

Appendix 1: Chief Executive's Directorate Risks June 2018

Report Type: Risks Report
Generated on: June 2018

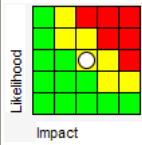


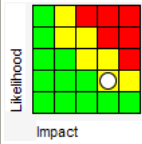
STRATEGY, POLICY AND ECONOMIC DEVELOPMENT

Risk Title	Description of Risk	Directorate/ Division	Current Risk Matrix	Risk - Latest Note	
CE CS 007 Environmental Sustainability - NEW RISK	<p>The Environmental Sustainability Board is being reset and will be charged with strategically overseeing a range of actions to reduce risks to the community and Council associated with environmental sustainability. These actions include formulating a coherent, outward-looking strategy and co-ordinating a programme of complex cross-Council and multi-agency work to mitigate identified risks.</p> <p>The risk is that the Board and the strategy fail to identify and respond fully and effectively to these risks as well as the challenges associated with its strategic objectives, with some potential for exposing the community and Council to excessive risk and for reputational damage, particularly in the context of high levels of concern around these risks. It is likely that it will encounter issues that it struggles to find suitable responses to, with the impact potentially significant. The Council has capability to lead by example, but it needs to work effectively with multiple partners if it is to shape and influence environmental sustainability more widely.</p>	Strategy, Policy and Economic Development (SPED) (with operational links to Neighbourhoods and Housing)		Risk added in June 2018	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE CS 007a Environmental Sustainability	The Board and emerging strategy are informed through a variety of channels – review of academic and scientific base, monitoring of key political drivers and the development of strategic metrics and close	Stephen Haynes (with Ian Williams)	Paul Horobin/Sonia Khan	June 2019	Control added June 2018

	attention to relevant performance metrics. It is resetting its governance structures to deliver a challenging programme of work that will better align work across the organisation.				
--	--	--	--	--	--

Risk Title	Description of Risk	Directorate/ Division	Current Risk Matrix	Risk - Latest Note	
CE CS 008 Growth Boroughs and Unlocking Opportunities ESF Programme NEW RISK	<p>The Growth Boroughs Unit and the convergence agenda, which have been led by the Directorate, have been hibernated as they have less political significance, but may need to be re-activated if political interest levels rise. The ESF programme has been reframed to get it on track and the focus is now on delivery within a structured plan agreed across a multi-Council partnership and with the DWP and EPMU. The Council's Accountable Body function for the ESF programme needs to oversee the successful delivery of the programme by other boroughs whilst satisfying exacting requirements associated with ESF programmes.</p> <p>There is a moderate risk that convergence and Growth Boroughs regain political significance and the ending of hibernation is undertaken swiftly and effectively, before any reputational damage. There is a more immediate risk that the delivery of the ESF programme is non-compliant, due to the need to work effectively with multiple partners in a highly regulated and monitored environment.</p>	Strategy, Policy and Economic Development (SPED)	<p>Likelihood</p> <p>Impact</p>	Risk added in June 2018	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE CS 008a Growth Boroughs and Unlocking Opportunities ESF Programme	The situation regarding the Growth Boroughs and convergence is being closely monitored for signs of rising significance. The resetting of the programme and its governance structures and the significant improvements in programme management with a clear plan and structures for full delivery are showing very positive signs of good and improving performance.	Stephen Haynes	Paul Horobin	June 2019	Control added June 2018

Risk Title	Description of Risk	Directorate/ Division	Current Risk Matrix	Risk - Latest Note	
CE CS 001 Local Economic Development	<p>The Economic and Community Development Board is charged with strategically overseeing a range of actions to enable the economic success of the local community (both residents and local businesses) and ensuring that neither local residents nor local businesses are "left behind".</p> <p>The risk is that the Board fails to identify and respond fully and effectively to the opportunities and challenges associated with its strategic objectives, with some potential for reputational damage. It is moderately likely that it will encounter issues that it struggles to find suitable responses to, although the impact would be moderate, as the Board has only capability to shape and influence economic development, rather than determine it.</p>	Strategy, Policy and Economic Development (SPED) (with operational links to the Regeneration Division in Neighbourhoods and Housing)		Risk added in 2017 and reviewed in June 2018 – builds on previous risk relating to Regeneration Delivery CE RD 1314 001 and delivery of Legacy Benefits CE 2012 001	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE CS 001a Local Economic Development	The Board is informing its work through a variety of channels – review of academic base, monitoring of key local economic data and the development of strategic metrics and close attention to relevant performance metrics. It has identified a challenging programme of work that will better align work across the organisation. Its work is also being informed by the work of the Working in Hackney Scrutiny Commission.	Tim Shields	Paul Horobin	June 2019	Control reviewed June 2018

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
CE CS 002 Business Relationships	<p>The Business Relationships Delivery Group of the ECD Board is charged with ensuring that the Council aligns its work and relates effectively to local businesses to secure their economic success, whilst maximising the benefits (and minimising dis-benefits) to residents and other local businesses.</p> <p>The risk is that relationships with local businesses fail to meet these objectives, that work is not aligned and that businesses develop a negative perception of the Council and this impacts whilst their role as a key local stakeholder expands through business rate retention. It is not very likely that relationships will deteriorate, as services are generally well-managed, but the impact on the organisation will be</p>	SPED		Risk reviewed June 2018	

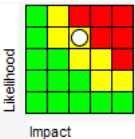
	significant if it is seen as indifferent or hostile to local businesses.				
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE CS 002a Business Relationships	The Delivery Group has identified a programme of work that will improve relationships, both through more accessible and better co-ordinated services and better information and support to new and growing businesses. This work will be delivered on the basis of significant engagement with local businesses to ensure that their needs are being met. The work will involve the delivery of some early improvements.	Stephen Haynes	Paul Horobin	June 2019	Control reviewed June 2018

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE CS 003 Employment & Skills - External risks	<p>The Hackney Works service delivers employment advice, support and signposting to residents who are unemployed or underemployed. The wider Employment and Skills service works with businesses to broker a range of opportunities as well as developing new opportunities in house, for example, through the Corporate Apprenticeship Programme.</p> <p>There a number of external risks that could have a significant impact both in terms of increasing the level of need in the borough and compromising the service's ability to deliver. These include:</p> <ul style="list-style-type: none"> Welfare Reform. Continued changes to the benefits system resulting in further reduction to the welfare 'safety net' likely to significantly increase demands for employment & skills services. The impact of Brexit on available funding. Traditionally EU funding – particularly ESF – has been a key funding source of revenue for employment & skills. This will no longer be available post Brexit. This reduction in resource needs to be seen alongside the ongoing lack of government funding for local authority led employment and skills programmes since 2010. Skill levels: Local/regional employers are increasingly demanding around skills levels of employees, this is related to pressures on improving productivity and decreased investment in in work training. The increased divergence of skill levels of 	SPED		

	Hackney residents may result in a lack of access to opportunity for certain cohorts. This is compounded by ongoing cuts to FE and ACL budgets.				
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE CS 003a Employment & Skills - External risks	<ul style="list-style-type: none"> A new management structure of Employment & Skills Service has been implemented. This provides strategic oversight and managerial support for the service. A new Welfare Reform employment adviser post has been introduced to ensure we can support clients affected by the introduction of Universal Credit. An overarching funding strategy for service is currently in development. Work is underway to improve the training and developmental offer of the Hackney Works service to address the need for upskilling – this will include better integration with the Hackney Learning Trust Adult Learning offer. 	Stephen Haynes	Andrew Munk		Control reviewed June 2018

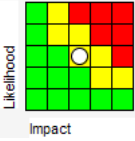
Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
CE CS 004 Employment & Skills - Safety and security	<p>Hackney Works is a key front-line service for vulnerable residents. Service delivery is from 3 'Opportunity Hubs'; through outreach in locations including voluntary sector organisations, youth hubs, job centres, housing estates; and in schools/colleges.</p> <p>This places staff and other service users at risk which requires effective management – particularly in context of increasing pressures on personal finances (in the context of welfare reform) as well as wider UK security issues.</p>	SPED			
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE CS 004a Employment &	<ul style="list-style-type: none"> A risk assessment will be carried out at each hub on an annual basis 	Stephen Haynes	Andrew Munk		Control reviewed June 2017

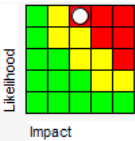

Skills - Safety and security	<ul style="list-style-type: none"> • A risk management plan has been put in place for each hub. • A training plan has been put in place for all staff delivering front-line service, to include dealing with emergency situations, abusive customers and safeguarding issues. • A Business Continuity Plan has been put in place for whole Employment & Skills service. 				
------------------------------	--	--	--	--	--

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
CE CS 005 Strategic Organisational Development	<p>HMT have followed the "people-based" Change for Everyone programme of work to improve the culture and staff organisational processes, with a wider agenda of work to maximise organisational effectiveness in key areas, such as digital, performance, training and development, internal communications, equalities, etc.</p> <p>This is a complex programme, where the links between deliverables and benefits are not always proven and where the impact needs to be far-reaching and sustained. The programme is challenging and recognises that significant improvement is needed in some of the areas and that staff will notice failure or under-achievement.</p>	Chief Executive's			

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE CS 005a Strategic Organisational Development	The programme of work has been developed from a high level of stakeholder engagement, with a robust approach to diagnostics. Potential solutions are based on input from relevant professionals and engaged managers from across the organisation. The work is carefully monitored by HMT, the Chief Executive and a steering group of senior officers. Programme controls are applied to ensure that is being delivered to time and quality.	Tim Shields	Paul Horobin		Control reviewed June 2018

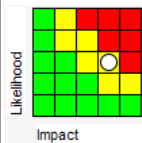
Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
------------	---------------------	-------------	---------------------	--------------------

CE CS 006 National Graduate Development Programme	<p>The National Graduate Development Programme is a scheme to attract talented graduates to the Council, to provide them with development opportunities whilst they deliver pieces of work demanding of high intelligence, and to retain in established roles those who display high levels of ability.</p> <p>The risk is that the programme does not meet its objectives and resource is not well-used, with an additional risk that the reputation of the Council is damaged by a highly inexperienced graduate not fully appreciating the parameters of an assigned task and making a significant mistake.</p>	SPED			
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE CS 006a National Graduate Development Programme	The programme is continuously reviewed and improvements made, with input from all key stakeholders – in recruitment, in induction, in probation, in placement organisation and in the managing of the final stages to ensure that objectives are met. New graduates are given a thorough induction and probation, and are initially managed within the Corporate Programmes Team until they are sufficiently experienced and knowledgeable to operate elsewhere within the Council.	Stephen Haynes	Paul Horobin		Control reviewed June 2018

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE PS 0910 0004 A range of key external factors that have the potential to undermine our ability to deliver against the priorities of our Sustainable Community Strategy.	<p>Due to the complexity of the wider environment, there are external factors which 'blow off course' the delivery of the Sustainable Communities Strategy and key recommendations identified through SCS Review. This includes;</p> <p>Population growth and change, economic growth and change and housing affordability could undermine community cohesion and increase community tension.</p> <p>Continued and substantial funding reductions.</p>	SPED		<p style="text-align: center;"></p> <p>Updated June 2018–Risk remaining the same but high due to external context and our reduced control and capacity (the later associated with continuing reductions in settlement) on key external factors including housing affordability, education and development.</p>

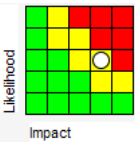

	Major National Policy agendas including Welfare Reform. Uncertainty caused by Brexit and Fairer Funding Review. Local response to recent terrorism in the UK taking time and focus.				
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CEPS 0809 0004 Analysis and proactive forward planning to support the management of the increased complexity of the external environment.	Develop a new Community Strategy, informed by the 2015 resident engagement (Hackney a Place for Everyone). This began with a scenario planning exercise to help us shape new priorities based on a consideration of the longer term context. Through this process we have drawn together a refreshed evidence base about population and economic growth and change, a community profile and the likely future direction for public service. A Community Strategy draft has been developed with extensive internal dialogue, and will go to council for approval in 2018. We will also continue to: Monitor impact of policy and funding reform on vulnerable groups and develop a new single equality scheme to ensure focus on equality and cohesion. Deliver cross cutting programmes on employment and child poverty. Clearly articulate what is within local authority control and what we can deliver and what is outside our control and what we need to influence. Maintain a Community Tensions Group which: Provides strategic oversight of cohesion and community tension issues.	Stephen Haynes	Sonia Khan		Updated June 2018 Final Community Strategy is due to go to Cabinet in Council in July 2018
CEPS 1314 0004b Focus of CE support to manage the impact and opportunities associated with reduced resources.	The directorate capacity is now even more closely aligned to supporting HMT to identify and deliver solutions to manage the impact of reduced funding. The CE directorate restructure (which came into effect 1 April 2016) set out a series of clear principles to guide the work of the services within the directorate. These principles align to the context of this identified risk. In addition, the programmes and projects function has moved into the new SPED division. Corporate Programmes work is now directly	Tim Shields	Stephen Haynes	June 2019	Updated June 2018

	<p>aligned to HMT priorities. Work is currently underway to ensure the CP function – in collaboration with the range of services that sit within the SPED division - is able to effectively support the CE and HMT in this area.</p> <p>Furthermore, there is now an established CE directorate management team to corporately manage and monitor impacts and opportunities.</p>				
--	--	--	--	--	--

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE PS 0910 0001 Value of Hackney's Voluntary and Community Sector (VCS) and associated opportunities is not maximised.	Failure to support delivery of the new Community Strategy objectives through an investment into and partnership working with the VCS. Intense period of public sector funding and policy reform and institutional change if not carefully managed could lead to a failure to maintain effective partnerships with the voluntary sector to enable delivery of the Sustainable Community Strategy objectives.	SPED		<p style="text-align: center;">↔</p> <p>Updated June 2018 – Risk is the same level in terms of likelihood and impact. Even though the Grants Review and Compact Refresh have been completed and these were designed to control these risks, the pace of institutional change is such that the risks remain. The VCS may not understand the reasons for institutional change or service redesign and this might affect partnership working.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE PS 0809 0001 Hackney VCS Grants Allocation and partnership working.	<p>A new strategic agreement (Compact) with the voluntary and community sector was agreed by Cabinet in June 2015.</p> <p>A review of voluntary sector grant investment was also completed during 2015 which is intended to ensure that grant investment continues to contribute to strategic priorities by redefining our approach in order to:</p> <ul style="list-style-type: none"> - enable a strong and diverse voluntary sector which can build its resilience and response to the current economic challenges; - reduce dependency on Council funding as a means for organisations to remain sustainable; - increase the emphasis on the VCS to secure funding from external sources; - position the sector to provide more local services on a contractual 	Stephen Haynes	Sonia Khan		<p>Updated June 2018</p> <p>The control description has been amended.</p> <p>Date for adoption of VCS Strategy deferred to allow time to work with new Cabinet Member. On Forward Plan for January 2019, following co-production workshops with Council officers and the sector over summer.</p>

	<p>basis; and - develop social capital.</p> <p>In 2017/18 we are delivering a change and transformation programme with the voluntary sector, which redefines our relationship with voluntary sector. This informed a new voluntary sector strategy adopted by Cabinet in November 2017. It will also inform specialist grant investment in 2018, so that our redefined relationship is reflected in funding arrangements with key umbrella organisations. It will inform open competitive grant priorities from 2019.</p>				<p>Each workshop is based on discussion papers on key issues, so that policy is developed together.</p> <p>Grant review will follow, informed by new VCS Strategy for 2020-2021. However some changes will be made to 2019/20 to test new ways of investing based on risks and issues identified. n</p>
--	---	--	--	--	---

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
<p>CE PS 0910 0002 Key LB Hackney partners' strategies and implementation plans diverge from agreed Sustainable Communities Strategy and/or do not evolve in a way that assures the best use of collective resources.</p>	<p>LB Hackney partners strategies and implementation plans diverge from the agreed approaches leading to a failure to deliver new Community Strategy.</p> <p>This includes a commitment to make the best use of collective resources and integrating services, creating ladders of opportunities for residents and communities in most need and working together on preventative strategies.</p>	<p>SPED</p>		<p style="text-align: center;"></p> <p>Updated May 2018 - Risk is the same level</p>	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<p>CEPS 0809 0002a Ensuring the LSP and associated partnerships continue to focus agreed Sustainable Communities Strategy priorities and mature to assure the best use</p>	<p>A review of formal partnership working was agreed in 2016/17 and was put into place in 2017/18. This places emphasis on formal partnership providing leadership and strategic direction so that all partners are working towards a coherent, shared vision for the local area, as articulated in the Community Strategy.</p>	<p>Stephen Haynes</p>	<p>Sonia Khan</p>		<p>Updated May 2018</p> <ul style="list-style-type: none"> - Control amended - The first new Community Strategy Partnership Meeting took place in February 2018 with another one due in October 2018.

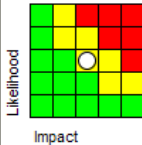

of collective resources.					-
					-

COMMUNICATIONS, CULTURE AND ENGAGEMENT

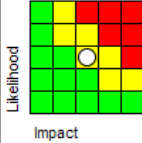

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
CE CC 0910 0001 Reputation Management: uncertainty regarding perceptions of the Council performance/image which do not reflect the relative levels of performance / service improvements and efforts being made to deliver services with reduced funding. (SRCR 0009 on Corporate Register)	Risk that (through press / media) perceptions about the Council's performance/image do not reflect relative levels of performance and the huge service improvements leading to public dissatisfaction or misunderstanding about the progress actually being made. Essentially, this risk is about not capitalising on the opportunity that the Council's positive progress presents us with.	ALL		<div style="text-align: center;"> </div> <p>May 2018 – Risk has decreased slightly due to positive progress made.</p> <p>Although the scale of continuing funding reductions announced in the 15/16 settlement is sizeable, the risk has not increased due to careful mitigation. Impact remains steady, benefitted by an (external) website and (internal) intranet refresh. However, past MORI results and continued positive media coverage, prestigious events and other awards illustrate that this risk is being managed. Earlier in 2016, the Council was awarded the prize by the LGC for 'Best Council of the past 20 years". This clearly indicates positive progress. The latest MORI staff survey closed on November 11th 2016, with results pending.</p> <p>Also, more generally, the Olympics (and now their legacy) are an excellent example of something very major being communicated in a positive and effective way (an example of a risk - for things <i>could</i> have gone wrong - being turned into an opportunity). The Risk applies to all Directorates, but is centrally managed by Communications.</p>	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CECC 0910 0001 Communications strategy, individual	Key ongoing activities include active press engagement, key stakeholders involvement, MORI and active media coverage. Corporate Communications are very proactive in managing this and	Polly Cziok	Polly Cziok	June 2019	May 2018 - ongoing. Controls continue to be applied. Latest MORI

strategies and forward plans	<p>always quick to respond to any issues.</p> <p>Media monitoring is carried out quarterly and this examines coverage of Hackney as a Council and a Borough. Analysis of this informs communication work plans. Collection and use of robust performance and customer intelligence.</p> <p>A two pronged approach is taken to the specific risks associated with reduced funding: firstly communications associated with overarching budget setting and secondly communications associated with major changes to specific services. There is also a 6 weekly forward public affairs forward plan circulated to senior management and members.</p>				survey was completed at end of 2016.
------------------------------	---	--	--	--	--------------------------------------

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
CE CC 0910 0003 New technologies: failure to keep up with developments in communications technology	Communications is not fully up to speed with developments in new technology and residents, service users and stakeholders do not receive the information they need.	COMMUNICATIONS, CULTURE AND ENGAGEMENT		<p style="text-align: center;">↓</p> <p>Updated June 2018 – Risk remains low due to successful developments in this area.</p> <p>There was an intranet and external website refresh in 2017. Electronic newsletters for residents have been introduced.</p> <p>A fresh channel review is in progress.</p>	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CECC 0910 0003 Communications Channel Strategy	Communications and consultation strategy is up to date and fit for the digital age.	Polly Cziok	Polly Cziok		Updated June 2018

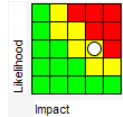

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE CC 0910 0004 Involvement: uncertainty regarding residents feeling involved in Council key projects and view on achieving the goals of the community strategy.	Consultation and community engagement activity not providing relevant information and/or not reaching or getting feedback from a wide and diverse range of people in Hackney. People do not feel listened to and cannot relate their views, priorities and interests to work being delivered to deliver the goals of the community strategy and do not feel that the local growth and change in the borough is benefiting them.	COMMUNICATIONS, CULTURE AND ENGAGEMENT		 Updated June 2018 – Risk is stable This risk is ongoing.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CECC 0910 0004 Consultation and community engagement strategy and individual consultation and engagement plans	<p>Community Strategy is a key driver of the Communications Strategy alongside Council Corporate Plan; all consultation adheres to the standards of the Council’s consultation charter and community engagement plans align with corporate priorities.</p> <p>Communications strategy is informed by a community insight gathering and engagement, which considers the priorities and interests of Hackney’s diverse communities. This includes regular surveys and engagement work by the Council and with partners. The Hackney A Place For Everyone resident’s survey has been a major exercise to engage with local people about the key benefits and opportunities arising from growth and how these can be maximised. This exercise provides the basis for the council’s long term engagement strategy.</p>	Polly Cziok	Polly Cziok		Updated June 2018 Community Insight Group continues to feed into partnership priorities and strategies.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE CC 1415 0005 DCLG wins case to force closure of Hackney Today.	<p>DCLG have forced a legal challenge against the Council to close Hackney Today as they consider it is in breach of statutory directives on promoting political interests and value for money.</p> <p>Hackney has put forward a strong case that the publication provides</p>	COMMUNICATIONS, CULTURE AND ENGAGEMENT		

	the best value solution for statutory notices, meets the information needs of the borough and is apolitical. If DCLG win the case the business model of the Communications Service will require a radical shift with financial and major workforce implications.			Updated June 2018 – This is an ongoing risk. We continue to correspond with the DCLG on this	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE CC 1415 0005a Legal Challenge to DCLG Directive	Closely monitor progress and prepare contingency plan to support closure should this be required.	Polly Cziok			May 2018 - ongoing

HUMAN RESOURCES AND ELECTORAL SERVICES

Risk Title *	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
LR HR 1516 001 HR Systems	HR and payroll systems are critical to the operation of the Council. If these were to fail, the consequences would be severe.	HUMAN RESOURCES AND ELECTORAL SERVICES		 <p>Risk reduces in severity and likelihood as new system now implemented. Incremental improvements being made.</p>

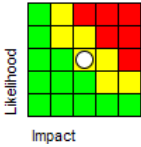

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
LR HR 1819 001 A HR systems	There is ongoing monitoring of system speed, resource issues and support issues by ICT	Rob Miller	Henry Lewis	On-going	May 2018 - control updated
LR HR 1819 001 B HR systems	A project has been set up to manage incremental improvements to the system whilst maintaining core performance	Dan Paul/Rob Miller	Lorraine Robinson / Stuart Thorn	ongoing	May 2018 - control updated

LR HR 1819 001 C HR systems	Consideration of a number of options around the future approach to securing an Applicant Tracking System.	Dan Paul	Stuart Thorn	April 2019	Business case currently in production
-----------------------------------	---	----------	--------------	------------	---------------------------------------

Risk Title *	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
LR HR 1516 002 Equalities	Equalities risks in the pay, grading and terms and conditions structure lead to grievances and/or claims alleging equal pay, equal value and/or discrimination	HR - Chief Executive's		This is of particular relevance as LBH has two sets of employees and policies, managed separately but all still employed by LBH (HLT is the second organisation). This risk is increasing as a result of potential issues in the Housing Fair Pay scheme

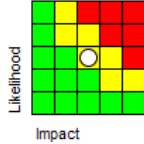

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
LR HR 1819 002 A	Reports to and decisions made by HMT in relation to Housing Fair Pay scheme to be progressed	Kim Wright / Dan Paul	Ajman Ali / Dan Paul	TBC	New control
LR HR 1516 002 C Equalities	The legal landscape and equality in the pay and grading structure continue to be monitored ongoing	Dan Paul	Meryl Wade	Ongoing	This is a continuing activity
LR HR 1718 002 D Equalities	A control and monitoring system has been implemented for market supplements	Dan Paul	Meryl Wade	Ongoing	This is a continuing activity

Risk Title *	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
--------------	---------------------	-------------	---------------------	--------------------

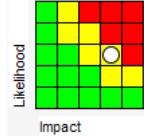

LR HR 1516 003 Breach of Statutory Requirements on Elections / Electoral Registration	Non-compliance with the Statutory Requirements for Elections may lead to invalid processes resulting in legal action and the need to re-hold elections incurring additional costs and reputational damage.	HR - Chief Executive's		 Any breaches or problems will impact severely on the authority and Returning Officer. Risk score remains static.
--	--	------------------------	---	---

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
LR HR 1516 003 A Breach of Statutory Requirements on Elections and Electoral Registration	Electoral Services to monitor and maintain procedures for all Electoral Requirements to ensure compliance with new and existing processes using appropriate advice and guidance. Regular review of systems and infrastructure particularly with future legislative electoral changes in the next 3 years.	Dan Paul	Dan Paul	ongoing	This work is ongoing following a change in management in the service.
LR HR 1516 003 C Breach of Statutory Requirements on Elections / Electoral Registration	Regular review of systems and infrastructure for both electoral registration and elections	Dan Paul	Dan Paul	ongoing	Reviewed May 2018
LR HR 1516 003 E Breach of Statutory Requirements on Elections and Electoral Registration	Additional resources have been put into the team in light of the significant additional burden that IER creates	Dan Paul	Dan Paul	complete	The team successfully delivered 7 elections in 2016, a snap election in 2017 and a local election in 2018. The team structure will continue to be monitored. Additional staff will be brought in at election times.

LEGAL & GOVERNANCE SERVICES

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
LR LS 0809 0016 No Legal Advice Sought or Given	Directorates and services fail to seek timely advice on the right decision-making process and to seek legal advice on contracts or litigation resulting in adverse court rulings and increased costs or compensation.	Legal & Governance Services		 The likelihood has reduced following regular client training, client liaison meetings and quarterly team updates being given to clients (updated June 2018).

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
LR LS 0809 0016 No Legal Advice Sought or Given	<p>Governance training for Legal Services and Directorates. Urgent decision making procedure note prepared and provided to clients and staff; regular advice provided to clients on governance and decision making; close management and monitoring of urgent decision making requests to the Mayor on late reports.</p> <p>Consider and review team training, including reporting and authority limits and accuracy checks on high risk activities and briefings of arrangements to other directorates. Training on procurement procedures to mitigate the risk of service departments following the incorrect procedure. Also ensure effective communication is carried out between teams, and effective templates are distributed by Legal Services.</p>	Suki Binjal	Dawn Carter-McDonald	01-July-2018	Control on-going

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
LR LS 0809 0019 Legal and Governance compliance	Failure of Lawyers and Governance Team to identify in a timely manner Legal and Governance Risks that arise in case management and non-compliance with Governance procedures, this also includes providing legal advice and governance support on matters instructed upon by clients and directorates.	Legal & Governance Services		 This continues to be a risk with caseloads in some areas increasing – June 2018

Control Title	Control Description	Responsible	Service Manager	Due Date	Control - Latest Note
---------------	---------------------	-------------	-----------------	----------	-----------------------

		Officer			
LR LS 0809 0019 Legal and Governance compliance	<p>Ensuring that appropriate authority for the legal action proposed is sought at the outset of instructions</p> <p>Lawyers to review cases at commencement to identify potential risk</p> <p>Matters and areas of concern relating to identified risks are escalated</p> <p>Regular review of the Risk register by all lawyers and senior management.</p> <p>Monitor the submission timetable for reports in advance of due dates</p> <p>Monitor late submission to identify trends and escalate where necessary</p>	Suki Binjal	Dawn Carter-McDonald	01-Jul-2018	Workloads and cases are being monitored closely. The High profile case list is carefully monitored - June 2018