

Corporate Risk Register Q4 2020/21



Current Risk Score
(last reviewed Jan 2021)

Corporate Risk ID	Status	Risk Title	Risk Description & Impact Summary	Impact	Probability	Rating	Mitigation Summary (full details in Directorate Risk Registers)
1	Open	Major system failure, supplier failure or natural disaster	<p>The Current COVID Crisis is being managed by the mobilisation of the Councils Flu-Pandemic and associated plans. The Capacity of Havering to deal with another Major Emergency/natural disaster whilst dealing with the current Pandemic would be tested and limited dependant on the nature of the new /additional emergency.</p> <p>The Global nature of COVID disrupts the usual supply chain, and additionally the following commodities are delayed and difficult to obtain: Food, Medicines (see CR2&9), Personalised Care.</p>	3	2	6	<p>The Risk remains a low Amber, two key factors that could impact on this are issues with the Cremators and smart-working. Based on the Bronze mitigations, these are shown as contained. If another phase of Covid-19 is seen, then this may increase the level. If another significant emergency event was to occur, this would need immediate reviewing.</p> <p>Changes in other risks: Food/ Medicines (see CR4&12), Personalised Care (CR2) will effect the overall rating of this one.</p> <p>Any failure in, smart-working capacity CR3 & other key systems CR8 will impact on this one and would require immediate review.</p>
2	Open	COVID-19 Recovery Plan	<p>1. Ability to adequately plan a robust and timely exit plan without complete and accurate information, sufficient resources (whilst resources are deployed to dealing with current and active risks) and full knowledge of the overall impact of the pandemic.</p> <p>2. Risk to staff, business and public if services are re-opened too soon</p> <ul style="list-style-type: none"> Insufficiently planned reopening of services may lead to resident dissatisfaction and reputational damage. Risk of returning to business as usual, not capturing the benefits of the new learning and revised expectations that have emerged through the pandemic Failure to build on the successes from the period of the emergency in terms of smart working and culture change Failure of alternative service delivery (ASD) models e.g. JV, MLH, SLM Service delivery through key partners does not recover to contracted standards <p>4. Unknown impact from Havering Business and Residents resilience and their ability to be part of the wider recovery strategy</p> <ul style="list-style-type: none"> Havering doesn't build on the relationships it has established during the crisis with its voluntary and community sector or fails to build in the supportive governance needed to grow the relationship further <p>5. Future phases of COVID-19 arrive</p> <p>6. Impact of Covid on individuals and the community eg mental health, long Covid, loneliness, children's physical and mental health and community cohesion</p> <p>7. Council services need to be re-shaped to respond to Covid eg new services introduced - Testing, Tracing, Vaccinations</p>	4	4	16	<ul style="list-style-type: none"> - Gold/Silver/ Bronze Teams are still operating to manage the pandemic. - Recovery Bronze Group in place to manage the risks and issues emerging from the pandemic in the short, medium and long term - Recovery Bronze continues to operate even though the end of the pandemic is still some way away - Areas covered by Recovery Bronze are very wide eg social, economic, adults, children, physical and mental health, business recovery, preparing for potential other public health issues that may arise in the future eg flu pandemics, new infections, increasing bacterial resistance to antibiotics Smart Working programme - People Strategy development - Support to local businesses through business grants
3	Open	ICT	<p>Inability to keep up with pace of change. Specific risks include:</p> <ul style="list-style-type: none"> Payment Card Industry Data Security Standard (PCI-DSS) - We are not compliant with the standard. IT Security - This is an on-going risk from attackers and spammers CRM - resources and support issues Infrastructure Network age (over 10 years old) - failure of critical systems 	4	2	8	<ul style="list-style-type: none"> . IT equipment deployed to staff and smart working+ is being developed . (Included within the Havering Recovery Plan). . RAP access issued to staff who do not have own equipment. . Config of Domain Name Servers (DNS) . Internet line increased to 2GB . Clear guidance produced by ICT Security Manager around how to use the technologies and GDPR considerations . Access to technologies restricted and granted via request to ICT, approved by line manager . Educating staff . Continued comms to users around known attacks. ICT Security Manager continuing discussions with counterparts across the sector. ICT to keep security patches up to date. Will need to accept the risk. . Ensure full testing and corroboration of uploaded databases with ongoing sample checking. Training and monitoring of staff / call handlers. Follow up on and remedy of any discrepancies. PCI-DSS non compliance: - We are in the process of reviewing card payments and the implementation of the new CivicaPay system - We have engaged consultants to review our process and controls Systems, controls, alerts, monitoring process and response implemented to manage the risk around cyber security Project to upgrade CRM started Programme to refresh the network started (business case in place)

4	Open	Financial Resilience	<p>The Council is unable to deliver a balanced budget from:</p> <ul style="list-style-type: none"> Increased COVID Costs in-house, e.g. ASC, PPE Loss of agreed MTFs :planned Income Non-achievement of planned MTFs savings Increased financial support for Businesses, Voluntary Sector Inability to forecast due to uncertainty over future funding model Inability to furlong staff not able to be redeployed Not-receiving full re-imburement from the Government Increased bad debt provision Use of Reserves 	4	3	12	<p>The risk is constantly monitored. Cabinet are regularly briefed on the financial impacts as part of the corporate monitoring process. Previous prudent decisions over several years has put the Council in a good place to demonstrate financial resilience and recover from the current crisis. The main drivers that will determine the financial recovery are:</p> <ol style="list-style-type: none"> Income collection levels over the next few months. Further Government support Refocusing the savings amd efficiency process with the recovery planning Close scrutiny and controls on expenditure
5	Open	Potential harm to people we owe a duty of care	<ul style="list-style-type: none"> Social care fails in its duty of care, particularly to the vulnerable in society, as a result of the pressures of COVID-19 (e.g. reduced staffing, increased hospital discharges, meeting requirements of NHS Shield etc) Safeguarding issues occur due to multiple issues with DOLS, BIA and easement of care act Staff COVID 19 - Testing The risk is that 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. Potential harm to children we owe a duty of care. The risk is that Childrens Social Care fails in its duty of care to children and a child is harmed or dies as a result of those failures 	4	2	8	<p>ASC - Care Act Easements not required. JCU in regular daily contact with all providers, regarding issues, and including reminder of safeguarding responsibilities. ASC staff undertaking reviews by phone, and continue to undertake emergency visits as required. Noted that CQC has developed an emergency inspection framework which will remain in place during crisis.</p> <p>CSC - near BAU service as no legislative easements available. Staff using telephone and Skype when engaging in contact and only conducting visits in emergencies. Additional support package agreed for Foster Carers through crisis period.</p> <p>EDT's operating as normal</p> <p>Staff testing now available regardless of whether symptomatic or not.</p> <p>Frontline staff vaccination started in December 2020 and the definition of 'social care worker' expanded in mid January 2021</p> <p>Vaccination of vulnerable people started mid-December 2020, with all adults and clinically extremely vulnerable over 18 due to be vaccination (first dose) by mid February 2021</p>
6	Open	Council fails to adapt to changing context	<p>The Council fails:</p> <ol style="list-style-type: none"> to respond to the immediate pandemic context requirements to adapt its service delivery to the COVID needs to support its business and voluntary sector in a timely fashion (See CR10) to plan for the recovery phase, and either does this too soon or too late and not adequately (see CR12) 	4	2	8	<p>Currently there is nothing significant to change this from Amber to Red or Green. However the longer lockdown continues, and the increased consequence of the recession, coupled with a potential second phase, this may increase this risk. The Council has responded well to the Crisis, however we are still in phase one, the financial cost of this and recovery will be challenging as time moves on and needs closely monitoring.</p>
7	Open	Collapse of the local social care provider market	<p>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. There is a risk that the Council does not meet statutory obligations to those we owe a duty of care</p>	4	3	12	<p>One off payments to provider markets agreed - £500k in April and a further £500k in May. Infection Control Fund monies passported to providers through out the year. Further funding agreed by Government in Dec 20 / Jan 21 which is to be paid to providers to support implementing visitor testing and increase staffing capacity</p> <p>Council purchasing some £1.8m PPE to support available to providers (who will pay for it), and council has secured sufficient emergency supply from London Resilience Forum.</p> <p>CE, DPH and DASS developed care home/provider resilience plan in May 2020.</p> <p>Staff vaccinations across the sector began mid December 2020, with all social care workers to be vaccinated by mid February 2021 (first dose)</p> <p>Work has started to 'myth bust' with workforce - breaking down resistance to taking the vaccine, particularly amongst BAME provider staff.</p> <p>Vaccination Bronze established under the Health & Social Care Bronze</p>
8	Open	Non-compliance with Health and Safety regulations	<ul style="list-style-type: none"> Lack of sufficient supply of various PPE Non-compliance with social distancing rules Council properties are not safe for residents and the Council houses people in unsafe residences. 	4	3	12	<p>Over the past several months PPE has been supplied to those areas within the Council that were identified as requiring PPE. An established supply chain and ordering system is in place to meet current demand and bulk orders have been delivered to many service areas. Risk assessments are in place for Council offices and steps have been taken to ensure they are Covid Safe e.g. socially distanced desks, increased cleaning regimes, face coverings for staff that must work in the offices etc. Staff must also have an up to date Individual Risk Assessment in place.</p>
9	Open	Breakdown of relationships with residents	<p>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 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.</p>	4	2	8	<p>The Community Cohesion and Engagment Forum meet on a quarterly basis. Objectives of key community projects are developed with full community involvement. Expectations are managed through a honest constructive dialogue. The council's social media channels reach more than 100,000 residents every month. Officers monitor social media for sentiment and address as a customer service private messages seeking support or raising a call for service. Programmes such as local area coordination and community hubs are designed specifically to build stronger relationships with residents. Council-run campaigns - run either solely and directly or in partnership (such as the #BeNiceToYourNoggin campaign) raise awareness about community issues and communicates what the Council is doing to support residents.</p> <p>The Council will ensure regular engagement, consultation and increased participation in the planning of services and provision of insight into residents' lived experience.</p>

10	Open	Breakdown of relationships with local business community	Economic downturn negatively impacting local businesses. Risk of a breakdown in the Council relationship with local business could lead to a lack of trust and engagement.	4	2	8	The pandemic has brought a unique opportunity to forge meaningful relationship with many individual businesses with which we would not ordinarily have had contact. This has been through the 8,500 support calls that have been serviced over the past 10 months. It has also allowed schemes of assistance to be genuinely codesigned through one to one contact and through regular video conferences. We would intend to leverage this strengthened relationship as we emerge from the pandemic. It must also be recognised that there is a group of business which will be disappointed that support funds were not extended to them or that fund were paid at insufficient pace. For the most part there is strong recognition of the positive leadership role that the Council has played.
11	Open	Significant Governance Failure	The necessary response to the COVID crisis, may require a different governance process, to allow critical decisions to be done at pace and an increased risk of non-compliance, confusion and weak audit trail– until it beds in.	3	3	9	<ul style="list-style-type: none"> • Revised governance in place through virtual Council and Committee meetings, Scrutiny meetings and Executive meetings with the Theme Board meeting twice a week - All decisions being published for full transparency • Internal Audit regime was revised to reflect the new circumstances of working virtually • Whistleblowing procedures improved • Governance and Assurance Board has continued to operate
12	Open	Failure to deliver strategic corporate priorities	Council priorities are not met or significantly delayed due to COVID19 impacts	4	4	16	Whilst there is significant activities planned to reduce this broad risk, as we are still in a lockdown situation with no end date, the Bronze Group activities cannot address key areas: Member satisfaction, full recovery status, this risk should remain a red status, until the position and impact and probability can be better judged, i.e keep at 16 and revisit as things become more certain.
13	Open	Workforce	There is a risk that the current workstream demands across the Council result in pressure being placed on resources, this in turn could lead to the Council struggling to meet changes in demand for services. There could be a loss of experienced staff due to sickness and self isolation periods, with a subsequent impact on service delivery	4	3	12	<ul style="list-style-type: none"> • Adjust and adapt to change. • Weekly/daily messages to staff via various forms (mailshots and email) • Revised Policies and protocols in place, with regular updates to reflect latest position. • Good supply chain via oneSource procurement (SPU) for PPE and antiseptic wipes etc. • Regular reviews of staff capacity and contingency plans. • PPE equipment in place • Services, line managers to monitor workload, hours worked and impact on wellbeing . Promote staff wellbeing support , regular contact e.g. 121's and team meetings. • Managers guides plus time management slide deck issued • Havering Recovery Plan • IT equipment deployed to staff and smart working+ is being developed . (Included within the Havering Recovery Plan). • Provision of face coverings when required to work in a council building. Maintain social distancing. Staff rotas/'bubbles' in place. • Workforce SOP in place (to manage positive case). Staff wellbeing, inclusion and engagement surveys, with supporting action plans. EAP - counselling, bereavement support. Front line staff encouraged to have twice-weekly LFTs. Roll-out of vaccination programme. Mental Health First Aiders in place. Individual Risk Assessments.
14	Open	Regeneration	Shaping future of Borough - and impact of economic downturn. Review appetite for office space vs residential and ensuring regen plans reflect this. Do we have the balance right? Quality of housing in Borough - ensuring it is fit for the future; consideration of work from home culture capacity.	4	3	12	Increased monitoring of economic conditions. Even greater focus on scheme viability at a project level. Ensure adequacy of scheme contingency allowances. Possible need to adjust the tenure mix. Review of affordable housing products to maximise external grant/income opportunities. Adjust delivery programmes, where appropriate, to respond to the market cycle.
15	Open	EU Exit	The UK has left the EU and the Transition Period is over but some low level risks remain in relation to future changes to UK legislation, security of data and availability of supplies and workforce.	2	2	4	The EU Exit Group continues to meet to monitor and manage potential impacts such as data management and changes in UK legislation that impact the Council. The group is also monitoring for any impact on supplies and workforce.