


# DETAILED CORPORATE RISK REGISTER

Item 3

Corporate Risk Register for:	2021/22 - Quarters 2 and 3 (1 <sup>st</sup> July to 31 <sup>st</sup> Dec)	Previous Review:	17 <sup>th</sup> January 2022
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Risk No.	Risk Description (including Cause & Consequence)			Risk Mitigation	
				Actions Taken to Date	Further Action Required
1	<b><u>Risk:</u></b> <b>Heathrow Airport Expansion</b> - The risk of Heathrow Airport (HA) being granted permission to expand.	Officer Lead	Cabinet Lead	1. LBH continues to monitor air quality in the vicinity of Heathrow Airport.  2. Outcome of Judicial Review received 1st May 2019. LBH subsequently applied for Permission to Appeal which was granted permission by the Court of Appeal.  3. Heathrow Airport Limited statutory consultation for a Development Consent Order closed in September 2019.  4. Current activity undertaken in relation to any ongoing or potential legal challenges will not be included in this risk entry.	1. Any further action required in relation to any ongoing or potential legal challenges will not be included in this risk entry.
	<b><u>Cause:</u></b>  The Government has now indicated their preference for aviation expansion in the south east to be delivered by a Northwest Runway at Heathrow. This preference has been taken forward via the publication of a National Policy Statement (NPS).  The NPS has now been adopted and puts in place the principle to expand Heathrow.	Dan Kennedy	Cllr. I. Edwards (Leader)		
	Risk Rating	Direction of Travel			
	E1	Static 			
	Risk Appetite Statement				
	1. Deterioration of environmental quality around Heathrow Airport (HA).  2. Negative impact on the quality of life for Hillingdon residents, including the demolition of a substantial number of housing and community facilities.  3. Potential negative impact on the value of Hillingdon residents' homes.  4. Potential impact on businesses in the surrounding area.	The Council vehemently opposes the Heathrow Airport expansion and is committed to supporting the needs of our residents and the protection of our borough. Any initiatives to expand Heathrow will be challenged.			

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				Actions Taken to Date	Further Action Required
2	<p><b>Risk:</b> <b>Meeting Housing Needs</b> - The risk of not meeting housing needs in LBH.</p> <p><b>Cause:</b> This risk arises from the challenging, buoyant housing market and a decreased supply of affordable housing (temporary/permanent) in the borough. This is coupled with the Welfare Reforms (including Benefits caps, Universal Credit and Homelessness Prevention) along with the need to ensure private sector housing meet requirements which has increased the demand for affordable housing in the borough. In addition, the measures during the Covid-19 pandemic including the requirement to accommodate and support all rough sleepers.</p> <p><b>Consequence:</b> 1. Inadequate housing can lead to a detrimental impact on the health, wellbeing, and educational attainment of residents. It can also increase poverty and have a negative impact on the safety of households. 2. Lack of affordable housing puts significant pressure on the Council's finances. 3. There is a potential reputational risk for the Council in relation to the homelessness of residents and/or of the Council failing to meet its statutory responsibilities in this area.</p>	Officer Lead	Cabinet Lead	<p>1. Delivery of affordable housing using LBH resources continues to be considered.</p> <p>2. The Council is implementing a programme of buying back former 'Right to Buy' (RTB) properties and new developments.</p> <p>3. Housing Association stock is used where possible to generate housing options.</p> <p>4. Management scrutiny for prevention cases, providing social a tenancy for those in high needs places.</p> <p>5. Series of successful bids for grant funding to tackle rough sleeping has been achieved.</p> <p>6. Obtained provision of food, clothing and toiletries for rough sleepers temporarily accommodated.</p> <p>7. Demand, including pandemic related issues are regularly reviewed to ensure quick action is taken to prevent needs escalating.</p> <p>8. Staff are working on a rota basis to ensure resilience of service delivery.</p> <p>9. In response to Covid-19 all rough sleepers in the Borough have been accommodated.</p> <p>10. Undertaking a programme of compliance checks to ensure properties meet required standards.</p> <p>11. Working with Procurement to implement a dynamic purchasing framework for Temporary Accommodation properties which requires landlords to comply with required standards. Cabinet approved (Oct'2021).</p> <p>12. Households in temporary accommodation prioritised for move on have been reviewed.</p> <p>13. As part of the Council's transformation programme we are implementing, additional measures to help reduce demand on services. This includes providing more intensive advice and signposting at an earlier stage.</p>	<p>1. Ongoing development of a range of options for procurement of temporary accommodation and private sector lettings to prevent or discharge homelessness.</p> <p>2. To minimise the loss of properties for use to prevent homelessness, landlords are being contacted to secure their property for use under new temporary accommodation schemes or for conversion to an assured short hold tenancy.</p> <p>3. Continue to proactively identify homelessness cases to identify alternative housing options for households.</p> <p>4. Options to move on rough sleepers to settled accommodation are being progressed.</p>
		Dan Kennedy	Cllr. E. Lavery		
		Risk Rating	Direction of Travel		
		B2	Static		
		Risk Appetite Statement			
The Council is committed to being fully compliant with Housing regulations and local Policies. The Council has a zero tolerance risk appetite towards deliberate or accidental violations of regulatory requirements.					


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3	<p><b>Risk:</b></p> <p><b>Asylum / Unaccompanied Minors / Trafficked Children &amp; Young People</b></p> <p>Meeting the increasing demands in the borough of Asylum / Trafficked Children &amp; Young People on Council services due to financial pressures coupled with changes to primary legislation which places a duty on the Local Authority to support Care leavers until the age of 25.</p> <p><b>Cause:</b></p> <p>The risk arises because as a port authority we are responsible for UASC arriving in the country via Heathrow. This is coupled with the impact of the National Dispersal Scheme that was for a long time not mandatory for the Local Authorities and Government action to accommodate asylum seekers arriving on the South Coast in Hillingdon Hotels due to the lack of housing and provisions created by the Covid-19 pandemic.</p> <p><b>Consequence:</b></p> <p>1. Negative financial impact on the Council's budget due to shortfall in grant funding received.</p> <p>2. Increased challenge with regard to capacity to meet needs of this cohort.</p> <p>3. Increased risk of reputational damage when trying to balance the need to provide statutory services vs. Delivery within a finite budget.</p>	Officer Lead	Cabinet Lead	<p>1. Ongoing monitoring of trends which have been modelled over the MTFF cycle.</p> <p>2. All new unaccompanied asylum-seeking children (UASC) cases are referred timely to the National Dispersal Scheme.</p> <p>3. From 2020, the Home Office dispersed new asylum seekers who they assessed as adults into hotels in the Hillingdon borough. There are currently 1800 people placed across 6 local hotels.</p> <p>4. The Council lost 3 Judicial Reviews (aiming at supporting the young people in hotels until an age assessment was completed).</p> <p>5. Budget monitoring has oversight of additional placements and looks at the application of appropriate grant funding.</p> <p>6. Commissioned additional age assessment resources through Sanctuary , funded by the Covid Grant which has been extended to 31st March 2022.</p> <p>7. Revised NTS went live in July 2021 and became mandatory in December 2021</p> <p>8. Acknowledgement received for additional financial support due to increased cohort placed in hotels at Heathrow and ongoing engagement with the Home Office.</p> <p>9. Escalation to Home Office re impact on services across Hillingdon with a request to prevent any further placements in Hillingdon hotels</p> <p>10. Escalation and support request to NTS and Pan London Rota seeking assistance in ensuring timely transfer.</p>	<p><b>The Cause has been updated to reflect that the from December 2021, the National Dispersal Scheme is mandatory.</b></p> <p>1. Ongoing work with UK Border Agency (UKBA) on issues of safeguarding S20 legislation re Periodical Payment Orders, out of hours social work and contributing to induction programmes for UKBA staff.</p> <p>2. Ongoing lobbying by DCSs, CEOs for additional funding and resource to support the necessity to undertake age assessments.</p> <p>3. Business case (to be submitted in Jan 2022) to create a temporary Asylum team to manage demand and seek exceptional funding from Home Office to cover costs.</p> <p>4. Discussions to be held with the Home Office regarding additional payment and support to conduct age assessments for increased cohort, particularly highlighting the additional 71 UASC who presented in December 2021.</p> <p>5. The National Age Assessment Team to deploy 2 Age Assessors to support Hillingdon with age assessments (Feb 2022).</p> <p>6. Establishment of an exceptional Hillingdon Access to Resources Panel (HARP) panel to review UASC weekly (Jan 2022).</p> <p>7. Allocation of a dedicated legal resource</p> <p>8. Collation and submission of information for Exceptional Funding UASC and Leaving Care 2021/22 Bid (by March 2022).</p> <p>9. Discussion with Home Office regarding the way in which the NTS referrals are submitted and received to ensure all LBH's new arrivals are referred to NTS promptly.</p>
		Tony Zaman	Cllr. J. Palmer		
		Risk Rating	Direction of Travel		
		B3	Static		
		Risk Appetite Statement			
The Council is committed to helping vulnerable young people, within the confines of our statutory duties and budget responsibilities.					


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4	<p><b><u>Risk:</u></b></p> <p><b><i>Litigation Claims</i></b> - The risk of litigation claims against the Council that are handled by Insurers.</p> <p><b><u>Cause:</u></b></p> <p>This risk arises from the high number and large value of a broad type of insurance claims.</p> <p><b><u>Consequence:</u></b></p> <p>1. Potentially there are significant financial implications, including costs of defending claims and of meeting any awards made against the Council.</p> <p>2. Potential reputational damage arising from negative media/press reports.</p> <p>3. Potential negative impact on Council service delivery.</p>	Officer Lead	Cabinet Lead	<p>1. Strong relationships and agreements are in place with Solicitors to ensure they advise us of sensitive and relevant issues. Where the Council is unable to defend claims the Solicitors will seek to settle claims without an admission of liability.</p> <p>2. Upon receipt of high profile/ high value claims Corporate Directors/ senior managers are notified to immediately. Incidents which have potential to become claims are being raised with the Insurance Team by managers.</p> <p>3. Equal Pay Employment Tribunal claims are monitored by the Head of HR.</p> <p>4. The Earmarked General Insurance Reserve for 2020/21 has an opening balance of £1.1m.</p> <p>5. The Insurance Team are in the process of improving the management info reports from the LACH system and case throughput information from our claims handler.</p> <p>6. Trend analysis has been undertaken and incorporated into the monthly insurance position to strengthen and aid strategic decision making.</p> <p>7. The Insurance Team deals with all complex claims, liaising with relevant services, insurers, and solicitors to provide a robust defence where possible in order to minimise financial loss to the Council.</p> <p>8. The Insurance Team have created Dashboards for Corporate Directors, providing details of current litigation claims. The Insurance Dashboards are circulated on a quarterly basis.</p>	<p>1. Ongoing monitoring by the Insurance Team of the number of claims and their value, to identify and assess any emerging patterns to help prompt appropriate action i.e. preventative action, raise awareness across the Council, etc. The likelihood of historical abuse claims continues to increase slightly in light of the continued publicity of such claims. Continued monitoring of this position by the Insurance team is required.</p> <p>2. The Insurance Team will continue to try and raise awareness with service managers of the importance of adhering to the Council's relevant insurance policies, particularly in relation to Health &amp; Safety.</p> <p>3. Continued development and refinement of the management info reports. This will help inform operational and strategic decision making in relation to the Council's insurance coverage and appetite to risk in this area. This is a significant piece of work which is continuing to be progressed in 2021/22.</p> <p>4. The Insurance Team to continue to create Dashboards for Corporate Directors, providing details of current litigation claims.</p>
		Muir Laurie	CLlr. M. Goddard		
		Risk Rating	Direction of Travel		
		B3	Static 		
		Risk Appetite Statement			
		The Council is committed to keeping litigation claims at a minimum, where it is able to. The regular monitoring, trend analysis reports, training and building relationships across Council services help reduce and manage claims more effectively. This helps minimise the burden of litigation to the Council.			

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5	<p><b><u>Risk:</u></b></p> <p><b><i>Ability to Deliver a Balanced Budget in the Medium Term</i></b> - The risk of the Council being unable to deliver a balanced budget in the medium term.</p> <p><b><u>Cause:</u></b></p> <p>This risk arises from the significant reductions in funding from Central Government whilst at the same time increasing the burden on LAs. This is against a backdrop of increasing expectations from Residents of the Council and its services and more recently the impact of Covid-19.</p> <p><b><u>Consequence:</u></b></p> <p>1. Potential that the Council will be unable to meet its statutory obligation to set and operate within a balanced budget.</p> <p>2. Moving forward more increased transformation savings targets will need to be achieved.</p> <p>3. Further drawdowns from the Council's financial balances/reserves may need to be considered as one offs.</p>	Officer Lead	Cabinet Lead	<p>1. Governance arrangements for the Council's Business Transformation Programme have been agreed by the Leader of the Council. Business Transformation projects are now captured in one place to help ensure they are all closely aligned to the MTFF.</p> <p>2. The month 7 monitoring position shows a £419k underspend and balances at the year end forecast at £26,520k. Covid-19 pressures are £18,710k with all of this covered by government Covid-19 grant.</p> <p>3. £8,054k of savings are included in the budget for 2021/22 and there are £2,362k of savings brought forward from 2020/21 which gives an overall total of £10,416k. £9,430k of this sum is already delivered or on track for deliver. The remainder (£986k) are impacted by Covid and being funded by Covid grant.</p> <p>4. The financial risk in relation to the impacts of Covid-19 is tracked monthly and includes reporting to central government an analysis of costs incurred and loss of revenue.</p> <p>5. MTFF Challenge sessions were undertaken in June/July and Sept/Oct and a balanced draft budget for consultation was taken to Cabinet in December 2021.</p>	<p>1. The Councils Business Transformation Programme is being refreshed for the next 2-3 years. This will be key to helping manage the MTFF position over this period.</p> <p>2. Work is ongoing to deliver a balanced budget for future years as part of the MTFF/rolling programme. Additional savings proposals that are achievable and supported are required in the medium term.</p> <p>3. Covid-19 monitoring ongoing to limit financial impact. Preparedness activities to be undertaken in anticipation of any second wave.</p> <p>4. Programme of BID reviews ongoing across all services within the Council.</p>
		Paul Whaymand	Cllr. M. Goddard		
		Risk Rating	Direction of Travel		
		C1	Static 		
		Risk Appetite Statement			
		The Council is committed to delivering a balanced budget. We constantly challenge all areas across the Council to find efficiencies, make savings and put forward ideas on how savings targets can be achieved.			



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6	<b><u>Risk:</u></b>  <b>Financial Resilience of Contracts-</b> The risk of external suppliers and providers, which the Council contracts, failing to deliver the required level of service due to their financial difficulties and/or going out of business.  <b><u>Cause:</u></b>  This risk arises from the delicate state of the economy which leaves many of LBH's external providers having to operate in an increasingly challenging economic climate, with further financial uncertainty created by Covid-19 and Brexit.  <b><u>Consequence:</u></b>  1. Potential inability of suppliers to continue contracted levels of service delivery.  2. Council could fail to deliver in some of its statutory duties either through a reduction of service by an external provider or complete failure to operate.	Officer Lead	Cabinet Lead	1. Supplier risk protocols are in place with financial evaluation embedded within standard tender documents and Member Reports which ensure due consideration is provided to suppliers' financial risk.  2. The MTFF has allocated significant sums through inflation to deal with pressures experienced by social care providers.  3. Procurement service restructure following BID review. Head of Procurement and Commissioning appointed February 2021.  4. The Council believes it has sufficient balances and reserves to cover the impact of any significant contract or supplier failure.  5. Detailed conversations with specific supplier concerning their financial situation take place where required. There are open book arrangements in place which look at justifying cost changes. A formal process has been implemented for addressing fee uplift requests from providers.	1. Procurement, working with Finance colleagues will update Supplier Financial Health Guidance and Procedure notes to ensure appropriate risk-based checks are undertaken on suppliers during the tender phase. This will be extended to include guidance and procedures for the assessment of financial health over the period of the contract.  2. The Council will move from Equifax to D&B for supplier financial health checks. This will include a dynamic database to ensure any changes to supplier health are flagged automatically through the D&B system.  3. More training and guidance is required for Contract Managers across the Council, so they understand the role and responsibilities of contract managers in tracking supplier financial resilience. This will also allow clarity on the roles of Procurement and Finance in monitoring suppliers financial health.
		Paul Whaymand	Cllr. M. Goddard		
		Risk Rating	Direction of Travel		
		C2	Static 		
	Risk Appetite Statement				
This is a significant financial risk which the Council has to manage in order to provide services to our residents. We continue to look at our options in the market and review our operating model, focusing on what we pay and what we have to pay.					

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7	<p><b><u>Risk:</u></b></p> <p><b><i>Early Years and School Places</i></b> – The risk of not meeting the demands for early years and school places.</p> <p><b><u>Cause:</u></b></p> <p>This risk arises from the Council’s statutory responsibility to ensure that every child in the borough has a school place within a reasonable distance from their home.</p> <p><b><u>Consequence:</u></b></p> <p>1. The Council would be in breach of its statutory duty to ensure sufficient school places are secured.</p> <p>2. Potentially significant financial pressures for the Council, mainly capital expenditure.</p>	Officer Lead	Cabinet Lead	<p>1. Overall, the latest school places analysis indicates demand for primary places is reducing with some pockets of pressure related to new residential development. At this stage officers are keeping under review the position on primary school places</p> <p>2. For the secondary sector officers are reviewing the need for additional school places and all options are being considered.</p> <p>3. Briefings to Members delivered.</p> <p>4. Needs assessment in relation to Special Educational Needs and Disability (SEND) school places is being refreshed.</p> <p>5. Plans are being refreshed for the new School Places Plan for the Borough.</p>	<p>1. Officers are undertaking a review of demand for all types of school places, covering special educational needs, primary and secondary phases, and the need for alternative education provision for children not able to attend mainstream school.</p> <p>2. Present options to members for managing the provision of primary school places.</p> <p>3. Utilise information from the SCAP return to inform the school places planning forecast.</p> <p>4. Reviews of alternative provisions and school exclusions are currently underway.</p>
		Dan Kennedy	Cllr. O’Brien		
		Risk Rating	Direction of Travel		
		D2	Static		
		Risk Appetite Statement			
The Council is committed to being fully compliant with statutory Education regulations as well as local policies. The Council has a zero tolerance risk appetite towards any deliberate or accidental violations of regulatory requirements.					

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Risk No.	Risk Description (including Cause & Consequence)		Risk Mitigation		
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8	<p><b><u>Risk:</u></b></p> <p><b><i>The General Data Protection Regulations</i></b> - The risk of loss or mishandling of any personal data (including that of residents or staff) held by the Council.</p> <p><b><u>Cause:</u></b></p> <p>This risk arises from a minority of staff not complying with the Council's Data Protection (DP) Policy due to a lack of awareness or lack of due consideration.</p> <p><b><u>Consequence:</u></b></p> <p>1. Significant financial penalty (up to €20m) imposed by the Information Commissioner's Office for a serious breach in data protection.</p> <p>2. Significant negative impact to the Council's reputation.</p> <p>3. Residents and/or staff who are the subject of any potential data loss/mishandling may as a result be vulnerable to crime.</p>	Officer Lead	Cabinet Lead	<p>1. Information Governance Lawyer has reviewed all current privacy notices and continues to review any new privacy notices data protection matters as part of an ongoing programme of work.</p> <p>2. All new contracts are Article 28 (of the GDPR) complaint. A small number of contracts that required updating were addressed via a new tender, with new contractors awarded.</p> <p>3. Completion of the GDPR and DP e-learning training programme is mandatory for all new staff.</p> <p>4. All officers have completed the combined GDPR and DP e-learning training programme and the DPO has provided training to all members.</p> <p>5. Internal Audit review of GDPR arrangements complete and issued an opinion of 'reasonable' assurance.</p> <p>6. Obtained Data Security and Protection Toolkit compliance, which is evidence-based submission which incorporates the GDPR requirements.</p> <p>7. Legal reviewed and confirmed that there are no key actions to be undertaken with regards to data flow with the EU.</p> <p>8. Mandatory GDPR refresher training rolled out to all staff.</p>	<p>1. The Hillingdon Information Assurance Group (HIAG) programme of work which includes actions aimed at strengthening the Council's DP arrangements. These include:</p> <ul style="list-style-type: none"><li>Updated combined GDPR and DP e-learning training programme completion rates will be monitored and reported to CMT via HIAG.</li><li>Rollout of ICT and Data Protection training as part of the migration to Microsoft.</li><li>Regular DP spot checks have been postponed due to the majority of staff working remotely and the reprioritising of resource in response to the impacts of Covid-19.</li><li>Alternative ways of working during the pandemic; and</li><li>HIAG to review and monitor the work programme for the implementation of GDPR and to provide a summary to CMT on a regular basis.</li></ul> <p>2. Continue to promptly report Data Protection incidents and take appropriate management action.</p> <p>3. Continuation of record of processing activity.</p> <p>4. Finalise implementation of Internal Audit recommendations.</p>
		Fran Beasley	Cllr. I. Edwards (Leader)		
		Risk Rating	Direction of Travel		
		D1	Static		
		Risk Appetite Statement			
LBH is committed to full compliance with all DP regulation as well as the relevant internal policies. Identified DP breaches or incidents of non-compliance will be actioned promptly and proportionately. The Council has a zero tolerance risk appetite towards deliberate or accidental violations of the DPA regulatory requirements.					



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9	<p><b>Risk:</b></p> <p><b>Cyber Security</b> - The risk to the Council's ICT systems due to ransomware, malware, viruses and a continually adapting external cyber-threat environment.</p> <p><b>Cause:</b></p> <p>This risk arises from the continual threat and attacks by cyber criminals, gangs, hackers, etc. along with staff not adhering to good email and data protection practices.</p> <p><b>Consequence:</b></p> <p>1. Potential reputational, operational, and financial damage to the Council if attacks to our network are successful.</p> <p>2. Negative impact on staff and resident service users if an attack is successful and the Council's ICT systems are adversely affected for a significant time-period.</p>	Officer Lead	Cabinet Lead	<p>1. To manage the risk we:</p> <ul style="list-style-type: none"><li>• Ensure ICT health checks are performed on a regular basis and are Public Services Network (PSN) compliant;</li><li>• Carry out testing on our security;</li><li>• Ensure ICT security protection systems and anti-virus measures are in place to protect and to meet new threats; and</li><li>• Monitor all email and internet traffic.</li></ul> <p>2. Cyber policies and procedures updated.</p> <p>3. Team members attend regular Local Information Security for London meetings.</p> <p>4. Email filtering has been moved to Microsoft 365 advanced threat protection.</p> <p>5. Remaining networked data is being moved to Microsoft 365, improving protection, patching, monitoring and rationalise application versions.</p> <p>6. Regular round table cyber incident exercises are carried out by the IT team.</p> <p>7. ICT Security and Cyber Incidents SharePoint sites setup to track incidents, reporting, configuration, and advice.</p> <p>8. Web proxies for restricting web access replacement programme commenced.</p> <p>9. Communications plan is underway with updates to staff directly, Managers Monthly Roundup and briefing to Corporate Finance and Property Select Committee (Sept'2021).</p>	<p><b><i>This risk rating has changed from "D1" to "C1" to reflect the current activity across the sector and horizon scanning.</i></b></p> <p>1. This is the current "general" risk, though risk of such attacks can vary from day to day depending upon the global cyber-attack environment. We remain vigilant.</p> <p>2. Internal Audit Assurance review to be undertaken on ICT Information Security</p> <p>3. Ongoing communications plan is in process with the communications team to include further updates to staff directly via All Staff Email, including in Team Hillingdon.</p> <p>4. The Active security software will continue to be regularly updated.</p>
		Perry Scott	Cllr. D. Mills		
		Risk Rating	Direction of Travel		
		C1	Deteriorating		
		Risk Appetite Statement			
	The Council is committed to protecting all of its ICT assets. Any identified breaches of compliance will be actioned promptly and proportionately. The Council has a zero-tolerance risk appetite towards deliberate or accidental violations of the DPA regulatory requirements.				

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10	<p><b>Risk:</b></p> <p><b>Brexit</b> - Unknown financial and economic pressures impacting the Council and service demand.</p> <p><b>Cause:</b></p> <p>This risk arises from the UK's exit from the European Union on the 31<sup>st</sup> January 2020. Exit terms and economic arrangements have been agreed with consequences for future policy are currently being finalised.</p> <p><b>Consequence:</b></p> <p>1. Impact on foreign nationals' right to remain (and work) in the UK affecting staffing levels.</p> <p>2. Risk of not meeting demands of our vulnerable services users.</p> <p>3. Reputational damage when trying to balance need to provide stat services vs. delivery within a finite budget.</p> <p>4. Possible consequences on business growth could affect our rateable growth going forward.</p> <p>5. Inability of suppliers to continue levels of service delivery.</p>	Officer Lead	Cabinet Lead	<p>1. Ongoing monitoring and trend analysis of demand pressures.</p> <p>2. Formal arrangements with Met Police &amp; community groups to monitor tensions.</p> <p>3. The Brexit Risk Matrix and Action Plan was populated to map out the risks and potential impacts of Brexit on LBH.</p> <p>4. Undertook a range of activities to raise awareness and signpost residents and businesses in line with guidance, utilising the 'Get Ready for Brexit' campaign and programme of social media posts.</p> <p>5. Promotion of the EU Settlement Scheme (EUSS) to residents at community events and via Hillingdon People and Social media.</p> <p>6. Review and analysis of LBH EUSS application statistics.</p> <p>7. Working with the Roads and Transport Policing Command who are leading on any possible traffic implications.</p> <p>8. Recruitment of Environmental Health Officers underway at Heathrow to support processing of commercial consignments.</p> <p>9. Procurement processes, guidance, notices, and information updated in accordance with Government guidance.</p> <p>10. Submitted bid for funding from Department for Environment, Food, and Rural Affairs (DEFRA) for additional resource regarding demand for the processing of animal consignments.</p>	<p><i><b>This risk has been retired as the previously unknown financial and economic pressures impacting the Council and service demand following the UK's exit from the European Union have materialised with mitigating activity embedded in strategic and operational delivery.</b></i></p> <p>1. Remain abreast of developments to ensure a swift and robust response.</p> <p>2. Continuation of tracking developments, with close working between Finance, Partnerships and Planning teams.</p> <p>3. Complete data and information requests from Government as and when required.</p> <p>4. Ongoing consideration of the impacts of Covid-19 on Brexit.</p> <p>5. Ongoing dialogue and monitoring with local charity groups and Citizens Advice Bureau identify community tensions and how the Council can further assist residents.</p> <p>6. Representatives from Legal Services to attend training for local authorities from the Law Centres Network on EU citizen eligibility changes.</p> <p>7. EU Transition talks with DEFRA, committed to funding shortfall in resources for rest of fiscal year, submitted a funding bid to DEFRA £1.3m.</p>	
		Fran Beasley	Cllr. I. Edwards (Leader)			
		Risk Rating	Direction of Travel			
		D3	Retired			
		Risk Appetite Statement				
		The Council is committed to being fully compliant with UK and EU legislation and regulations. This is a significant financial and economical risk which the Council has to manage in order to provide services to our residents. We constantly challenge all areas across the Council to find efficiencies and transformative solutions.				

Risk No.	Risk Description (including Cause & Consequence)			Risk Mitigation	
				Actions Taken to Date	Further Action Required
11	<p><b><u>Risk:</u></b> <b><i>Dedicated Schools Grant (DSG)</i></b> - The pressure on the Dedicated Schools Budget which has a cumulative deficit of £25.4m at the end of 2020/21 and budgeted in-year budget gap of £7.3m gap for 2021/22.</p> <p><b><u>Cause:</u></b> The implementation of the Children &amp; Families Act 2014 has expanded the number eligible for support and in turn the proportion of the DSG required to fund Special Educational Needs and Disabilities (SEND) within the High Needs Block. Alongside this there is an ongoing increase in the SEN population with complex learning needs.</p> <p><b><u>Consequence:</u></b> 1. DfE requirement to produce a Deficit Recovery Plan to balance the DSG within 5 years as deficit balance is in excess of 1% of the overall budget. 2. Risk of having to meet deficit from Council’s general reserves and the resulting impact on wider financial resilience of the Council. 3. Increased risk of reputational damage and challenge when trying to balance the statutory requirement to provide these services within an unsustainable funding envelope. 4. Increased demand in the High Needs Block on other elements of the DSG.</p>	Officer Lead	Cabinet Lead	<p>1. Special Education Needs (SEN) is subject to a BID review. Number of work streams are being implemented which will produce savings over the next five financial years:</p> <ul style="list-style-type: none"><li>• High cost placement review;</li><li>• Education Health and Care Plan (EHCP) funding formula for Further Education;</li><li>• Review of SEND Staffing Structure; and</li><li>• Review of provision in Early Years setting.</li></ul> <p>2. Ongoing lobbying of government e.g. recent work by the Society of London Treasurers and London Councils.</p> <p>3. Schools Forum subgroup formed to coordinate and review what schools can contribute to assist with the Deficit Recovery Plan, while being consulted on any emerging proposals.</p> <p>4. Review and modelling of pupil population undertaken.</p> <p>5. Month 7 position shows an overspend of £5.3m on the budgeted deficit and an accumulated deficit of £38m at the year end.</p> <p>6. A deficit recovery plan was submitted to the DfE in April 2021.</p> <p>7. Formal ‘Safety Valve’ negotiations with DfE are in progress.</p>	<p>1. Continue to lobby government to resolve the underlying funding issue that primarily relates to new burdens arising from the 2014 Act.1. Continue to lobby government to resolve the underlying funding issue that primarily relates to the new burdens emerging from the 2014 Act.</p> <p>2. Work is ongoing to develop savings options alongside the Business Improvement Delivery work that has commenced within the MTFF process.</p> <p>3. Work to scope possibilities of an alternative funding regime and band funding rate for further education college placements with local provider.</p> <p>4. Contribute to the formulation of the High Needs Efficiency Plan with specific emphasis into local provision ensuring effective and efficient use of available capital resources.</p> <p>5. Tracking of Deficit Recovery Plan recommendations and actions.</p> <p>6. Further detail to be provided to DfE as part of the ‘Safety Valve’ negotiations including more detailed project recovery plan and resourcing and the associated governance arrangements.</p>
		Paul Whaymand	Cllr. M. Goddard		
		Risk Rating	Direction of Travel		
		E1	Static		
		Risk Appetite Statement			
This is a significant financial risk which the Council has to manage within the confines of our statutory duties and budget responsibilities. The Council is committed to ensure the Dedicated Schools Budget is balanced whilst ensuring the SEN population have access to services. We continue to scope possibilities of an alternative funding regime and utilising local provision.					

# DETAILED CORPORATE RISK REGISTER

Item 3

Risk No.	Risk Description (including Cause & Consequence)			Risk Mitigation		
				Actions Taken to Date	Further Action Required	
12	<p><b><u>Risk:</u></b></p> <p><b>Coronavirus</b> - The risk to human health for residents and workers in the borough, financial and economic impacts, central government's lockdown, social distancing, and easement measures impacting residents, businesses, and the Council (service delivery and demands).</p> <p><b><u>Cause:</u></b></p> <p>The constantly developing progress of the Coronavirus pandemic in the UK presents LBH with a unique array of issues to address and respond to within tight timeframes.</p> <p><b><u>Consequence:</u></b></p> <p>The constantly developing progress of the Coronavirus pandemic in the UK presents LBH with a unique array of issues to address and respond to within tight timeframes.</p>	Officer Lead	Cabinet Lead	<p>1. Working with central government, UK Health Security Agency and Office for Health Improvement and Disparities (UK HSAOHID), London /sub-regional resilience arrangements.</p> <p>2. Coronavirus Gold Group co-ordinate activity.</p> <p>3. Monitoring and reporting of key impacts, demand, resource and emerging risk areas to government and London Resilience.</p> <p>4. Processed and issued 35 financial grants, Council Tax and Business Rates adjustments.</p> <p>5. Community Champions Initiative established.</p> <p>6. Managed the vaccinations in line with Joint Committee on Vaccination and Immunisation priorities and operated testing facilities in collaboration with the NHS.</p> <p>7. Undertook surge testing in response to the identification of a variant of concern.</p> <p>8. Readiness activities were undertaken in preparation of the lockdown easements in July 2021 to enable LBH to adapt our local response and demand pressures accordingly.</p> <p>9. Facilitated a task force visit for the Cabinet Office in August 2021.</p> <p>10. Reviewed demand pressures and baseline.</p> <p>11. Acceleration of the booster vaccine rollout in December 2021.</p> <p>12. Step up of the Strategic Coordination group (SCG) in response to the Mayor declaring a major incident in London 19<sup>th</sup> December 2021.</p> <p>13. Managed Quarantine Facilities stood down in response to changes to Red list restrictions.</p> <p>14. Contingency plans in place to redeploy staff if the situation requires it.</p>	<p>1. Continued communication to staff through the All-Staff Email and Intranet to provide regular updates.</p> <p>2. Continued work in partnership with UK HSAOHID and Central Government and ongoing participation at Health Protection Board with partner agencies.</p> <p>3. Conference calls with Local Authority CEOs are convened when required and embedded within North West London Integrated Care System discussions. ongoing.</p> <p>4. Ongoing delivery of NHS agreed messages re vaccine delivery, take up and hesitancy.</p> <p>5. Ongoing accelerated vaccine (and booster) rollout in relation to nationally agreed priorities and on monitoring of vaccine take up.</p> <p>6. Continued monitoring of impacts and community tensions, meetings with communities and utilisation of the Community Champions Initiative fund.</p> <p>7. Continue to keep under review the 2 managed quarantine facilities in the Borough.</p> <p>8. Continue to respond to any variants of concern.</p> <p>9. Continued review of demand pressures and baseline.</p>	
		Fran Beasley	Cllr. I. Edwards (Leader)			
		Risk Rating	Direction of Travel			
		A1	Static			
		Risk Appetite Statement				
		The Council is undertaking all possible measures to limit the impact of a Coronavirus outbreak within the borough. In doing so, the Council is ensuring that the required support will be in place for vulnerable residents and businesses (in line with Government guidance).				