



Overview and Scrutiny Committee 13 October 2022

Appendix 1 - Corporate Risk Register – Quarter Two 2022/23

Risk Ref.	Risk Title and Description	Last updated	Impact	Likelihood	Current Status (R/A/G)	Direction of Travel
HAV001	<p><b>Financial Resilience</b> – Inability to deliver a balanced budget as a result of:</p> <ul style="list-style-type: none"> <li>• Inadequate Government Funding</li> <li>• Rising Demographic pressures and increased complexity of Social Care</li> <li>• Rapidly increasing inflation</li> <li>• Cost of Living Crisis</li> <li>• Delay or non-achievement of planned MTFS savings</li> <li>• Inability to forecast due to uncertainty over 2023/24 Government Funding</li> <li>• Uncertainty regarding timing of future Government funding reforms including fair cost of care</li> <li>• Difficulty in identification of further efficiencies and savings following a decade of Austerity and increased demand following the COVID pandemic</li> </ul>	September 2022	4	4	16	
<b>Mitigation Action Plan</b>						
<ul style="list-style-type: none"> <li>- Early diagnosis of the financial gap to allow time for actions to be put in place including new savings proposals.</li> <li>- Lobby the Government at every available opportunity to put the case for both lack of Funding for local government generally and more specifically how Havering is disadvantaged from the current distribution formula.</li> <li>- Work with national lobbying groups such as the LGA and London Councils to put the case for more funding to the Government.</li> <li>- The Council has developed over £30m of savings proposals (over 4 years) which are being consulted on to reduce the financial gap.</li> <li>- The Council continues to review its structure to develop a new target operating model which both aligns with current service priorities but also delivers savings and efficiencies.</li> <li>- The Council is in the process of reviewing the Capital Programme to ensure that all schemes continue to be viable (see regeneration section of this risk register for further details).</li> <li>- The Council has developed action plans to mitigate and reduce the in-year overspend including: <ul style="list-style-type: none"> <li>• All overspends reviewed and challenged to identify any non-recurrent spend which could be funded from reserves</li> <li>• All use of consultancy reviewed by senior management</li> </ul> </li> </ul>						


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HAV0002	<p><b>Cyber, Information Governance and Technology Risk</b></p> <ul style="list-style-type: none"> <li>• Risk that appropriate technical controls are not in place to prevent a cyber-attack as a result of lack of investment in appropriate technologies, reliance on in-house expertise and self-assessments.</li> <li>• Lack of an appropriate Information Security Management System reduces ability to effectively manage information security risks.</li> <li>• Reduced chances of preventing/responding to incidents due to a lack of forward planning or investment or ineffective Business Continuity Planning.</li> </ul>	September 2022	4	3	12	
Mitigation Action Plan						
<p><u>Cyber Security – Technical Controls &amp; Platforms</u></p> <ul style="list-style-type: none"> <li>- Cyber Security Programme underway to put in place new technology and security controls to mitigate known issues. Delivery is monitored by the Senior Information Risk Owner (SIRO) and reported to the Information Governance (IG) Board.</li> <li>- Network Refresh Programme is underway to put into place new technology and security controls to mitigate known issues with the network technology and configuration. Delivery is monitored by the SIRO.</li> <li>- Security Operations Centre service provision in place, enabling significant uplift in our ability to detect malicious attacks and mitigating vulnerabilities.</li> </ul> <p><u>Information Security Policies and Risk Management</u></p> <ul style="list-style-type: none"> <li>- Information Governance Board continues to provide oversight of Information Assurance and act as an escalation point to the SIRO.</li> <li>- A review/update of all policies, including developing any that are missing has commenced through external contracted resource.</li> <li>- Continue to deliver effective ongoing training and awareness to staff. A revised training system with improved ability to track compliance is in procurement.</li> </ul> <p><u>Business Continuity and Council’s Service Resilience in the event of an IT outage</u></p> <ul style="list-style-type: none"> <li>- A project to assess Business Continuity Planning (BCP) arrangements in the event of an outage have commenced via Havering Transformation Team.</li> <li>- The Applications Audit is providing some high-level output to identify system owners and risks. Data to be verified and further information sought where risks are perceived.</li> <li>- Disaster Recovery (DR) capabilities for systems not hosted on IT-managed infrastructure to be verified by the System Owners and via vendors.</li> </ul> <p><u>ICT Resilience</u></p> <ul style="list-style-type: none"> <li>- A replacement IT backup solution for system managed via the oneSource IT service has been procured and is currently being implemented/configured/tested.</li> </ul>						

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HAV003	<p><b>Potential harm to people we owe a duty of care</b></p> <ul style="list-style-type: none"> <li>• Social care fails in its duty of care, particularly to the vulnerable in society (as a result of reduced staffing, increased hospital discharges etc.) and a service user is harmed as a result of provider failure.</li> <li>• Safeguarding issues occur due to multiple issues with DOLS, BIA and easement of Care Act.</li> <li>• 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.</li> <li>• 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.</li> </ul>	September 2022	4	3	12	
<b>Mitigation Action Plan</b>						
<ul style="list-style-type: none"> <li>- The service operates Quality Team processes to review standards of care including contract monitoring carried out against framework providers and residential providers in the borough.</li> <li>- A Quality Assurance Framework provides a risk based approach to the market of care service.</li> <li>- Transparent and robust Guidance for Suspension of Placements</li> <li>- Strong links with CQC with early notification of problems with providers.</li> <li>- Service attendance at the Quality and Safeguarding Board with the CQC and HealthWatch.</li> <li>- Safeguarding Adults Team reviews investigations following patterns emerging from a provider that suggests concerns.</li> <li>- Robust ‘Establishment Concerns &amp; Failure’ Procedure &amp; Guidance</li> <li>- Sharing of information and intelligence with other Local Authorities at the Local Quality and Surveillance Group.</li> <li>- Appropriate and effective safeguarding processes and arrangements in place.</li> <li>- Training in Multi-Agency Safeguarding Hub to ensure appropriately triage safeguarding enquiries against the criteria.</li> <li>- Monthly Safeguarding and Oversight meeting chaired by Safeguarding Service Manager.</li> <li>- Monthly Service Manager audits to ensure regular spot checking of s.42 and practice feedback.</li> <li>- Safeguarding Policies and Guidance are reviewed and updated.</li> <li>- Staff are appropriately supervised to be able to carry out their roles to a high standard.</li> </ul>						

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**Mitigation Action Plan (continued)**

- Safeguarding Adults Board (SAB) in place with opportunities for Chair to escalate any areas of concern.
- Robust and well communicated process in place to forward specific cases to the Community and Domestic Violence Multi Agency Risk Assessment Conferences (MARAC) to ensure partnership approach where required.
- Safeguarding Team attend Team Meetings to provide relevant updates around key topics such as Mental Capacity Act (MCA) or Domestic Violence (DV).
- Training for residential and nursing homes and develop the safeguarding support provided to them to ensure they fully understand their roles and responsibilities in relation to safeguarding.
- Adults Social Care Resilience Business case to address staffing pressures.
- Broad range of targeted training available to social care staff and managers to ensure all are properly equipped.
- Regular Review of Safeguarding caseloads across teams.
- Monitoring of demand via referrals to Multi-Agency Safeguarding Hub (MASH).
- Recruitment process underway for Social Workers.
- Monitoring and continuation of early help and intervention work where possible, in line with model of practice.


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HAV004	<p><b>Regeneration</b></p> <ul style="list-style-type: none"> <li>• Shaping the future of the Borough – and possible impact of economic downturn.</li> <li>• Circumstances that have arisen at other Councils have highlighted the importance of monitoring the sustainability of significant regeneration programmes.</li> <li>• Quality of housing in Borough - ensuring it is fit for the future.</li> <li>• Inflationary rises mean that the cost of developments may not be sustainable / achievable.</li> </ul>	September 2022	4	3	12	
<b>Mitigation Action Plan</b>						
<ul style="list-style-type: none"> <li>- Increased monitoring of economic conditions.</li> <li>- Even greater focus on scheme viability at a project level.</li> <li>- Ensure adequacy of scheme contingency allowances.</li> <li>- Review for a possible need to adjust the tenure mix (a possible mitigation to viability challenges).</li> <li>- Review of affordable housing products to maximise external grant/income opportunities.</li> <li>- Adjust delivery programmes, where appropriate, to respond to the market cycle.</li> <li>- Regeneration schemes and progress of joint ventures will be part of the capital programme reporting to Themed Board.</li> <li>- The pipeline schemes for the Joint Venture’s and Mercury Land Holdings are reviewed at the Regeneration officer board every six weeks.</li> <li>- The financial viability of the joint ventures is regularly reviewed and professional advice sought as part of each Annual Business Plan refresh, which are approved at Cabinet.</li> <li>- Project progress and risks are reviewed regularly at the Prouder steering group, all Regeneration projects form part of the Prouder Verto dashboard, and highlight reports are produced monthly. The Regeneration management team are scheduling risk reviews at a more regular basis, and a directorate risk register has been created based on reported project risks.</li> <li>- Financial Risks are included in each Regeneration Officer Board reports (this occurs on a 6 weekly basis).</li> </ul>						


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HAV005	<p><b>Workforce</b></p> <ul style="list-style-type: none"> <li>• There is a risk that the current work stream demands across the Council result in pressure being placed on resources.</li> <li>• Potential difficulties with recruitment and retention which could be due to prolonged pay negotiations and general upturn in recruitment market.</li> <li>• This could lead to the Council struggling to meet changes in demand for services.</li> <li>• 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.</li> <li>• National Pay negotiations will have a financial impact.</li> </ul> <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>	September 2022	3	4	12	
<b>Mitigation Action Plan</b>						
<ul style="list-style-type: none"> <li>- The new People Strategy and associated action plan is due to go to Cabinet in November 2022 for approval.</li> <li>- Actions from this strategy are designed to ensure that the Council remains an attractive place to work and remains competitive.</li> <li>- Outcomes and actions from the results of the staff engagement survey.</li> <li>- Revised policies and procedures are being revised and rolled out. These are subject to regular review and update to reflect the latest position.</li> <li>- Promotion and monitoring of staff wellbeing.</li> <li>- Monitor staff turnover/reasons for leaving through exit interview analysis and respond as appropriate in line with policy (redesigning roles/recruitment/market supplements etc.).</li> <li>- Work underway to review workforce trends and hotspots and implement solutions as appropriate.</li> </ul>						


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HAV006	<p><b>Major system, supplier, external infrastructure failure or natural disaster</b></p> <ul style="list-style-type: none"> <li>• Lack of effective business continuity plans / emergency planning and poor defences in places (e.g. severe weather, flooding, pandemic etc.).</li> <li>• Business Continuity (BC) and Councils Service Resilience in the event of an IT Outage - 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 maybe increased with a greater impact on people/services.</li> <li>• Unavailability of IT and/or Telecoms, including from cyber attack</li> <li>• 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.</li> <li>• Capacity issues within the provider market sector (linked to recruitment and retention) could lead to an inability to meet demand for services.</li> <li>• 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.</li> </ul>	September 2022	3	3	9	
<b>Mitigation Action Plan</b>						
<ul style="list-style-type: none"> <li>- Due diligence in advance of contract awards.</li> <li>- Major emergency plan in place within organisation to mitigate the initial impacts of these types of events.</li> <li>- Corporate Business Continuity Plan and individual service area Business Continuity Plans held and updated by services.</li> <li>- Corporate Business Continuity Plan outlines critical service for initial priorities with included service time scales.</li> <li>- Individual incident plans for specific scenario for example, Multi-agency flood plan, Excess Deaths Plan, Severe Weather, etc.</li> <li>- Regular updates of plans and testing and exercising associated risks.</li> <li>- Corporate Risk Register linked to the London Risk register on relating risks, for example; societal associated risks.</li> <li>- Work with Care Providers Voice, workforce professionals and other partners to develop and implement a workforce development plan and training offer to support retention and development of existing staff and attract new staff to the care sector.</li> <li>- Regular review of market rates, in consultation with local providers and uplifts applied as appropriate to support the market and ensure suitable rates are offered and passed on to workforce.</li> <li>- Monitoring of the reablement contract and development of agreement with CCG for long term joint funding arrangements and increasing capacity to ensure a sustainable service that will meet future need.</li> </ul>						

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HAV007	<p><b>Significant Governance or Control Failure</b></p> <p>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.</p> <ul style="list-style-type: none"> <li>• Cultural failings, poor leadership and ineffective policies and procedures.</li> <li>• Increasing financial pressures, reduced staffing capacity and loss of skills, knowledge and experience</li> <li>• Increase in commercial activity in local government, accompanied by greater complexity in local delivery and funding arrangements.</li> </ul>	September 2022	3	4	12	
<b>Mitigation Action Plan</b>						
<ul style="list-style-type: none"> <li>- Governance and Assurance Board continues to operate with regular review of Significant Governance Issues (SGIs) as reported in the Annual Governance Statement. Regular monthly meetings, good attendance by appropriate officers or delegates.</li> <li>- Review of Directorate Assurance Statements to inform assurance opinion, Internal Audit Plan, Significant Governance Issues and the Corporate Risk Register.</li> <li>- Annual Governance Statement is reviewed following the Delivering Good Governance in Local Government CIPFA/SOLACE Framework.</li> <li>- Whistle-blowing procedures have improved and subject to regular review.</li> <li>- Internal Audit regime was revised to reflect the new circumstances of working virtually and flexibly to meet the emerging risks. Audit Plan is regularly reviewed and adapted to address arising issues/risks.</li> <li>- Internal challenge continues through audit process including; follow up process for all Limited Assurance reports, monitoring and follow up of all High and Medium Risk recommendations and escalation of Limited assurance reports through Governance and Assurance Board, Themed Board and Audit Committee, flexible plan to adjust priorities for emerging risks.</li> </ul>						



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HAV008	<b>Failure to deliver strategic corporate priorities</b> The post pandemic and austerity legacy combined with unprecedented levels of demand (e.g. for children's and adults services), may have an impact on the ability to deliver corporate priorities in line with residents demand and perception.	September 2022	3	4	12	
<b>Mitigation Action Plan</b>						
<ul style="list-style-type: none"> <li>- 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.</li> <li>- Corporate plan with established priorities supports delivery of key programmes.</li> <li>- The Council will ensure regular engagement, consultation and increased participation in the planning of services and provision of insight into residents' lived experience.</li> </ul>						

Risk Ref.	Risk Title and Description	Last updated	Impact	Likelihood	Current Status (R/A/G)	Direction of Travel
HAV009	<b>Council fails to adapt to changing context</b> New and ongoing work towards meeting the climate change agenda could have a wider impact on the Council's ability to adapt to a changing environment.	September 2022	4	2	8	
<b>Mitigation Action Plan</b>						
<ul style="list-style-type: none"> <li>- Climate Change Agenda work is taking place with various individual action plans for different aspects of climate change have been shared at Theme Board and further work to continue.</li> </ul>						