Risk Ref.	Risk Title and Description	Last updated	Impact	Likelihood	Current Status (R/A/G)	Direction of Travel
HAV0005	**Financial Resilience** – Inability to deliver a balanced budget as a result of: • 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	March 2023	4	4	16	⬌

Mitigation Action Plan

- Early diagnosis of the financial gap to allow time for actions to be put in place including new savings proposals.
- 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.
- Work with national lobbying groups such as the LGA and London Councils to put the case for more funding to the Government.
- The Council has developed over £30m of savings proposals (over 4 years) which are being consulted on to reduce the financial gap which will be monitored for delivery.
- 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.
- 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).
- The Council has developed action plans to mitigate and reduce the in-year overspend including:
    • All overspends reviewed and challenged to identify any non-recurrent spend which could be funded from reserves
    • All use of consultancy reviewed by senior management

Risk Ref.	Risk Title and Description	Last updated	Impact	Likelihood	Current Status (R/A/G)	Direction of Travel
HAV0019 NEW	**Technology: Business Continuity Planning – Business Continuity (BC) and Council's Service Resilience in the event of an IT Outage.** 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.	March 2023	4	4	16	n/a

Mitigation Action Plan
Business Continuity and Council's Service Resilience in the event of an IT outage - A project to assess Business Continuity Planning (BCP) arrangements in the event of an outage have commenced via Havering Transformation Team. At present many Services are reliant on assumed protection and services provided by the IT team, but this assurance is now being assessed as part of this project. - Outages current rely on perceived timescales, and may not be aligned to likely outages based on all scenarios – such as Cyber Attack (3 months). - The Applications Audit undertaken by the Transformation Team has started to provide high-level outputs to identify system owners and risks, but the data needs to be verified and further information sought where risks are perceived. - Disaster Recovery (DR) capabilities for systems not hosted on IT-managed infrastructure will need to be verified by the System Owners and via vendors.

Risk Ref.	Risk Title and Description	Last updated	Impact	Likelihood	Current Status (R/A/G)	Direction of Travel
HAV0004 AMENDED	**Technology: Cyber Security – Technical Controls and Platforms** 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).	March 2023	4	4	16	⟷

Mitigation Action Plan
Cyber Security – Technical Controls & Platforms   - Cyber Security Programme underway, through Capital funding, to put into 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.   - Network Refresh Programme is underway, through Capital funding, to put into place new technology and security controls to mitigate known issues with the network technology and configuration. Currently evaluating contract tenders. Delivery is monitored by the SIRO.   - Our Security Operations Centre service provisioned via 3rd party is enabling significant uplift in our ability to detect malicious attacks and has been successful in mitigating a number of vulnerabilities.

Risk Ref.	Risk Title and Description	Last updated	Impact	Likelihood	Current Status (R/A/G)	Direction of Travel
HAV0015	**Regeneration – (Shaping the future of the Borough) – impact of costs inflation, social change and economic downturn** • Circumstances that have arisen at other Councils have highlighted the importance of monitoring the sustainability of significant regeneration programmes. • Quality of housing in Borough - ensuring it is fit for the future. • Inflationary rises mean that the cost of developments may not be sustainable / achievable. • 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	March 2023	4	3	12	⟷

Mitigation Action Plan

- Regeneration schemes, capital budgets and forecasts are reported quarterly to Themed Board.
- The pipeline schemes for the Joint Ventures and Mercury Land Holdings are reviewed at the Regeneration Officer Board every six weeks.
- 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:
  • The 12 Sites Joint Venture 2023/24 Business Plan was approved at Cabinet on 8 Feb 2023.
  • The Bridge Close Regeneration LLP 2023/24 Business Plan was approved at Cabinet on 8 Feb 2023.
  • The Mercury Land Holdings 2023/24 Business Plan refresh is in progress and expected to be presented to Cabinet in May 2023.
  • The Rainham and Beam Park Joint Venture 2023/24 Business Plan refresh is in progress and expected to be presented to Cabinet in June 2023.
- Projects will be reported to a review group under the Places theme as part of the TOM.
- Financial risks are included in each Regeneration Officer Board (ROB) report for each scheme. ROB is chaired by the s151 Officer and this occurs on a 6 weekly basis.
- Project progress and risks are reviewed regularly through the Verto dashboard, and highlight reports are produced monthly.
- The Regeneration Management team are scheduling risk reviews at a more regular basis, a directorate risk register has been created based on reported project risks.

- More work is being done to ensure synergy between the monitoring of risks at Corporate, Directorate and Project levels.
- Each business plan review takes independent professional advice as part of the viability review exercise. This is reflected in the annual report to Cabinet for each scheme.
- The two schemes being delivered from the Housing Revenue Account will provide an in-year business plan refresh to Cabinet in around September 2023.
- Greater focus on scheme viability at a project level: Gateway processes have been established to ensure that project viability meets the required hurdles before the Council commits to contract arrangements.
- Ensure adequacy of scheme contingency allowances: This is reviewed on a regular basis as part of financial monitoring and the annual business plan refresh exercise.
- Review of affordable housing products to maximise external grant/income opportunities: The Council has established a strong relationship with the GLA in order to maximise funding opportunities.
- Adjust delivery programmes, where appropriate, to respond to the market cycle: Delivery programme milestones are regularly reviewed and refreshed as part of monthly monitoring.
- Financial Risks are included in each Regeneration Officer Board reports (this occurs on a 6 weekly basis).
- Review for a possible need to adjust the tenure mix (a possible mitigation to viability challenges): Tenure mix is reviewed as part of the annual business planning process.

Risk Ref.	Risk Title and Description	Last updated	Impact	Likelihood	Current Status (R/A/G)	Direction of Travel
HAV0012	**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. • 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. • Strategic objectives are not achieved. • Greater risk of financial loss when governance is poor. • Leadership failings result in inadequate judgement grading on regulated services.	March 2023	3	4	12	⟷

Mitigation Action Plan
- Governance and Assurance Board (GAB) 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. - Review of Directorate Assurance Statements to inform assurance opinion, Internal Audit Plan, Significant Governance Issues and the Corporate Risk Register. - Annual Governance Statement is reviewed following the Delivering Good Governance in Local Government CIPFA/SOLACE Framework. - Whistle-blowing procedures have improved and subject to regular review. - 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. This is now embedded as part of the audit planning process. - 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. - A cross party constitutional working group (including officers) is currently up and running and is systematically reviewing various sections of the constitution to ensure it is fit for purpose.

Risk Ref.	Risk Title and Description	Last updated	Impact	Likelihood	Current Status (R/A/G)	Direction of Travel
HAV0014	**Workforce** There is a risk that the current work stream 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. • 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.	March 2023	3	4	12	⬌

Mitigation Action Plan
- Target Operating Model is reviewing the organisation structures to support the Corporate Plan objectives. - Implementation of a new Workforce Strategy: Has now been approved by cabinet and will cover the period until 2024. Phased approach over these two years. - Actions from this strategy are designed to ensure that the Council remains an attractive place to work and remains competitive. - Outcomes and actions from the results of the staff engagement survey. - Revised policies and procedures are being revised and rolled out. These are subject to regular review and update to reflect the latest position. - Promotion and monitoring of staff wellbeing. - Monitor staff turnover/reasons for leaving through exit interview analysis and respond as appropriate in line with policy (redesigning roles/recruitment/market supplements etc.). - Work underway to review workforce trends and hotspots and implement solutions as appropriate. - Development of grow our own workforce strategies in Social care.

Risk Ref.	Risk Title and Description	Last updated	Impact	Likelihood	Current Status (R/A/G)	Direction of Travel
HAV0006	**Potential harm to people we owe a duty of care** • 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. • 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	October 2022	4	3	12	↔

Mitigation Action Plan

- The ASC/JCU service operates Quality Team processes to review standards of care including contract monitoring carried out against framework providers and residential providers in the borough.
- A Quality Assurance Framework provides a risk based approach to the care market.
- Transparent and robust Guidance for Suspension of Placements with adults providers
- Strong links with CQC with early notification of problems with providers.
- Service attendance at the Adults Quality and Safeguarding Board with the CQC as well as HealthWatch.
- Safeguarding Adults Team reviews investigations following patterns emerging from a provider that suggests systemic concerns.
- Robust Adults 'Establishment Concerns & Failure' Procedure & Guidance
- Sharing of information and intelligence with other Local Authorities at the Local Adults Quality and Safeguarding Group (meets monthly).
- Appropriate and effective safeguarding processes and arrangements in place for children and adults.
- Children's Services benchmarking through the London Innovation and Improvement Alliance performance dataset to highlight trends and required improvements
- Training in Multi-Agency Safeguarding Hub to ensure appropriately triage safeguarding enquiries against the criteria.
- Regular Safeguarding and Oversight meeting chaired by AD Adult Safeguarding and AD Children Services .

- Safeguarding Policies and Guidance are reviewed and updated. - Staff are appropriately supervised to be able to carry out their roles to a high standard. - Robust Quality Assurance Framework and learning through Rapid reviews and learning dissemination in Children's Services.
Mitigation Action Plan (continued)
- Safeguarding Adults Board (SAB) and Local Safeguarding Partnerships (for children) in place with opportunities for Chair(s) 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 Adult Team attend Team Meetings to provide relevant updates around key topics such as Mental Capacity Act (MCA) or Domestic Violence (DV). - Training for adult 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 and Children's 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 in Havering. - Involvement in the LIIA Recruitment microsite and London Pledge work - Monitoring and continuation of early help and intervention work where possible, in line with model of practice. - Council's cost of living response to mitigate financial pressures on residents, including administering national and local schemes for financial support, responding to new referrals relating to risks of homelessness (and to mitigate against increases in domestic violence etc), and building energy resilience (such as our energy doctor scheme).

Risk Ref.	Risk Title and Description	Last updated	Impact	Likelihood	Current Status (R/A/G)	Direction of Travel
HAV0013	**Failure to deliver strategic corporate priorities** The budget pressures 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. • Council priorities are not met leading to dissatisfaction from residents. • 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.	March 2023	4	3	12	⬌

Mitigation Action Plan
- Corporate plan with established priorities supports delivery of key programmes and is monitored regularly. - The Council will ensure regular engagement, consultation and increased participation in the planning of services and provision of insight into residents' lived experience. - 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.

Risk Ref.	Risk Title and Description	Last updated	Impact	Likelihood	Current Status (R/A/G)	Direction of Travel
HAV0007 **AMENDED**	**Failure to adapt to the potential impacts of climate change** 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. Effects include: • Flash flooding – pluvial (rain): Localised, severe impacts, Road network impacted • 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	March 2023	4	3	12	↑

Mitigation Action Plan
- Havering Climate Change Action Plan: The impacts of climate change are incorporated in the Havering Climate Change Action Plan (HCCAP) and are specifically addressed in the Council governance - Inclusion in Business Continuity and Emergency Plans: The Council's response is contained within the Business Continuity Plans of services and is regularly reviewed.

Risk Ref.	Risk Title and Description	Last updated	Impact	Likelihood	Current Status (R/A/G)	Direction of Travel
HAV00020 NEW	**Technology: ICT Resilience – The Council's ability to deliver critical and key services in the event of ICT outages and be able to recover in the event of system and/or data loss.** Key potential causes are: - Poor Business Continuity (BCP) planning and understanding of key system architecture. - Untested Disaster Recovery (DR) arrangements including data recovery. - Untested network reconfiguration to alleviate key location outage. - Untested recovery schedules in terms of order and instructions. - Lack of resilience available for legacy systems (single points of failure - people and technology). - Services undertaking their own IT arrangements outside of the corporate approach - Poor data management can lead to delays in recovery timescales if retained data volumes are excessive, and critical and non-critical data are combined in back-ups - Impact of the ICT Shared Tenancy arrangements	March 2023	3	3	9	n/a
Mitigation Action Plan						
ICT Resilience - A replacement IT backup solution for systems managed via the oneSource IT service has been procured and implemented, significantly improving DR capabilities. - Vendor Contracts: It should be noted that this will only cover systems that are hosted on IT-managed infrastructure. The DR arrangements for other systems will be the responsibility of the System Owners and the contracts with the vendors, and is being addressed via the BCP work within the Transformation Team. - Review of Disaster Recovery capabilities: Additional review of DR capability has been undertaken as part of the assurance in the event of rolling power outages by postcode during winter 2023. - Disaster recovery testing: DR testing to be scheduled during Q1 2023/24, as part of wider review of capabilities post Transformation Project delivery. - Recruitment of Records Management Lead: Records Management Lead to be recruited in 2023/24 financial year to lead on data assessment for GDPR compliance and also to seek to reduce excessive data storage.						

- Backup systems for client case recording systems – Liquid Logic LAS, LCS and EHM						
Risk Ref.	**Risk Title and Description**	**Last updated**	**Impact**	**Likelihood**	**Current Status (R/A/G)**	**Direction of Travel**
HAV00021 **NEW**	**Technology: Legacy Systems** 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.	March 2023	3	3	9	n/a
Mitigation Action Plan						
- The Applications Audit undertaken by the Transformation Team has started to provide high-level outputs to identify system owners and risks, but the data needs to be verified and further information sought where risks are perceived. - The revised Digital Strategy is to inform an Enterprise Architecture approach will provision the standards for existing, and future, solutions to be assessed against. Where approaches are not aligned to the standards, remedial activity can be identified and scheduled, with a known owner. - Application Rationalisation approach being considered, moving away from niche systems to corporate-wide systems, with niche functionality provided using standard tooling – all maintainable and reducing costs, whilst improving GDPR/Cyber considerations						

Risk Ref.	Risk Title and Description	Last updated	Impact	Likelihood	Current Status (R/A/G)	Direction of Travel
HAV00018 NEW	**Technology: Information Security Policies and Risk Management** 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. 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).	March 2023	3	3	9	n/a

Mitigation Action Plan
ICT Resilience
- Information Governance Board Oversight: The Information Governance Board continues to provide oversight of Information Assurance and acts as an escalation point to the SIRO. - A review/update of all policies, including developing any that are missing is continuing through an external contracted resource. First outputs shared with the IG Board in January 2023. - A revised training system with an improved ability to track compliance has been released to staff, alongside Phishing simulations. - Significant capacity issues within the Information Assurance team and a lack of wider skills within the team remain to be addressed. - Lack of Information Asset Registers and Information Asset Owners within the Service Areas/Directorates continues – hence an over-reliance on Information Assurance colleagues. Following other priority action being completed, this will now be reviewed by the IG Board.

Risk Ref.	Risk Title and Description	Last updated	Impact	Likelihood	Current Status (R/A/G)	Direction of Travel
HAV0002	**Major system, supplier, external infrastructure failure or natural disaster** • Lack of effective business continuity plans / emergency planning and poor defences in places (e.g. severe weather, flooding, pandemic etc.). • 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. • Unavailability of IT and/or Telecoms, including from cyber attack • 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.	March 2023	3	2	6	↓

Mitigation Action Plan
- Due diligence in advance of contract awards. - Major emergency plan in place within organisation to mitigate the initial impacts of these types of events. - Corporate Business Continuity Plan and individual service area Business Continuity Plans held and updated by services. - Corporate Business Continuity Plan outlines critical service for initial priorities with included service time scales. - Individual incident plans for specific scenario for example, Multi-agency flood plan, Excess Deaths Plan, Severe Weather, etc. - Regular updates of plans and testing and exercising associated risks. - Corporate Risk Register linked to the London Risk register on relating risks, for example; societal associated risks. - 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. - 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. - 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.