

CRR

Corporate Risk Register

Risk No.	Details of Risk Event	Negative Consequences	Current Assessment of Risk			Risk Owner	Mitigating Actions / Controls	% Complete	Control Owner	Controlled Assessment of Risk		
			Current controls in place							With ALL controls 100% in place		
			Impact	Likelihood	Risk Rating					Impact	Likelihood	Risk Rating
	Organisation and Governance											
G1	Failure to have governance arrangements in place to ensure compliance with statutory and regulatory requirements and to ensure that all decisions taken are legal and robust enough to withstand challenge	Reputational damage, legal action, fines and penalties, cost of corrective action	3	2	6	Chief Executive	Governance Group oversees key aspects of the governance framework and monitors compliance reporting by exception to CMT on issues and risks	75	Director of Communities and Resources	3	1	3
							Constitution is reviewed regularly - review currently underway. Training provided on decision making process.	90	Director of Legal & Governance (oneSource)			
							Robust procedures for decision making	100	Director of Legal & Governance (oneSource)			
							Reviews to reduce bureaucracy planned	25	Director of Communities and Resources			
							Overview and Scrutiny committees are embedded into Governance Framework and a new Overview and Scrutiny Board established to oversee.	100	Leader			
G2	Failure to ensure the organisation is free from fraud and corruption from both internal and external threats	Financial loss, reputational damage.	1	3	3	Director of Communities and Resources	Fraud strategy monitored by Audit Committee. Dedicated fraud resources undertaking both proactive and reactive work.	80	Director of Finance (oneSource)	1	2	2
							Governance Group oversees fraud issues and trends reporting by exception to CMT on issues and risks	80	Director of Communities and Resources			
							Fraud Campaign to deter fraud run annually. Whistleblowing Policy in place and activity reported to Audit Committee	80	Director of Finance (oneSource)			
							Council requires Heads of Service and Managers to ensure system of internal control is robust and audit work provides assurance and raises recommendations.	80	Director of Finance (oneSource)			
G3	oneSource - Failure to manage the impact on governance framework of a shared back office and potential conflicts of interest	Non compliance with local requirements, Havering's best interests not served	2	3	6	Chief Executive	Review of Scheme of Delegation and update to constitution	25	Director of Legal & Governance (oneSource)	2	1	2
							Induction and Training for oneSource managers	20	MD oneSource			
							PDR and 1:1s undertaken	75	CLT			
							Legal are providing advice to support governance arrangements where required.	100	Director of Legal & Governance (oneSource)			
G4	Care Act Implementation - inability to deliver in the defined timescales or deliver the broader changes in social care and improve wider health services	Non compliance with legislation, failure to achieve the outputs for the community	3	2	6	Director of Children, Adults and Housing	Programme Board monitoring implementation includes all relevant service area representatives	100	Director of Children's, Adults and Housing	2	2	4
							Risk Register in place for the Programme, regularly updated and Red risks visible to other CMT members.	100	Director of Children's, Adults and Housing			
							Demand and expectations management controls identified as part of the programme risk register which would limit the impact of the risk	80	Director of Children's, Adults and Housing			
							Financial Risk Management as part of the programme is critical as insufficient resources is biggest cause of this risk materialising	80	Director of Children's, Adults and Housing			
G5	Business Continuity and Disaster Recovery Failures	loss of critical services	4	3	12	Director of Communities and Resources	Business Continuity Plans in place, monitored by HoS and tested periodically	100	Director of Communities and Resources	4	2	8
							Reassurance of ICT capability within the server rooms of Newham and Havering ensuring a resilient and accessible service is available to both Councils.	100	Director of ICT Services			
							Plans to incorporate the communications systems linked through ICT ensuring resilience is maintained.	90	Director of ICT Services			
							Plans incorporating activation, escalation and maintenance of ICT systems with resilient 24/7 maintenance of the systems especially identifying single points of failure and criticality.	80	Director of ICT Services			

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Generation and Management of Funds												
F1	Lack of oversight of future budget trends and failure to control budgets in year and achieve savings proposals	Unable to meet demand for services within budgetary constraints. Overspends occur.	4	2	8	Director of Communities and Resources	Medium Term Financial Strategy in place, robust forecasting in place	100	Director of Communities and Resources	4	1	4
						Impact of new legislative demands understood and factored in	100	CMT				
						Robust in year budget monitoring arrangements - supported by technology	80	CLT				
						Savings achievement is monitored and independently confirmed	100	Director of Finance (oneSource)				
F2	Failure to exploit potential income streams and maximise the funds generated and received	Missed opportunities, increased budgetary pressure.	3	3	9	Director of Communities and Resources	Income collection plans and targets monitored by CMT	100	CMT	3	1	3
						Robust business retention Strategy in place	100	Head of Economic Development				
						oneSource business development plan has been produced for 2015/16	100	MD oneSource				
						Robust plans to deliver large impact projects aimed at delivering income i.e. Havering Company	100	Director of Communities and Resources				
F3	Failure to manage increased demands for services in the short, medium and long term	Cuts in services, unable to deliver statutory responsibilities, resident dissatisfaction	3	3	9	Chief Executive	Demographic and demand trends modelled quarterly by CMT	100	Head of Business & Performance	3	2	6
						Key drivers i.e. school places separately modelled	100	Head of Learning and Achievement				
						Demand Management Strategy reported quarterly	100	Director of Children's, Adults and Housing				
						CLT Working group planned	50	Chief Executive				
						Corporate Early Help, Intervention and Prevention Strategy to be developed through the Corporate Brain Steering Group	100	Head of Business & Performance				
Organisation and Management												
M1	The workforce does not have the capacity or is not sufficiently skilled and motivated to meet the future needs of the organisation	Unable to deliver key projects and programmes, reduced productivity, lack of innovative ideas, failure of deliver objectives and outcomes	3	3	9	Chief Executive	PDRs and 1:1s are mandatory part of the performance management process	80	CLT	2	2	4
						Managers Development Programme completed by majority of LBH managers	100	Head of Human Resources and Organisational Development				
						Workforce and Organisational Development Strategies monitored at CMT	75	CMT				
						Partnership working with Newham will gong forward increase resilience	100	MD oneSource				
Duty of Care												
C1	Failure to ensure we are carrying out our duty of care to the most vulnerable in our community	Harm suffered by individual, reputational damage, financial cost of dealing with the issue or any legal action	4	2	8	Director of Children's, Adults and Housing	Safeguarding and Early Intervention programmes in place for referrals and management of vulnerable children	100	Director of Children's, Adults and Housing	4	2	8
						Safeguarding Adults and Children's Board with opportunities for chair to report issues to Chief Exec and Cabinet	100	Chief Executive				
						Robust monitoring and escalation processes with Council including the Child Safety Performance Board between Leader, Cabinet Member, CE and Director.	100	Leader				
						Multi Agency Safeguarding Hub established with links to the above	100	Director of Children's, Adults and Housing				

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						Annual Secion 11 Audit Carried out and findings acted upon.	100	Head of Business & Performance				
C2	Health and Safety arrangements are not robust for our own operations and for the community	Harm suffered by individual, reputational damage, financial cost of dealing with the issue or any legal action	4	1	4	Chief Executive	Appropriate plans in place issues of compliance reported to CMT	100	CMT	4	1	4
							Appropriate training and awareness provided to staff and manager as compulsory training	100	CLT			
							Governance Group oversee compliance and communicate issues.	25	Director of Communities and Resources			
							Local and Corporate Health and Safety Groups operate reviewing incidents and near misses for lessons learned	100	Director of Asset Management (oneSource)			
C3	Emergency Planning / Community Safety	Harm suffered by individual, health, Social, Economic and environmental impacts, reputational damage, financial cost of dealing with the issue or any legal action	4	2	8	Chief Executive	Borough Resilience Forum	100	Director of Communities and Resources	4	1	4
							Robust Emergency Plans in place, monitored by CMT and tested periodically	100	CMT			
							Having Community Safety Partnership	100	Chief Executive			
							Borough Risk Register reviewed and maintained with partner organisations	100	Director of Communities and Resources			
							Business Continuity Plans in place, monitored by HoS and tested periodically	50	CLT			
Relationships and Reputation												
R1	Failure to engender the trust of our residents in order to implement demand management strategies or encourage participation in community provided services	Unachievable expectations of residents = dissatisfaction and reputational damage, missed opportunities to continue services for the community without financial burden on council	3	3	9	CMT	Clear visions and communications strategy	100	Chief Executive	3	2	6
							Good consultation process around change	100	Head of Communications			
							Robust engagement plan with customers receiving direct services	100	CLT			
							New complaints policy has been in operation for nine months and pending final approval of the Vexatious Policy and refining of the Stage 3 process, will be fully implemented.	90	Chief Executive			
							VCS infrastructure support to be re-commissioned	100	Head of Business & Performance			
R2	Failure to have a positive relationship with our private and public sector partners	Loss of opportunity to minimise our costs or share opportunities, cost of increased bureaucracy,	3	2	6	CLT	Scanning of opportunities in London and local area including watch on strategic and partnership agenda.	100	Chief Executive	2	1	2
							Retention of good working relationship with neighbouring Leaders	100	Leader			
							Shared / integrated strategies for Health	100	Director of Children's, Adults and Housing			
							Robust governance in place	85	Chief Executive			
							Compact to be reviewed and re-launched	100	Head of Business & Performance			
R3	Failure to ensure that third parties operate in accordance with contractual or partnership requirements and fulfil the Council's responsibilities	Liability for Claims for Damages, increased premiums for insurance, harm to an individual, reputational damage, legal action and the cost of fines	3	2	6	CLT	Robust legal process delivers signed contracts or memorandum of understanding	80	CLT	3	1	3
							Corporate Contract Monitoring approach defined and guidance and support for all contract managers available	80	MD oneSource			
							Roles and responsibilities and Governance is clearly defined	100	Director of Legal & Governance (oneSource)			
							Risks of the relationship clearly outlined when the decision is made	80	CMT			