



Havering

LONDON BOROUGH

OVERVIEW & SCRUTINY BOARD AGENDA

7.30 pm

Tuesday
4 July 2023

Havering Town Hall,
Main Road, Romford

Members 12: Quorum 5

COUNCILLORS:

Conservative Group (4)

Dilip Patel
Keith Prince
Timothy Ryan
David Taylor

Labour Group (2)

Mandy Anderson
Katharine Tumilty

Havering Residents' Group (5)

Laurance Garrard
Gerry O'Sullivan (Chairman)
Philip Ruck (Vice-Chair)
Natasha Summers
Bryan Vincent

East Havering Residents (1)

Martin Goode

For information about the meeting please contact:

Anthony Clements 01708 433065
anthony.clements@oneSource.co.uk

Under the Committee Procedure Rules within the Council's Constitution the Chairman of the meeting may exercise the powers conferred upon the Mayor in relation to the conduct of full Council meetings. As such, should any member of the public interrupt proceedings, the Chairman will warn the person concerned. If they continue to interrupt, the Chairman will order their removal from the meeting room and may adjourn the meeting while this takes place.

Excessive noise and talking should also be kept to a minimum whilst the meeting is in progress in order that the scheduled business may proceed as planned.

Protocol for members of the public wishing to report on meetings of the London Borough of Havering

Members of the public are entitled to report on meetings of Council, Committees and Cabinet, except in circumstances where the public have been excluded as permitted by law.

Reporting means:-

- filming, photographing or making an audio recording of the proceedings of the meeting;
- using any other means for enabling persons not present to see or hear proceedings at a meeting as it takes place or later; or
- reporting or providing commentary on proceedings at a meeting, orally or in writing, so that the report or commentary is available as the meeting takes place or later if the person is not present.

Anyone present at a meeting as it takes place is not permitted to carry out an oral commentary or report. This is to prevent the business of the meeting being disrupted.

Anyone attending a meeting is asked to advise Democratic Services staff on 01708 433076 that they wish to report on the meeting and how they wish to do so. This is to enable employees to guide anyone choosing to report on proceedings to an appropriate place from which to be able to report effectively.

Members of the public are asked to remain seated throughout the meeting as standing up and walking around could distract from the business in hand.

OVERVIEW AND SCRUTINY BOARD

Under the Localism Act 2011 (s. 9F) each local authority is required by law to establish an overview and scrutiny function to support and scrutinise the Council's executive arrangements.

The Overview and Scrutiny Board acts as a vehicle by which the effectiveness of scrutiny is monitored and where work undertaken by themed sub-committees can be coordinated to avoid duplication and to ensure that areas of priority are being reviewed. The Board also scrutinises general management matters relating to the Council and further details are given in the terms of reference below. The Overview and Scrutiny Board has oversight of performance information submitted to the Council's executive and also leads on scrutiny of the Council budget and associated information. All requisitions or 'call-ins' of executive decisions are dealt with by the Board.

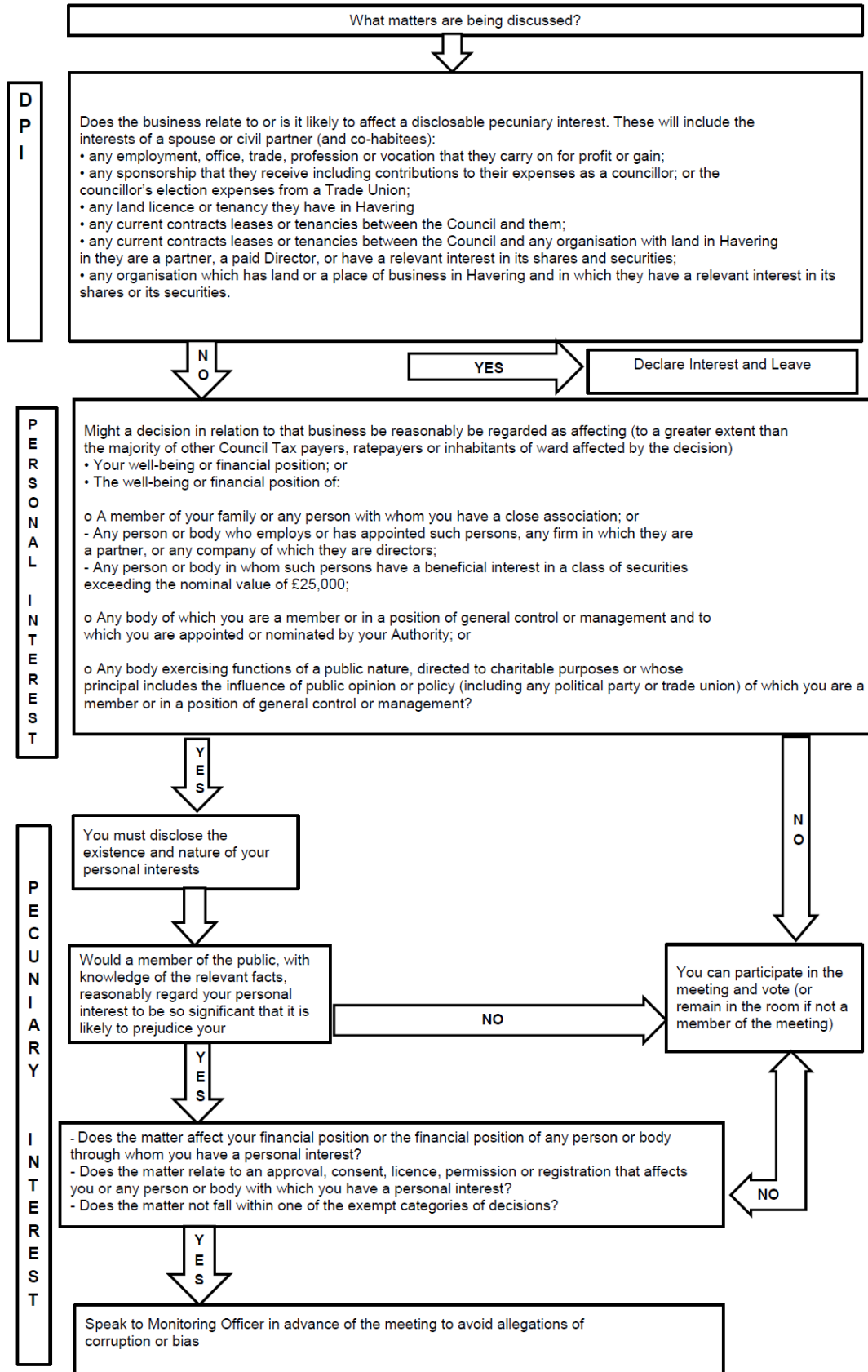
The Board is politically balanced and includes among its membership the Chairmen of the six themed Overview and Scrutiny Sub-Committees.

Terms of Reference:

The areas scrutinised by the Board are:

- Strategy and commissioning
 - Partnerships with Business
 - Customer access
 - E-government and ICT
 - Finance (although each committee is responsible for budget processes that affect its area of oversight)
 - Human resources
 - Asset Management
 - Property resources
 - Facilities Management
 - Communications
 - Democratic Services
 - Social inclusion
 - Councillor Call for Action
-

DECLARING INTERESTS FLOWCHART – QUESTIONS TO ASK YOURSELF



AGENDA ITEMS

1 CHAIRMAN'S ANNOUNCEMENTS

The Chairman will announce details of the arrangements in case of fire or other events that might require the meeting room or building's evacuation.

2 APOLOGIES FOR ABSENCE AND ANNOUNCEMENT OF SUBSTITUTE MEMBERS

Apologies have been received from Councillor Bryan Vincent.

To receive any other apologies for absence.

3 DISCLOSURE OF INTERESTS

Members are invited to disclose any interest in any of the items on the agenda at this point of the meeting.

Members may still disclose any interest in an item at any time prior to the consideration of the matter.

4 MINUTES (Pages 1 - 8)

To approve as a correct record the minutes of the meeting of the Board held on 30 March 2023 (attached) and to authorise the Chairman to sign them.

5 COMMENTS ON PRE-DECISION SCRUTINY REPORTS

The Board is asked to agree any comments to be passed to Cabinet on the following reports which are subject to pre-decision scrutiny:

- East London Waste Authority – Outline Business Case
- Procurement of Highways and Street Lighting Contracts

6 SCOPE OF PARKING ENFORCEMENT PROCESS TOPIC GROUP (Pages 9 - 12)

Report attached.

7 ANNUAL REPORT OF BOARD (Pages 13 - 16)

Attached for noting.

8 COUNCIL RISK REGISTERS (Pages 17 - 54)

Report and registers attached.

Zena Smith
Democratic and Election Services Manager

Public Document Pack Agenda Item 4

**MINUTES OF A MEETING OF THE
OVERVIEW & SCRUTINY BOARD
Havering Town Hall, Main Road, Romford
30 March 2023 (7.30 - 9.57 pm)**

Present:

COUNCILLORS

Conservative Group	Timothy Ryan, Christine Smith and David Taylor
Havering Residents' Group	Laurance Garrard, Gerry O'Sullivan (Chairman) and Bryan Vincent
Labour Group	Mandy Anderson and Katharine Tumilty
East Havering Residents' Group	Martin Goode

All decisions were taken with no votes against.

The Chairman reminded Members of the action to be taken in an emergency.

Note: Action points shown in bold below.

35 **APOLOGIES FOR ABSENCE AND ANNOUNCEMENT OF SUBSTITUTE MEMBERS**

Apologies were received from Councillors Philip Ruck, Natasha Summers and Damian White.

36 **DISCLOSURE OF INTERESTS**

There were no disclosures of interest.

37 **MINUTES**

The position regarding the referral of recommendations and comments by the Board to Cabinet would be clarified by officers. A request for a list of actions to be included in subsequent minutes was noted.

The minutes were otherwise agreed as a correct record and signed by the Chairman.

38 **PARKING - PENALTY CHARGE NOTICES**

The parking manager explained that there were three types of parking penalties issued – those fixed to windscreens, issued by post and bus lane or moving traffic violations which were also issued by post.

The recovery process allowed for a discount if fines were paid within 14 days or full payment was required if paid within 15-28 days. Challenges to Penalty Charge Notices could be informal, formal or by representation. Informal challenges could be by post or on-line with the appeal decision binding on both sides. The statutory timeframe for responding to formal representations was 56 days. In total in 2021/22, of around 120k penalties issued, approximately 7,900 were cancelled.

Future developments could include moving Havering into a higher Band A level for parking charges. Members raised that many pay and display machines were not working and that many older people may not be able to use a mobile phone or the parking app. It was also pointed out that the parking policy on the Council's website did not mention the RingGo app. In response, officers confirmed that, if no parking machines were working, free parking would be allowed although a maximum stay period would still apply.

Whilst some old parking machines would be replaced, any App-only parking spaces would also have Paypoint facilities nearby. It was not currently the policy in Havering that people had to use the app and penalties would be cancelled if there were no working machines available in area. The use of the app would be addressed during training for parking officers. Havering was within the London average for parking tickets issued **and officers could supply further details of this.**

A rationalisation of pay and display machines was being carried out but only underused machines would be removed and local Paypoint facilities would be available as an alternative to the app. Members had received many reports of parking machines not working but it was clarified that it was not planned to reduce the number of parking machines in the Hilldene area.

Staff were trained on how to check for Member permits. The need to update their location if for example officers moved into a car park area would be addressed through training. It was clarified that an extra seven days would be allowed for the receipt of penalty payments made by post.

Complaints re the parking service were dealt with by the Neighbourhoods Business Support Team and **officers could supply information on the reasons for complaints.** All complaint responses were reviewed by team leaders although relatively few complaints were received about parking officers. **The St Edwards ward not being on the parking system would be addressed by officers.**

Any cancellations of charges at the informal stage could be dealt with more quickly but responses were often only received at the formal stage. Every

case lost was reviewed and training on the issues raised would take place if necessary. **Information on targets for levels of cancellations could be brought to a future meeting.**

The increase in income from the whole of the borough moving into band A was not known at this stage. **Data on the introduction of this in other boroughs could be provided.** Disabled residents receiving tickets could seek advice using the automated phone line service although appeals had to be on-line and could not be taken over the phone. Specific details of issues encountered by disabled residents could be forward by Members to officers who would investigate.

Enforcement of parking around residential dropped kerbs would only take place if the resident requested this. It was accepted that parental parking around schools was often problematic. Instances of trees obscuring parking signs were reported to Highways for adding to their programme of works.

There had been a slight increase in moving traffic penalties in School Streets areas but compliance was now improving. **Officers could supply figures on this.**

It was **agreed** that a task and finish group on the appeals process be established although officers advised that it was important to consider what outcomes were desired from the review and to ask Members to give feedback and volunteer to be on the task and finish group.

39 RISK REGISTER

Oversight of the risk register was carried out by the Governance and Assurance Board which was chaired by the s. 151 officer. The risk scores shown on the register were based on impact and likelihood of the event and had been reviewed recently.

IT investment had been earmarked in the cyber resilience programme and **the date of the next IT Plan refresh could be confirmed.** The forthcoming disaggregation of the Havering and Newham IT departments was likely to accelerate decisions on IT investment. A Cabinet report on IT was expected in April 2023 which could also go to Overview and Scrutiny.

The impact of the ULEZ expansion on care staff was not specifically in the corporate risk register although this area was addressed in the Adult Social Care risk register. A Member felt that the climate emergency was not fully reflected in the corporate risk register even though a motion on this had been recently agreed at Council. It was also felt that instability in the financial sector should be higher in the register. Members also felt that the risks to workforce culture from issues such as the Onesource split and working from home should be reflected on the register. Officers responded that workforce risk was included in the register but this could be revisited. **Officers would confirm the proportion of leaving interviews conducted with staff.** The workforce strategy had been agreed by Cabinet and a

consultation on the Target Operating Model had recently begun. Regeneration risks in the register did reflect the position with the financial markets.

The risk of issues such as a shortfall in available housing were likely to be contained on the housing risk register. **Further details of processes around the Multi-Agency Risk Assessment Conferences (MARAC) could be provided. Clarification would also be provided regarding what information went out with Council Tax bills regarding payment difficulties.** Council Tax bills had already been sent out and officers confirmed that these did include advice for residents who were struggling to pay.

As regards housing, officers could provide more details on service delivery and the housing risk register as well as whether the risks of joint ventures with external partners were also included.

Members felt that the Board could usefully scrutinise the Council's transformation agenda such as the split of some services from Onesource, IT provision and workforce culture. The cost of capital programmes and the interest costs on e.g. regeneration projects could also be looked at. It was noted that some of these issues were monitored by the Audit Committee and the Governance Assurance Board.

A Member raised concerns about a possible shortfall in social housing should any Joint Ventures or other capital programmes not go ahead. This could be considered by the Places Overview and Scrutiny Sub-Committee if needed.

40 **OVERALL COMPLAINTS ISSUES**

Changes to the Council's complaints policy had been proposed across three workstreams – policy, team and system with the aim of having a consistent, easy to understand complaints policy, bringing all Council complaints teams together.

A new IT system had been purchased covering complaints, Freedom of Information requests and Member enquiries. The first unit, covering Freedom of Information complaints was due to go live in May 2023. Consultation had been undertaken on the new policy, an All Member Briefing arranged and initial Cabinet sign-off completed. Discussions had also been undertaken with complainants, the Local Government Ombudsman and other parties.

It was planned to simplify the complaints process to one or two stages. Staff engagement had taken place in January 2023 and a Cabinet report on the new complaints policy was expected in June with the new system being delivered by October 2023.

Overall complaints data was shared with the Board but more detailed data on complaints outcomes etc would be available under the new system. New performance indicators would be developed in line with the Target Operating Model which would provide better outcomes for residents.

Officers could provide details on the position with Subject Access Requests to the Council and information on the outcomes of stage 3 complaints. It was confirmed that stage 2 recommendations were followed up but there was not any national requirement to have a third stage of the process.

No cost benefit analysis of defending complaints had been undertaken as such and officers agreed that it was important to take learning from complaints rather than just settle. Guidance from the Ombudsman was also used. Members felt it was important to join up the different Council complaints systems as complaints allowed for judging the efficiency of an organisation. The need for strict Service Level Agreements with service providers was also important.

Feedback was given to the service at stages 2 and 3 but it was important to seek to obtain a clear set of actions for improvement by the service. The Ombudsman Annual Letter was considered by the Governance Committee and **officers would confirm when this was due.** The Monitoring Officer would decide when a complainant was considered vexatious and **details of this could be given at a future meeting of the Board.** The number of residents considered as vexatious was very low.

Members welcomed the new approaches and the plans to bring complaints teams together under a proposed new Director of Customer Service. **Updates on progress could be given to the Board in due course.**

41 **WASTE COLLECTION COMPLAINTS**

The current waste contract with Serco would move to a new provider – Urbaser from October 2022. Complaints about the service were monitored by the business support team and then passed to the contract manager's team. Targeted monitoring could take place of areas where complaints were made. Feedback was given to the contractor where immediate action was required.

In-person monitoring would take place on a number of issues including frequently missed properties, crew compliance, health and safety and ensuring that correct tipping took place at Frog Island. Desktop monitoring covered areas such as Key Performance Indicators, the number of complaints and the use by crews of in-lab technology.

It was accepted that there was a lack of refuse complaints data for 2021 although the corporate complaints process was suspended during the

pandemic period. More complaints had been received in 2022, partly due to a shortage of refuse drivers. Complaints often ran parallel to the number of missed collections. These were required to be rectified within 24 hours.

Financial penalties of up to £25k could be applied to the current contractors if Key Performance Indicators were not met. Underperforming crews would also be identified with the contractor. The new contract would integrate waste and street cleansing and a larger monitoring team would be introduced as part of the Target Operating Model. Increased use of technology would allow better reporting of issues by the public. Data would also be used to work more closely with the enforcement team with measures such as the use of GPS or cameras on vehicles.

Targets for the clearance of flytips were being met in nearly every month. Key Performance Indicators would be reviewed in order to have more positive data also reported. The service was aware of the risk of digital exclusion and difficulties with reporting missed collections by phone were a corporate issue.

It was clarified that collection days would remain the same for the first six months of the new contract. The contractor would be able to request changes after this point if necessary. The flow of information from the contractor to residents was expected to be better under the new contract. Any reduction in collection frequency would be a decision for the Council, the contractor would be unable to do this unilaterally.

It was confirmed that the separate tipping of recycling and general waste was monitored at Frog Island. A Member noted that only 1% of general waste at Frog Island went to landfill and felt this message should be publicised more widely. **A visit to Frog Island could be arranged for Members and a presentation on how waste was dealt with could be circulated to the Board.**

Enforcement of people for example putting refuse bags out too early was now more complex as it was necessary to prove a detriment to the local environment. Levels of financial penalties would be included in the new contract but this had to reflect the level of Council intervention. **Officers would confirm the mechanism for calculating penalties in the new contract.** Some leeway was given to the contractor at the start of the pandemic but poor collection performance was penalised. **The level of fines issued under the current contract could also be confirmed.**

Chairman

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Overview & Scrutiny Board

4 July 2023

Subject Heading:

Scope of Parking Enforcement Process
Task and Finish Group

SLT Lead:

Gavin Milnthorpe – Deputy Director of
Legal Services

Report Author and contact details:

Anthony Clements Principal Democratic
Services Officer
anthony.clements@onesource.co.uk

Policy context:

The report deals with a statutory process.

Financial summary:

There is no significant financial impact
from the statutory processes as these
requirements are being met by existing
budgets.

The subject matter of this report deals with the following Council Objectives

People - Things that matter for residents

Place - A great place to live, work and enjoy **X**

Resources - A well run Council that delivers for People and Place

SUMMARY

In accordance with paragraph 3 (b) (viii) of the Overview & Scrutiny Committee Rules, the proposed scope of the Parking Enforcement Task and Finish is submitted to the Overview and Scrutiny Board for approval.

RECOMMENDATION

That the Board approves the attached scope of the Parking Enforcement Topic Group.

REPORT DETAIL

In accordance with Overview and Scrutiny Procedure Rule 3 (b) (viii) the attached draft scope of the Parking Enforcement Task and Finish Group is submitted for discussion and approval by the Board.

IMPLICATIONS AND RISKS

Financial implications and risks: None of this covering report.

Legal implications and risks: None of this covering report.

Human Resources implications and risks: None of this covering report.

Equalities implications and risks: None of this covering report.

Environmental and Climate Change implications and risks: None of this covering report.

BACKGROUND PAPERS

None.

OVERVIEW AND SCRUTINY BOARD

SCOPING DOCUMENT FOR PARKING ENFORCEMENT PROCESS TASK AND FINISH GROUP

MEMBERS OF THE TOPIC GROUP:

Councillor Gerry O’Sullivan (Chairman)
Councillor Mandy Anderson
Councillor Martin Goode
Councillor Phil Ruck
Councillor Katharine Tumilty

Lead Officer Support: Imran Kazalbash/Mark Hodgson/Jo Anne Green

• Objectives of Review

- To review the relevant parking enforcement policies and regimes adopted by the Council.
- To make recommendations regarding the Councils Parking Enforcement policies and regimes going forward with a particular focus on
 - Improving customer experience
 - Maximising compliance
 - Reducing any confusion
 - Improve communications
 - Digital enabling

Key Considerations and Aspects for Investigation

The review will be broken into three sections:

CEO Arrangements

- Recruitment and induction
- Ongoing staff training, review and monitoring
- Performance and performance statistics
- Service and customer care
- Relevant London benchmarking statistics

Parking Regimes and Policy

- Local enforcement policy and “rules”
- Pay and Display machine issues and local approach to defective machines
- Time / stay duration and “no return” limits for on v off street
- Free parking offer
- Future pay and display machine provision

- Current income split (cash, cashless etc)

Appeals Process

- Process and statistics – key reasons for appeals, allowed appeals, cancellations, trends (officer, location etc)
- Communications / correspondence as part of appeals process
- Road marking maintenance arrangements
- Back office team training and qualifications
- Benchmarking – to include comparison of key statistics, any patterns for those with in / outsources services, comparison of last year v first quarter 2023/4

Key Dates and Target Date for Completion

This scoping document will be presented to the Overview and Places Scrutiny Board on 4 July 2023.

Key milestones:

Activity	Deadline / target date
Agree this scope	23 June 2023
Allocate lead officer	End June
Share scope with O & S Board and adjust if needed	4 July 2023
First draft report	End October
Final report	End November
Present to O & S Board OSSB and agree report and recommendations	TBC (Autumn)

Witnesses to be consulted-

- Elected members
- Business representatives
- Residents
- Staff – CEOs, supervisors, managers
- Members to observe enforcement on the ground
- Members to review appeal
- Consider speaking with other councils

Other sources of information-

- London Councils and Adjudicator data
- Councils data bases

• Approximate Frequency of Meetings

- Suggested – fortnightly.



Overview and Scrutiny Board Annual Report 2022/2023

CHAIRMAN'S FOREWORD

I am pleased to give this short introduction to the summary of the Board's work during the 2022-2023 municipal year. Details are given below of elements of the Board's work this year including call-ins and budget scrutiny.

I would like to place on record my thanks to the other members of the Board and all the Council officers who have supported the Board's work this year. The annual reports of the respective Overview and Scrutiny Sub-Committees are attached to this report for information.

I commend this annual report and am pleased to submit it to full Council.

REMIT AND MEMBERSHIP OF THE COMMITTEE

The Board has responsibility for hearing all requisitions ('call-ins') of Council decisions. The Board also leads on the pre-decision scrutiny of forthcoming Council plans and decisions.

The Overview and Scrutiny Board is also responsible for scrutiny of the following areas:

- Strategy and commissioning
- Partnerships with Business
- Customer access
- E-government and ICT
- Finance
- Human resources
- Asset Management
- Property resources
- Facilities Management
- Communications
- Democratic Services
- Social inclusion
- Councillor Call for Action

The Members who served on the Overview and Scrutiny Board during the year were:

Councillor Gerry O'Sullivan (Chairman)

Councillor Phil Ruck (Vice-Chairman)

Councillor Mandy Anderson

Councillor Sarah Edwards

Councillor Laurance Garrard

Councillor Martin Goode

Councillor Jackie McArdle

Councillor Tim Ryan

Councillor Christine Smith

Councillor Natasha Summers

Councillor David Taylor

Councillor Katharine Tumilty

Councillor Bryan Vincent

Councillor Damian White

OVERVIEW AND SCRUTINY BOARD – REVIEW OF ACTIVITY, 2022/23 MUNICIPAL YEAR

1. Call-ins of Executive Decisions

In February, the Board considered a call-in (requisition) of the contract award authorisation for the extension and modification of Central Depot. The proposals were scrutinised by the Board with particular emphasis being given to the lack of costings in the original proposal. Whilst the call-in was not upheld, the Board did make a recommendation that all relevant information, particularly capital costs, should be available in future reports.

2. Finance and Budget Issues

The Board has, throughout the year, sought to undertake thorough scrutiny of the Council's financial position, particularly given the current challenging economic climate. In October, the Board discussed with officers reductions in funding from Central Government. It was also noted that increases in demand

for both Adults and Children's Social Care were putting pressure on the Council's finances.

Formal scrutiny of the Budget and Council Tax proposals was undertaken by the Board in February. Scrutiny discussions concerned the impact of the rise in the cost of living on many areas of the budget. Savings proposals in response to the Council's overspend and reductions in Central Government funding were also scrutinised.

The Board made a number of recommendations to Cabinet on the budget proposals covering areas such as housing contractor performance, social care spending and the use of earmarked reserves.

3. Emergency Planning and Resilience

The Board was advised that the Wennington fires in June 2022 had been the only major incident in the borough in the previous five years. The Board however conducted a detailed scrutiny of a number of areas including the nature of major incident exercises, notification of incidents to Members and opportunities for Member training in these areas.

4. Levels of Corporate Risk

A key focus of the Board's work throughout the year has been to scrutinise the level of risk to the Council and how this is managed. This has included scrutiny of the risk management process itself, the response and ongoing recovery work in relation to the Wennington fires and financial issues related to the Council's Joint Venture work. The Board also scrutinised the borough's level of cyber-resilience and risks to the Council of any shortfall in the availability of housing.

5. Resilience of Care Home Market

At its October meeting, the Board considered the available capacity of the care home market in Havering and mitigations to reduce the impact of provider failure. Difficulties for care home providers were also scrutinised including issues such as staff recruitment/retention, the National Living Wage and the risk of burnout or stress.

6. Parking Enforcement

The Board has begun to scrutinise areas related to the Parking Enforcement process including the reasons for successful challenging of some Penalty Notices and the risk of digital exclusion if residents are unable to use the app to pay for parking. This has resulted in the recent establishment of a task and finish group to scrutinise these issues in more detail.

7. Corporate Complaints Process

In March, the Board undertook scrutiny of the proposed new complaints policy which would be more consistent and easier to understand. Consideration was also given to waste collection complaints with scrutiny of the financial penalties levelled on the contractor and that a larger monitoring team would be introduced as part of the new contract.

IMPLICATIONS AND RISKS

Financial implications and risks:

None – narrative report only.

Legal implications and risks:

None – narrative report only.

Human Resources implications and risks:

None – narrative report only.

Equalities implications and risks:

While the work of the Board can impact on all members of the community, there are no implications arising from this specific report which is a narrative of the Board's work over the past year.

Environmental and Climate Change Implications and Risks

None – narrative report only.

BACKGROUND PAPERS

None.

Overview & Scrutiny Board

4 July 2023

Subject Heading:

Council Risk Registers

SLT Lead:

Neil Stubbings, Director of Regeneration
Programme Delivery

Report Author and contact details:

Anthony Clements Principal Democratic
Services Officer
anthony.clements@onesource.co.uk

Policy context:

The report deals with a statutory
process.

Financial summary:

There is no significant financial impact
from the statutory processes as these
requirements are being met by existing
budgets.

The subject matter of this report deals with the following Council Objectives

People - Things that matter for residents

Place - A great place to live, work and enjoy X

Resources - A well run Council that delivers for People and Place X

SUMMARY

Officers will provide the Board with details of the risk register and associated issues as they apply to the Council regeneration projects.

RECOMMENDATION

That the Board considers the information presented at the meeting on the Corporate, Housing and Regeneration risk registers and associated issues and makes any recommendations it considers appropriate.

REPORT DETAIL

- 1.1 The Overview and Scrutiny Board has recently asked for information on the Council's risk register as it applies to the various Regeneration projects. It was felt that the risk to the Council of issues such as rising interest rates and falling house prices should be scrutinised in more detail.
- 1.2 It is appreciated that these issues are connected to wider financial issues affecting the Council as a whole. As such, the Board also wishes to scrutinise the Council's expenditure on capital funding, the cost of borrowing and the impact of this on the Medium Term Financial Strategy.
- 1.3 More details on all the above issues will be presented by officers at the meeting. This will allow the risk register information to be presented to Members in as effective a way as possible and assist an effective scrutiny of these important areas. The corporate risk register as well as those covering housing and regeneration are attached to this report.

Financial implications and risks: None of this covering report.

Legal implications and risks: None of this covering report.

Human Resources implications and risks: None of this covering report.

Equalities implications and risks: None of this covering report.

Environmental and Climate Change Implications and Risks: None of this covering report.

Directorate Details

Directorate

Profile Totals	0	0	0	10	0	Total	10
Changes				3	1		5 9

Total Risks including Unassigned 13

0	0	0	0	0
0	0	1	3	0
0	0	3	5	0
0	0	1	0	0
0	0	0	0	0

Risk Register - LB Havering Corporate Risk Register

Manager Maria Denton

Profile Totals	0	0	0	10	0	Total	10
Changes				3	1		5 9

Total Risks including Unassigned 13

0	0	0	0	0
0	0	1	3	0
0	0	3	5	0
0	0	1	0	0
0	0	0	0	0

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Financial Resilience - Inability to deliver a balanced budget	HAV0005	Default	<div style="width: 14%; background-color: red;">14 % complete</div>	20/03/2023	20/05/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
<p>The Council is unable to deliver a balanced budget as a result of:</p> <ul style="list-style-type: none"> Inadequate Government Funding Rising Demographic pressures and/or increased complexity of Social Care Rapidly increasing inflation Cost of Living Crisis Delay or non-achievement of planned MTFS savings Inability to forecast due to uncertainty over medium term Government Funding Uncertainty regarding timing of future Government funding reforms including introduction of the care cap (currently no sooner than October 2025), whilst being required by government to move towards the median cost of care. Difficulty in identification of further efficiencies and savings following a decade of Austerity and increased demand following the COVID pandemic Government changes in policy e.g. changes to Home Office refugee dispersal 		<ul style="list-style-type: none"> Covid focused mitigations <i>Default</i> Early diagnosis of the financial gap to allow time for actions to be put in place including new savings proposals. <i>Default</i> Lobby the Government at every available opportunity <i>Default</i> The Council has developed over £30m of savings proposals (over 4 years) which are being consulted on <i>Default</i> The Council continues to review its structure <i>Default</i> The Council is in the process of reviewing the Capital Programme <i>Default</i> 	<ul style="list-style-type: none"> Implemented In Progress In Progress In Progress In Progress 		12	High	12

		• The Council has developed action plans to mitigate and reduce the in-year overspend including <i>Default</i>	In Progress			
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Review Comments review and update by Julie O
20/03/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Technology: Business Continuity Planning - Business Continuity (BC) and Councils Service Resilience in the event of an IT Outage	HAV0019	Paul Fisher	<div style="width: 0%;"></div> 0 % complete		09/05/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating	
Key potential causes are: - Unavailability of IT and/or Telecoms, including from cyber attack - Reduced chances of preventing/responding to incidents due to a lack of forward planning or investment.	If the council has a Business Continuity disruption and is unable to ensure the resilience of key Council operations and business activities, then the impact of the event may be increased with a greater impact on people and council Services.	• BCP Transformation Project <i>Paul Fisher</i>	In Progress		9	High		
		• Alignment of outages to scenarios <i>Paul Fisher</i>	In Progress			16	High	
		• Disaster Recovery capabilities verification <i>Paul Fisher</i>	In Progress				High	
		• Applications Audit <i>Paul Fisher</i>	In Progress					

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Technology: Cyber Security - Technical Controls and Platforms	HAV0004	Alexandra West	<div style="width: 25%;"></div> 25 % complete	09/03/2023	09/05/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
The Council's risk level regarding Cybersecurity is higher than should be expected due to appropriate technical controls not being in place. Key potential causes are: - Lack of investment in appropriate technologies. - Reliance on in-house expertise, and self-assessments (PSN).		• Covid focused mitigations <i>Default</i>	Implemented		8	High	12
		• Cyber Security - Technical Controls & Platforms: Cyber Security Programme <i>Alexandra West</i>	In Progress			High	4
		• Cyber Security – Technical Controls & Platforms: Network Refresh Programme <i>Alexandra West</i>	In Progress				High

		• Cyber Security – Technical Controls & Platforms: Security Operations Centre Provision <i>Alexandra West</i>	In Progress			
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Review Comments Risk split into 4 CRR and content for update provided by ICT (Simon Oliver).
09/03/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Failure to adapt to the potential impacts of climate change	HAV0007	Default	<div style="width: 50%; background-color: red;"></div> 50 % complete	15/03/2023	15/05/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
The causes of climate change are set out in the modelling of impacts of a warming planet. The Council response to these impacts has not been adequately addressed.	Flash flooding – pluvial (rain): Localised, severe impacts, Road network impacted	• Havering Climate Change Action Plan <i>Default</i>	In Progress		6	Medium	8
	Fluvial flooding – (Main water Courses) Damage to property and infrastructure Increased storminess – Damage to the built environment and individuals Heatwaves: Increased risk of fires and damage to infrastructure, Reduction in summer water Climate forced immigration Risk of invasive species becoming more prevalent. Health of residents adversely impacted	• Inclusion in Business Continuty and Emergency Plans <i>Default</i>	Implemented			12 High Medium	

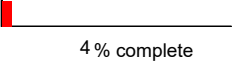
Review Comments Update provided by Nick Kingham - further input needed from a wider group of officers and links to DRRs etc to be established . Risk is new and a WIP.
15/03/2023


Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Failure to deliver strategic corporate priorities	HAV0013	Default	<div style="width: 50%; background-color: red;"></div> 50 % complete	20/03/2023	20/05/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
The Budget pressures combined with unprecedented levels of demands (e.g. for children's and adult's services), may have an impact on the ability to deliver corporate priorities in line with resident's demands and perception.	Council priorities are not met leading to dissatisfaction from residents.	• Covid focused mitigations <i>Default</i>	Implemented		6	Medium	
	There is a risk that a breakdown in the Council relationship with residents could lead to a lack of trust and engagement, poor communication, non	• Covid focused mitigations <i>Default</i>	Implemented			12 High Medium	

	delivery of objectives; and, failure to meet expectations. Risk that a loss of trust occurs if complaints and Member's Enquiries handled poorly or in an untimely manner.	<ul style="list-style-type: none"> • Covid Focused Mitigations <i>Default</i> • Community focused campaigns and programmes in place <i>Default</i> • Resident engagement, consultation and participation <i>Default</i> • Corporate plan with established priorities supports delivery of key programmes and is monitored regularly. <i>Default</i> 	Implemented In Progress In Progress In Progress			
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Review Comments Review completed by Julia Blow and Gemma Benham on 20th March 2023.
20/03/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Potential harm to people we owe a duty of care	HAV0006	Default	 4 % complete	21/03/2023	21/05/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Social care fails in its duty of care, particularly to the vulnerable in society (as a result of workforce challenges - recruitment and retention of experienced and qualified staff - increased hospital attendances / more complex case work etc.) resulting in avoidable harm to a vulnerable adult or child. <ul style="list-style-type: none"> • Adult social care and Council 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. This includes illegal deprivation of liberty of users of services, where the appropriate Deprivation of Liberty Safeguard is not in place. • Children's Social Care fails in its duty of care to children and a child is harmed or dies as a result of those failures. • Cost of living crisis leading to increased risks of homelessness, domestic violence and crime 		<ul style="list-style-type: none"> • COVID Specific Mitigations <i>Default</i> • Quality process in place including contract monitoring for framework and residential providers <i>Default</i> • A Quality Assurance Framework provides a risk based approach to the care market <i>Default</i> • Transparent and robust Guidance for Suspension of Placements with adults providers <i>Default</i> • Strong links with CQC with early notification of problems with providers <i>Default</i> • Robust Adults Establishment Concerns & Failure Procedure and Guidance <i>Default</i> 	Implemented In Progress In Progress In Progress In Progress		8 12 Medium	Medium High Medium	8  4

		<ul style="list-style-type: none"> • Sharing of information and intelligence with other Local Authorities at the Local Adults Quality and Safeguarding Group (monthly) <i>Default</i> • Appropriate and effective safeguarding processes and arrangements in place for children and adults <i>Default</i> • Training in Multi Agency Safeguarding Hub <i>Default</i> • Regular Safeguarding and Oversight meeting chaired by AD Adult Safeguarding and AD Children's services <i>Default</i> • Safeguarding Policies and Guidance are reviewed and updated <i>Default</i> • Staff are appropriately supervised to be able to carry out their roles to a high standard <i>Default</i> • Safeguarding Adults Board (SAB) and Local Safeguarding Partnerships (for Children) in place <i>Default</i> • Robust process to escalate cases to MARAC ensuring partnership approach <i>Default</i> • Safeguarding Adult Team attend Team Meetings to provide relevant updates around key topics such as MCA or DV <i>Default</i> • Residential and nursing home safeguarding training <i>Default</i> • Council's cost of living response to mitigate financial pressures on residents <i>Default</i> • Children's Services benchmarking through the London Innovation and Improvement Alliance performance dataset <i>Default</i> 	<p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p>			
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		<ul style="list-style-type: none"> • Robust Quality Assurance Framework and learning through Rapid reviews and learning dissemination in Children's Services. <i>Default</i> • Involvement in the LIIA Recruitment microsite and London Pledge work <i>Default</i> • Adults and Children's Social Care (ASC) - Resilience business case to address staffing pressures <i>Default</i> • Broad range of targeted training available to social care staff and managers to ensure all are properly equipped . <i>Default</i> • Regular Review of Safeguarding caseloads across teams <i>Default</i> • Monitoring of demand via referrals to Multi-Agency Safeguarding Hub (MASH) <i>Default</i> • Recruitment processes underway for Social workers in Havering <i>Default</i> • Monitoring and continuation of early help and intervention work where possible, in line with model of practice <i>Default</i> 	In Progress			
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Review Comments SLT review17/3 and comments from BN 20/3/23
21/03/2023


Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Workforce	HAV0014	Default	<div style="width: 13%; height: 10px; background-color: red;"></div> 13 % complete	15/03/2023	15/05/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating

<p>There is a risk that the current workstream demands across the Council result in pressure being placed on resources. This risk also recognises challenges around recruitment and retention of staff and maintaining skills, knowledge and capabilities.</p>	<p>This could lead to the Council struggling to meet changes in demand for services. There could be a loss of experienced staff due to sickness as well as staff leaving for other jobs (given the rising cost of living), with a subsequent impact on service delivery. National Pay negotiations will have a financial impact.</p> <p>This will require a more general update once the Council's Vision, Target Operating Model (TOM) and People Strategy are agreed by Cabinet in November.</p>	<ul style="list-style-type: none"> Implementation of a new Workforce Strategy <i>Default</i> 	In Progress	<p>9</p>	Medium
		<ul style="list-style-type: none"> Revised policies and procedures in place <i>Default</i> 	In Progress		12
		<ul style="list-style-type: none"> Promotion and monitoring of staff wellbeing <i>Default</i> 	In Progress		High
		<ul style="list-style-type: none"> Data analysis of turnover followed by action plans to respond <i>Default</i> 	In Progress		Medium
		<ul style="list-style-type: none"> Work underway to review workforce trends and hotspots and implement solutions as appropriate <i>Default</i> 	In Progress		
		<ul style="list-style-type: none"> Target Operating Model is reviewing the organisation structures to support the Corporate Plan objectives. <i>Default</i> 	In Progress		
		<ul style="list-style-type: none"> Development of grow our own workforce strategies in Social care <i>Default</i> 	In Progress		
		<ul style="list-style-type: none"> Vision, Workforce Strategy and Target Operating Model (TOM) approved by cabinet <i>Default</i> 	Implemented		

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Review Comments Reviewed and updates provided by Jan Douglas at GAB 15/03/23
15/03/2023


Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Significant Governance or Control Failure - Further work needs to be undertaken to develop a comprehensive, auditable and objective assurance process to give reassurance that the Governance framework is understood and embedded within the organisation. Particular emphasis should be given to ensuring that any change in the governance framework is known and addressed and that new personnel are equipped with the correct knowledge and understanding.	HAV0012	Maria Denton	 <p>44 % complete</p>	15/03/2023	15/05/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating

<p>Cultural failings, poor leadership and ineffective policies and procedures. Increasing financial pressures, reduced staffing capacity and loss of skills, knowledge and experience Increase in commercial activity in local government, accompanied by greater complexity in local delivery and funding arrangements Leadership failings result in inadequate judgement grading on regulated services.</p>	<p>Strategic objectives are not achieved Greater risk of financial loss when governance is poor</p>	<ul style="list-style-type: none"> • Covid focused mitigations <i>Default</i> 	Implemented	<p>9</p>	Medium
		<ul style="list-style-type: none"> • Internal Audit Plan flexible to meet emerging risks <i>Default</i> 	Implemented		12
		<ul style="list-style-type: none"> • Whistleblowing procedures improved and subject to regular review. <i>Default</i> 	In Progress		Moderate
		<ul style="list-style-type: none"> • Governance and Assurance Board continues to operate with regular review of SGIs as reported in the Annual Governance Statement <i>Default</i> 	Implemented		High
		<ul style="list-style-type: none"> • Annual Governance Statement is reviewed following the Delivering Good Governance in Local Government CIPFA/SOLACE Framework. <i>Default</i> 	In Progress		
		<ul style="list-style-type: none"> • Internal challenge through audit process <i>Default</i> 	Implemented		
		<ul style="list-style-type: none"> • Constitution Review <i>Maria Denton</i> 	In Progress		
		<ul style="list-style-type: none"> • Ongoing review of HR policies <i>Maria Denton</i> • Targeting Operating Model Process <i>Maria Denton</i> 	In Progress		

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Review Comments Reviewed and update at GAB 15/03/23
15/03/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Regeneration (Shaping the Future of the Borough) - impact of costs inflation, social change and economic downturn.	HAV0015	Kirsty Moller	 7 % complete	21/06/2023	21/08/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating

Circumstances that have arisen at other Councils have highlighted the importance of monitoring the sustainability of significant regeneration programmes. Quality of housing in the Borough - ensuring it is fit for the future.
 The current economic climate and outlook presents a challenge to financial viability.

- Implications of the Building Safety Act.
- Fire Safety regulation changes will impact on the viability / cost of schemes.
- Demographic changes impacting on housing needs including changes in government policy

Inflationary rises mean that the cost of developments may not be sustainable / achievable.

- Regeneration schemes, capital budgets and forecasts are reported quarterly to Themed Board.
Kirsty Moller In Progress
- Pipeline Schemes review at Regeneration Officer Board.
Kirsty Moller In Progress
- Annual Business Plan refresh reviews financial viability of JVs.
Kirsty Moller In Progress
- Project progress and risks reviewed at Prouder Steering Group using info recorded on Verto
Kirsty Moller In Progress
- Financial risks are included in each Regeneration Officer Board report for each scheme. ROB is chaired by the s151 Officer.
Kirsty Moller In Progress
- Covid focused mitigations
Kirsty Moller Implemented
- Project risks in Verto link in with Directorate Risk Register
Kirsty Moller In Progress
- Increased monitoring of economic conditions.
Kirsty Moller In Progress
- Greater focus on scheme viability at a project level.
Kirsty Moller In Progress
- Ensure adequacy of scheme contingency allowances.
Kirsty Moller In Progress
- Review of affordable housing products to maximise external grant/income opportunities.
Kirsty Moller In Progress
- Adjust delivery programmes, where appropriate, to respond to the market cycle.
Kirsty Moller In Progress
- Financial Risks are included in each Regeneration Officer Board reports (this occurs on a 6 weekly basis).
Kirsty Moller In Progress

9

Medium
12
High
Medium

		<ul style="list-style-type: none"> Review for a possible need to adjust the tenure mix (a possible mitigation to viability challenges). <i>Kirsty Moller</i> 	In Progress			
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Review Comments Risk & mitigations updated as required, the Regen team are currently reviewing scheme financial information as part of the business plan review process
21/06/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Technology: Information Security Policies and Risk Management	HAV0018	Paul Fisher	0 % complete		09/05/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Key potential causes are: - Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy-in and support to operate an ISMS. Lack of formal approach to risk management (ISO27001).	There is a risk that if the council does not have an Information Security Management System then it will not be able to effectively manage Information Security risks.	<ul style="list-style-type: none"> Information Governance Board Oversight <i>Paul Fisher</i> 	In Progress		4	Medium	16 -7
		<ul style="list-style-type: none"> Policy Review and Update <i>Paul Fisher</i> 	In Progress			Moderate	
		<ul style="list-style-type: none"> Training Provision <i>Paul Fisher</i> 	In Progress			Medium	
		<ul style="list-style-type: none"> Capacity in Information Assurance Team <i>Paul Fisher</i> 	In Progress				
		<ul style="list-style-type: none"> Review of Asset Registers and Owners <i>Paul Fisher</i> 	In Progress				

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Technology: Legacy Systems	HAV0021	Paul Fisher	0 % complete		09/05/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Sovereignty of service areas and a reluctance to change IT systems (or lack of investment budgets) can lead to systems being in place which are incompatible with modern IT controls, leading to sub-optimal workarounds being put into place to maintain operational running.		<ul style="list-style-type: none"> Application Audit <i>Paul Fisher</i> 	In Progress		4	Medium	
		<ul style="list-style-type: none"> Digital Strategy <i>Paul Fisher</i> 	In Progress			Moderate	
		<ul style="list-style-type: none"> Application Rationalisation <i>Paul Fisher</i> 	In Progress			Medium	

- Unavailability of IT and/or Telecoms, including from cyber attack
 - Reduced chances of preventing/responding to incidents due to a lack of forward planning or investment.
 - Instability of the social care market due to problems with financial sustainability, workforce capacity and recruitment means that the Council are unable to commission care and support services for vulnerable residents.
 - Capacity issues within the provider market sector (linked to recruitment and retention) could lead to an inability to meet demand for services.
 - Cost of care in residential homes is incompatible with the Council's rate leading to an unstable market and residential care home refusing to take clients.

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- Due diligence in advance of contract awards
Default
Maria Denton
- Covid focused mitigations
Default
- Major Emergency Plan in place within organisation to mitigate the initial impacts of these types of events
Default
- Corporate Business Continuity Plan and individual service area Business Continuity plans held and updated by services.
Default
- Corporate Business Continuity Plan outlines critical service for initial priorities with included service time scales.
Default
- Individual incident plans for specific scenario for example, Multi-agency flood plan, Excess Deaths Plan, Severe Weather Lon
Default
- Regular updates of plans and testing and exercising associated risks.
Default
- CRR linked to the London Risk register on relating risks, for example R72, R73 and R103 for societal associated risks
Default
- Work with Care Providers Voice, workforce professionals and other partners
Default
- Regular review of market rates, in consultation with local providers and uplifts applied as appropriate
Default
- Monitoring of the Reablement Contract
Default

In Progress
 Implemented
 In Progress
 Implemented
 In Progress
 In Progress
 In Progress
 In Progress
 In Progress

4	Medium
	6
	Moderate
	Low

Review Comments Review and update provided by Kenny Lim 150323
 15/03/2023

Directorate Details

Directorate

Housing Services

Profile Totals	0	2	0	19	0	Total	21
Changes				2	-1		2 -1

0	0	0	0	3
0	1	3	1	0
0	1	3	3	0
0	2	4	3	1
0	0	0	0	0

Total Risks including Unassigned 29

Risk Register - Housing Services

Manager Maria Denton

Profile Totals	0	2	0	19	0	Total	21
Changes				2	-1		2 -1

0	0	0	0	3
0	1	3	1	0
0	1	3	3	0
0	2	4	3	1
0	0	0	0	0

Total Risks including Unassigned 29

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date		
Homelessness Demand Management: Significant pressure on Homelessness allocation due to financial cost of living crisis	ADL0022	Darren Alexander	% complete	18/05/2023	09/07/2023		
Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Ukraine war and significant rise in inflation and interest rates	failure to meet duty under homeless act and cost of hotels				25	High	25 Very High Very High
Review Comments Cost of living crisis has had a significant impact on the Council's ability to secure private rented properties on the open market. This has meant that families including their children have had to occupy hotel rooms for longer than the statutory time limit. 18/05/2023							

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date		
Temporary Accommodation - Overspend Overspend on temporary accommodation due to high demand and low supply.	ADL0036	Darren Alexander	% complete		19/06/2023		
Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Unable to accommodate families and children in suitable properties	Cost pressure on Council would be significant, mental health and wellbeing of families and children would be impacted.				25	High	25 Very High Very High

Housing Services

Risk Register - Housing Services

Manager

Maria Denton

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date		
Bed & Breakfast/Hotel - Fine Fine as a result of the families in Bed and Breakfast Hotel for 6 weeks or more	ADL0037	Darren Alexander	% complete		19/08/2023		
Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Legislation in place to stop Council's for placing families and children in hotels for longer than 6 weeks and the Council is currently facing its most challenging crisis for several years. We have already breached this role.	Impact on children attending schools, lethargic, tired and malnourished. Parents would be financially impacted.				25	High	25 Very High Very High

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date		
Procurement - Unable to deliver services as a result of procurement delays.	ADL0032	Garry Knights	0 % complete		25/07/2023		
Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
No contracts in place to deliver the core legislative and landlord functions	Significant financial and reputation damage and significant potential H&S issues	<ul style="list-style-type: none"> Working with external consultants to support <i>Garry Knights</i> Develop long term strategy <i>Garry Knights</i> 	In Progress In Progress	 29/07/2023	16	High 16 High High	

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date		
Legislation -Regulator for Social Housing (Housing Services): Charter for Social Housing Residents (White Paper) changes to consumer standards	ADL0004	James Hunt	33 % complete	26/05/2023	26/07/2023		
Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating

Housing Services

Risk Register - Housing Services

Manager

Maria Denton

Compliance to new 'tenant satisfaction' measures due 2021	Working practices may need to be amended. More audits and self-assessment. More feedback to residents.	<ul style="list-style-type: none"> Housing Ombudsman complaint handling code self-assessment completed. KPI review in progress. <i>James Hunt</i> HouseMark KPI 'health check' / Regular feedback bulleting for feeding back to residents on Housing Services performance. <i>James Hunt</i> Implementation of TSM <i>James Hunt</i> 	Implemented		8	<div style="background-color: #f4a460; padding: 2px;">Medium</div> <div style="background-color: #fff9c4; padding: 2px;">12</div> <div style="background-color: #fff9c4; padding: 2px;">High</div> <div style="background-color: #fff9c4; padding: 2px;">Medium</div>
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Review Comments The white paper has still not gone through parliament, however a lot of it has been adopted by the Housing Ombudsman and DHLUC. We have adopted the paper wholesale. The following has been put in place:

Annual TSM survey
 Increased informal surveying such as transactional surveys
 More engagement events
 Strengthening the Resident Participation Panel
 Develop specialist sub groups of the main RPP for repairs
 Holding specialist Resident meetings; leaseholder; high rise blocks; sheltered

26/05/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Financial Resilience HRA: Significant pressure on HRA budget and long term plans	ADL0007	Patrick Odling-Smee	% complete	19/06/2023	01/10/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Service disruption or cessation due to natural disaster/ market crash / reduction in income recovery (Rents).	Delivery of core services negatively affected and inability to meet commitments and KPIs / Reduction in staff levels.				6	<div style="background-color: #f4a460; padding: 2px;">Medium</div> <div style="background-color: #fff9c4; padding: 2px;">12</div> <div style="background-color: #fff9c4; padding: 2px;">High</div> <div style="background-color: #fff9c4; padding: 2px;">Medium</div>	

Review Comments A review of the HRA business plan is due in the summer of 2023 in line with the reviews of the regeneration scheme business plans.

19/06/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Financial Resilience HRA Significant pressure on HRA budget and long term plans	ADL0027	Patrick Odling-Smee	% complete		28/03/2024

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating

Housing Services

Risk Register - Housing Services

Manager

Maria Denton

Service disruption or cessation due to natural disaster/ market crash / reduction in income recovery (Rents). Impact of increased inflation and interest rates. "	Delivery of core services negatively affected and inability to meet commitments and KPIs / Reduction in staff levels. Ability to deliver the regeneration programme. "					12	Medium	12	High	Medium
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Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Staffing including not delivering on READI recommendations	ADL0024	Patrick Odling-Smee			28/03/2024
Not having the right number and calibre of staff impacts on the delivery of service .			% complete		
Loss of reputation, failure to recruit and retain staff. Employment tribunal action					

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Vacancies unable to be filled.	Disruption in service, service failure.				12	Medium	
Lack of prioritisation of EDI within housing leads to reputational damage, poor performance recruitment and retention of staff.	Failure to attract recruits to the council. Increase in ET cases and grievances.					12 Moderate High	

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Performance risk to performance due to organisational change	ADL0025	Patrick Odling-Smee			28/06/2023
			% complete		

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Lack of oversight of performance and confused/unclear accountability	Do not achieve performance targets				12	Medium	
						12 Moderate High	

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date

Housing Services

Risk Register - Housing Services

Manager

Maria Denton

Regeneration risk -		ADL0026	Patrick Odling-Smee	<div style="width: 20px; height: 10px; background-color: red;"></div>			28/03/2024
Risk of delay, poor design, management arrangements; increasing cost. Change in customer profile. Planning and building control.				50 % complete			
Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Risk of delay, poor design, management arrangements; increasing cost. Change in customer profile. Planning and building control.	Increase in costs, households living in inappropriate homes, people will be put at risk (poor planning and design) Loss of rent from vacant properties and delay in development.	• Regular meeting with the regeneration team <i>Patrick Odling-Smee</i>	In Progress	29/03/2024	12	Medium 12 Moderate High	

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date		
Failure to exercise duty of care Safeguarding vulnerable people in Havering	ADL0038	Darren Alexander	% complete		19/05/2024		
Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Failure to meet our basic duties as a corporate parent	Could result in death in accommodation.				10	Medium 10 Very High Low	

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date		
Complaints Risk of not learning from complaints and customer feedback	ADL0039	James Hunt	% complete		19/11/2023		
Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
					9	Medium 9 Moderate Medium	

Housing Services

Risk Register - Housing Services

Manager

Maria Denton

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Financial Resources (Property Services): Lack of sufficient funding to maintain housing stock in required condition	ADL0008	Garry Knights	<div style="width: 50%; background-color: red; height: 10px;"></div> 50 % complete	29/04/2023	29/07/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Lack of available budget, poor allocation of HRA budgets through lack of scrutiny/plan, poor treasury management approach, no single point of ownership by finance team	Necessary works are not carried out at the required time, leading to deteriorating asset values	<ul style="list-style-type: none"> Keystone is used to forecast necessary spend for each budget setting report <i>Garry Knights</i> Production of fit for purpose Asset Mgt Strategy <i>Garry Knights</i> 	Implemented		1	Medium	12
			In Progress			Moderate	-3
						Medium	

Review Comments We undertake a robust approach to developing budgets and ensuring they meet the existing portfolio requirements
29/04/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Procurement - Overspend on contracts or poor service delivery.	ADL0033	Garry Knights	<div style="width: 0%; background-color: red; height: 10px;"></div> 0 % complete		25/07/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Poor contract management approaches or poor quality of contractors procured. Increasing prices in external market	Service delivery reductions in works to be delivered and delays in works, possible impact on customers, risk to meeting regulatory standards, reputational risks, link to other issue (more disrepairs, more mould cases etc)	<ul style="list-style-type: none"> Contract Management Training <i>Garry Knights</i> 	In Progress		1	Medium	
						9	
						Moderate	
						Medium	

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Property Services IT interface with contractors.: Lack of IT Interface & Information management system for compliance	ADL0018	David Clifton	<div style="width: 50%; background-color: red; height: 10px;"></div> 50 % complete	23/03/2023	29/09/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating

Housing Services

Risk Register - Housing Services

Manager

Maria Denton

Poor IT infrastructure of officers incorrectly or not using databases and systems	Financial - Medium Continuity of Service - Medium Health & Safety - High	<ul style="list-style-type: none"> • Effective use of Keystone <i>David Clifton</i> • CADI project working on getting keystone module fully operational <i>David Clifton</i> 	Implemented		2	Medium
			In Progress			8 Low High

Review Comments If systems are not developed in accordance with agile project management methods and key project stakeholders allow development to take place outside of the recognised project team the likelihood of this risk hugely increases. Mitigation of this risk is to ensure that development project management is allowed to take place and is an accepted part of project delivery.
23/03/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Building Safety Act (Housing Landlord Functions): Act brings additional duties and requirements	ADL0003	Garry Knights	<div style="width: 33%; background-color: red;"></div> 33 % complete	29/04/2023	29/07/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
the Act is now live and we have limited timescales to ensure we comply with the provisions of the act, including registering all buildings in scope by October 2023 and have all Building Safety Case files in place by March 2024	Failure to comply will have significant criminal ramifications for the organisation and individuals. It will have significant reputational risks. there would also be significant questions as to the safety of our income building if we fail to put all relevant information in place.	<ul style="list-style-type: none"> • Policies have been written to reflect known changes <i>Garry Knights</i> • Register all buildings <i>Garry Knights</i> • Building Safety Case files <i>Garry Knights</i> 	Implemented		3	Medium	6
			In Progress			8 High	2
			In Progress			Low	

Review Comments We are undertake the actions to mitigate the risk , at this time we see no significant issues
29/04/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Legislation - Building Safety Bill Bills bring additional duties and requirements, legal financial and reputational risk	ADL0034	Garry Knights	<div style="width: 0%; background-color: red;"></div> % complete		25/07/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Act is now live, timescale April 23- Oct 23 subject to secondary legislation	additional compliance programmes will be required or additional restrictions which may required significant additional spend and mean we are initially non-compliant				3	Medium	8 High Low

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
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Housing Services

Risk Register - Housing Services

Manager

Maria Denton

Resident Safety : failure to meet regulatory compliance across the big six compliance areas and across all tenure of properties in which LBH place residents and have a duty of care. ADL0013 Garry Knights ██████████ 29/04/2023 29/07/2023
50 % complete

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Poor record keeping lack of contracts in place Poor processes in place	Potential injury and death risk to residents. Potential property damage, the regulatory fines and sanctions, reputational risk and financial consequence.	<ul style="list-style-type: none"> Compliance programme in place <i>Garry Knights</i> All high risk buildings have an FRA4 with actions being completed within timescales. <i>Garry Knights</i> 	Implemented		8	Medium	8
			In Progress			High	Low

Review Comments Remains almost 100% compliant across big six areas. All performance reported to Compliance Board, Asset Management Group and Scrutiny Group.
29/04/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Safeguarding residents: Failure in duty of care to vulnerable residents (+ Council ASC)	ADL0023	Katri Wilson	██████████	22/05/2023	22/08/2023

100 % complete

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Unable to support vulnerable residents as a result of the pressures on NHS / voluntary sector	Reduction in support and care - general needs / Supported and Sheltered Housing / Homeless - Temporary Accommodation.	<ul style="list-style-type: none"> Safeguarding training for Officers <i>Lisa Buttery</i> 	Implemented		0	Medium	6
						Moderate	Low

Review Comments This risk remain as we have many vulnerable residents living in our housing, and the support from agencies and the NHS is not always sufficient.
22/05/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Climate change and net zero carbon Failure to deliver the reduction in carbon emissions from housing stock	ADL0035	Garry Knights	██████████		25/07/2023

% complete

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Lack of investment Unclear technology or use of the wrong technology. "	Increase in fuel poverty for tenants Potential risk of penalties for not achieving targets"				2	Medium	6
						Low	Medium

Review Comments

Housing Services

Risk Register - Housing Services

Manager

Maria Denton

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date			
Delays in payments to contractors and utility bills (Property Services): Slow payment of contractors invoices	ADL0009	Garry Knights	<div style="width: 50%; background-color: red; height: 10px;"></div> 50 % complete	29/04/2023	29/07/2023			
Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating	
Poor Financial systems Not getting invoices in time	Contractors suffering cash flow problems and potentially taking action to recover as debt Additional charges for late payment risk of utility companies cutting off services	<ul style="list-style-type: none"> Invoice processing procedure established <i>Garry Knights</i> More work to be done on fusion in regards to training etc. <i>Garry Knights</i> 	Implemented		3	Medium	6	
			In Progress			Moderate	Low	
Review Comments	process in place to support good cashflow 29/04/2023							
Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date			
Underspend year-end Capital expenditure targets (Property Services): Forecast expenditure for the year is not met	ADL0010	Garry Knights	<div style="width: 50%; background-color: red; height: 10px;"></div> 50 % complete	29/04/2023	29/07/2023			
Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating	
Poor programming and/or poor management of Capital Planned Works	Services are not delivered as planned, potentially missing KPI targets miss our statutory obligations Sanction from Social Housing regulator	<ul style="list-style-type: none"> Programme Monitoring Manager responsible for overseeing budgets <i>Garry Knights</i> Budget management training for staff <i>Garry Knights</i> 	Implemented		3	Medium	6	
			In Progress			Moderate	Low	
Review Comments	good processes in place to monitor spend and ensure good reporting 29/04/2023							
Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date			
Staffing levels / /quality - restructure (Property Services): Lack of Human Resources and suitably trained / qualified staff to manage service	ADL0021	Patrick Odling-Smee	<div style="width: 50%; background-color: red; height: 10px;"></div> 50 % complete	19/06/2023	31/10/2023			
Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating	

Housing Services

Risk Register - Housing Services

Manager

Maria Denton

Imbalance in structure and low pay grades	Difficulty in recruiting and retaining suitably qualified and experienced staff	• Suitable JDs and Correct team structure <i>Patrick Odling-Smee</i>	Implemented		3	Medium
		• Issue over pay grade and should be reviewed, Future training needs to be established <i>Patrick Odling-Smee</i>	In Progress			6 Moderate Low

Review Comments TOM restructure has created temporary increased risk of not being able to recruit poeple .
19/06/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Residents - Decanting of existing Tenants: Regen. 12 estates / Legal disrepair decants / emergency decants due to natural disaster	ADL0020	Darren Alexander	% complete		09/01/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Redevelopment and demolition of the site	Homelessness and use of hotels				4	Low	4 Low Low

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Home & Remote /lone Working Impact - Housing Services: Remote working for some staff has been challenging to monitor & manage lone working. Issues with equipment failure and IT. Inevitably, this also affects performance.	ADL0019	Patrick Odling-Smee	50 % complete	19/06/2023	19/08/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Remote & Home working, initially due to Covid19, has now become the new way for Council staff.	Performance management - track lone working team members who use a check-in & diary update system. More management time resources deployed.	• Implementation of Smart Working <i>Patrick Odling-Smee</i> • safeguarding / lone working support <i>Patrick Odling-Smee</i>	Implemented In Progress		4	Low	4 Low Low

Review Comments Review completed. Risk is on-goin but being managed.
19/06/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Fire Risk - risk to our estates and residents of fire hazards and clutter not cleared. Communal areas need to be free for trip hazards and other fire risks.	ADL0028	Katri Wilson	% complete		28/03/2024

Housing Services

Risk Register - Housing Services

Manager

Maria Denton

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Risk to our estates and residents of fire hazards and clutter not cleared. Communal areas need to be free for trip hazards and other fire risks.	Loss of life, accommodation				0		

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Estate Strategy - risk is not having an Estates Strategy in place	ADL0029	Katri Wilson			28/06/2023

% complete

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
We don't have the required staffing and structure in place to improve our estates.	Estates not managed well and no record of what has been provided.				0		

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Resident Service Charges - review service charges to residents to ensure we are charging fairly and accurately.	ADL0030	Katri Wilson			28/03/2024

% complete

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Not charging for what we can and we are charging for services that they do not receive in some cases.	Dissatisfaction amongst residents and financial implications				0		

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date

Housing Services

Risk Register - Housing Services

Manager

Maria Denton

Telecare Digital Switchover		ADL0031	Katri Wilson	% complete			28/06/2023	
Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating	
Tender for the provider to do the switchover is running late resulting in late implementation and loss of service.	Telecare service will not transfer to digital before the national switchover in December 2025.				0			
Review Comments								

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Directorate Details

Directorate

Regeneration Programmes

Profile Totals	0	2	0	15	0	Total	17
Changes				2	-12		2 -12

0	0	0	0	0
0	0	0	0	0
0	2	3	5	0
0	2	4	1	0
0	0	0	0	0

Total Risks including Unassigned 17

Risk Register - Regeneration Programmes

Manager Maria Denton

Profile Totals	0	2	0	15	0	Total	17
Changes				2	-12		2 -12

0	0	0	0	0
0	0	0	0	0
0	2	3	5	0
0	2	4	1	0
0	0	0	0	0

Total Risks including Unassigned 17

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Risk of delayed land assembly for Bridge Close	RGP0010	Kirsty Moller	<div style="width: 30%; background-color: red;"></div> 30 % complete		24/11/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
The Bridge Close project is in the land-assembly phase, with private treaty negotiations taking place with landowners.	Should there be delays with completions or breakdown in communication, this could result in project delays.	<ul style="list-style-type: none"> Strong engagement with landowners and clear communication on acquisitions programme <i>Kirsty Moller</i> 	In Progress	30/10/2023	4	Medium	12 High Medium

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Rainham Beam Park - Project Viability & Delivery of Essential Transport Infrastructure	RGP0009	Kirsty Moller	<div style="width: 45%; background-color: red;"></div> 45 % complete		24/11/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Land values, stagnated local housing growth, increased costs and uncertainty around Beam Park station have created viability difficulties with the Rainham & Beam Park regeneration scheme	Delays with bringing forward affordable housing, regeneration aspirations for the area are not achieved if the project cannot move forward	<ul style="list-style-type: none"> Review of Options for the Rainham JV <i>Kirsty Moller</i> Lobbying relating to Beam Park station <i>Kirsty Moller</i> 	In Progress	31/07/2023	9	Medium	12 High Medium
			In Progress	30/10/2023			

Regeneration Programmes

Risk Register - Regeneration Programmes

Manager

Maria Denton

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Potential impact of increased costs from Building Safety Act, Climate Change requirements etc.	RGP0024	Kirsty Moller	<div style="width: 33%; height: 10px; background-color: red;"></div> 33 % complete		20/09/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Inflationary risks Rise in UK Bank of England base rate PWLB borrowing rates Construction industry inflation Cost of labour & materials Cost of energy due to Russia/Ukraine conflict	Increased costs for construction and financing of regeneration schemes	• Benchmark industry costs through joint venture partners including the monitoring of procurement outcomes <i>Kirsty Moller</i>	In Progress	01/09/2023	9	Medium	12 High
		• Maintain sufficient scheme contingencies <i>Kirsty Moller</i>	In Progress	01/09/2023		Medium	
		• Regular scheme review to forecast impacts on overall costs <i>Kirsty Moller</i>	In Progress	01/09/2023			

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Risks to the delivery of the Regeneration of Waterloo Estate	RGP0028	Kirsty Moller	<div style="width: 0%; height: 10px; background-color: red;"></div> 0 % complete		21/06/2024

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
The Waterloo Estate project is currently under review following construction cost increases and changes to building regulations following the Grenfell fire.	Delayed delivery of essential affordable housing, delays to project completion, potential negative public perception	• Review of delivery options being conducted <i>Kirsty Moller</i>	In Progress	11/12/2023	9	Medium	12 High
						Medium	

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Sales Values Falling	RGP0021	Kirsty Moller	<div style="width: 0%; height: 10px; background-color: red;"></div> 0 % complete	21/06/2023	21/08/2023


Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating

Regeneration Programmes

Risk Register - Regeneration Programmes

Manager

Maria Denton

Sales values are monitored through property valuations and professional advice taken for business planning activity, sales values are currently in keeping with business plans with options to flip tenures to affordable housing should open market sales values fall significantly	Impact on overall viability of JV schemes where cross-subsidy is important in delivering affordable homes, this also impacts the housing waiting list and means the council spends more on temporary accommodation/B&B etc. Programmes are severely impacted as schemes cannot proceed without meeting the required viability threshold	• Regular review and updates from housing professionals <i>Kirsty Moller</i>	In Progress	01/09/2023	12	Medium	16	
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Review Comments Updated risk to reflect current position
21/06/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Sale / Rental Income - MLH Schemes	RGP0018	Kirsty Moller		21/06/2023	24/11/2023

50 % complete

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Sales and private rental market could slow, or cost of living crisis impacts residents' ability to pay rent	Value of loss will be linked to length of delay to construction programme. Profit from sale properties yet to be determined but value will only be delayed, not lost Reduced absorption rate will mean units are sold or let later than initially modelled.	• MLH closely monitor the situation, market advice is taken on sales values <i>Kirsty Moller</i>	In Progress	11/12/2023	6	Medium	9 Moderate Medium

Review Comments Risk is monitored closely by MLH to assess potential impacts & insurance is in place for rental income losses
21/06/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Impact of the regeneration programme on the commercial performance of Harold Hill Town Centre	RGP0029	Kirsty Moller			21/06/2024

0 % complete

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
The forthcoming regeneration programme may create uncertainty for business owners, impacting lease renewals and business rates and parking income for the Council	As above	• Professional advice on commercial negotiations <i>Kirsty Moller</i>	In Progress	11/12/2023	6	Medium	9 Moderate Medium

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
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Regeneration Programmes

Risk Register - Regeneration Programmes

Manager

Maria Denton

Shortage of budget to deliver the Romford Ring Road and Beam Parkway Linear Park infrastructure schemes	RGP0012	Kirsty Moller	<div style="width: 20%; height: 10px; background-color: red;"></div>	21/06/2023	31/10/2023
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20 % complete

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
TfL Funded scheme, TfL have experienced financial difficulty during the pandemic due to reduced activity on public transport, this has impacted funding for their LIP and Major scheme funding	Small funding packages are being agreed with TfL with next funding announcement to come in July 2021. Update 13/12 - TfL's financial difficulty continues with various funding packages being withdrawn, this scheme is currently on hold. Unknown time impact as awaiting confirmation from TfL on whether this scheme will be funded in the future	<ul style="list-style-type: none"> Continued discussion with TfL and value engineering to reduce costs on the scheme if funding is secured at a lower rate. <i>Kirsty Moller</i> Bidding for internal CIL funding and making best use of local S106 contributions <i>Kirsty Moller</i> 	In Progress		9	Medium	
			In Progress	31/10/2023		9	Moderate
						Medium	

Review Comments Reviews are taking place to establish the best way forward for both the Liveable Neighbourhoods ringroad scheme and the Beam Parkway Linear Park project, budget shortages remain but there has been some success in securing CIL funding for a total of £ 2.2m across the 2 projects
21/06/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Availability of Funding from JV Partners	RGP0001	Kirsty Moller	<div style="width: 0%; height: 10px; background-color: black;"></div>	20/03/2023	01/09/2023

0 % complete

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
	A potential impact of the situation will be that our partners either decide not to use the funding they have, or cannot get funding, with a result that some schemes are paused for a period. Additional costs for financial and legal advice on structuring of deals, possible costs for re-procurement with no guarantee of similar costs due to current market conditions. Revisions to JV structures or potential necessary re-procurement would be detrimental to programme timelines, including utilisation of timebound grant or RTB funding	<ul style="list-style-type: none"> Review structure of deals with JV partners to establish the Council's financial risk should other financing be withdrawn <i>Kirsty Moller</i> 	In Progress	11/12/2023	4	Medium	16
						8	-8
						High	
						Low	

Review Comments Mitigation remains in place, recent review as part of the JV business plan update process
20/03/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date

Regeneration Programmes

Risk Register - Regeneration Programmes

Manager

Maria Denton

Delays to achieving vacant possession (Residential)	RGP0013	Kirsty Moller	<div style="width: 60%;"></div>	21/06/2023	30/10/2023
0 % complete					

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Delays with negotiating property acquisitions with home owners, current high mortgage rates impact home owner options when looking for new properties	<p>The possible financial impact relates to eligibility of applicants for mortgages which could delay relocations, this impacts achieving vacant possession and possible extension of PCSA costs, delay in drawing down GLA grant.</p> <p>Delays in achieving vacant possession has impact on any demolition and construction programmes, but this may be mitigated by temporarily amending hoarding boundaries where possible to exclude the occupied properties from the works space</p>	<ul style="list-style-type: none"> Monitor situation closely with Housing colleagues, review complex cases to find alternative solutions <i>Kirsty Moller</i> 	In Progress	30/10/2023	1	Medium	6 Low Medium

Review Comments Regular meetings are held to discuss progress with buy-backs, solutions are identified for complex cases to mitigate delays with achieving vacant possession
21/06/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Cost & Availability of Construction Materials	RGP0015	Kirsty Moller	<div style="width: 30%;"></div>	21/06/2023	21/08/2023
30 % complete					

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
The conflict in Ukraine is likely to impact the cost and availability of certain materials, the long term rebuilding of destroyed cities could also drive demand and further price increased across Europe	Current construction contracts are locked-in to pre-2022 prices, future schemes are reviewed regularly by cost consultants and employers' agents to ensure we're aware of market changes for business planning purposes	<ul style="list-style-type: none"> Regular review by cost consultants <i>Kirsty Moller</i> 	In Progress	30/10/2023	1	Medium	6 Low Medium

Review Comments Current construction contracts are locked-in to pre-2022 prices, future schemes are reviewed regularly by cost consultants and employers' agents to ensure we're aware of market changes for business planning purposes
21/06/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Risk of slow or reduced sales rates on regeneration schemes	RGP0025	Kirsty Moller	<div style="width: 20%;"></div>		21/06/2024
20 % complete					

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating

Regeneration Programmes

Risk Register - Regeneration Programmes

Manager

Maria Denton

Sales market slows, difficulties obtaining mortgages due to high interest rates, saturation of market from other new build products	Sales income is behind profile, can increase finance costs. Potential surplus sales units	• Monitoring of market by specialist JV sales team <i>Kirsty Moller</i>	In Progress	11/12/2023	4	Medium	6 Moderate Low
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Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Increased PWLB interest rates erode Council profit from MLH activities	RGP0026	Kirsty Moller	0 % complete		21/06/2024

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Increased interest rates will reduce the principle rate of interest on lending between MLH and the Council, less profit is made by the Council as the Council repays debt at a higher rate	Reduced profit for the Council, MTFS savings are not achieved	• Monitoring of PWLB rates and Bank of England interest rates <i>Kirsty Moller</i>	In Progress	11/12/2023	4	Medium	6 Moderate Low

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Availability of HRA capital funding (borrowing within headroom)	RGP0027	Kirsty Moller	0 % complete		21/06/2024

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Requirements across approved existing regeneration schemes and stock investment & acquisition programmes compete for HRA capital funding	Reduced expenditure on essential works, competing priorities that may not all be deliverable	• Close monitoring and regular review of the HRA business plan <i>Kirsty Moller</i>	In Progress	11/12/2023	4	Medium	6 Moderate Low

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Mercury Land Holdings development pipeline	RGP0030	Kirsty Moller	0 % complete		21/06/2024

Regeneration Programmes

Risk Register - Regeneration Programmes

Manager

Maria Denton

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Lack of development opportunities will impact the sustainability of Mercury Land Holdings as income is required to service company debt, income from interest on loans is built in to the Council's MTFS	As above	<ul style="list-style-type: none"> Development opportunities on Council disposal sites <i>Kirsty Moller</i> 	In Progress	11/12/2023	4	Medium	6 Moderate Low

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Delayed planning decisions or refusal to grant permission	RGP0003	Kirsty Moller	<div style="width: 75%; background-color: yellow;"></div> 75 % complete	21/06/2023	30/10/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Shortage of planning staff to review large development projects Members having negative views on scheme design	Strategic Planning Committee refusing permission for schemes would significantly impact progress, procurement, financial planning and risk external funding (e.g. GLA grant deadlines)	<ul style="list-style-type: none"> To mitigate this risk a number of member reviews around design take place before the SPC meeting <i>Kirsty Moller</i> Communication with Planning Colleagues <i>Kirsty Moller</i> 	In Progress Implemented	11/12/2023 21/06/2023	4	Low 4 Low Low	

Review Comments Risk and mitigations have been reviewed as required, comments updated 21/06/2023

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Availability of skilled labour in construction market	RGP0016	Kirsty Moller	<div style="width: 25%; background-color: red;"></div> 25 % complete	21/06/2023	30/10/2023

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Risk Rating	Previous Current Rating
Brexit has impacted the construction labour market	Increased costs, delays with projects	<ul style="list-style-type: none"> Professional advice on construction market <i>Kirsty Moller</i> Stimulation of the local skilled labour market <i>Kirsty Moller</i> 	In Progress In Progress	30/10/2023 11/12/2023	4	Low 4 Low Low	

Review Comments Risks and mitigations updated as per requirements 21/06/2023

