

Risk No.	Details of Risk Event	Negative Consequences	Current Assessment of Risk			Risk Owner	Mitigating Actions / Controls	Control Owner	Controlled Assessment of Risk			
			Current controls in place						With ALL controls 100% in place			
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CR1	Failure to manage statutory and/or regulatory responsibilities. Lack of appropriate governance / information governance arrangements in place, IT failure	Decisions taken are not robust enough to withstand challenge leading to reputational damage, legal action, financial penalties, cost of corrective action, data breaches, loss of critical services	3	2	6	Andrew Blake-Herbert	Governance and assurance board meet quarterly and overseas key aspects of the governance framework, risk management and assurance functions - monitoring compliance and reporting by exception to Senior Leadership Team on issues and risks	Sarah Homer	3	1	3	
							Constitution is regularly reviewed	Daniel Fenwick				
							Robust procedures for decision-making and training on the decision-making process is provided	Daniel Fenwick				
							Reviews to reduce bureaucracy planned	Sarah Homer				
							Overview and Scrutiny committees are embedded into governance framework and a Overview and Scrutiny Board established to oversee arrangements	Leader				
							Local and Corporate Health and Safety Groups operate reviewing incidents and near misses for lessons learned. Health and Safety training provided where deemed necessary	Director of Asset Management (oneSource)				
CR2	Failure of alternative service delivery (ASD) models. (Replaces G3, R2 & R3) Lack of appropriate governance arrangements in place, poor contract management, poor partnership arrangements, lack of business continuity/emergency planning	Council objectives not achieved, reputational damage, financial penalties, cost of corrective action, poor service delivery and resilience	2	3	6	SLT	Robust legal process delivers signed contracts or memorandum of understanding	Daniel Fenwick	2	1	2	
							Robust governance arrangements in place and roles and responsibilities clearly defined	Andrew Blake-Herbert				
							Corporate contract monitoring approach defined and guidance and support for all contract managers available	Jane West				
							Risks of the Alternative Service Delivery clearly outlined during the decision-making process	Sarah Homer				
							Horizon scanning of opportunities across London and neighbouring areas including watch on strategic and partnership agenda	Andrew Blake-Herbert				
							Retention of good working relationships with neighbouring Leaders	Leader				
							oneSource:- Ongoing review and update of Scheme of Delegation	Daniel Fenwick				
							oneSource:- Induction and training for oneSource managers	Jane West				
							oneSource:- Personal Development Reviews and 1:1s regulary undertaken and monitored	Caroline Nugent				
							oneSource:- Ongoing review and update of governance arrangements (see also R1).	Daniel Fenwick				
							Public Health:- Shared / integrated strategies for health	Susan Milner				

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	<p>Potential harm to people we owe a duty of care</p> <p>The risk is that adult social care fails in its duty of care, particularly to the vulnerable in society, and a service user is harmed or dies as a result of those failures. • Increased amount of DOLS work, leading to vulnerable adults being inappropriately deprived of their liberty.</p> <p>• Individuals who lack capacity or who have insufficient ability to manage their own finances do not have their finances appropriately safeguarded.</p> <p>• Pressures in the NHS have a knock on impact on community</p>	<p>• Safeguarding issues occur - individuals are placed at risk of harm or</p>					<p>Safeguarding practices are robust</p>	Barbara Nicholls				
							<p>Deprivation of Liberty Safeguards capacity is appropriate</p>	Barbara Nicholls				
							<p>Workforce measures</p>	Barbara Nicholls				
							<p>Multi agency working</p>	Barbara Nicholls				
							<p>Provider engagement</p>	John Green				

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CR3	services meaning that discharges aren't safe. • Growing demands for services can lead to waiting lists meaning that people have to wait longer for assessment and thus for support services. • Workforce recruitment and retention issues and high staff turnover impact on the quality of care assessments which thus impacts on care decisions. • Provider capacity or instability means that services cannot be put in place when needed. . • Provider quality leads to safeguarding concerns. • Advocates are not provided when there is a need for independent representation meaning the indivual voice is not heard.	abuse. • Individual wellbeing not considered. • Increased complaints. • Legal challenge. • Reputational damage. • Financial risk. Legal challenge. Reputational damage. Financial risk	4	2	8	Barbara Nicholls			3	2	6	
CR4	Balanced Budget The Council has a statutory requirement to set and deliver a balanced budget on an annual basis. It is also necessary to achieve financial sustainability	Worst case scenario, statutory intervention by the s151 Officer via the issue of a s114 notice to Council under the LG Act 1972. Triggering statutory process resulting in loss of financial control by the SLT, involvement of External Audit and DCLG in the financial recovery of the organisation.	4	3	12	Debbie Middleton	Bi-annual review of the Medium Term Financial Strategy is undertaken to update and refine forecast expenditure, income and funding projections. The identification of legislative changes, financial pressures, risks and opportunities and the development of strategies to manage future service and financial delivery Each Senior Leadership Team member to individually manage their directorate budgets on an on-going basis Each Senior Leadership Team member to individually manage and monitor the delivery of agreed savings initiatives to realise agreed savings. Collectively review and challenge the monthly financial monitoring, savings tracker and forecasting reports for revenue and capital expenditure Quarterly in depth review of financial monitoring, forecasting and financial health indicators	Debbie Middleton Debbie Middleton	4	2	8	

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	over the medium term.	Measures to achieve a balanced budget may result in: - Reduction or cessation of service delivery - Resident dissatisfaction - Failure to deliver other statutory responsibilities - Reputational damage					Operate the corporate annual budget development cycle to develop options for savings and income generation to balance the budget over the medium term to align with the delivery of the Corporate Plan. Establish corporate standards for financial implications within strategic decision making reports. Establish and enforce corporate process for input and clearance of decision making reports to ensure appropriate input by legal, finance and HR and technical professionals.	Andrew Blake-Herbert Paul Thorogood				
CR5	Failure to appropriately manage and deliver organisational change. (Replaces R1) Lack of appropriate governance arrangements in place, pace of change	Council objectives not achieved, reputational damage, financial penalties, cost of corrective action, poor service delivery and resilience, insufficiently skilled workforce capacity, demotivated staff, unable to deliver key projects, programmes or services, reduced productivity.	3	3	9	Sarah Homer	Robust governance arrangements in place and roles and responsibilities clearly defined Robust programme and project management system in place and being used appropriately Robust legal process delivers signed contracts or memorandum of understanding Corporate contract monitoring approach defined and guidance and support for all contract managers available Horizon scanning of opportunities across London and neighbouring areas including watch on strategic and partnership agenda Retention of good working relationships with neighbouring Leaders Ongoing review and update of Scheme of Delegation Risks of the Alternative Service Delivery clearly outlined during the decision-making process	Andrew Blake-Herbert Andrew Blake-Herbert Andrew Blake-Herbert Andrew Blake-Herbert Andrew Blake-Herbert Sarah Homer	3	2	6	

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CR6	Major system failure or natural disaster. Lack of effective business continuityplans/emergency planning, poor defences in place (e.g. flooding)	Failure to provide a minimum service level to the Borough, it's residents and staff.	4	3	12	Sarah Homer	Business continuity plans in place, regularly monitored and tested	Sarah Homer	4	2	8	
							Robust Emergency Plans in place, regulary monitored and tested	Sarah Homer				
							Borough Resilience Forum	Sarah Homer				
							Havering Community Safety Partnership	Andrew Blake-Herbert				
							Borough Risk Register reviewed and maintained with partner organisations	Sarah Homer				
							Plans are ongoing to incorporate activation and escalation of ICT systems with resilient 24/7 maintenance, especially in the identification of single points of failure and criticality	Priya Javeri				
							Plans to incorporate the communications systems linked through ICT ensuring resilience is maintained.	Priya Javeri				
							Project ongoing to moved shared ICT areas to a different platform to increase reslieince and provide offsite backup to cloud.	Priya Javeri				
CR8	Potential harm ot children we owe a duty of care The risk is that Childrens Social Care fails in its duty of care to children and a child is haremd or dies as a result of those failures	Safeguardiung issues occur, children are placed at risk of harm or abuse. Increased complaints. Legal challenge. Reputational damage. Financial Risk	4	4	12	Tim Aldridge	Effective and robust multi-agency safeguarding processes are inplace via the Multi-AgencySafeguarding Hub (MASH)	Tim Aldridge	4	2	8	
							Quality assurance, case supervision and audit activity takes places regularly	Tim Aldridge				
								Kate Dempsey				
							Workforce Development and Retention plans in palce					
							Havering Safeguarding Board provides oversight through partnerhsip	Tim Aldridge				
							Financial Recovery plans and are being monitored	Tim Aldridge				
							Ofsted Improvement plan agreed and is rgularly monitored	Tim Aldridge				

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