

## London Borough of Hammersmith & Fulham

**Report to:** Audit Committee

**Date:** 22/06/2021

**Subject:** Risk Management

**Report of:** Director of Audit, Risk, Fraud and Insurance

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### Summary

The purpose of this report is to provide members of the Audit Committee with an update on risk management across the Council.

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### Recommendation

For the Committee to note and comment on the report.

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**Wards Affected:** None

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H&F Values	Summary of how this report aligns to the H&F Values
<ul style="list-style-type: none"><li>• Building shared prosperity</li><li>• Creating a compassionate council</li><li>• Doing things with local residents, not to them</li><li>• Being ruthlessly financially efficient</li><li>• Taking pride in H&amp;F</li><li>• Rising to the challenge of the climate and ecological emergency</li></ul>	<p><i>Good risk management helps to: maintain and promote the Council's reputation;</i></p> <p><i>Is an enabling tool to help protect residents and staff including some of the most vulnerable in society;</i></p> <p><i>Place people, businesses and the wider community at the heart of everything we do;</i></p> <p><i>Ensure robust financial and information management and supports internal control, opportunity and innovation;</i></p> <p><i>Protect valuable assets and the built and natural environment.</i></p> <p><i>Enabling an approach to climate-sensitive decision making</i></p>

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### Financial challenge

The current and future climate for local government represents a significant risk to the council with the ongoing challenge of delivering services with significantly reduced funding levels further impacted by the coronavirus pandemic. This has seen the council incur additional expenditure whilst at the same time seeing reductions in the level of resources

available through a combination of lower income levels and inherent pressures that existed prior to Covid-19 which must also be managed.

### **Financial implications**

There are no specific financial implications arising from this report. Services are expected to manage their risks within current budgets. Where additional funds are required to mitigate or manage risks, separate decisions reports will be required for the approval of unbudgeted expenditure.

A standing Corporate risk, Financial Management of in year budget and Medium-Term Planning, identifies the risks to balancing the budget in response to continued government funding and demand pressures faced by the Council and the sector more generally and is assessed as high risk. The in-year position is reported monthly in the Corporate Revenue Monitor to Cabinet. Other corporate risks also identify financial pressures arising from demand and complexity of service provision which need to be managed.

Comments verified by Emily Hill, Director of Finance

### **Legal implications**

There are no particular legal implications arising from this report.

Comments verified by Rhian Davies, Director of Resources

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### **Background Papers Used in Preparing This Report**

Risk Registers, reports to Children and Education Policy and Accountability Committee; Health Inclusion and Social Care Policy and Accountability Committee; Finance, Commercial Revenue and Contracts Policy and Accountability Committee. HMG National Risk Register, London Resilience Partnership London Risk Register, World Economic Forum Global Risk Report 2021, GOV.UK Coronavirus.

### **Background**

1. To achieve the ambitions, outcomes and priorities set out in our Business Plan, it is essential that we continue to understand, manage and communicate the diverse range of risks and challenges that could threaten the organisation and vital services. Risks

originate from a variety of sources, many of which are out of our direct control for example global events such as the coronavirus pandemic, Brexit, economic or market shocks, austerity or from climate change. More localised incidents can impact on residents, individuals, services and infrastructure.

2. It is paramount that all risks are clearly identified, managed and reported through the relevant channel. Risks can never be eliminated entirely but proportionate and targeted action can be taken to reduce risks to an acceptable level. Furthermore, the work of the Council's Policy and Accountability Committees is acknowledged as a source of robust and additional assurance for the management of risk across its services.
3. Effective governance and management of risks are particularly significant as funding for Local Government has diminished authorities' objectives and are becoming increasingly fundamental and relate, for instance, to continuing to meet statutory service obligations. Arrangements must therefore be effective in a riskier, more time-pressured and less well-resourced context.
4. Local authorities are required to maintain a sound system of internal control, including risk management, internal audit, and whistleblowing arrangements. Risk management is the application of Council strategies, governance, policies and processes to identify and manage risks that are unacceptable to the Council. Managing risk processes effectively enables the Council to safeguard against potential threats and take advantage of potential opportunities to improve services whilst continuing to provide better value for money for residents, visitors, local businesses and service users.
5. As part of its Governance the Council's approach to risk management requires Directors, managers and staff, through their departmental Senior Management Teams, to:
  - identify risks;
  - assess the risk;
  - agree and take action to manage the risk; and,
  - monitor, review and escalate risks.
6. The Council have risk management arrangements in place which feed into the risk register accompany the report, Appendix 1. This register houses the most significant cross-cutting risks that could impact on the outcomes that are set out in the Council's Priorities. These risks can be internal or external facing. Internal risks relate to the organisation itself and cover areas such as programmes, workforce, business continuity, safety or technology. External risks are those that can affect the local area, its people, communities, businesses and infrastructure where the Council often has a role, in partnership, to mitigate them. The corporate risk register has been kept under review during the Covid pandemic and will be reported to the Committee at its next meet.
7. This report therefore provides the Committee with an updated post Covid-19 outbreak risk register presenting a suite of risks as reviewed by the Council's Strategic

Leadership Team. A number of these have recently risen as a direct result of Covid-19, including the impact on the council's budget and economic outlook for the area. Many of the risks shown in Appendix 1 will come and go as the environment changes. However there remain a set of 'standing' corporate risks that are always likely to face the Council:

8. **Key controls** in place to assure the Committee on the management of standing corporate risks are as follows:

### **Safeguarding children, protecting people and young children**

9. Policies and procedures, Initial Consultation and Advice Team (ICAT), Contact and Assessment Service. Quality assurance and Performance Management processes, London Child Protection procedures, Local Child Safeguarding Practice reviews, recruitment and resources, training, independent inspections (Ofsted and the Care Quality Commission) and internal assurances including the new sovereign Local Safeguarding Children Partnership introduced on 1 April 2021 in order to ensure the safety and wellbeing of children and young people in the borough.

### **Safeguarding adults**

Policies and Procedures including referrals and reporting, H&F Living Independently contact and referral process, Adult Safeguarding Strategy, Safeguarding Adults reviews; Quality, Safety and Performance Management processes, recruitment and resources, training, independent inspections (Care Quality Commission) and internal assurances, Safeguarding Adults Board, Annual Safeguarding report. The latest Safeguarding Annual Report is published here: <https://www.lbhf.gov.uk/health-and-care/safeguarding-adults-board-annual-report-2019-20>

### **Community Resilience**

10. Promoting community resilience by effective communications with the public, working together with partners on the Safety Advisory Group to ensure events in the local area are delivered safely, local flood risk management strategy and the development of local initiatives to reduce the risk of flooding, working with multi-agency partners on the Borough's Resilience Forum, working with partners to respond to emerging areas of risk on the London risk register, Environmental Health, Regulation, Law Enforcement, Food Safety Team and Public Health Services.

### **Council Resilience**

11. A dedicated Emergency Planning and Resilience Team to co-ordinate the council's response to a major incident and an approach which considers the National Risk Assessment and London Risk Register (Appendices 3 and 4). A wide range of emergency, business continuity and coronavirus outbreak plans which are regularly tested and exercised. Workforce monitoring and resource management, training, personal development and appraisals, the Wellness Centre and Online personal resilience guidance and support.

### **Health and Safety**

12. Policy and Strategy setting out the Council's commitment to Health and Safety including defined roles and responsibilities, Health and Safety Advisers, Mental Health Advisers and First Aiders, subject specific learning, processes and reporting, risk assessments, Health and Safety Board, six month reporting to the Strategic

Leadership Team and Audit Committee, co-operation and consultation with Trade Unions, subject specific working groups, fire and safety compliance and capital programmes, independent inspection regulatory and enforcement services from the Health and Safety Executive and London Fire Brigade.

### **Financial Management (in-year and the medium term)**

13. Defined roles and responsibilities as demonstrated in the Financial Regulations and Constitution of the Council. Where financial management services are delivered, they are accountable to the Director of Finance (the Section 151 Officer). Medium Term Financial Strategy, Budget Planning and Process, In-year budget monitoring of revenue and capital expenditure, Corporate and Capital Monitor reports to Cabinet, Technical Controls, Accounts closing procedure, Internal Audit and External inspections.

### **Information Management and Cyber Security**

14. Roles and responsibilities are clearly set out including a Senior Information Risk Owner, Information Asset Owners, Head of Information and Data Protection Officer and Caldicott Guardians. Policies and processes are in place that reflect legislative requirements in particular the General Data Protection Regulation and Data Protection Act including those for Information Sharing. Preventative Technical measures such as firewalls prevent breaches to the Council's IT Network, passwords and encryption are used to protect information held on council devices and systems. Training on Information Security and Data Protection are mandatory and form part of the employee e-learning system. Other internal and external compliance regimes are undertaken including, Internal Audit reviews and inspections such as the government's Public Services Network (PSN).

### **Climate change adaptation / mitigation**

15. The Council plays a significant role in tackling climate change, leading by example and adapting operational activities to reduce emissions and supporting businesses, households and individuals to do the same for example the e-cargo bike delivery service Parcels not Pollution in partnership with Hammersmith BID installing Electric Vehicle charging points, installing LED Energy Saving Street Lights. Measures such as the No Mow May introduced letting grass grow wild in our parks and verges to help create more spaces for bees, plants and insects to thrive and banning the use of glyphosate weed killers in parks and open spaces. Work of the Independent Residents led Commission for Climate and Ecological Emergency, setting up a dedicated Climate Change unit and overview of the Community Safety and Environment Policy and Accountability Committee.

### **Coronavirus**

16. Regular information and updates are communicated to a wide range of groups, residents, communities, councillors, partner organisations businesses, suppliers and council staff. Maintaining the provision of services, prioritising those that are critical whilst temporarily scaling back some or delivering more through digital routes. Ensuring the Council's track and trace continues to contact individuals who are required to self-isolate with support from Environmental Health, Regulation and Law Enforcement Teams presence and providing advice and support to businesses on the regulations and social distancing and ventilation requirements. Continued liaison and support between the Council and its key partners, in particular those for social care and health and the third sector to provide a multi-agency response. Providing support

to the delivery of a safe Census and London Mayoral election. Further support to the most vulnerable, including signposting them to other support services where appropriate, helplines and food provision referrals. Planning and exercising for Covid variants and supporting the ongoing Public Health response.

17. The guidance and template used by authors of Committee and Strategic Leadership Team reports require them to detail the risk management aspects as part of report considerations. Report authors have the opportunity to review and reflect on risk information and the links to relevant corporate standing risks and how they relate to the Council's values.

### **Risk management 2020/21**

18. Since March 2020, a significant amount of risk management focus has been the ongoing work related to the Coronavirus pandemic. Council services have, and will continue to be, impacted by the pandemic and this places additional focus on risk management arrangements to ensure that new evolving risks are identified and treated. The impact of the Coronavirus on the council's corporate risks saw risks rise sharply and, in some cases, considerably for example risks associated with the economy and public health. To ensure that these are captured the risk register incorporates those together with their mitigations whilst always observing and considering input from key service areas.

### **Risk appetite**

19. The Council remains accountable to the public for its performance and financial management. This means that the Council naturally has a low appetite for risk, however as the Covid-19 outbreak continued through a second successive wave the Council needed to take carefully considered risks and develop new and innovative ways to continue to deliver services, support and ensure the long-term wellbeing of communities is not impaired by decisions made in the short term. This makes good risk management essential.

### **Post Covid-19 Outbreak risk register**

20. This report provides assurance on the council's corporate risk management arrangements, explaining the internal control arrangements in place at a strategic level. It provides one of the sources of assurance the Committee can consider when approving the Annual Governance Statement. It also enables the Committee to fulfil its roles under the Committee's Terms of Reference to review the adequacy of council's Corporate Governance arrangements, including matters such as internal control and risk management.

### **Risk overview and context**

21. The coronavirus (Covid-19) is a threat to life, health, wellbeing and the economy. In the area this has resulted to significant disruption to the lives of residents, businesses and infrastructure and to council services, with the consequences greater for those more vulnerable or disadvantaged. Whilst many aspects of the risk have materialised, there are still numerous uncertainties and at this stage it is hard to predict the full scale, or timing, of impacts of Covid-19.

22. Appendix 1 provides assurance on how each of the risks are managed signposting to where further initiatives or information can be found. It also provides assurance on risks currently marked as 'red' – i.e. of the highest significance.
23. Appendix 2 provides a chronology of key HM Government measures implemented.
24. The roadmap for leaving lockdown, which was published on Monday 22 February, sought to balance health, economic and social factors with the very latest epidemiological data and advice. Four steps for easing restrictions were outlined. Before proceeding to the next step, the government examine the data to assess the impact of previous easements. This assessment is based on four tests which are:
  - The vaccine deployment programme continues successfully.
  - Evidence shows vaccines are sufficiently effective in reducing hospitalisations and deaths in those vaccinated.
  - Infection rates do not risk a surge in hospitalisations which would put unsustainable pressure on the NHS.
  - Assessment of the risks is not fundamentally changed by new Variants of Concern.
25. The four tests were reported as being met so the first step proceeded from 8 March, at which point the top four priority cohorts for vaccinations received a degree of immunity, three weeks after being offered their first dose.
26. Due to the current, relatively uniform spread of the virus across the country, restrictions are being eased step-by-step across the whole of England at the same time.

### **Key Controls in place to manage the risk**

27. The council continues to respond well to an unprecedented global crisis within the resources and information available. Its strengths include working with a broad set of partners, the community and volunteers to mitigate the effects of the outbreak and then to recover. Social distancing, testing, tracing and managing outbreaks and community transmission are essential components in the response to the virus. Effective communications have been central to encourage everybody to take the required steps to help themselves and keep others safe whilst Covid-19 remains in circulation.
28. Key controls also include, but are not limited to;
  - Ongoing work of the Council's Environmental Health, Regulation and Law Enforcement Officers and their support to help local businesses be Covid safe and compliant with changes to regulations when re-opening;
  - Signposting residents to support and advice through the call centre and CAN;
  - Ameliorating the pandemic impact of increasing health inequalities through for example, commissioning a proposed integrated service across substance misuse and alcohol services and an integrated sexual health and substance service for young people; Compassionate Communities Strategic Action Plan

and Impact of COVID-19 on Children and Young Peoples mental health – reports to the Health and Wellbeing Board.

- Interpreting and responding to changes in regulations and guidance issued by HM Government and events at pace as illustrated in Appendix 2 of this report;
- Reinforcing clear communications as a priority across services and to the community to ensure that people understand restrictions introduced by HM Government and the easing of lockdown. Working to make these messages as simple as possible so that people understand the importance of keeping distance from others, wearing a face covering, washing hands, accessing testing, self-isolating and supporting the roll-out of vaccinations in order to reduce the spread of the virus;
- Establishing clear communications with NHS colleagues and Public Health throughout the course of the roll-out of the vaccines;
- Renewal of COVID-19 outbreak delegated powers to the Chief Executive, subject to periodic review;
- Responding to the impacts of Covid-19 and the challenges ahead using data analytics;
- The Council's Strategic Leadership Team have continued to receive regular reports setting out details of the Council's ongoing actions to respond to the pandemic through the second wave response and on the risk of Covid variants;
- Continuity of vitally important commissioned services for example; Specialist domestic abuse refuge accommodation; Violence Amongst Women and Girls Services; Rough Sleeper Services;
- Maintaining communications with the workforce through h&f engage, e-mail, twitter and through cascading messages;
- Reviewing resilience data of the workforce which remains high;
- Ensuring significant programmes proceed having considered Covid related issues e.g. The Civic Campus Programme;
- Maintaining a stable Digital Services platform;
- Continuity of regulatory inspections in Housing;
- To assist digitally disadvantaged students in H&F during the Covid 19 pandemic and the continuation of school food voucher provision;
- To provide mass testing sites, mobile testing units and associated staffing from 21st Dec in line with the move to then tier 3 Covid-19 measures and subsequent lockdown.
- Covid patrols as a response to the outbreak of the COVID-19 Pandemic. The Government implemented a series of instructions relating to how far apart people should be when they are outside their home. These are collectively known as 'Social Distancing'. Since these restrictions were first implemented Hammersmith & Fulham Council has taken a number of measures to support and facilitate compliance, including briefly closing all the parks and bringing in additional patrol services in order that the Council could fulfil its duty to ensure those using the parks and open spaces abided by the 'Social Distancing' guidance;
- The Council's continued ability to quickly assemble officers to deal with a major disruption event alongside partner organisations continues to demonstrate remarkable resilience;



- Co-operation and co-ordination across services on Health, Safety and Wellbeing issues. Maintaining health and safety, mental health and wellbeing standards and adapting to sudden and significant changes;
- Updating Business Continuity and Outbreak Plans, Person and Place risk assessments, Ways of Working guidance and on-line support to the workforce for example Well-being Wednesday sessions.

29. The current and future financial climate for local government represents a significant risk to the Council's priorities and ambitions. The impact of Covid-19 on the economy will be felt by businesses and residents resulting in an increase in demand of services and significant reductions in income realised by the Council. Whilst every possible effort is being made to protect front line services the position remains challenging and may not be sustainable.

### **Further actions**

30. Detailed information on the actions of the Council's Services continues to be provided to the council's Policy and Accountability Committees.

### **Conclusions**

31. Local authorities will continue to face significant pressures over the coming months responding to Covid-19 outbreaks combined with financial pressures and the other concurrent demand led pressures. Council Officers and services continue to respond with all partners to changing circumstances at pace, interpreting and implementing new guidance and regulations as they arise.

### **List of Appendices:**

#### **Appendix 1 - List of risks.**

- Corporate and ongoing Covid response;
- Restart;
- Recovery
- Opportunity;
- Corporate Continuity;
- Community;
- Corporate Health and Safety.
- Digital Services
- Partnering.

#### **Appendix 2 - List of national policy developments.**

**Appendix 3** - Her Majesty's Government National Risk Register published by the Cabinet Office. **An accessible format** of the register can be requested by accessing the GOV.UK site. Please email [publiccorrespondence@cabinetoffice.gov.uk](mailto:publiccorrespondence@cabinetoffice.gov.uk).

**Appendix 4** - London Risk Register produced for the Mayor of London by the London Resilience Partnership. **An accessible format** of the register can be requested by accessing the Mayor of London website using the Contact us form | London City Hall.

**Key**

16-25 Red	High risk, immediate management action is required.
11-15 Amber	Medium risk, review controls for appropriateness and effectiveness
1-10 Green	Low risk, monitor and if escalates quickly check controls
Blue	Opportunity risk

**Help**

Risk Description	Risk described in a language that articulates clearly what could go wrong or what opportunity could be achieved.
Residual Exposure	Extent of the risk once the controls are currently in place. This is known as the residual risk and is calculated by multiplying impact of risk and likelihood of occurrence.
Existing Controls	Not all risks can be managed, but those that can are managed using a variety of controls. The art of risk management is to apply controls that are effective and efficient in reducing the exposure.
Risk Owner	This is the person or team best positioned to manage the identified risk
Likelihood and Impact	Based on a 1 to 5 scale with 1 Very Low and 5 Very High, the Score then is automatically calculated by multiplying them together.

Ref No.	Risk Description 'There is a risk of..'	Controls from 01 January 2021	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
13	management of further widespread infection across the community.	01 January 2021 LBHF rapid test sites set up at The Sands End Arts and Community Centre, Fulham, Council Offices at 145 King Street, Hammersmith and Shepherd's Bush Library, Wood Lane Shepherd's Bush. New communications include the Stop Covid and get tested mobile van to promote the rapid tests. '04 January 2021 HM Government announce a further national lockdown, closure of schools and a stay at home instruction to save lives and protect the NHS. Infection rates have risen sharply putting pressure on hospitals as admission rates increased. 05 January 2021 Mayor of London declares a Major Incident in Greater London adding that the hospitals in the Capital are stretched. LBHF previously ramped up resources to Test and Trace contact staff with a redeployment of some Libraries staff. This was done swiftly and with rapid set up from Digital Services. There has been positive messaging on Social Media platforms on the experience of the LBHF local testing centres and their efficiency. 11 January 2021 Excel Centre opens as a mass vaccination centre. 19 January 2021 LBHF facilitate the opening of a rapid test facility at Holy Innocents Church in Brackenbury Village. 19 January 2021 LBHF facilitate the opening of a new walk-in Covid-19 testing centre at Our Lady of Fatima Church in White City. 24 February 2021 Review of Covid patrols provision at Contracts Assurance Board to maintain HM Government Social Distancing guidance. 18 March 2021 Review of Outbreak Planning and Business Continuity Planning documents. 25 March 2021 Review of the overarching Outbreak Plan at Covid-19 Board. 29 March 2021 The track and trace team in H&F outperforms the national scheme both in terms of speed of response and contacts traced. So, from this week h&f became one of three London Councils to have brought the track and trace operation entirely in-house. This local approach means h&f can also provide welfare support and local help and advice for those who need it. February - May 2021 Planning, exercising and briefing in response to a Covid Variant of Concern and Surge Testing. Management and mitigation of Census 21 and Mayoral Elections. Environmental Health, Regulation and Law Enforcement support, site visits and compliance checking. 14 May 2021 Resilience Group update on Track and Trace in the borough; Outbreak Control (closure of the Holy Innocents Church facility), Vaccination and Enforcement updates. 17 May 2021 HM Government Step 3 easing of Lockdown restrictions according to the Roadmap.	Gold group; Strategic Leadership Team Director of Public Health Director of Covid-19	<b>Medium residual risk AMBER</b>	Keep risk under review Residual risk likelihood lowered following 17 May 2021 HM Government easing of the lockdown restrictions, and reduced infection rate.	18/05/2021	Open

Ref No.	Risk Description 'There is a risk of..'	Controls from 01 January 2021	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
18	impact on the local economy and businesses	<p>05 January 2021 HM Treasury announce £4.6 Billion in new lockdown grants to support businesses and protect jobs. Businesses in the retail, hospitality and leisure sectors are to receive a one-off grant worth up to £9k. 08 January 2021 Refreshed Social Media message for local business food delivery services in the h&amp;f Food Guide. 18 January 2021 Business grants update on Social Media platforms providing the latest information on Grants that business can apply for now, upcoming grants and payments.</p> <p>21 January 2021 Rapid test sites in W12, W6 and SW6 22 February 2021 HM Government announce a roadmap outlining 4 steps for the easing of restrictions and re-opening of businesses including hospitality and other non-essential places. 10 March 2021 HM Government ban on commercial evictions until 30 June 2021. 28 March 2021 Easing of restrictions weekly report from the Leader of the Council. Re-opening of the great outdoors in h&amp;f. Outdoor sports and leisure facilities re-opening, outdoor spaces, parks, White City mini-forest, river walks and green spaces. Covid business grants applications deadline for local support reminder issued in advance of the 31 March 2021 HM Government deadline.</p> <p>Applications re-open for h&amp;f Our Space is Your Space scheme.</p> <p>Details of the free Covid testing facilities in the local h&amp;f testing centres and signposting to the rapid lateral flow test for employees workplace HM Government site in advance of the 12 April 2021 deadline for applications.</p> <p>Additional Restrictions Grant applications, processing and awards for micro and small businesses trading in the borough. The grant is aimed at helping businesses to pay for fixed costs during the national lockdown from November 2020 to April 2021. Self-employed people who received Self-Employment Income Support payments were eligible for this grant phase. Closed on 14 May 2021 for applications. Assessments will be completed by 18 June 2021.</p> <p>Application support was provided through the Council's H&amp;F Business Desk.</p> <p>17 May 2021 Easing of HM Government Lockdown restrictions Step 3 - indoor hospitality can reopen and indoor entertainment can resume, including cinemas, museums and children's play areas, all remaining outdoor entertainment can reopen including conferences, theatre, concert performances and sports events. Restrictions on the number of attendees is set out in the detail of the roadmap.</p>	Strategic Director for the Economy, Director of Finance	<b>Medium residual risk AMBER</b>	Keep risk under review Likelihood reduced due to the easing of lockdown restrictions however a risk may manifest into a rent debt crisis at national level.	18/05/2021	Open
25	impact on security of council tenants, private renters and homeowners.	<p>08 January 2021 HM Government funding to help accommodate all those currently sleeping rough and ensure that they are swiftly registered with a GP where they are not already. Measures are to aid in contacting individuals to receive vaccinations in line with priority groups outlined by the Joint Committee on Vaccination and Immunisation (JCVI)</p> <p>Renters will continue to be supported with an extension to the ban on bailiff evictions for at least six weeks until at least 21 February 2021 with measures kept under review by MHCLG. Courts will continue to prioritise cases, such as those involving anti-social behaviour, illegal occupation and perpetrators of domestic violence. Landlords continue to be required to give 6-month notice period to tenants until at least 31 March 2021 expect in the most serious circumstances.</p> <p>10 March 2021 HM Government evictions ban in England extended until May.</p>	Assistant Director of Residents Services, Strategic Director for the Economy	<b>Medium residual risk AMBER</b>	Keep risk under review Risk may manifest into a rent debt crisis at national level.	27/05/2021	Open

Ref No.	Risk Description 'There is a risk of..'	Controls from 01 January 2021	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
30	maintaining regulatory gas inspections during a period where residents are self-isolating or not responding to appointments	20/01/2021 January 2021 SLT briefing on position - Housing Compliance Briefing note to the Cabinet Member for Housing. 17/02/2021 February 2021 SLT briefing on position - Housing Compliance Briefing note to the Cabinet Member for Housing. 15/04/2021 April 2021 SLT briefing on position - Housing Compliance Briefing note to the Cabinet Member for Housing.	Interim Strategic Director for the Economy Department	<b>Low residual risk GREEN</b>	Keep risk under review	18/05/2021	Open
32	risk to the Council that there is a supplier failure in an existing contract or to one recently awarded due to financing/cash flow or other liquidity pressures	27 January 2021 Ongoing monitoring and review at Contracts Assurance Board 29 March 2021 Review being undertaken with Internal Audit and Social Care Finance and Commissioners on provider consolidation risk in Social Care.	Head of Procurement and Contracts	<b>Medium residual risk AMBER</b>	Keep risk under review Risk may manifest into a consolidation and dominance provider risk.	29/03/2021	Open
37	prevention of social unrest and crime and disorder.	09 January 2021 Social Media messaging urging residents and visitors to use parks and open spaces safely, keeping a safe distance and limiting exercise to once a day and avoiding extremely busy areas such as Riverside Walk in Hammersmith. Message being communicated with others such as the Wendell Park Gardening friends 10 January 2021 Messaging repeated. 24 February 2021 Contract Assurance Board review and approval of Covid Patrol Resource provision. 17 March 2021 Contract review and extension of Covid Patrol Resource provision at Contracts Assurance Board; 22 March 2021 New law enforcement team training plan review at Technical Assurance Group and subsequently Covid Board.	Assistant Director Safer Neighbourhoods	<b>Medium residual risk AMBER</b>	Keep risk under review	29/03/2021	Open
44	COVID financing during the ongoing crisis and then recovery	27 January 2021 Ongoing monitoring and review within Corporate Revenue and Capital Monitor reports. 31 March 2021 Finance, Commercial Revenue and Contracts Policy and Accountability Committee review of 2022 Budget Context report contextualised with an update on national finances and the financial impact of ongoing HM Government austerity.	Director of Finance	<b>High residual risk RED</b>	Keep risk under review	29/03/2021	Open
48	maintaining (non-financial) support for families and the community during the crisis	08 January 2021 LBHF work with London charity Ready Tech Go to connect unwanted devices to pupils that need kit to help access school lessons. 16 January 2021 Joint promotion of the H&F Winter Covid Fund grants with United in Hammersmith and Fulham to support vulnerable people with their mental health and tackling loneliness and isolation. 20 January 2021 the LBHF Track and Trace Service continue to respond to calls and e-mail requests where Officers provide information on accessing foodbanks, Volunteer offers, testing centres, isolation payments, Covid compliance concerns and local track and trace information managed through the Environmental Health Team. 29 March 2021 The track and trace team in H&F outperforms the national scheme both in terms of speed of response and contacts traced. So, from this week h&f became one of three London Councils to have brought the track and trace operation entirely in-house. This local approach means h&f can also provide welfare support and local help and advice for those who need it.	Chief Executive Family Services, Strategic Director of Children's Services, Strategic Director of Social Care	<b>Low residual risk GREEN</b>	Keep risk under review	29/03/2021	Open



## CORPORATE and COVID RISK REGISTER

## Appendix 1

Ref No.	Risk Description 'There is a risk of..'	Controls from 01 January 2021	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
51	emerging requirements for residents in Care Homes and any potential exposure to COVID.	Ongoing monitoring at SLT, Covid-19 Board and Resilience Group meetings (high risk settings).	Strategic Director Social Care, Director of Public Health, Director of Covid-19	<b>Medium residual risk AMBER</b>	Keep risk under review *amended to note LBHF as a leader in introducing lateral flow testing as a route to enabling Care visits.	27/01/2021	Open
55	there is a risk that suppliers are affected by either significant demands in the service or drops due to social isolation and they may struggle as a result.	Ongoing monitoring of commissioned and procured services in departments also at Contracts and Assurance Board. 24 March 2021 - position review conducted at Contracts Assurance Board.	Strategic Leadership Team	<b>Medium residual risk AMBER</b>	Keep risk under review	29/03/2021	Open
56	there is a risk that statutory/regulatory inspections e.g. Ofsted CQC will not be carried out or completed.	21 January 2021 indications are that Ofsted may re-start on-line assessments. 29 March 2021 HM Government update on inspection activity across all services and remits for the rest of the summer term. A full programme of graded school inspections will resume in Autumn 2021. From 4 May 2021 some inspections will re-commence on-site. Secondary Schools will be included in inspection schedules from 21 June 2021. Most schools will not receive an inspection until the programme of routine inspections restarts in September 2021 unless significant concerns are raised. Early Years registered providers inspections will begin from 4 May 2021. Children's Services inspections will gradually restart and from June 2021 regular focussed visits will recommence. Routine inspections for all Social Care settings under the Social Care Common Inspection framework will begin on 12 April 2021 along with the SEND Ofsted and Care Quality Commission inspections.	Strategic Leadership Team	<b>Low residual risk GREEN</b>	Keep risk under review. Updated to reflect the rolling update for Ofsted Inspection of Children's Services; Children's Services Inspection Frameworks and Social Care	29/03/2021	Open
57	there is a risk that there may be some spike in insurance claims following the initial response.	Ongoing monitoring of any emerging trends or patterns through the Shared Insurance Service.	Director of Audit Risk Fraud and Insurances	<b>Low residual risk GREEN</b>	Keep risk under review	27/01/2021	Open
58	there is a risk that there may be some initial increase in demand for services following any relaxation of the Stay Home HM Government policy	21 January 2021 discussed at Covid-19 Board, there were some indications of contractors reporting increased levels of sickness that may inevitably impact upon the delivery of contracted services. Situation to be closely monitored. January – May 2021 Reviews at Covid-19 Board and departmental management Teams	Gold group Covid-19 Board	<b>Medium residual risk AMBER</b>	Keep risk under review	25/05/2021	Open
60	there is a risk to those individuals who require additional support including those with mental health or drug and alcohol addiction.	20 January 2021 LBHF Contracts Assurance Board approval to continuity request for the DVAWG provision. 22 January 2021 the Winter Wellbeing Fund set up by the Council and administered by local charity UNITED in h&f award to the Violence Intervention Project (VIP) set up in 2017 to steer young people away from violence. 17 March 2021 Contracts Assurance Board review and approve proposals for a family of substance misuse services.	Strategic Director of Social Care, Strategic Director of the Environment	<b>Low residual risk GREEN</b>	Keep risk under review	29/03/2021	Open

## CORPORATE and COVID RISK REGISTER

## Appendix 1

Ref No.	Risk Description 'There is a risk of..'	Controls from 01 January 2021	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
64	there is a safety concern to individuals in the workforce who may be at increased risk of any exposure to Covid-19	08/01/2021 Concerns regarding location of testing centre, briefing note to Covid-19 Board. Corporate Health and Safety verification of separation of areas; layout and adherence to the Standing Operating Procedures to which we are bound. 01/02/2021 New app. launched enabling Managers to update staff sickness in circumstances where staff are not able to do so themselves, this was accompanied by a reminder to all staff on the sickness absence recording facility on the IBC system. 25 March 2021 - Workforce resilience data, review of the LBHF Outbreak Plan at Covid-19 Board.	Assistant Director Transformation, Talent and Inclusion	<b>Low residual risk GREEN</b>	Keep risk under review Updated Place risk to Service risk	29/03/2021	Open
66	there is a risk that lockdown will be localised to areas within or around the borough being quarantined that will require focussed support (housing estates, care homes, schools, offices or shops). This includes moving between any Tiers set by national government.	Ongoing monitoring of the local infection levels at Covid-19 Board meetings through BI data analysis. Surge testing, planning exercising and briefing.	Strategic Leadership Team	<b>Medium residual risk AMBER</b>	Keep risk under review	18/05/2021	Open
67	there is a risk that infection controls are less effective if Pillar 2 fails - swab testing by the commercial sector	Ongoing monitoring of commercial sector.	Director of Public Health	<b>High residual risk RED</b>	Keep risk under review	27/01/2021	Open
68	there is a risk that a Cyber Attack may significantly affect the ongoing response.	27 January 2021 Ongoing monitoring of threat levels and scams. Raising awareness and communications to Officers. * Reference to the National Risk Assessment and Risk Register issued through Covid 19 Board January 2021.	Chief Digital Officer	<b>High residual risk RED</b>	Keep risk under review	21/05/2021	Open

Ref No.	Risk Description 'There is a risk of..'	Controls from 01 January 2021	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
1	there is an increased risk of a critical business failure to the just-about-managing (JAMs) who are likely to be most exposed to those sectors affected by the mandatory shutdowns in retail, hospitality and leisure.	22 February 2021 HM Government sets out a roadmap for cautiously easing lockdown restrictions in England. Four key tests include: the successful deployment of the vaccine; evidence in hospitalisations and death reductions in those vaccinated; infection rates do not risk a surge in hospitalisations and unsustainable pressure on the NHS; assessments of new Variants of concern. Step 2 no earlier than 12 April 2021 will see the opening of most outdoor attractions and settings including outdoor hospitality venues, some social contact rules continue to be applied. 17 May 2021 Step 3 introduces further relaxation including larger indoor performances with a limit on capacity for both indoor, 1,000 people and outdoor 4,000 people or half full, larger venues which are seated can host 10,000 people or quarter-full whichever is lower. Step 4 on 21 June 2021 hopes that restrictions will be eased removing all limits on social contact.	HM Treasury	<b>High residual risk RED</b>	Keep risk under review	17/05/2021	Open
2	there is an increased risk to, trades and other occupations who are least suited to working from home. Their reliance on public modes of transportation once initial restrictions are lifted will place them at the forefront of the second or successive waves of infections and deaths.	22 February 2021 HM Government sets out a roadmap for cautiously easing lockdown restrictions in England.	Department for Transport Transport for London	<b>Medium residual risk AMBER</b>	Keep risk under review	17/05/2021	Open
3	there is an increased risk to new entrants to the labour market who may face structural dislocations that can disadvantage their lifetime earning potential.	HM Government Incentive payments for hiring a new apprentice. 15 October 2020 Recovery Board Gateway review - Communications on internal opportunities planned.	Department for Work and Pensions	<b>High residual risk RED</b>	Keep risk under review	27/01/2021	Open

Ref No.	Risk Description 'There is a risk of..'	Controls from 01 January 2021	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
4	there is an increased risk of intergenerational fairness becoming even more intractable. Interest rates at the zero lower band may help those seeking to refinance a mortgage but will be unwelcome to first-time buyers saving for a deposit. In contrast to incomes that have been depressed or lost altogether, wealth may recover more quickly benefiting older households.	Ministry of Housing Communities and Local Government 19 February 2021 Guidance updated to reflect new legislation extending the prevention on enforcement of evictions in England during the national lockdown and launch of the mediation pilot 24 March 2021 Ministry of Housing Communities and Local Government guidance updated to 1) reflect the government's commitment to extend the prevention of evictions by enforcement officers in England to 31 May 2021 and 2) confirm that legislation requiring landlords to provide 6 months' notice to tenants in most cases has been extended until 31 May 2021 7 April 2021 Guidance updated to link to new guidance on (COVID-19) Coronavirus restrictions. The government has put in place a major package of financial support to enable people to continue paying their living costs, including rental payments. This includes support for businesses to pay staff salaries through the Coronavirus Job Retention scheme. The Job Retention Scheme (furlough) is in place until the end of September. Employees will continue to receive 80% of wages for hours not worked. Financial support for the self-employed is also available. If tenants fall into financial difficulties due to a change in their employment or earnings, for example, they may qualify for Universal Credit, which can include help with housing costs. If a landlord is concerned about their financial situation they should discuss this with their lender. There is currently legislation in place banning the enforcement of lender repossession, except for in exceptional cases (such as a borrower requesting proceeding continue) until at least the end of 31 May. Further information on mortgages and the support available during the coronavirus outbreak is available from the Money Advice Service and UK Finance.	Ministry of Housing, Communities & Local Government	<b>High residual risk RED</b>	Keep risk under review	17/05/2021	Open
6	there is an increased risk that staff may misinterpret announcements by the Prime Minister regarding easing of lockdown as a green light to return to office-based working.	22 February 2021 HM Government sets out a roadmap for cautiously easing lockdown restrictions in England. Production of the 3 <sup>rd</sup> iteration of the Ways of Working guidance.	Chief Executive	<b>Low residual risk GREEN</b>	Keep risk under review	27/05/2021	Open
11	there is a risk that the HM Government's easing of the working hours in the construction industry will have an adverse effect on the local residents and businesses.	Environmental Health, Regulation and Law Enforcement Officers support, visits and compliance work in accordance with the HM Government Roadmap.	Strategic Leadership Team	<b>Low residual risk GREEN</b>	Keep risk under review	18/05/2021	Open



Ref No.	Risk Description 'There is a risk of..'	Controls from 01 January 2021	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
13	there is a risk that HM Government's proposals for retail businesses to re-open will result in some businesses not being Covid safe on re-opening.	<p>11 January 2021 - Continuing work of the council's Enforcement and Compliance Teams to ensure that business are operating within the applicable regulations at this time.</p> <p>Jan - April 2021 Reviews of Outbreak plans and Business Continuity plans. Environmental Health Officers supporting businesses to aid compliance with the Covid regulations in preparation of easing of restrictions according to the HM Government Roadmap. Environmental Regulation Officers monitor the compliance of workplaces and undertake drive-by and site visits.</p> <p>19 March 2021 Our Space is Your Space Council scheme supported by the Shop Local Shop Safe Campaign in partnership with local business leaders. Use of public space near business premises (pavements; on-street parking bays; communal spaces) to aid high streets, retailers, small businesses and arts organisations.</p> <p>April - May 2021 Vaccination roll-out; introduction of Lateral Flow Testing at home; Surge Testing preparatory work, planning, exercising and briefing.</p>	Strategic Leadership Team	<b>Low residual risk GREEN</b>	Keep risk under review	17/05/2021	Open
15	there is a risk that HM Government's proposals for reduction/increase of lockdown restrictions and the speed of how regulations change, could lead to local housing estates, schools, businesses or workplaces being closed in order to stem the virus. Places where Covid Variants are identified could be placed under local lockdown conditions or be subject to Surge Testing.	<p>Contingency planning; Review of service continuity plans to prepare for a 2nd wave of infections or local outbreak.; Public Health Planning; London Planning; Outbreak Plans</p> <p>16 September 2020 - Cabinet Office virtual review of local arrangements</p> <p>07 October 2020 - Resilience Group updated on recent management and control of local outbreaks undertaken by the Incident Management Team.</p> <p>15 October 2020 - Risk now realised as HM Government has introduced a tiered and regional response. Some issues would be managed at a London regional level.</p> <p>22 February 2021 - HM Government roadmap to ease Coronavirus lockdown restrictions; HM Government set out its plan for the return to face to face education; the following testing measures are set out - All Primary school staff to continue to take 2 rapid Covid tests each week at home; All Secondary school and college students will take 3 Covid tests as they return to the classroom at existing school facilities. After the initial 3 tests 2 rapid Covid tests will be provided to use each week at home. Secondary school and college staff will be provided with 2 tests to use each week at home. University students on practical courses can return on 8 March 2021 to in-person learning, twice weekly testing to be made available to all on campus. Where social distancing measures cannot be implemented in secondary schools and colleges staff and students to be advised to wear face coverings in all areas including classrooms. Further details are provided on the DfE website</p> <p>Jan - April 2021 Reviews of Outbreak plans and Business Continuity plans. Environmental Health Officers supporting businesses to aid compliance with the Covid regulations in preparation of easing of restrictions according to the HM Government Roadmap. Environmental Regulation Officers monitor the compliance of workplaces and undertake drive-by and site visits.</p> <p>April - May 2021 Vaccination roll-out; introduction of Lateral Flow Testing at home; Surge Testing preparatory work, planning, exercising and briefing.</p>	Strategic Leadership Team	<b>Low residual risk GREEN</b>	Keep risk under review *removed reference to Covid Tiers and added a reference to Covid Variants in place of hotspots. Likelihood reduced to reflect a reduction in infection rates.	17/05/2021	Open

# RECOVERY

# Appendix 1

Ref No.	There is a risk of..'	Existing Controls	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
1	there is an increased risk in meeting mutual assistance which is likely to include sustained financial support	Recovery Strategy, Horizon scanning, Humanitarian aid planning, Recovery Group Step up Plan for successive Waves; Greater London Regional response. HM Government Grants. 19 January 2021 - Recovery Co-ordination Group meeting review of approach. February - May 2021 Covid 19 Board reviews of key data (dashboard) including calls into and out of the CAN Team	Head of Regulatory Services Director of Covid	<b>Medium residual risk AMBER</b>	Keep risk under review	17/05/2021	Open
2	there is an increased risk in meeting demands for services temporarily suspended or reduced during the COVID response.	Recovery Strategy, Horizon scanning, Recovery Group 19 January 2021 - Recovery Co-ordination Group meeting review of approach. February - May 2021 - Integrated recovery planning with business, resource, workforce, transformation and Medium-Term Financial Strategy plans. Development of New Ways of Working guide, version 3.	Strategic Leadership Team	<b>High residual risk RED</b>	Keep risk under review	17/05/2021	Open
3	there is a risk that any return to office-based working is delayed due to implementing new distancing measures and workforce rotas in offices	Facilities management and Transformation, Talent and Inclusion workplace and workforce planning, risk assessment. Recovery Group. Ways of Working and Version 2 made available, Version 3 nearing conclusion. 04 January 2021 - another national lockdown is announced in England re-stating the stay at home message. 19 January 2021 - Recovery Co-ordination Group meeting review of approach. 22 February 2021 - Relationship to the Civic Campus Programme, Operational & Asset Management , IT/AV and Workforce Strategies (Internal looking) February - May 2021 Environmental Health, Regulation and Law Enforcement Officers support, site visits and compliance monitoring. (Outward looking)	Facilities Management Soft and Hard Services, Assistant Director of Transformation, Talent and Inclusion	<b>Low residual risk GREEN</b>	Keep risk under review	18/05/2021	Open
4	there is a risk to local arts, theatres, music and other venues in the borough if the period of social distancing continues for a considerable period	Recovery Strategy, Arts Strategy, Recovery Group - Industrial Strategy - Our Space is Your Space 14 May 2021 The digital creative network west partnership with Upstream, West London Business and Creative Enterprise Zone West aims to foster and strengthen relationships with large anchor organisations, start-ups and academia in H&F and neighbouring boroughs. 17 May 2021 Easing of HM Government Lockdown restrictions Step 3 - indoor hospitality can reopen and indoor entertainment can resume, including cinemas, museums and children's play areas, all remaining outdoor entertainment can reopen including conferences, theatre, concert performances and sports events. Restrictions on the number of attendees is set out in the detail of the roadmap.	Assistant Director for the Economy	<b>Medium residual risk AMBER</b>	Keep risk under review	18/05/2021	Open
5	There is a risk to employment and businesses in the hospitality and travel sector	Recovery Strategy, Recovery Group - Industrial Strategy 19 January 2021 - Recovery Co-ordination Group meeting review of approach. Additional Restrictions Grant applications, processing and awards for micro and small businesses trading in the borough. The grant is aimed at helping businesses to pay for fixed costs during the national lockdown from November 2020 to April 2021. Self-employed people who received Self-Employment Income Support payments were eligible for this grant phase. Closed on 14 May 2021 for applications. Assessments will be completed by 18 June 2021. Application support was provided through the Council's H&F Business Desk. 17 May 2021 Easing of HM Government Lockdown restrictions Step 3 - indoor hospitality can reopen and indoor entertainment can resume, including cinemas, museums and children's play areas, all remaining outdoor entertainment can reopen including conferences, theatre, concert performances and sports events. Restrictions on the number of attendees is set out in the detail of the roadmap.	Strategic Director The Economy Department	<b>Medium residual risk AMBER</b>	Keep risk under review	18/05/2021	Open

# RECOVERY

# Appendix 1

Ref No.	There is a risk of..'	Existing Controls	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
6	There is a risk that services begin to re-design office or workplace layouts without reference to corporate plans and asset management.	Recovery Strategy, Recovery Group, Recovery Co-Ordinating Group; Phased approach to re-occupation of Corporate Buildings, risk assessment, Civic Campus Programme and Workstreams. Business, Resource, Asset, Transformation planning and Medium-Term Financial Planning.	Strategic Leadership Team	<b>Low residual risk GREEN</b>	Keep risk under review	18/05/2021	Open
7	There is a risk that some businesses that trade with the Council or provide a service are not able to continue due to financial pressures that provide a key service to the Council. Existential risk.	Recovery Strategy, Recovery Group, Supply Chain resilience and continuity planning Credit safe Covid-19 risk appraisal for the Council's suppliers requested and shared with the Corporate Procurement Team. Contracts Assurance Board and Chief Executive to consider proposals 19 January 2021 - Recovery Co-ordination Group meeting review of approach. 24 February 2021 - Issue raised at Contracts Assurance Board and continuing discussion with the Director of Finance	Strategic Leadership Team	<b>Low residual risk GREEN</b>	Keep risk under review	24/02/2021	Open
9	There is a risk of staff burn out due to the focus, effort and energy committed by staff to the initial Covid-19 response and then a second surge or wave of local infections.	25 June 2020 Raised at pre-mortem with the Leadership forum and discussed at Recovery Board. Managers encourage staff and themselves to take annual leave. Managers Assist has been launched on the Intranet that compliments the Wellbeing Wednesdays, and work Employee Assistance Programme. Regular meetings with TU's and Transformation, Talent and Inclusion Regular reminders of the Council's Welfare Offers and Support Mechanisms; Wellbeing Wednesdays Staff Survey; Your Resilience, Mental Health First Aiders; Mental Health Awareness Week. 19 January 2021 - Recovery Co-ordination Group meeting review of approach. February - May 2021 - Review of workforce absences at Covid-19 and Resilience Group indicates a very low level of reported sickness and a highly resilient workforce.	Strategic Leadership Team and Transformation, Talent and Inclusion	<b>Medium residual risk AMBER</b>	Keep risk under review	18/05/2021	Open
10	There is a risk that some services are affected by Agile and/or Remote working and that may affect the efficient delivery of services that we aspire to deliver to the public.	19 January 2021 - Recovery Co-ordination Group meeting review of approach. 22 February 2021 - Relationship to Civic Campus Programme and the Workforce Strategy Workstream April - May 2021 - Workstyle Staff Survey; Leadership Forum briefing	Leadership Forum and Transformation, Talent and Inclusion	<b>Medium residual risk AMBER</b>	Keep risk under review	18/05/2021	Open
11	There is a risk that the demand for pace impacts on areas which require more time and learning – such as innovation, co-production and climate change	25 June 2020 Raised at pre-mortem with the Leadership forum and discussed at Recovery Board 08 October 2020 Reviewed progress of the Recovery at a Gateway review at Recovery Board. 19 January 2021 - Recovery Co-ordination Group meeting review of approach.	Director of Covid-19	<b>Low residual risk GREEN</b>	Keep risk under review Likelihood reduced to reflect progress on policies associated with Climate Change and Inclusion, Diversity and Equalities.	18/05/2021	Open

# RECOVERY

# Appendix 1

Ref No.	There is a risk of..'	Existing Controls	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
12	Workforce gaps from loss of staff and agency reduction	<p>25 June 2020 Raised at pre-mortem with the Leadership forum and discussed at Recovery Board</p> <p>Recovery Planning and MTFS - Innovation and change, taking benefits from Digital Services as a form of Outreach to the Community examples include the use of AI to contact vulnerable people or use of h&amp;f CAN volunteers</p> <p>Financial modelling of the impacts on Council finances and resilience at Finance Board and Strategic Leadership Team</p> <p>24 September 2020 SLT Assurance - raised during the review of the performance dashboard and the possible shift from reliance on Agency provision to fte's. Risk mitigated through Resource Management Board reviews.</p> <p>19 January 2021 - Recovery Co-ordination Group meeting review of approach.</p> <p>22 February 2021 - HM Government roadmap for easing Coronavirus restrictions announced.</p> <p>24 February 2021 - Review of Workforce Resilience at Recovery Group indicates good attendance levels and high resilience.</p> <p>April - May 2021 - Continuation of reviews of Workforce Resilience at Recovery Group, links to future business, finance, resource and transformation planning.</p>	Strategic Leadership Team	<b>Low residual risk GREEN</b>	Keep risk under review	17/05/2021	Open
13	Deterioration in partner relationships leads to loss of confidence in Council and partners overwhelmed/ fatigued/ unclear of their role	<p>25 June 2020 Raised at pre-mortem with the Leadership forum and discussed at Recovery Board</p> <p>Partners may be faced with managing new challenges and objectives that are a consequence of Covid-19</p> <p>The Council has extensively reached out to partners to keep them informed and supported during Covid-19 additional financial support has been made through local organisations funding, HM Government Grants or schemes</p> <p>19 January 2021 - Recovery Co-ordination Group meeting review of approach.</p> <p>22 February 2021 - HM Government roadmap for easing Coronavirus restrictions announced.</p>	Strategic Leadership Team	<b>Medium residual risk AMBER</b>	Keep risk under review	19/01/2021	Open
14	Failure to consistently communicate and engage with residents on recovery plans	<p>25 June 2020 Raised at pre-mortem with the Leadership forum and discussed at Recovery Board</p> <p>Communications and consultations strategy reviewed and discussed at Recovery Board</p> <p>16 September 2020 Libraries re-opening messaging on Social Media, clarity provided on changes, maintaining on-line library resources; limiting capacity to enable social distancing; newspapers and magazines can be accessed through on-line resources.</p> <p>20 October 2020 Recovery Co-Ordination Group review of Communications approach as part of the Gateway Review</p> <p>19 January 2021 - Recovery Co-ordination Group meeting review of approach.</p> <p>22 February 2021 - HM Government roadmap for easing Coronavirus restrictions announced.</p>	Strategic Lead for Communications and Communities	<b>Low residual risk GREEN</b>	Keep risk under review	24/02/2021	Open

# OPPORTUNITY

# Appendix 1

Ref No.	There is a ...'	Measures from 01 January 2021	Owner	Monitoring	Date reviewed	Status Open/Closed
1	there is an opportunity to retain some of the working from home arrangements proven during the COVID response.	Recovery Strategy, Workforce plan, space planning and desk booking system rollout. All staff briefings. 22 February 2021 Ways of Working guidance document ( Third iteration is currently being worked on ); Relationship to the Workforce Strategy Workstream of the Civic Campus Programme. 21 April 2021 Managers Forum; Hello Future - Workforce survey May 2021 Technical Assurance Group reviews of Service return requests 11 May 2021 Leadership forum presentation - Road to Recovery, New Ways of Working 12 May 2021 Civic Campus Programme Board update - Highlight report and Workforce Workstream update - Transformation programme and change management support reviewed with Entec. 13 May 2021 New Ways of Working update to Covid-19 Board	Assistant Director for Transformation, Talent and Inclusion	Keep opportunity under review	17/05/2021	Open
2	there is an opportunity to retain some of the environmental benefits from reduced commuting and working from home, (including printing costs), arrangements proven during the COVID response.	Recovery Strategy Climate emergency and recovery presentation at Recovery Board Ref to Opportunity 1 and gains from Ways of Working Gateway review 22 February 2021 Relationship to the Workforce Strategy Workstream of the Civic Campus Programme. 21 April 2021 Managers Forum; Hello Future - Workforce survey content on journeys to/from work. 04 May 2021 Cabinet report from the Climate and Ecological Emergency Commission - recommendations 2.2 Transport	Chief Officer, Public Realm	Keep opportunity under review	17/05/2021	Open
3	there is an opportunity to retain some of the physical use of property benefits from reduced commuting and working from home arrangements proven during the COVID response.	Recovery Strategy Gateway review 22 February 2021 Relationship to the Operational & Asset Management Strategy Workstream of the Civic Campus Programme. 17 May 2021 Estate Efficiencies & Performance report proposals (Cabinet report)	Facilities Management	Keep opportunity under review	17/05/2021	Open
4	there is an opportunity to retain some of the services moved to a digital form of delivery proven during the COVID response.	Recovery Strategy; 13 August 2020 discussed at Recovery Board - Digital Services to be a mandatory theme amongst recovery proposals, Gateway review 22 February 2021 Relationship to the IT/AV Strategy Workstream of the Civic Campus Programme.	Strategic Leadership Team, Chief Information Officer Digital Services	Keep opportunity under review	24/02/2021	Open
5	there is an opportunity to return some services which were geographically dispersed to the local area boosting local employment opportunities and resources	Recovery Strategy Gateway review Industrial Strategy; Workstyle Survey Social Value Policy (Commissioning and Procurement, Use of the Social Value Portal)	Strategic Leadership Team	Keep opportunity under review	17/05/2021	Open

# OPPORTUNITY

# Appendix 1

Ref No.	There is a ...'	Measures from 01 January 2021	Owner	Monitoring	Date reviewed	Status Open/Closed
6	there is an opportunity to review areas of family service provision following the initial Covid-19 outbreak and retain or further develop on-line digital services.	Recovery Strategy; 13 August 2020 Family Services re-opening of the Askham Centre considered at Recovery Board, Gateway review Family Support Services Project (Delivered as an in-house service April 2021)	Strategic Leadership Team	Keep opportunity under review	17/05/2021	Open
7	there is an opportunity to review areas of the Civic Campus Programme for opportunities and benefits delivered and how they can contribute to the post Covid-19 delivery of Council Services	Recovery Strategy, Gateway review 22 February 2021 - Introduction of Workstream covering Commercial Strategy - Civic Campus Construction - Workforce Strategy - Operational & Asset Management Strategy - IT/AV Strategy - Stakeholder Relations and Comms - Corporate Assurance - Co-Production Overview April - May 2021 Civic Campus Programme - monitoring on workstreams, milestones and objectives	Strategic Leadership Team	Keep opportunity under review	17/05/2021	Open
8	there is an opportunity to utilise the h&f CAN volunteers in other areas and also to review the current operating hours for the call centre	Mindful of a potential 2nd wave, we have maintained contact with the volunteers, planned and rehearsed any potential outbreak planning. This has included the stepping back up of shielding support and provision of food and support via volunteers. This has recently been commented on by the cabinet office at a site visit 16th September as "Impressive" planning. September 2020 h&f CAN/Shield staff supporting Local Contact Tracing calls. Weekly review of CAN Volunteers data at Resilience Group meetings.	Assistant Director for Housing Operations	Keep opportunity under review	17/05/2021	Open
9	there is an opportunity to utilise world-leading artificial intelligence technology like the Yokeru system to identify those residents in greatest need and get help to them without delay including food parcels.	Recovery Strategy - The Council quickly put in place h&f Shield with Volunteers from h&f CAN and staff from the business intelligence unit. Yokeru were brought in to make automated calls to 9000 residents to see who needed help urgently. Volunteers and staff then followed up in person. Gateway review	Chief Information Officer Digital Services	Keep opportunity under review	20/10/2020	Open

Ref No.	There is a risk of..'	Existing Controls	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
1	risks associated with the failure of the IT Network infrastructure	Insurances-Business Continuity plan(s)-Disaster recovery plan-Service Resilience Group London Resilience Planning / London Risk Advisory Group / National Security Risk Assessment / London Risk Register / London Risk Planning Assumptions. Civic Campus Programme notes significant de-risking in December 2020 with planned moves away from the Town Hall complete. 07 April 2021 Strategic Leadership Team Assurance meeting - Briefing from the Chief Information Officer on the Cyber security status and progress of audit recommendations.	Chief Information Officer Digital Services	<b>Medium residual risk AMBER</b>	Keep risk under review Updated to reflect report to Strategic Leadership Team Assurance	17/05/2021	Open
2	risks associated with the failure of the IT Network Cyber attack(eg.total or partial loss of data)	User training and guidance-Firewalls-Backups-'Insurances-Business Continuity plan(s)-Disaster recovery plan-Service Resilience Group 11 January 2021 HM Government National Risk Register based on the National Security Risk Assessment, (refer to the chapter on Malicious attacks). 07 April 2021 Strategic Leadership Team Assurance meeting - Annual IT Health Check report (The IT Health Check is a set of penetration tests and manual checks run against H&F's external and internal IT infrastructure. It is conducted each year by an independent certified auditing company) 20 May 2021 1st Review Session - Exercise and Workshop	Chief Information Officer Digital Services	<b>High residual risk RED</b>	Keep risk under review National Risk Register; Disaster recovery plan to be reviewed.	17/05/2021	Open
3	risks associated with loss of a major IT system	Business Continuity plan(s)-Contractual obligations of the provider-periodic credit reviews-contract management-emergency procurement- 07 April 2021 Strategic Leadership Team Assurance meeting - Head of Information & Data Protection Officer Planning of Information Asset Review and workshops. 18 May 2021 Information asset workshops.	Information Asset Owner	<b>High residual risk RED</b>	Keep risk under review Updated to reflect Works at Hammersmith Town Hall; Disaster recovery plan to be reviewed.	17/05/2021	Open
5	risks associated with Workforce - Covid and changes following Brexit.	Workforce plan-Vendor Neutral Agency Provider-'Business Continuity plan(s)- Outbreak Plan London Resilience reporting. Workforce resilience statistics monitor, regular review at Resilience Board meetings. 24 February 2021 Ways of Working guidance document. ( Third iteration currently being worked on ); Relationship to the Civic Campus Programme. 21 April 2021 Managers Forum; Hello Future - Workforce survey 11 May 2021 Leadership forum presentation - Road to Recovery, New Ways of Working 12 May 2021 Civic Campus Programme Board update - Highlight report and Workforce Workstream update - Transformation programme and change management support reviewed with Entec. 13 May 2021 New Ways of Working update to Covid-19 Board	Assistant Director of Transformation, Talent and Inclusion	<b>Medium residual risk AMBER</b>	Keep risk under review	17/05/2021	Open

## CORPORATE CONTINUITY

## Appendix 1

Ref No.	There is a risk of..'	Existing Controls	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
6	risks associated with Terrorism or Explosion in the local area	Licensing and inspections-Security-Emergency Plan-Business Continuity plan(s)-Insurance London Resilience Planning / London Risk Advisory Group / National Security Risk Assessment / London Risk Register / London Risk Planning Assumptions. 11 January 2021 HM Government National Risk Register based on the National Security Risk Assessment, (refer to the chapter on Malicious attacks and Major accidents). 25 January 2021 MI5 The threat to the UK (England, Wales, Scotland and Northern Ireland) from terrorism is SEVERE. SEVERE means an attack is highly likely. 08 February 2021 The threat level was reduced from SEVERE to SUBSTANTIAL due to the Government's assessment in the reduction in the momentum of attacks in Europe. 01 May 2021 Borough Resilience Forum update of risks based upon the London Risk Register.	Chief Officer Safer Neighbourhoods	<b>Medium residual risk AMBER</b>	Keep risk under review Updated to reflect Borough Resilience Forum Risk Update	17/05/2021	Open
7	risks associated with loss of a significant supplier (non-IT)	Contract Management-Credit Checking- Supply Chain Assessment--Business Continuity plan(s)-emergency procurement London Resilience Planning / London Risk Advisory Group / National Security Risk Assessment / London Risk Register / London Risk Planning Assumptions. 12 April 2021 Mazars led Social Care workshop (risks); update on Care Providers Contingency Planning Arrangements	Head of Procurement and Contracts	<b>Medium residual risk AMBER</b>	Keep risk under review Updated to reflect relationship to London Planning	17/05/2021	Open
8	risks associated with loss of Utilities (Power, Gas, Water)	Contract Management- Supply Chain Assessment--Business Continuity plan(s)-emergency procurement-Emergency Plan London Resilience Planning / London Risk Advisory Group / National Security Risk Assessment / London Risk Register / London Risk Planning Assumptions. 11 January 2021 HM Government National Risk Register based on the National Security Risk Assessment, (refer to the chapters on, Major accidents and Malicious attacks).	Assistant Director of Operations The Economy Department	<b>Medium residual risk AMBER</b>	Keep risk under review Updated to reflect relationship to London Planning	10/12/2020	Open
9	risks associated with total loss of use of a building, office or workplace. (Fire, flood, collapse, cordon, social disorder or protest)	Asset management-Business Continuity Plan(s), Emergency Plan London Resilience Planning / London Risk Advisory Group / National Security Risk Assessment / London Risk Register / London Risk Planning Assumptions. 11 January 2021 HM Government National Risk Register based on the National Security Risk Assessment, (refer to the chapters on Environmental hazards, Major accidents and Malicious attacks).	Assistant Director of Operations The Economy Department	<b>Medium residual risk AMBER</b>	Keep risk under review Updated to reflect relationship to London Planning and National Risk Register	22/01/2021	Open



## CORPORATE CONTINUITY

## Appendix 1

Ref No.	There is a risk of..'	Existing Controls	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
10	risks associated with ensuring completion of a successful election.	Elections Team-Elections Project Team-Business Continuity Planning. 21 September 2020 - Review of Canvassing. Technical Assurance Group and Head of Service. Conclusion that canvassing in the current scenario, increasing rates of infection, second wave, was not approved. Should the position change then the situation could be reviewed. 25 September 2020 Recovery Board supported the decision not to support door to door canvassing at this time. 21 January 2021 notice of election project team planning sessions, commencing in February 2021. 22 February 2021 polling stations risk assessments conducted by an independent provider, review to be scheduled at Technical Assessment Group. Electoral commissions own risk assessment. 14 May 2021 Update to Resilience Group from the Head of Electoral Services that the Election was carried out without issue and delivered in a Covid safe environment.	Head of Electoral Services	<b>Low residual risk GREEN</b>	Keep risk under review	17/05/2021	Closed
11	risks associated with failure of a strategic partnership (IBC, Pensions Admin.)	Partnership governance and appointments-Performance reviews-Business Continuity Plan(s) Reincorporation of Family Support to an in-house service completed 01 April 2021. Pensions Committee and Pension Board reviews of Pension Taskforce Project. Administration Management performance reporting (to Pension Sub-Committee); Annual Report - Pension Fund Accounts, Independent review.	Strategic Leadership Team	<b>Medium residual risk AMBER</b>	Keep risk under review	17/05/2021	Open
12	risks associated with failure of a banking or payment system	Performance reviews-Business Continuity Plan(s)-Use of Procurement Cards-repeat last payments run London Resilience Planning / London Risk Advisory Group / National Security Risk Assessment / London Risk Register / London Risk Planning Assumptions. .	Director of Finance	<b>Low residual risk GREEN</b>	Keep risk under review Updated to reflect relationship to London Planning	10/12/2020	Open
13	risks associated with the running of the mortuary service on behalf of other London Boroughs	Performance reviews-Business Continuity Plan(s)-Designated Disaster Mortuary Plan 15 September 2020 Outbreak plan walkthrough with Head of Service 10 December 2020 Covid-19 Board review of Mortuary spaces indicates that there are no significant matters. 21 December 2020 Westminster continue to track the case levels and deaths across Greater London, and factor them into mortality management planning 21 January 2021 position reviewed at Covid-19 Board, mortuary place demands have increased but extra capacity has been factored into the mortality management planning for Greater London. 22 February 2021 Capacity monitoring report (Dashboard) at Covid-19 Board. 11 March 2021 Capacity monitoring report at Covid-19 Board. 24 March 2021 Capacity monitoring report at Covid-19 Board.	Director of Resources	<b>Low residual risk GREEN</b>	Keep risk under review	29/03/2021	Open

Ref No.	There is a risk of..'	Existing Controls	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
1	risks associated with Brexit and the impact on supplies, food, power and workforce.	Brexit Planning-Brexit Briefings-Communications-Status application support-Business Continuity Plans London Resilience Planning / London Risk Advisory Group / National Security Risk Assessment / London Risk Register / London Risk Planning Assumptions. London Chief Executives have asked Chief Executive of LB's Richmond and Wandsworth, to lead this work. 02 December 2020 Discussed at SLT - DMT's briefings on issues noted by London Resilience - 11 December 2020 Finance (Resources via e-mail); Environment 15 December 2020; Social Care 16 December 2020 21 December 2020 PM (Lead Chief Executive) joined the SR CEs meeting yesterday as Brexit GOLD and updated the position on current risks and mitigations. The PM noted that many of the issues are from the end of the transition period (whatever the outcome of government negotiations) will not be cliff-edge ones, but rather grow steadily over time.	Director of Finance	<b>Low residual risk GREEN</b>	Keep risk under review	17/05/2021	Open
2	risks associated with Covid 19 and the impact on supplies, food, power, employment and Public Health	Covid Response and Recovery Planning - Outbreak Plans - Business Continuity Plans - Standing Operating Procedures London Resilience Planning / London Risk Advisory Group / National Security Risk Assessment / London Risk Register / London Risk Planning Assumptions. Winter Programme - Food Planning. 11 January 2021 HM Government National Risk Register based on the National Security Risk Assessment, (refer to the chapter on Human and Animal health, Case Study). 21 January 2021 Director of Public Health held a special session recently exploring how we are using English language learning apps, working with Somali parents about childhood vaccinations and COVID-19 vaccines, and getting people from under-served groups into careers and jobs, all in an effort to tackle disproportionality in COVID-19. The BAME Inequalities Working Group aims to meaningfully address health inequalities in H&F by implementing the recommendations set out in Beyond the data: Understanding the impact of COVID-19 on BAME Groups. Improvements to address health inequalities can be made across all areas of public life so we want to encourage people from a variety of different disciplines to get involved. February - May 2021 CAN and Shield update reports to Resilience Group on use of foodbanks, welfare needs, referrals to mutual aid groups and monitoring of workforce resilience. February - April 2021 Winter food vouchers provision decisions as part of the Covid support grant at Contract Assurance Board.	Strategic Leadership Team	<b>Low residual risk GREEN</b>	Keep risk under review *likelihood decreased due to reduction in transmission rates.	17/05/2021	Open
3	risks associated with Terrorism or Hostile Vehicle attack in the local area	CCTV-Street Design and Planning-Situational awareness and liaison with the Police London Resilience Planning / London Risk Advisory Group / National Security Risk Assessment / London Risk Register / London Risk Planning Assumptions. 02 November 2020 National Counter Terrorism Office Guidance - Threat levels and building response plans 11 January 2021 HM Government National Risk Register based on the National Security Risk Assessment, (refer to the chapter on Malicious attacks).	Community Safety Manager	<b>High residual risk RED</b>	Keep risk under review Updated to reflect relationship to London Planning and National Risk Register	22/01/2021	Open

COMMUNITY

Appendix 1

Ref No.	There is a risk of..'	Existing Controls	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
4	risks associated with Fire	CCTV-Fire Safety Measures-Property Design and Planning-LFB-Capital Works e.g. Installation of fire safety doors; Sprinkler Systems at Edward Woods Estate/Drake/Shackleton Courts London Resilience Planning / London Risk Advisory Group / National Security Risk Assessment / London Risk Register / London Risk Planning Assumptions. 11 January 2021 HM Government National Risk Register based on the National Security Risk Assessment, (refer to the chapter on Major accidents).	Community Safety Manager	<b>Low residual risk GREEN</b>	Keep risk under review Updated to reflect relationship to London Planning and National Risk Register	22/01/2021	Open
5	risks associated with Climate Change (heat, flood, cold, wind)	Declaration of a Climate Change Emergency-Residents Commission-Air Quality Monitoring-Traffic controls and Initiatives-SuDs LBHF Residents led Climate and Ecological Emergency Commission and declaration of a climate emergency on 17 July 2019. London Resilience Planning / London Risk Advisory Group / National Security Risk Assessment / London Risk Register / London Risk Planning Assumptions. Support of London Recycles Repair Week offer on Laptop Fault and Fix Repair Service at 20% discount; Broken Furniture 11 January 2021 HM Government National Risk Register based on the National Security Risk Assessment ,(refer to the chapter on Environmental Hazards). 21 January 2021 Development of a refreshed Housing Strategy and linked strategies eg. Homelessness and Rough Sleeping. 04 May 2021 Cabinet review of the Climate and Ecological Emergency Commission recommendations 18 May 2021 The Climate Unit has developed a toolkit to help officers think about how their projects, procurements, commissioning, and services can align with H&F's net zero carbon target and sixth council value of rising to the challenge of the climate and ecological emergency. Lunch and Learn sessions May -June.	Climate Strategy Lead	<b>Medium residual risk AMBER</b>	Keep risk under review Updated to reflect recommendations of the Climate and Ecological Emergency Commission report and introduction of a toolkit.	17/05/2021	Open
6	risks associated with a surge in numbers exiting Hong Kong due to the political regime. There are 5.5 million residents that will be eligible for BNO status. MHCLG expect 200,000 people to arrive in first 12 months (Feb 2021 – Jan 2022) as part of a managed economic migration. Under a surge migration scenario, up to	MHCLG - more detailed planning assumptions expected to follow shortly * advised by CE Merton. People will not be required to quarantine when arriving in the UK (this is subject to change as intelligence indicates an increase in cases in Hong Kong similar to the UK which could change travel restrictions). A new sub-group of the SCG is being set up by FT and will meet to consider the implications for London. 07 January 2021 Update from MHCLG to Director of Covid and Strategic Director for the Economy.	Strategic Leadership Team	<b>Medium residual risk AMBER</b>	Keep risk under review Updated to reflect relationship to London Planning	22/01/2021	Open

Ref No.	There is a risk of..'	Existing Controls	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
	40,000 people could arrive per month, with two weeks' notice of this influx.						
7	risks associated with a block at the UK Ports and impacts to supplies including food and perishables.	HM Government and Kent CC contingency planning	Cabinet Office and HM Government Departments	<b>Low residual risk GREEN</b>	Keep risk under review Updated to reflect relationship to London and Kent CC Contingency Planning * Likelihood diminished following initial closing and re-opening of ports.	17/04/2021	Closed

Ref No.	There is a risk of..'	Existing Controls	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
1	risks associated with the management of corporate health and safety	Health and Safety Policy; Corporate Safety Team; Health and Safety Board; Operational Risk Register; Health and Safety Team Audit work; Individual Policies; Training; Reporting; Annual report to Audit and Pensions Committee; April 2021 AssessNet Incident Reporting Software introduced as a Sovereign Council system. 05 May 2021 Strategic Leadership Team Assurance - Update	Head of Corporate Safety	<b>Medium residual risk AMBER</b>	Keep risk under review	17/05/2021	Open

# DIGITAL SERVICES

# Appendix 1

Ref No.	There is a risk of..'	Existing Controls	Issue Primary Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
1	Budget pressure on H&F may result in reduction in staff budget affecting our ability to deliver operational and project services.	Operational efficiencies have been through contract renegotiations to protect core budget.	Chief Digital Officer	<b>High residual risk RED</b>	Keep issue under review	21/01/2021	Open
2	Loss of data or assets due to leavers process not being joined up. There is a risk that Leavers could still access information, laptops or phones resulting in data breaches or additional costs to the Council for the replacement of devices.	Inactive accounts are disabled after 60 days. P&T have agreed to IBC project which will interface into Pertemps system for agency staff. This will provide visibility of the whole workforce through IBC Once mitigation for Pertemps in place a process will be developed to have kit returned as part of leavers process.	Head of Service Management and Contracts and Operations	<b>High residual risk RED</b>	Keep issue under review	21/01/2021	Open
3	Budget risk to Digital services due to increasing demand for laptops & phones for Covid mitigation; and budget may not come through from central government	AD approval for new laptops for new posts New kit related to Covid is captured separately and Corporate budget available Being contained within existing revenue budgets - will escalate to SLT if this changes	Chief Digital Officer	<b>Low residual risk GREEN</b>	Keep issue under review	21/01/2021	Open
4	Risk of a successful malware/ransomware attack leading to business units being unable to deliver services	Corporate laptops run Microsoft Defender AV to protect against known malware. Corporate laptops implement application whitelisting, so malware executables should be prevented from running. User web-browsing is filtered when connected to AoVPN to prevent users reaching known risky websites (although not when the user is not connected to AoVPN) Work with BT to produce a playbook for DR server restores, and add this to H&F's IT DR plan. Finish the implementation of the application patching (AP) process Update 21/1: Complete. Document process for reviewing admin permissions for the H&F AD domain and O365 tenancy Roll-out of refresher IS training. Update 21/1: email alerts sent Implement Azure Sentinel for H&F domain controllers to improve event logging Implement a documented security patching process. Update 21/1: complete Simulated phishing exercise to test users to increase ability to detect and react to phishing attempts. Update: to be raised as change request at CAB	Head of Information & DPO	<b>Medium residual risk AMBER</b>	Keep issue under review	21/01/2021	Open
5	Business service continuity plans have not addressed lack of IT systems over extended periods leading to impact on service delivery	Local business continuity arrangements are likely to have developed; but unlikely to be robust enough to cope with significant outage Business areas service continuity plans to be reviewed with the service areas and SRG with support of Digital Services	Chief Digital Officer	<b>High residual risk RED</b>	Keep issue under review	21/01/2021	Open
6	Impact on Digital Services budget due to inflation rising and kit and services becoming more expensive	Governmental controls to minimize inflation Continue to make operational service as efficient as possible to minimize budget impact	Chief Digital Officer	<b>High residual risk RED</b>	Keep issue under review	21/01/2021	Open
7	Risk of noncompliance with UK GDPR in relation to transfers from the UK to the US, which are restricted following Schrems II decision making previous transfer arrangements reliant on	New Standard Contractual Clauses to be adopted - 12 months to update to new clauses where existing agreements are in place.	Head of Information & DPO	<b>Medium residual risk AMBER</b>	Keep issue under review	21/01/2021	Open



## DIGITAL SERVICES

## Appendix 1

Ref No.	There is a risk of..'	Existing Controls	Issue Primary Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
	'Privacy Shield' agreements invalid.						
8	Change Management - If there is insufficient co-ordination on potential changes to shared applications by depts.; There is a risk that a change may impact negatively on other services and departments	Regular review of current and planned projects by services with the Strategic Relationship Managers.; Regular internal DS Pipeline reviews. Pipeline review at regular ITOG meetings.; The TDA (Technical Design Authority) has a view of dependencies across all systems.	Head of Project Delivery	<b>Low residual risk GREEN</b>	Keep issue under review	21/01/2021	Open
9	Non-compliance with information rights requests due to lack of availability of records and poor data quality leading to poor business decisions.	Indexing of boxes held within ORSS Update IM Codes of Practice on Data Quality Indexing project for 7,000 boxes Initiatives to improve data quality	Head of Information & DPO	<b>Low residual risk GREEN</b>	Keep issue under review	21/01/2021	Open
10	If the Digital and information strategy isn't formally approved, due to a lack of incorporating Co-production, we risk the strategy not being perceived as legitimate, contributing to the current difficulties in priority setting in the context of scarce resources at the council	Resident panel to be recruited jointly with the REAP programme - recruitment for co-ordinator to lead on this is ongoing Ensure resident input into the Digital and information strategy is prioritised once the panel has been recruited	Chief Digital Officer	<b>Low residual risk GREEN</b>	Keep issue under review	21/01/2021	Open
11	Transfers of personal data to the UK will be restricted if the UK is not given an adequacy decision from the European Commission.	Review of data sites in EU A number of suppliers have on-shored , minimal DP interruption anticipated at present. Transfer restrictions delayed as part of UK/EU trade deal	Head of Information & DPO	<b>Low residual risk GREEN</b>	Keep issue under review	21/01/2021	Open

## PARTNERING

## Appendix 1

Ref No.	There is a risk of..'	Existing Controls	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
1	risks associated with Pensions Administration and managing the relationship with RBKC and Surrey CC	Pension Fund Taskforce, Independent Pensions Consultant support, Legal advice, Senior Responsible Officer appointed, Workstreams. Project Plan and timescales. Progress reviews at Pensions Sub Committee. Exit strategy and transition plan. 08 December 2020 - Pensions Taskforce, notice to terminate current contract with Surrey CC issued and accepted. Evaluation of data quality improvement procurement and award near completion. Sovereign team appointments, Pensions Manager has started, supporting Officers commencing December 20 and January 21. 12 January 2021 Evaluation of partnerships commenced, and conclusions report being prepared for the Taskforce, Chief Executive and Audit and Pensions Sub-committee. 22 February 2021 Exit strategy planning and discussions with Surrey CC and Onboarding planning with new providers LPPA. Issues and updates provided periodically to the Pensions Sub-committee and Pensions Board. 05 May 2021 Strategic Leadership Team Assurance - update on progress of the Taskforce: Briefing note and copy of the Risk Actions Issues and Decision Log (RAID) to the Leader's Office, Cabinet Member for Public Services Reform. - Data Quality work with a Pensions Tracing Company underway, Sovereign Council retained service delivered, Fees agreed for current provider, Exit Planning, Project Planning and reporting	Director of Audit, Risk, Fraud and Insurances	<b>Low residual risk GREEN</b>	Keep risk under review	17/05/2021	Open
2	risks associated with management of the IBC partnership with Hants CC	Partner Relationship Manager key point of contact; Monthly HR and finance strategic meetings with Relationship Manager; IBC finance and HR leads( Director of Finance, Chief Accountant, Finance Systems Manager and Head of Transformation, Talent and Inclusion); formal/ documented quarterly Hammersmith & Fulham Operational Performance Group meetings; performance reporting; Two way challenge; H&F feedback and challenge IBC performance and H&F equally monitored and challenged on compliance with the partnership model – agreed recommendations and action plans. Bi-annual operational Forum.	Director of Finance, Director of Resources	<b>Low residual risk GREEN</b>	Keep risk under review	27/08/2020	Open
3	risks associated with Pan London mortuary, preparation and management for Covid-19 waves.	Inter-local authority agreement; decision report to authorise agreement; management and control of financial contribution to the cost of the provision is the responsibility of the London Borough of Camden, a finance cell will overview; Westminster City Council to continue stewardship of mortuary management. 10 December 2020 Mortuary Capacity reviewed by the Covid-19 Board as adequate. 11 March 2021 Mortuary Capacity reviewed by the Covid-19 Board	Director of Resources	<b>Low residual risk GREEN</b>	Keep risk under review	27/05/2021	Open
4	risks associated with management of the Civic Accommodation Programme and A2Dominion Joint Venture	Members Civic Campus Oversight Board; Civic Campus Programme Management Office; Joint Venture Board; Executive Team; Project Delivery Team, 'Governance'; Reviews of progress at Finance, Commercial and Contracts Policy and Accountability Committee; Programme Board; highlight reporting; financial monitoring. 11 September 2020 Review of finance risks working group following recommendations to review at Finance, Commercial Revenue and Contracts PAC 23 July 2020. Cost consultants also reviewing individual risks. 15 September 2020 Civic Campus Programme Board meeting cited two risks associated with positioning of new infrastructure cabling to 45 Beavor Lane for the CCTV hub and lead-in time required by the contractor following placing the order to commencement of works. 05 October 2020 Update to Finance, Commercial and Contracts Policy and Accountability Committee summarising progress against budget, forecast, timescales and achievements. 03 December 2020 New London Architecture People's Choice Award for the new Civic Campus Plans. 09 December 2020 Civic Campus Programme Board review indicates the Programme has been successful in migrating CCTV and IT systems away from the Town Hall therefore de-risking these issues. Changes to Workstreams are being introduced to accommodate the	Programme Director	<b>Low residual risk GREEN</b>	Keep risk under review	17/05/2021	Open



Ref No.	There is a risk of..'	Existing Controls	Risk Owner	Residual Exposure	Risk monitoring	Date reviewed	Risk Status Open/Closed
		<p>next phase of the programme.</p> <p>12 January 2021 Civic Campus Programme Board review highlight report, review of Workstreams and discussions concerning Covid-19 and End of Eu transition impacts and assurances.</p> <p>22 February 2021 Civic Campus Programme Board review and re-profiling of risk log completed to reflect recently introduced Workstreams.</p> <p>13 April 2021 Civic Campus Programme Board - highlight report and review of workstream progress</p> <p>12 May 2021 Civic Campus Programme Board - highlight report and review of workstream progress</p>					
5	risks associated with Family Services Provision	<p>Monthly Strategic Planning meetings with Family Services, Education &amp; SEND; Attend Youth Crime Prevention Partnership; LA Representatives on FSS Board; Joint case work allocation meetings</p> <p>Early Years working group; Youth offending review meetings; Part of CHS practice and review audits; Joint work: education attendance &amp; COVID response;</p> <p>Fortnightly Meetings; Sharing of forward plan and business plan; Monthly board meetings packs; Data sharing arrangements; Annual audit</p> <p>April - May 2021 Weekly project reviews RAID Log and closure; orderly novation of contracts; audit of company before making dormant.</p>	Assistant Director of Children's Commissioning	<b>Low residual risk GREEN</b>	Keep risk under review * likelihood reduced due to reincorporation as an in-house service and bedding in.	17/05/2021	Open
6	risks associated with Agency Provision (staffing resource)	<p>Designated contract manager, Assistant Director of Transformation, Talent and Inclusion; Regularity of performance reviews; Quarterly Scrutiny arrangements; Quarterly partnership meetings; Resources management board (monthly); PAC reviews (quarterly).</p> <p>05 May 2021 Strategic Leadership Team review of Agency Staffing included in the Performance Dashboard and continued to show a downward trend and reliance.</p>	Director of Resources	<b>Low residual risk GREEN</b>	Keep risk under review	17/05/2021	Open
7	risks associated with Treasury and Pensions Shared Service with WCC and RBKC	<p>S113 shared services arrangement with Royal Borough of Kensington and Chelsea and Westminster City Council hosted by Westminster;</p> <p>Shared service with shared management and administration with dedicated H&amp;F pension fund manager and H&amp;F treasury manager;</p> <p>Cost sharing agreement set out in S113 agreement;.</p> <p>Independent review completed in 2020 which concluded that outcomes were good and costs not out of line with other boroughs and recommended continuing shared service arrangement with some areas for development.</p> <p>24 February 2021 Pensions Fund report recommendations are being taken to Pensions Sub-Committee for discussion following review and approval of Officers.</p> <p>05 May 2021 Pension Administration updates, Strategic Leadership Team Assurance, Leader's Briefing note and Briefing note to the Cabinet Member Public Services Reform.</p> <p>LBHF have successfully decommissioned the Shared retained client service with the Royal Borough of Kensington and Chelsea and set up of the new sovereign Council retained service.</p>	Director of Finance	<b>Low residual risk GREEN</b>	Keep risk under review	17/05/2021	Open

**National policy and key developments timeline.**

Since the last update to Audit Committee, the government has taken several measures to respond to rapidly changing rates of infection across the country. This timeline does not detail every national development but covers some of the most significant. Full details of guidance and communications issued by the government can be found on the gov.uk website.

Date	Area
22 February 2021	<ul style="list-style-type: none"> <li>HM Government announce a roadmap for ending coronavirus restrictions in England by June 21 with 4 key Steps and timescales commencing with re-opening of schools 8 March; Outdoor gatherings and grassroot sports on 29 March; Non-essential shops on 12 April, Household mixing on 17 May and Social Contract by 21 June 2021.</li> </ul>
March 2021	<ul style="list-style-type: none"> <li>The Chancellor announces a package of measures in the budget that include;               <ul style="list-style-type: none"> <li>an extension to the furlough scheme until the end of September 2021;</li> <li>a three-month extension to the business rates holiday until the end of June 2021;</li> <li>a three-month extension to the stamp duty holiday until the end of June 2021.</li> </ul> </li> </ul>
08 March 2021	<ul style="list-style-type: none"> <li>Re-opening of schools</li> </ul>
12 March 2021	<ul style="list-style-type: none"> <li>Office of National Statistics suggests COVID-19 infections continue to fall across England</li> </ul>
20 March 2021	<ul style="list-style-type: none"> <li>It is reported that half of the UK's adult population have received the first dose of a COVID vaccine.</li> </ul>
23 March 2021	<ul style="list-style-type: none"> <li>The first anniversary and remembrance of the first lockdown.</li> </ul>
25 March 2021	<ul style="list-style-type: none"> <li>The UK Parliament agree to extend the emergency powers contained in the Coronavirus Act 2020 for a further six months.</li> </ul>
29 March 2021	<ul style="list-style-type: none"> <li>The Stay at Home order for England comes to an end. Two households or six people are once again permitted to meet outside.</li> <li>Re-opening of grassroot sports and outdoor gatherings are permitted.</li> </ul>
5 April 2021	<ul style="list-style-type: none"> <li>HM Government announces that access to two weekly Rapid Flow Tests will be made available for everyone in England.</li> <li>The Prime Minister confirmed the re-opening of pubs, restaurants, hairdressers, gyms and non-essential shops from 12 April.</li> </ul>
7 April 2021	<ul style="list-style-type: none"> <li>Rollout of the third approved vaccine commences in the UK.</li> </ul>
12 April 2021	<ul style="list-style-type: none"> <li>Re-opening of non-essential retail in England.</li> </ul>
13 April 2021	<ul style="list-style-type: none"> <li>Vaccinations for the 45-49 age group are made available through the NHS Website following HM Government's announcement that the top nine priority groups for vaccination had been offered their first COVID vaccine.</li> </ul>
15 April 2021	<ul style="list-style-type: none"> <li>NHS England indicate that 4.7 million people were waiting for routine operations or procedures while the NHS was responding to the pandemic.</li> </ul>
16 April 2021	<ul style="list-style-type: none"> <li>Concern is expressed following the identification of a potential number (77) of Variant of Concern cases in the UK.</li> <li>The Office of National Statistics indicate that COVID infections have fallen to levels similar to September 2020.</li> </ul>
17 April 2021	<ul style="list-style-type: none"> <li>The Duke of Edinburgh's funeral is held in Windsor.</li> </ul>
21 April 2021	<ul style="list-style-type: none"> <li>Following a number of cancelled music festivals organisers express concerns about those that remain and the Government's position on Insurance.</li> </ul>
22 April 2021	<ul style="list-style-type: none"> <li>NHS England indicates that 95% of people aged over 50 have taken up the offer of a vaccine.</li> <li>The Lord Chief Justice agrees funding from HM Government to enable courts to open whenever a judge is available. It is estimated that there is a backlog of some 58,000 Crown Court Cases in England and Wales.</li> </ul>
28 April 2021	<ul style="list-style-type: none"> <li>The Health Secretary confirms that the UK Ordered 60 million doses from suppliers to be used in the Autumn as booster jabs.</li> </ul>
03 May 2021	<ul style="list-style-type: none"> <li>The Prime Minister announces that some foreign travel will re-commence on 17 May 2021.</li> </ul>
04 May 2021	<ul style="list-style-type: none"> <li>The Association of Independent Festivals reports that music festivals may be cancelled due to a lack of Government backed insurance.</li> </ul>
14 May 2021	<ul style="list-style-type: none"> <li>The Prime Minister confirms the further relaxation of lockdown restrictions can proceed on 17 May 2021.</li> </ul>
17 May 2021	<ul style="list-style-type: none"> <li>Further easing of the lockdown restrictions enables pubs and restaurants to open and limited indoor household mixing, outdoor weddings can have up to 30 attendees, limits on attendances at funerals is removed but dependant on venue size.</li> </ul>
19 May 2021	<ul style="list-style-type: none"> <li>Surge testing and vaccination facilities are expanded in areas where Covid Variants of Concern have been identified.</li> </ul>

**Key pieces of Coronavirus Legislation:**

Two key items of primary legislation contain emergency powers relating to coronavirus and health protection in England.

- Coronavirus Act 2020 (c. 7)
- Public Health (Control of Disease) Act 1984 (c. 22)

From 29th March 2021 the health protection restrictions in England are as set out in the following regulations:

**The Health Protection (Coronavirus, Restrictions) (Steps) (England) Regulations 2021 (S.I. 2021/364)**

These regulations set out the three Steps, or stages, for the gradual easing of restrictions, with different severity levels of restriction for each Step. The restrictions for Step 1 can be found in Schedule 1, Step 2 in Schedule 2, and Step 3 in Schedule 3. Schedule 4 of the regulations lists the areas of England which are under each Step, and this list will be amended as areas move from one Step to another. The regulations also impose restrictions on travel outside of the United Kingdom.

- The Health Protection (Coronavirus, Restrictions) (No. 3) (England) Regulations 2020 (S.I. 2020/750)
- The Health Protection (Coronavirus, Wearing of Face Coverings in a Relevant Place) (England) Regulations 2020 (S.I. 2020/791)
- The Health Protection (Coronavirus, Collection of Contact Details etc. and Related Requirements) Regulations 2020 (S.I. 2020/1005)
- The Health Protection (Coronavirus, Restrictions) (Self-Isolation) (England) Regulations 2020 (S.I. 2020/1045)
- The Health Protection (Coronavirus, Restrictions) (Local Authority Enforcement Powers) (England) Regulations 2020 (S.I. 2020/1375)
- The Health Protection (Coronavirus, International Travel and Operator Liability) (England) Regulations 2021 (S.I. 2021/582)

## Impact

(of the reasonable worst case scenario using the impact indicators below)

Level E			7 25 <sup>†</sup>		
Level D	34*		12 13 29		
Level C		18 28 33* 36*	14 19 21 26 <sup>†</sup> 27* 38	2 3 6* 15 16 17 20	
Level B	30	24	35*	4 5 9* 10* 11* 23 32* 37	1
Level A			8* 22	31	
	< 1 in 500	1 to 5 in 500	5 to 25 in 500	25 to 125 in 500	> 125 in 500

## Likelihood

(of the reasonable worst case scenario of the risk occurring in the next year)

\*Risk not plotted in the 2017 NRR | <sup>†</sup>COVID-19 is not included in the risk matrix and is therefore not included in these risks

## Malicious Attacks

1. Attacks on publicly accessible locations
2. Attacks on infrastructure
3. Attacks on transport
4. Cyber attacks
5. Smaller scale CBRN attacks
6. Medium scale CBRN attacks
7. Larger scale CBRN attacks
8. Undermining the democratic process\*

## Serious and Organised Crime

9. Serious and organised crime – vulnerabilities\*
10. Serious and organised crime – prosperity\*
11. Serious and organised crime – commodities\*

## Environmental Hazards

12. Coastal flooding
13. River flooding
14. Surface water flooding
15. Storms
16. Low temperatures
17. Heatwaves
18. Droughts
19. Severe space weather
20. Volcanic eruptions
21. Poor air quality
22. Earthquakes
23. Environmental disasters overseas
24. Wildfires

## Human and Animal Health

25. Pandemics<sup>†</sup>
26. High consequence infectious disease outbreaks<sup>†</sup>
27. Antimicrobial resistance\*
28. Animal diseases

## Major Accidents

29. Widespread electricity failures
30. Major transport accidents
31. System failures
32. Commercial failures\*
33. Systematic financial crisis\*
34. Industrial accidents – nuclear\*
35. Industrial accidents - non nuclear\*
36. Major fires\*

## Societal Risks

37. Industrial action
38. Widespread public disorder

Impact	5	<b>R64</b> Large Toxic Chemical Release		<b>R76</b> National Electricity Transmission, <b>T7</b> Larger scale CBRN Attacks	<b>R95</b> Influenza-type Pandemic	
	4	<b>R71</b> Aviation Crash, <b>R55</b> Fire or Explosion at a fuel distribution site, <b>R57</b> Explosion at a high pressure gas pipeline, <b>R74</b> Reservoir/Dam Collapse, <b>R66</b> Radiation Release from overseas	<b>R77</b> Gas Supply Infrastructure, <b>R68</b> High Consequence Dangerous Goods, <b>HL105</b> Complex Built Environments	<b>R83</b> Surface Water Flooding, <b>R87</b> Volcanic Eruption, <b>R92</b> Severe Space Weather, <b>L21</b> Fluvial Flooding, <b>R84</b> Severe Drought		
	3	<b>HL23</b> Bridge Collapse, <b>HL34</b> Evacuation of passenger ship, <b>HL22</b> Building Collapse, <b>R75</b> Water Supply Infrastructure	<b>R69</b> Food Supply Contamination, <b>HL7</b> Industrial Explosion and Major Fires, <b>R80</b> Systemic Financial Crisis, <b>R11</b> Malicious maritime incident	<b>R91</b> Low temperatures and heavy Snow, <b>R54</b> Major Fire, <b>R96</b> Growth of Anti-Microbial resistance, <b>R97</b> Emerging Infectious Disease, <b>R85</b> Poor Air Quality, <b>L19</b> Groundwater Flooding, <b>HL19</b> Coastal/Tidal Flooding	<b>R90</b> Heatwave, <b>T2</b> Attacks on Infrastructure, <b>T3</b> Attacks on Transport, <b>T6</b> Medium scale CBRN Attacks	<b>R104</b> Public Disorder
	2	<b>R67</b> Maritime Pollution, <b>R62</b> Accidental Release of Biological Pathogen, <b>R103</b> Insolvency affecting fuel supply	<b>R78</b> Disruption to telecoms systems, <b>HL33</b> Wildfires, <b>HL11</b> Railway Accident, <b>R98</b> Animal Disease, <b>R102</b> Industrial Action (fuel)	<b>R93</b> Storms and Gales, <b>H35</b> Industrial Action (public transport), <b>HL21</b> Land Movement, <b>HL3</b> Localised industrial accident involving small toxic release, <b>R101</b> Industrial action public transport	<b>R105</b> Influx of British Nationals, <b>R63</b> Accidental Release of a Biological Substance, <b>HL10</b> Local Accident on Motorways/ Major Trunk Roads, <b>R72</b> Collapse of major government contractor, <b>R73</b> Major Social care Provider, <b>R79</b> Technological failure at a retail bank, <b>R100</b> Industrial action (police officers), <b>T4</b> Cyber attacks, <b>T5</b> Smaller scale CBRN Attacks	<b>R99</b> Industrial Action (firefighters), <b>T1</b> Attacks on Publicly Accessible Locations
	1	<b>R70</b> Radiation exposure from stolen goods, <b>HL9b</b> Small Aircraft Incident, <b>R94</b> Earthquake		<b>R43</b> Undermining democratic activity		
		<b>1 - Low</b>	<b>2 - Medium/Low</b>	<b>3 - Medium</b>	<b>4 - Medium/High</b>	<b>5 - High</b>
		<b>Likelihood</b>				