LB Havering Strategic Risk Register

JCAD

LB Havering Strategic Risk Register 11-July-2024

Profile Totals	0	0	0	7	0	**Total**	**7**
Changes				4 ¹ ↗		6 ⁹	↗

Total Risks including Unassigned **10**

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

Risk Register - LB Havering Strategic Risk Register

Profile Totals	0	0	0	7	0	**Total**	**7**
Changes				4 ¹ ↗		6 ⁹	↗

Total Risks including Unassigned **10**

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

Risk Title	Risk Ref	Assigned To	Control Progress	Last Review date	Next Review Date
Financial Resilience - Inability to deliver a balanced budget	HAV0005	Strategic Director Resources	🟥	01/07/2024	01/09/2024

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Rating	Previous Current Rating
The Council is unable 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		• The MTFS is updated on a regular basis to define the potential budget gap for the following year.	Ongoing		12	High 20 Very High High	16 ↗ 4
		• Lobby the Government at every available opportunity	In Progress		0		
		• The Council recognises the need to continue to develop savings proposals in order to help balance the budget.	In Progress		0		
		• The Council continues to review its structure	In Progress		95		
		• The Council reviews and reprofiles the Capital programme on a quarterly basis through the year.	In Progress		80		
		• The Council has developed action plans to mitigate and reduce the in-year overspend	Ongoing		0		

Review Comments Mitigations reviewed and updated with Head of Finance 01/07/24
01/07/2024

				Manager	Maria Denton

Risk Title			Risk Ref	Assigned To	Control Progress	Last Review date	Next Review Date
Potential harm to people we owe a duty of care			HAV0006	Strategic Director People	|	02/07/2024	02/10/2024

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current 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. • 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 - 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.		• Quality process in place including contract monitoring for framework and residential providers	In Progress		8	High 16 High High	12 ↗ 4
		• A Quality Assurance Framework provides a risk based approach to the care market	In Progress		0		
		• Transparent and robust Guidance for Suspension of Placements with adults providers	In Progress		0		
		• Strong links with CQC with early notification of problems with providers	In Progress		0		
		• Robust Adults Establishment Concerns & Failure Procedure and Guidance	In Progress		0		
		• Sharing of information and intelligence with other Local Authorities at the Local Adults Quality and Safeguarding Group (monthly	In Progress		0		
		• Appropriate and effective safeguarding processes and arrangements in place for children and adults	In Progress		0		
		• Training in Multi Agency Safeguarding Hub	In Progress		0		
		• Regular Safeguarding and Oversight meeting chaired by AD Adult Safeguarding and AD Children's services	In Progress		0		
		• Safeguarding Policies and Guidance are reviewed and updated	In Progress		0		

		• Staff are appropriately supervised to be able to carry out their roles to a high standard	In Progress	0	
		• Safeguarding Adults Board (SAB) and Local Safeguarding Partnerships (for Children) in place	In Progress	0	
		• Robust process to escalate cases to MARAC ensuring partnership approach	In Progress	0	
		• Safeguarding Adult Team attend Team Meetings to provide relevant updates around key topics such as MCA or DV	In Progress	0	
		• Residential and nursing home safeguarding training	In Progress	0	
		• Adults and Children's Social Care (ASC) - Resilience business case to address staffing pressures	In Progress	0	
		• Broad range of targeted training available to social care staff and managers to ensure all are properly equipped.	In Progress	0	
		• Regular Review of Safeguarding caseloads across teams	In Progress	0	
		• Monitoring of demand via referrals to Multi-Agency Safeguarding Hub (MASH)	In Progress	0	
		• Recruitment processes underway for Social workers in Havering	In Progress	0	
		• Monitoring and continuation of early help and intervention work where possible, in line with model of practice	In Progress	0	
		• Council's cost of living response to mitigate financial pressures on residents	In Progress	0	

	Control Status		Value
• Children's Services benchmarking through the London Innovation and Improvement Alliance performance dataset	In Progress		0
• Robust Quality Assurance Framework and learning through Rapid reviews and learning dissemination in Children's Services.	In Progress		0
• Involvement in the LIIA Recruitment microsite and London Pledge work	In Progress		0

Review Comments Review of mitigations and current risk rating with AD Insight, Policy & Strategy
02/07/2024

Risk Title	Risk Ref	Assigned To	Control Progress	Last Review date	Next Review Date
External Inspection Requirements - conditions attached to the Capitalisation Direction inc. an external assurance arrangement to review the effectiveness of our Financial Management arrangements, extending to a review of our governance and decision making processes. Terms remain to be defined by DLUHC. Additional inspection and reporting requirements following on from 2024 Ofsted review. Or any other external review. The Council's in-year savings targets may impact on delivery of priorities if not achieved.	HAV0023	Chief Executive	🟥	01/07/2024	01/10/2024

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Rating	Previous Current Rating
Increased, high priority, inspection regimes as a result of the Capitalisation order.		• Ofsted Inspection - Improvement Plan - submitted to DfE and to Full Council in July 2024	Ongoing		6	High 16 High	New
		• Peer Reviews carried out or CQC and Housing Inspectorate	In Progress		70	High	
		• Implementation of the DLUHC productivity, improvement and transformation plans	In Progress		0		

Review Comments Review completed and mitigations added 01/07/2024
01/07/2024

Risk Title	Risk Ref	Assigned To	Control Progress	Last Review date	Next Review Date
Significant operational disruption to the Council's critical services. Operational disruption caused by loss of or impairment to key resources supporting the Council's critical services. This may include, but is not limited to, a major system failure, cyber security breach, 3rd party supplier failure (including utility services), reduction in number of available staff, change in regulatory	HAV0002	Strategic Director Resources	🟥	20/06/2024	20/08/2024

requirements.

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Rating	Previous Current Rating
- Reduced capability of preventing or responding effectively to incidents due to a lack of forward planning or investment. - Unavailability of IT and/or Telecoms - Breach of Cyber Security defenses - Impact to 3rd Party supplier's ability to provide required service(s) - Increase in staff turnover rates or inability to replace key leavers - Incidents impacting availability of key staff (e.g. illness, transport system disruption) - Regulatory change affecting the Council, 3rd Party service providers, direct supply contracts	Significant or prolonged operational disruption to the Council's critical services. Reputational damage Failure to meet statutory or regulatory requirements Impact to vulnerable residents leading to harm or distress Financial penalties or additional emergency cost of service provision Inability to effectively process payments or transactions In the event of a Business Continuity disruption, the council may be unable to maintain delivery of essential operations and business activities. Due to inadequate contingency planning, the impact of the incident may be magnified and result in a more significant effect on individuals and council services.	• Due diligence in advance of contract awards	In Progress		9	Medium 12 High Medium	6 ↗ 6
		• Major Emergency Plan in place within organisation to mitigate the initial impacts of these types of events	In Progress		0		
		• Corporate Business Continuity Plan and individual service area Business Continuity plans held and updated by services.	Implemented		100		
		• Corporate Business Continuity Plan outlines critical service for initial priorities with included service time scales.	In Progress		0		
		• Individual incident plans for specific scenario for example, Multi-agency flood plan, Excess Deaths Plan, Severe Weather	In Progress		0		
		• Regular updates of plans and testing and exercising associated risks.	In Progress		0		
		• CRR linked to the London Risk register on relating risks, for example R72, R73 and R103 for societal associated risks	In Progress		0		
		• Work with Care Providers Voice, workforce professionals and other partners	In Progress		0		
		• Regular review of market rates, in consultation with local providers and uplifts applied as appropriate	In Progress		0		
		• Monitoring of the Reablement Contract	In Progress		0		

		Manager	Maria Denton

Control Measures	Control Status	Progress
• BCP Transformation Project	In Progress	0
• Alignment of outages to scenarios	In Progress	0
• Disaster Recovery Capabilities Verification	In Progress	0
• Applications Audit	In Progress	0

Review Comments

The following items were updated on 20-06-24:
- Risk Title & Desc
- Causes
- Effects
Note: there may be a need to update the mitigations associated with this risk and/or to introduce additional strategic risks that may supersede or supplement this risk
20/06/2024

Risk Title	Risk Ref	Assigned To	Control Progress	Last Review date	Next Review Date
Failure to adapt to the potential impacts of climate change and meet Council's carbon neutral ambition for 2040	HAV0007	Strategic Director Resources		26/06/2024	06/01/2025

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current 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 due to financial constraints.	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. Decrease in biodiversity in borough. Health of residents adversely impacted.	• Introduction of Havering Climate Change Action Plan 2021	Implemented		9	Medium 12 High Medium	8 ↗ 4
		• Inclusion in Business Continuty and Emergency Plans	Implemented		100		
		• Havering Climate Change Action Plan 2024-2027 - Endorsement at Cabinet	Implemented	30/04/2024	100		
		• Implementation of Havering Climate Change Action Plan 2024	In Progress	31/03/2025	25		

Review Comments

Review completed 26/06/24 - mitigations updated and aligned with PowerBI dashboard.   Projected risk score also amended.
26/06/2024

Risk Title	Risk Ref	Assigned To	Control Progress	Last Review date	Next Review Date

			Manager		Maria Denton

Technology: ICT Resilience and Legacy Systems - 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**   Strategic Director Resources   🟥   13/06/2024   13/08/2024

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current 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 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.		• Replacement IT backup solution procurement and implementation	In Progress		🟩 4	Medium 9 Moderate Medium	3 ⬅➡ 3
		• Vendor contracts - Contacts register created for all contracts managed by one source IT.	In Progress		75		
		• Review of Disaster Recovery capabilities	In Progress		50		
		• Disaster recovery testing	In Progress		25		
		• Backup systems for client case recording systems – Liquid Logic LAS, LCS and EHM	In Progress		0		
		• Applications Audit	In Progress		70		
		• Digital Strategy	In Progress		20		
		• Application Rationalisation	In Progress		10		

Review Comments   A cloud migration project, including backup and recovery solutions, is currently underway and due to be complete by the end of 2024. The Microsoft Azure cloud environment also provides a much higher level of redundancy and rapid recovery.
13/06/2024

Risk Title			Risk Ref	Assigned To	Control Progress	Last Review date	Next Review Date
Culture, governance, capacity and knowledge - NEW RISK			HAV0024	Strategic Director Resources			26/12/2024

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

Culture emerges as a root cause where things have gone wrong, whether through complacency or stress of significant workloads or other means. As a result, local authorities are increasingly having to examine and assess the concept of culture and if it supports their strategy and mandate.		• Governance and Compliance Culture as a rolling programme of work in the Internal Audit Plan 2024/25	Ongoing		**4**	Medium 9 Moderate Medium	New
- Ineffective leadership							
- Poor behaviour							
- Poor scrutiny, transparency, whistle-blowing support							
- failures in contract management and governance leading to significant uplift in energy costs							
- the award of a contract and approval of significant costs to a senior individual at the authority							
- allegations of improper Member conduct to influence funding to third parties							
- allegations of undue pressure by Members outside of committee meetings to influence officer decision making							
- incidents of significant fraud committed by officers against the Council.							
- cultural and governance issues							
- failure to understand and manage the risks associated with external companies							
- failure to address and resolve relationship difficulties between senior officers and members							
- financial capability and capacity							
- audit committee effectiveness							

Review Comments

Risk Title				Risk Ref	Assigned To	Control Progress		Last Review date	Next Review Date
Failure to deliver strategic corporate priorities set out in the Corporate Plan - The Council's in-year savings targets may impact on delivery of priorities if not achieved.				HAV0013	Chief Executive			01/07/2024	01/09/2024

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current 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. 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.	• Engagement Strategy active and implemented	Implemented		**9**	Medium 9 Moderate Medium	12 -3
		• A full review of the 2023/24 agreed Corporate Plan was undertaken.	Implemented	10/04/2024	100		
		• Transparent communication to support revised Corporate Plan.	Implemented	01/07/2024	100		

				Manager	Maria Denton

		Control Measures	Control Status	Target Rating
		• Implement service planning to deliver Strategic Priorities	Implemented	100
		• Implementation of the DLUHC productivity, improvement and transformation plans	In Progress	0

Review Comments	Reviewed and mitigations updated on 01/07/24
	01/07/2024

Risk Title	Risk Ref	Assigned To	Control Progress	Last Review date	Next Review Date
Technology: Cyber Security (Technical Controls and Platforms), Information Security and Risk Management	HAV0004	Strategic Director Resources		13/06/2024	13/08/2024

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current 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). - 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.	• Cyber Security - Technical Controls & Platforms: Cyber Security Programme	Implemented		8	Medium 8 High Low	⬌
		• Cyber Security – Technical Controls & Platforms: Network Refresh Programme	In Progress		50		
		• Cyber Security – Technical Controls & Platforms: Security Operations Centre Provision	Implemented		100		
		• Information Governance Board Oversight	Implemented		100		
		• Policy Review and Update	Implemented		100		
		• Training Provision	Implemented		100		
		• Capacity in Information Assurance Team	Implemented		100		
		• Review of Asset Registers and Owners	In Progress		70		

Review Comments	Our trusted partner Stripe OLT provide our 24/7 Security Operations Centre (SOC) to ensure we have increased vigilance in place and earlier threat detection. To mitigate the risk of Windows 2012 no longer being officially support by Microsoft, one source ICT have deployed the Azure Arc monitoring tool to all Windows 2012 servers to enable Extended Security Updates.
	13/06/2024

				Manager	Maria Denton

Risk Title			Risk Ref	Assigned To	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	Strategic Director Place	🟥	05/06/2024	30/11/2024

Causes	Effects	Control Measures	Control Status	Target Date	Target Rating	Current Rating	Previous Current Rating
Circumstances that have arisen at other Councils have highlighted the importance of monitoring the sustainability of significant regeneration programmes. Quality of housing in the Borough - ensuring it is fit for the future. The current economic climate and outlook presents a challenge to financial viability. • Implications of the Building Safety Act. • Fire Safety regulation changes will impact on the viability / cost of schemes. • Demographic changes impacting on housing needs including changes in government policy	Inflationary rises mean that the cost of developments may not be sustainable / achievable.	• Regeneration schemes, capital budgets and forecasts are reported quarterly to Themed Board.	In Progress	01/04/2025	6	Medium 6 Low Medium	12 ↘ -6
		• Pipeline Schemes review at Regeneration Officer Board.	In Progress		0		
		• Annual Business Plan refresh reviews financial viability of JVs.	In Progress		0		
		• Project progress and risks reviewed at Prouder Steering Group using info recorded on Verto	In Progress		0		
		• Financial risks are included in each Regeneration Officer Board report for each scheme. ROB is chaired by the s151 Officer.	In Progress		0		
		• Covid focused mitigations	Implemented		100		
		• Project risks in Verto link in with Directorate Risk Register	In Progress		0		
		• Increased monitoring of economic conditions.	In Progress		0		
		• Greater focus on scheme viability at a project level.	In Progress		0		
		• Ensure adequacy of scheme contingency allowances.	In Progress		0		
		• Review of affordable housing products to maximise external grant/income opportunities.	In Progress		0		

		• Adjust delivery programmes, where appropriate, to respond to the market cycle.	In Progress	0	
		• Financial Risks are included in each Regeneration Officer Board reports (this occurs on a 6 weekly basis).	In Progress	0	
		• Review for a possible need to adjust the tenure mix (a possible mitigation to viability challenges).	In Progress	0	

Review Comments   Business plan refresh activity is in progress, including professional reviews and advice as appropriate
05/06/2024