

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
The Council is unable to deliver a balanced budget as a result of: <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 In Progress 		12	High	12

Risk Register - LB Havering Corporate Risk Register

Manager

Maria Denton

		• 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			16 High	4
		• Cyber Security – Technical Controls & Platforms: Network Refresh Programme <i>Alexandra West</i>	In Progress			High	

Risk Register - LB Havering Corporate Risk Register

Manager

Maria Denton

		• 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			High Medium	

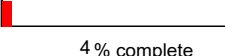
Review Comments Update provided by Nick Kingham - further input needed from a wider group of officers and links to DRRs etc to be established . Risk is new and a WIP.
15/03/2023


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			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 High 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> <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

Risk Register - LB Havering Corporate Risk Register

Manager

Maria Denton

<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		

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	<div style="width: 44%; background-color: red; height: 10px;"></div> 44 % complete	15/03/2023	15/05/2023

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


Risk Register - LB Havering Corporate Risk Register

Manager

Maria Denton

<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		

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

<p>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.</p> <p>The current economic climate and outlook presents a challenge to financial viability.</p> <ul style="list-style-type: none"> • 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 	<p>Inflationary rises mean that the cost of developments may not be sustainable / achievable.</p>	<ul style="list-style-type: none"> • Regeneration schemes, capital budgets and forecasts are reported quarterly to Themed Board. <i>Kirsty Moller</i> • Pipeline Schemes review at Regeneration Officer Board. <i>Kirsty Moller</i> • Annual Business Plan refresh reviews financial viability of JVs. <i>Kirsty Moller</i> • Project progress and risks reviewed at Prouder Steering Group using info recorded on Verto <i>Kirsty Moller</i> • Financial risks are included in each Regeneration Officer Board report for each scheme. ROB is chaired by the s151 Officer. <i>Kirsty Moller</i> • Covid focused mitigations <i>Kirsty Moller</i> • Project risks in Verto link in with Directorate Risk Register <i>Kirsty Moller</i> • Increased monitoring of economic conditions. <i>Kirsty Moller</i> • Greater focus on scheme viability at a project level. <i>Kirsty Moller</i> • Ensure adequacy of scheme contingency allowances. <i>Kirsty Moller</i> • Review of affordable housing products to maximise external grant/income opportunities. <i>Kirsty Moller</i> • Adjust delivery programmes, where appropriate, to respond to the market cycle. <i>Kirsty Moller</i> • Financial Risks are included in each Regeneration Officer Board reports (this occurs on a 6 weekly basis). <i>Kirsty Moller</i> 	<p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>Implemented</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>9</p>	<p>Medium</p> <p>12</p> <p>High</p> <p>Medium</p>
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Risk Register - LB Havering Corporate Risk Register

Manager

Maria Denton

		• 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.	• Information Governance Board Oversight <i>Paul Fisher</i>	In Progress		4	Medium	16 -7
		• Policy Review and Update <i>Paul Fisher</i>	In Progress			Moderate	
		• Training Provision <i>Paul Fisher</i>	In Progress			Medium	
		• Capacity in Information Assurance Team <i>Paul Fisher</i>	In Progress				
		• 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.		• Application Audit <i>Paul Fisher</i>	In Progress		4	Medium	
		• Digital Strategy <i>Paul Fisher</i>	In Progress			Moderate	
		• Application Rationalisation <i>Paul Fisher</i>	In Progress			Medium	

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
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.	HAV0020	Alexandra West	<div style="width: 0%;"><div></div></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: - 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		<ul style="list-style-type: none"> Backup systems for client case recording systems – Liquid Logic LAS, LCS and EHM <i>Default</i> Replacement IT backup solution procurement and implementation <i>Alexandra West</i> Vendor contracts <i>Alexandra West</i> Review of Disaster Recovery capabilities <i>Alexandra West</i> Disaster recovery testing <i>Alexandra West</i> Recruitment of Records Management Lead <i>Alexandra West</i> 	In Progress		4	Medium	9 Moderate Medium

Review Comments

Risk Title	Risk Ref	Owner	Control Progress	Last Review date	Next Review Date
Major system failure, supplier failure or natural disaster, external infrastructure failure	HAV0002	Default	<div style="width: 19%;"><div></div></div> 19 % complete	15/03/2023	15/05/2023

Lack of effective business continuity plans / emergency planning and poor defenses in places (e.g. severe weather, flooding, pandemic etc).
 Cyber Security
 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 and council Services

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

<p>- Unavailability of IT and/or Telecoms, including from cyber attack</p> <p>- Reduced chances of preventing/responding to incidents due to a lack of forward planning or investment.</p> <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.</p> <p>- Capacity issues within the provider market sector (linked to recruitment and retention) could lead to an inability to meet demand for services.</p> <p>- 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.</p>		<ul style="list-style-type: none"> • Due diligence in advance of contract awards <i>Maria Denton</i> • Covid focused mitigations <i>Default</i> • Major Emergency Plan in place within organisation to mitigate the initial impacts of these types of events <i>Default</i> • Corporate Business Continuity Plan and individual service area Business Continuity plans held and updated by services. <i>Default</i> • Corporate Business Continuity Plan outlines critical service for initial priorities with included service time scales. <i>Default</i> • Individual incident plans for specific scenario for example, Multi-agency flood plan, Excess Deaths Plan, Severe Weather Lon <i>Default</i> • Regular updates of plans and testing and exercising associated risks. <i>Default</i> • CRR linked to the London Risk register on relating risks, for example R72, R73 and R103 for societal associated risks <i>Default</i> • Work with Care Providers Voice, workforce professionals and other partners <i>Default</i> • Regular review of market rates, in consultation with local providers and uplifts applied as appropriate <i>Default</i> • Monitoring of the Reablement Contract <i>Default</i> 	<p>In Progress</p> <p>Implemented</p> <p>In Progress</p> <p>Implemented</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p>		<p>4</p>	<p>Medium</p> <p>6</p> <p>Moderate</p> <p>Low</p>
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Review Comments Review and update provided by Kenny Lim 150323
15/03/2023

