

Key risk summary March 2022

| Risk Ref | Description | This Quarter Score | Movement |
|----------|---|--------------------|----------|
| AHSR0017 | <p>Risk (Threat): ASC - Increasing demand for Adults Social Care negatively impacts delivery of statutory obligations and customer outcomes</p> <p>Risk Appetite Level: 8 Risk Response: Treat</p> | 8 | ◀▶ |
| AHSR0020 | <p>Risk (Threat): Continued under funding and uncertainty by national gov of ASC</p> <p>Risk Appetite level: 8 Risk Response: Treat</p> | 8 | ◀▶ |
| AHSR0021 | <p>Risk (Threat): Lack of engagement from Lambeth Together in terms of integrating services</p> <p>Risk Appetite Level: 8 Risk Response: Treat</p> | 8 | ◀▶ |
| AHSR0022 | <p>Risk (Threat): Health and social care workforce de-stabilised as a result of COVID 19 and mandatory vaccination policy</p> <p>Risk Appetite Level: 8 Risk Response: Treat</p> | 8 | ▼ |

AHSR0025 **Risk (Threat):** Ongoing concerns with provider resilience

Risk Appetite level: 8
Risk Response: Treat

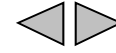


AHSR0030 **Risk (Threat):** Increased waiting times for Occupational Therapy (OT) assessments

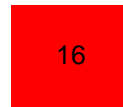
Risk Appetite level: 8
Risk Response: Treat



AHSR0033 **Risk (Threat):** Risk that transmission of the virus happens in public spaces that are in doors such as businesses with close contacts or crowded environment



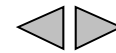
AHSR0034 **Risk (Threat):** Low uptake of COVID-19 vaccination within the community and care provider settings



CCAS0037 **Risk (Threat):** CORE BUILDINGS - Corporate Fire Risk (for LBL core buildings)



CCAS0038 **Risk (Threat):** CORPORATE H&S - Issues with Asbestos, Gas and Water Quality Management



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| CCAS0039 | Risk (Threat): CORE BUILDINGS - Non compliance with Health and Safety legislation across core Lambeth buildings. | 4 | |
| | *Excludes Housing and Commercial property | | |
| CCAS0041 | Risk (Threat): Failure to plan for civil unrest and anti-social behavior | 8 | |
| | Risk Appetite Level: 8 Risk Response: Treat | | |
| CRLDS0002 | Risk (Threat): Adequate / consistent use of Legal Services - Colleagues not consulting with and involving Legal services in key projects/initiatives at the right time | 4 | |
| | Risk Appetite Level: 4 Risk Response: Tolerate | | |
| CRLDS0012 | Risk (Threat): Underperformance of dealing with Subject Access Requests (SAR's) results in negative effects -high risk areas IICSA and Childrens Services | 8 | |
| | Risk Appetite Level: 4 Risk Response: Treat | | |
| CSD0001 | Risk (Threat): Increased number or severity of data breaches | 8 | |
| | Risk Appetite level: 4 Risk response: Treat | | |

CSD0002

Risk (Threat): Council not protecting data; nor using data to support business decisions

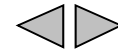
Risk Appetite level: 8
Risk Response: Treat



CSD0003

Risk (Threat): Service areas develop own standards and processes that may not be compliant with GDPR regulations

Risk Appetite level: 4
Risk Response: Tolerate & monitor



CSSR0001

Risk (Threat): Welfare of children not adequately safeguarded and promoted (practice risk)

Risk Appetite level: 8
Risk Response: Treat
Risk Control Assurance level: Amber



CSSR0002

Risk (Threat): Potential Increase in Looked After Children numbers and demand for specialist children's social care services and/or increase in cost of placements (finance risk)

Risk appetite level: 8
Risk Response: Treat
Risk Control Assurance Level: Amber



CSSR0004

Risk (Threat): Youth Justice Service (YJS) - Failure to address the areas identified for improvement in the 2019 HMIP inspection

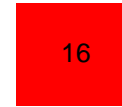
Risk appetite Level: 8
Risk Response: Treat



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| CSSR0005 | Risk (Threat): High and increasing levels of Serious Youth Violence (SYV) in the borough | 32 | ◀▶ |
| CSSR0008 | Risk (Threat): Pupil Place Planning - pupil numbers increase/decrease impacts on services and budgets Risk Appetite Level:8 Risk Response: Treat | 12 | ◀▶ |
| CSSR0010 | Risk (Threat): The possibility of a number of schools, particularly secondary schools, achieving less well than other schools nationally and locally | 6 | ◀▶ |
| CSSR0011 | Risk (Threat): Increase in exclusions and decrease in attendance results in reduced achievement of children and young people in Lambeth Risk Appetite Level: 8 Risk Response: Treat | 8 | ◀▶ |
| CSSR0012 | Risk (Threat): Increased terrorism threat and failure to meet the requirements of Counter Terrorism and Security Act 2015 Risk Appetite Level: 8 Risk Response: Treat | 16 | ▼ |

CSSR0015 **Risk (Threat):** Over reliance on agency workers covering social worker posts

Risk appetite level: 8
Risk response: Treat



CSSR0016 **Risk (Threat):** IICSA: Failure to successfully implement IICSA report recommendations (for CS) by deadline



DCCSC0008 **Risk (Threat):** Systems in place do not enable improvements to social work practice (enabling systems risk)

Risk Appetite Level: 4
Risk Response: Treat
Risk Control Assurance Level: Amber



ECIS0001 **Risk (Threat):** Failure of a major contractor or supplier which could materially affect the delivery of the service or have significant financial impact. * This risk is owned by Directors Network.

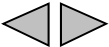




Risk appetite level: 8
Risk Response: Tolerate & closely monitor through due diligence
Risk Control Assurance Level: Green



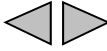
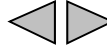
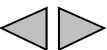

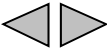
ECIS0018 **Risk (Threat):** General fund expenditure exceeds budget and income targets not achieved

Risk Appetite Level: 8
Risk Response: Tolerate & monitor



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| ECIS0020 | <p>Risk (Threat): Unwitting failure to comply with Procurement legislation and/or Council Standing Orders due to a lack of awareness/understanding/training</p> | <p>4</p> |  |
| | <p>Risk Appetite Level: 8 Risk Response: Tolerate & monitor</p> | | |
| ECIS0031 | <p>Risk (Threat): Failure to manage the impact of changes in local government funding arrangements</p> | <p>4</p> |  |
| | <p>Risk Appetite Level: 8 Risk Response: Tolerate & monitor Risk Control Assurance: TBC</p> | | |
| ECIS0038 | <p>Risk (Threat): Significant failure or underperformance of key service due to poor contract management *This risk is jointly owned by Directors Network</p> | <p>8</p> |  |
| | <p>Risk Appetite Level: 8 Risk Response: Treat Risk Control Assurance: TBC</p> | | |
| ECIS0041 | <p>Risk (Threat): Risk of internal fraud and corruption</p> | <p>8</p> |  |
| | <p>Risk Appetite Level: 4 Risk Response: Tolerate and monitor Risk Control Assurance Level: Green</p> | | |
| ECIS0062 | <p>Risk (Threat): Historic abuse redress: inability to provide the redress scheme within the available financial envelope</p> | <p>16</p> |  |
| | <p>Risk Appetite level: 8 Risk Response: Treat</p> | | |

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|----------|---|----|----|
| ECIS0063 | <p>Risk (Threat): Outcome of current HMRC Customer engagement audit results in Fines and Penalties</p> <p>Risk Appetite level: 8 Risk Response: Treat</p> | 2 | ◀▶ |
| ECIS0070 | <p>Risk (Threat): Inadequate governance and control of Purchase Cards</p> <p>Risk Appetite level: 4 Risk Response: Treat</p> | 2 | ◀▶ |
| ECIS0075 | <p>Risk (Threat): Financial Stability: The Council's budgeted levels of funding from the collection of council tax and business rates is not achieved in year as a result of the impact of the coronavirus pandemic on the economy</p> | 12 | ◀▶ |
| ECIS0079 | <p>Risk (Threat): Government grant may not cover full financial impact of additional expenditure and loss of income as a result of the Covid-19 crisis</p> | 4 | ▼ |
| HM0034 | <p>Risk (Threat): Not improving the management of the capital contracts could result in the non-delivery of Housing Capital Programme to agreed budget and performance indicators</p> <p>Risk Appetite Level: 8 Risk Response: Treat</p> | 8 | ◀▶ |

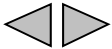
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|----------|---|----|---|
| HM0046 | <p>Risk (Threat): Lambeth Housing Partnership is not embedded to deliver new working arrangements with key housing association partners.</p> | 6 |  |
| HM0065 | <p>Risk (Threat): Delay or failing to deliver estate improvement programme as planned.</p> | 6 |  |
| NGSR0024 | <p>Risk (Threat): Loss of investment - (Sustainable Growth and Opportunity)</p> <p>Risk appetite level: 16 Risk Response: Treat</p> | 24 |  |
| NGSR0027 | <p>Risk (Threat): Failure to deliver the Homes for Lambeth regeneration programme to plan which would have impacts on the Council's ability to deliver more and better homes as well as implications for the long term management and maintenance of selected estates.</p> <p>Risk appetite level: 16 Risk response: Treat</p> | 24 |  |
| NGSR0030 | <p>Risk (Threat): Increase in poverty and debt amongst vulnerable citizens</p> <p>Risk appetite level: 8 Risk response: Treat</p> | 24 |  |
| NGSR0032 | <p>Risk (Threat): Lambeth Council not Net Zero (carbon emissions) by 2030*</p> | | |

NGSR0032

Risk (Threat): Lambeth Council not Net Zero (carbon emissions) by 2030

*The aim is for all buildings, processes and services provided and maintained by both the Council and/or other organisations in Lambeth to reduce all carbon equivalent emissions to zero by 2030 or in the rare instances this is not possible to offset to zero all carbon equivalent emissions'

Risk Appetite Level: 8
Risk Response: Treat

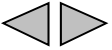
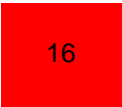


NGSR0033

Risk (Threat): Lambeth Borough not Net Zero (carbon emissions) by 2030*

* The aim is for all buildings, processes and services provided and maintained by both the Council and/or other organisations in Lambeth to reduce all carbon equivalent emissions to zero by 2050 or in the rare instances this is not possible to offset to zero all carbon equivalent emissions'

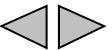
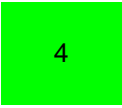
Risk appetite level: 8
Risk response: Treat



NGSR0034

Risk (Threat): 2017-2022 Air Quality Action Plan not delivered

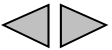
Risk appetite level: 8
Risk Response: Tolerate at current level (4)



NGSR0036

Risk (Threat): Failure to deliver key transformation schemes (including Somerleyton Road & Brixton Rec)

Risk appetite level: 8
Risk response: Treat



OCECC0014

Risk (Threat): Failure to effectively monitor the Borough Plan outcomes and progress.



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|-----------|--|----|----|
| | | 4 | ◀▶ |
| OCECC0016 | Risk (Threat): Failure to manage the Council's overall reputation | 8 | ◀▶ |
| OCECC0018 | Risk (Threat): Reputational damage for the organisation relating to IICSA report outcomes and failure to articulate and fulfil our Action Plan | 16 | ▼ |
| OCECC0019 | Risk (Threat): Reputational damage for the organisation relating to Estates Regeneration Programme | 12 | ◀▶ |
| OCEHR0027 | Risk (Threat): Loss of expertise to deliver Council outcomes Risk Appetite level: 8 Risk Response: Treat Risk Control Assurance Level: TBC | 4 | ◀▶ |
| OCEHR0047 | Risk (Threat): Significant number of key staff (and providers) are infected with COVID-19 or self-isolating and unable to perform their duties | 8 | ▼ |

OCEHR0048 **Risk (Threat):** FIRE: Availability of trained persons (Fire Controllers, Fire marshals and PEEP Buddies) to support fire evacuation are insufficient for effective management of fire evacuation.

24



OCEHR0049 **Risk (Threat):** First aid in the Civic Centre and Town Hall: The inability to summon first aid quickly in an emergency

16



PBI0009 **Risk (Threat):** Covid-19 (e.g. ongoing restrictions) affecting staff capacity, morale and delivery of PBI Divisional Offer

8



RS:0003 **Risk (Threat):** Underperformance of dealing with complaints and ME's results in negative effects

Risk appetite level: 8
Risk response: Treat

8



RS:0004 **Risk (Threat):** Failure to keep current level of performance in dealing with Freedom of Information requests (FOIs) results in negative effects.

4



RSDR0003 **Risk (Threat):** Reduction in Council Tax collected (£/%) (linked to risk ECIS0031 Failure to manage reduction in income streams).

Risk Appetite Level: 8
Risk Response: Treat

12



RSDR0004 **Risk (Threat):** Reduction in National Non-domestic Rates collected (£/%) (Linked to risk ECIS0031 failure to manage reductions in income streams)

Risk Appetite Level: 8
Risk Response: Treat

12



RSDR0005 **Risk (Threat):** Total loss or significant degradation of one or more core business systems during key period of operation

Risk Appetite level: 8
Risk Response: Treat

12



RSDR0006 **Risk (Threat):** Cyber attack resulting with the compromise of the council's ICT systems, including (worst case) complete loss of all systems, and difficulty in restoring systems and data from backups.

Loss of personal information
Disclosure of personal information

Currently there is no Cyber insurance policy in place, so the potential impacts of an attack (e.g fines and penalties) are not covered by insurers. Relevant teams are considering the options around Cyber insurance cover

Risk Appetite Level: 8
Risk Response: Treat

24



RSDR0007 **Risk (Threat):** The Housing Revenue Account goes into deficit

Risk Appetite Level: 8
Risk Response: Treat

8



| | | | |
|----------|---|----|--|
| RSDR0008 | <p>Risk (Threat): Escalating demand and costs of temporary accommodation</p> <p>Risk appetite level: 8 Risk Response: Treat Risk Control Assurance Level: TBC</p> <p>Note: the financial aspects of this risk are also captured under the corporate general fund risk.</p> | 16 | |
| RSDR0009 | <p>Risk (Threat): HOUSING - Failure to comply with all Health & Safety legislation regarding Fire Risk, Legionella, Electrical and Asbestos regulations for Housing Management properties.</p> <p>Risk Appetite Level: 4 Risk Response: Treat</p> | 8 | |
| RSDR0010 | <p>Risk (Threat): FRONTLINE STAFF: Threat to the safety and security of frontline staff and customers</p> <p>Risk appetite level: 8 Risk response: Threat</p> | 8 | |
| RSDR0013 | <p>Risk (Threat): Failure to achieve a high level of assurance against Resilience Standards for London (emergency planning)</p> <p>Risk appetite level: 8 Risk response: Treat</p> | 12 | |
| RSDR0022 | <p>Risk (Threat): Corporate SAR's: failure to improve performance and implement identified improvements.</p> | 16 | |

RSTEC0002 **Risk (Threat):** Cyber-Security.

Lack of awareness or breaches to our policies pose a risk to corporate systems and data.

Lack of corporate AUP.

6



RSTEC0003 **Risk (Threat):** Mobile Device Protection.

6



RSTEC0005 **Issue (Issue):** Use of personal devices to access Council systems and data could result in a data breach.

6

