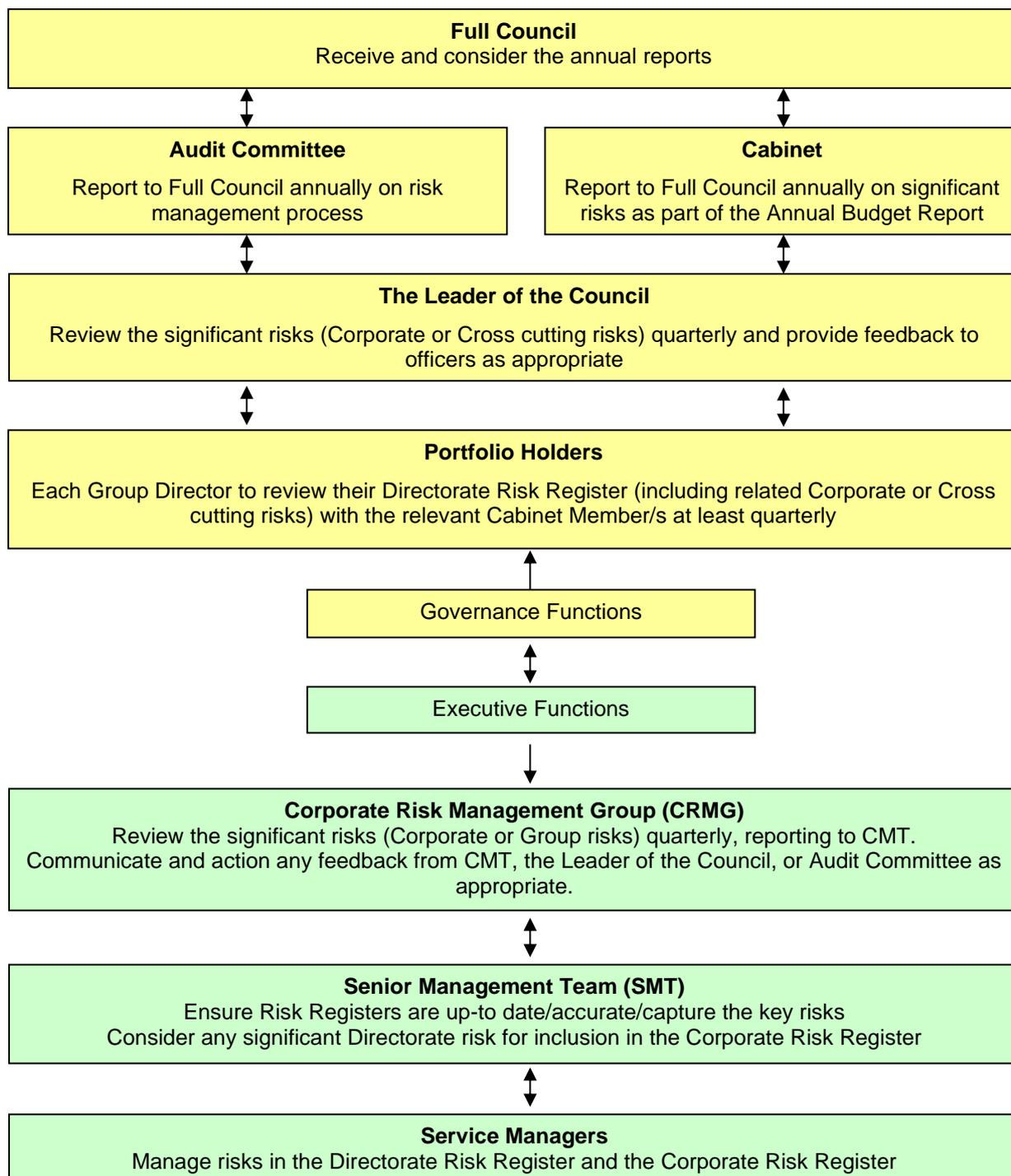
### Directorate Risk Register Process:



### Risk Champions:

- Lydia Newman – **CS&T** = Corporate Services & Transformation
- Paul Whaymand – **Finance**
- Mark Billings – **PEECS** = Planning, Environment, Education & Community Services
- Perry Scott – **IT&BS** = Infrastructure, Transport & Building Services
- Sandra Taylor – **ASC** = Adult Social Care  
**CYPS** = Children & Young Peoples' Services

**Corporate Governance of Risk Management**



**CORPORATE SERVICES & TRANSFORMATION DIRECTORATE RISK REGISTER**

**SUMMARY OF RISKS - 2020/21 QUARTER 4**

Risk No.	Summary Risk Description	DoT	Rating
(1)	Public Sector Equality Duty	↔	D3
(2)	Running an Election	↔	E3
(3)	Timely completion of resident's birth registration	<i>Retired</i>	C4
(4)	Managing resident access across, telephone, website & face-to-face	↔	E3
(5)	Storage Capacity at Uxbridge Mortuary	<i>New</i>	C4

*DoT = Direction of Travel (Risk Movement over the last 3 months)*

**RISK MATRIX SCORING OF RISKS - 2020/21 QUARTER 4**

<b>LIKELIHOOD</b>	<b>Very High (A)</b>				
	<b>High (B)</b>				
	<b>Significant (C)</b>	(3) (5)			
	<b>Medium (D)</b>		(1)		
	<b>Low (E)</b>		(2) (4)		
	<b>Very Low (F)</b>				
		<b>Small (4)</b>	<b>Medium (3)</b>	<b>Large (2)</b>	<b>Very Large (1)</b>
<b>IMPACT</b>					



# INFRASTRUCTURE, TRANSPORT & BUILDING SERVICES

## DIRECTORATE RISK REGISTER

### SUMMARY OF RISKS - 2020/21 QUARTER 4

Risk No.	Summary Risk Description	DoT	Rating
(1)	Failure of business continuity regarding ICT and telephony		E2
(2)	Fire safety		E2
(3)	New Years Green Lane and Park Lodge Farm, Harefield	<i>Retired</i>	D2
(4)	Network Resilience		D2
(5)	ICT Disaster Recovery		D2

*DoT = Direction of Travel (Risk Movement over the last 3 months)*

### RISK MATRIX SCORING OF GROUP RISKS - 2020/21 QUARTER 4

<b>LIKELIHOOD</b>	Very High (A)				
	High (B)				
	Significant (C)				
	Medium (D)			(3) (4) (5)	
	Low (E)			(1) (2)	
	Very Low (F)				
		Small (4)	Medium (3)	Large (2)	Very Large (1)
<b>IMPACT</b>					

# FINANCE DIRECTORATE RISK REGISTER

## SUMMARY OF RISKS - 2020/21 QUARTER 4

Risk No.	Summary Risk Description	DoT	Rating
(1)	Security of investments, particularly bank deposits		E1
(2)	Outstanding Municipal Mutual Insurance claims		E2
(3)	Impact of Business Rates Retention		D1
(4)	Pension Fund		D2
(5)	Maintained schools funding		D1
(6)	Impact of Council Tax Reduction Scheme (CTRS)		D1
(7)	Changes to Procurement Regulation in response to Covid-19	<i>Retired</i>	C3
(8)	Council Tax Collection Rates	<i>Retired</i>	D2
(9)	National Non-Domestic Collection Rates (NNDR)		D2

*DoT = Direction of Travel (Risk Movement over the last 3 months)*

## RISK MATRIX SCORING OF GROUP RISKS - 2020/21 QUARTER 4

<b>LIKELIHOOD</b>	<b>Very High (A)</b>				
	<b>High (B)</b>				
	<b>Significant (C)</b>		(7)		
	<b>Medium (D)</b>			(4) (8) (9)	(3) (5) (6)
	<b>Low (E)</b>			(2)	(1)
	<b>Very Low (F)</b>				
		<b>Small (4)</b>	<b>Medium (3)</b>	<b>Large (2)</b>	<b>Very Large (1)</b>
<b>IMPACT</b>					

# CHILDREN'S SOCIAL CARE DIRECTORATE RISK REGISTER

## SUMMARY OF RISKS - 2020/21 QUARTER 4

Risk No.	Summary Risk Description	DoT	Rating
(1)	Increase in demand	↔	D3
(2)	Inspection of Youth Offending / Justice	↔	B3
(3)	Serious youth violence and violent knife crime	↔	D2
(4)	Further Ofsted Inspection of Children's Services (ILACS)	↔	D4
(5)	Emergency Duty Team	↔	C2
(6)	High Needs SEN placements	↔	C2
(7)	Timeliness of Education Health and Care Needs Assessments	↔	C3

*DoT = Direction of Travel (Risk Movement over the last 3 months)*

## RISK MATRIX SCORING OF GROUP RISKS - 2020/21 QUARTER 4

<b>LIKELIHOOD</b>	<b>Very High (A)</b>				
	<b>High (B)</b>		(2)		
	<b>Significant (C)</b>		(7)	(5) (6)	
	<b>Medium (D)</b>	(4)	(1)	(3)	
	<b>Low (E)</b>				
	<b>Very Low (F)</b>				
		<b>Small (4)</b>	<b>Medium (3)</b>	<b>Large (2)</b>	<b>Very Large (1)</b>
		<b>IMPACT</b>			

# ADULT SOCIAL CARE DIRECTORATE RISK REGISTER

## SUMMARY OF RISKS - 2020/21 QUARTER 4

Risk No.	Summary Risk Description	DoT	Rating
(1)	Adult Care Providers (Quality of Care)	↔	E3
(2)	Home to School Transport	↔	E3
(3)	Community Deprivation of Liberty (DoL)	↔	E3
(4)	Demand on Adult Social Care Budgets	↔	D2
(5)	Anchor out of hours call centre	↔	D3
(6)	Mental Health	↔	E3

**DoT** = Direction of Travel (Risk Movement over the last 3 months)

## RISK MATRIX SCORING OF GROUP RISKS - 2020/21 QUARTER 4

<b>LIKELIHOOD</b>	Very High (A)				
	High (B)				
	Significant (C)				
	Medium (D)		(5)	(4)	
	Low (E)		(1) (2) (3) (6)		
	Very Low (F)				
		Small (4)	Medium (3)	Large (2)	Very Large (1)
		<b>IMPACT</b>			