

## Appendix 2 - Detailed Risk Report (Corporate Risks)

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
GSD0016	<p>Death or serious harm to a child that was or should have been in receipt of services, either from the council or a partner agency.</p> <p>There was an Ofsted Inspection Jan-Feb 2017 which found CSC services to be overall inadequate. The report stated that children and young people are being left in situations of harm and the DFE have issued directions to the borough. A Department for Education improvement advisor will also be identified to work with the Council to support the necessary improvement.</p>	<p>Ofsted report indicated shortfalls in following areas across the service:</p> <ul style="list-style-type: none"> <li>• Overall management oversight was weak.</li> <li>• Non-compliance in core statutory and local requirements</li> <li>• Absence of child care centred practice</li> <li>• Key threshold decisions</li> <li>• Risk assessment and Risk Management</li> <li>• Children's plans and reviews</li> <li>• Achieving permanence</li> <li>• Drift, delay and escalation</li> <li>• Supervision</li> <li>• Staff development and competence</li> <li>• Quality assurance and Performance Management</li> </ul>	<p>Harm to an individuals</p> <p>Children and young people being left in situations of risk and or unassisted harm.</p> <p>Poorer than expected outcomes for a child.</p> <p>Poor audit/review findings</p> <p>Reputational damage to the council.</p> <p>Loss of experienced professional staff.</p> <p>Potential for legal proceedings against the council leading to financial loss</p> <p>Loss of confidence in safeguarding capability across the council, partnership and wider.</p>	<p>Adherence to statutory government guidance, policies and procedures laid down by the council and LSCB / SAB Local Safeguarding Children's Board</p> <p>Statutory government guidance, policies and procedures in place. Management oversight including supervision is in place. Quality Assurance framework to check and audit various areas is in place.</p> <p>All the above are being revised as part of LBTH improvement plan</p> <p>Quality assurance systems including case audits, LSCB and SAB sub-groups.</p> <p>There is a new approach being taken to multiagency audits via the LSCB sub group and CSC are reviewing their QA framework with a view to achieve less process, more assurance and better feedback.</p> <p>There is an active internal audit programme that does pick up key areas of risk and challenge within safeguarding. The effectiveness of this system is a work in progress.</p> <p>CSC have an improvement plan which is being implemented which is being overseen by the Children Services Improvement Board and Operational Group.</p> <p>Effective working relations and swift communication across</p>	5	5	25	4	4	16	Nancy Meehan	Creating Opportunity By Supporting Aspiration And Tackling Poverty

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				<p>partnership agencies .... Effective working relations and swift communication across partnership agencies that is held at different levels of Children's services. LSCB has an executive board for Directors and Chief Executive Officer level across the partnership.</p> <p>Continue to implement Signs of Safety as overarching practice framework Signs of Safety is a well established intervention which has some evidence of effectiveness. To strengthen the implementation of Signs of Safety in LBTH it has been agreed that it needs to be part of a wider practice model which includes systemic practice as clear Practice Standards. Training and development work is part of the CSC workforce strategy.</p> <p>LSCB and CSC has Quality Assurance systems in place. This should provide evidence and assurance to safeguarding board and partners that service is being delivered to expected standards, there are clear (proxy) indicators and where it is not so remedial action can be taken.</p> <p>As part of the response to the Ofsted inspection and subsequent improvement plan, the QA framework has been revised. The LSCB is reviewing its priorities and audit programme.</p> <p>Serious case review/learning process in place There has been a refreshed case alert process disseminated within Children Social Care, which feeds</p>				<p>integrated commissioning partnership at the most senior level.</p> <p><b>Nancy Meehan</b> <b><u>Required Control Measure Target Date:</u></b> <b>30/08/2017</b></p>							

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				<p>into the LSCB case review group. Any ongoing SCR work is held at service head level and a communication flow is done to the CMT Corporate Safeguarding Group, chaired by Chief Executive Officer.</p> <p>Safeguarding training programme in place covering induction and workforce development programme</p> <p>A back to basics training course is being developed and will be rolled out to all CSC staff in 2017 as part of the LBTH improvement plan.</p> <p>Staff complete the Health and Care professions Council (HPC) re-registration process every 3 years There is a process to pick up delays/failures in registration so action can be taken by managers.</p> <p>Improvement Arrangements to respond to the Ofsted Report A Children's Services Improvement Board (CSIB) has been established to take forward the improvement work. This will meet every six weeks and will be chaired by an independent advisor appointed by the Dfe.</p> <p>An improvement plan has been drafted to reflect the recommendations detailed in the report and will be reviewed by Ofsted to ensure this is the case. The improvement plan is developing under four main headings which are:</p> <ul style="list-style-type: none"> <li>• A robust model of social work practice</li> <li>• A sufficient and skilled workforce</li> </ul>								

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				<ul style="list-style-type: none"> <li>Quality assurance and audit</li> <li>Leadership, management and governance</li> </ul> <p>The improvement plan is being implemented with robust oversight from the Children's Services Operational Group. reporting to the CSIB.</p> <p>Review arrangements of looked after children and child protection is led by the child protection review service. This is a critical challenge role to children's social workers. There is on going work to improve the oversight and authoritative advice role.</p> <p>A new resolution process has been introduced and there is regular reporting of QA activities to CSC management team.</p> <p>Ensure that CMT have a view of the activities within the service .....  Ensure that CMT have a view of the activities within the service and develop some assurance using the corporate accountability framework, risk register, management oversight, audit framework and Forward Plan. CMT safeguarding board is active. The Ofsted SEF document have been through DMT and to lead member. A new Inspection and Improvement Board has been set up.</p>											

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REV0007	<p>Impact on local income from appeals on the new local rating effective from 1/4/17.</p> <p>On the 1/4/17 all business premises will have a new rateable value to reflect a more up to date economic valuation of their premises. All ratepayers have the right to appeal against their valuation and at the beginning of any new valuation list there is always a dramatic increase in the number of appeals by ratepayers and their agents. Traditionally the government sets the new multiplier higher in the first year of a revaluation to take into account the losses of income due to these appeals. If the multiplier is set too low, then LBTH will suffer losses of income as appeals are settled and reductions in RV are achieved.</p>	<p>The multiplier for 2017/2018 not being set high enough to take into account losses due to appeals on the new local rating list effective from 1/4/17.</p>	<p>Loss of revenue generated from Business Rates. Impact of revenue loss on provision of services.</p>		5	4	20	<p>Draft new values available September 2017 when estimates can be made on income levels and value of appeals.</p> <p>We have set our level for the provision for appeals in line with Governments calculation of the additional element in the multiplier to take account of appeals in the new 2017 local list. It remains very difficult to estimate whether this will be enough to cover the actual costs of appeals. The Government are also proposing that the cost of appeals could be funded centrally thereby taking the risk away from local government. Further details of this proposal will be available after the general election.</p> <p><b>Roger Jones</b> <b><u>Required Control Measure Target Date:</u></b> <b>17/01/2018</b></p>	5	2	10	Roger Jones	A Transformed Council, Making Best Use Of Resources And With An Outward Looking Culture		

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CSA0002	Community Unrest.	Wide range of international, national or local incidents. Far right activity. Terrorism, Extremism, Hate crime, Acid attacks or other crime. Police action. Council funding decision exacerbating community tension. Increasing polarisation between communities in the borough.	Rising crime and unrest within the Borough. Vigilante action. Damage to property and harm to persons Reputation damage Increase in social deprivation More segmented society	<p>Formal multi-agency approach in place Formal multi-agency approach in place (including Council, Police, Education, Housing Organisations, Voluntary Sector and Faith Organisations.</p> <p>Cohesion Promotion Programme e.g. No Place for Hate Forum and Events</p> <p>Use of Community Cohesion Contingency Planning &amp; Tension Monitoring Group Community Cohesion Contingency Planning &amp; Tension Monitoring Group that complete cohesion impact assessment around key event</p> <p>Debrief programme in place for after key events/incidents.</p> <p>Cohesion toolkit and impact assessment in place and used</p> <p>Annual cohesion measured through residents' survey.</p> <p>Home Office funded programme of activities including interventions with young people.</p> <p>Multi-agency SAP Panel in place to review case referrals of individuals of concern within the Borough. Multi-agency SAP Panel in place to review case referrals of individuals of concern within the Borough. (Close liaison with Policy and SO15).</p> <p>On-going development of the "Prevent Programme" to include work in schools. Officer appointed to lead this work from May 2014.</p>	4	4	16	3	4	12	Ann Corbett	Creating And Maintaining A Vibrant, Successful Place

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				<p>Competing prevent agenda action plan funded by Home Office</p> <p>Multi-agency and community based approach including Tension Monitoring Group and comms mechanisms to assess potential or actual impact of incidents.</p> <p>Prevent programme of activity including multi-agency case panel to consider individuals of concern and project activity.</p> <p>No Place for Hate programme of activity.</p> <p>Diversionsary activities with young people.</p> <p>Commissioned activity to give particular parts of the community a voice.</p> <p>Commissioned activity to build cohesion and integration.</p>								
ASD0015	Death or serious harm to a vulnerable adult that was or should have been in receipt of services, either from the council or a partner agency.	<p>There is a failure of one or more of the controls which fails to identify the degree of risk to a vulnerable adult.</p> <p>Poor practice and inadequate management oversight.</p> <p>Failure of quality control systems.</p> <p>Service user fails to work to agreed partnership / agency arrangements.</p> <p>Poor communication and partnership work.</p> <p>Poor resourcing of</p>	<p>Harm to an individual.</p> <p>Reputational damage to the Council.</p> <p>Potential for legal proceedings against the council leading to financial loss.</p> <p>Loss of confidence in safeguarding capability.</p>	<p>Revised safeguarding procedures introduced from care act implemented. Robust safeguarding procedures in place.</p> <p>Oversight through management reporting</p> <p>Social workers have 1:1 supervision monthly on their casework including safeguarding cases.</p> <p>The PSMT meet monthly to review and monitor Adult Safeguarding casework, particularly serious cases and develop and implement action plans and lessons learnt.</p>	3	5	15	2	5	10	David Jones	Creating Opportunity By Supporting Aspiration And Tackling Poverty
								<b><u>Required Control Measure Target Date:</u></b>				

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		<p>service areas against increased demand. Local authority contracted out service do not have sufficiently robust safeguarding arrangements.</p>		<p>Information campaigns to raise awareness of safeguarding oversight from safeguarding adult's board A sub group of the Safeboarding board leads on publicity and promotion of safeguarding</p> <p>4 year (2015 – 2019) adults board strategy The actions within the SAB strategy aim to mitigate the risks associated with safeguarding.</p> <p>Safeguarding issues as part of contract management procedures</p> <p>Target operating module as part of the care act implemented. This includes key worker role assigned.</p> <p>Signs of safety framework implemented. This framework helps identify the risks in a strategic manner.</p> <p>CQC care commission embargo list used. This list is available from the CQC highlighting all providers where the CQC has raised concerns.</p> <p>Failed visit policy and procedures in place. Introduction of safeguarding Star Chamber for front line teams</p> <p>discharge policy in consultation with Bart's</p>								



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DRPCD0022	Failure to have in place a lease extension for Mulberry Place (or alternative temporary office location) one year prior to the end of the current lease (June 2019).	End of Mulberry Place lease in June 2020 (or as otherwise negotiated)	Additional capital and/or revenue costs (corporate finance) to ensure delivery of a business continuity office location.	<p>Initial dialogue with the landlord on a lease extension took place. Initial dialogue with the landlord on a lease extension took place in 2016. LBTH advised to pause dialogue in light of commercial office market, currently in decline. Commercial dialogue with landlord to re-commence in 4Q, 17.</p> <p>Council appointed JLL consultancy to take conduct commercial negotiations and reach agreement. The council (Asset Management team) to appointed JLL consultancy to conduct commercial negotiations on the council's behalf and reach agreement with the landlord.</p>	3	5	15	Commercial dialogue with Landlord in Q3 or Q4 2017/18	2	5	10	Richard Chilcott	A Transformed Council, Making Best Use Of Resources And With An Outward Looking Culture		

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PLC0013	<p>Following the Grenfell Fire tragedy residents of tower blocks in the borough are not safe or do not feel safe from fire following reassurance, advice, interim measures and completed, in progress or scheduled remedial actions to improve fire safety.</p> <p>Local housing authorities have a statutory duty to keep local housing conditions under review. Following the Grenfell Fire tragedy the Department for Communities and Local Government (DCLG) has reminded all Local Authority Chief Executives of this duty and asked them to actively ensure ALL building owners of residential tower blocks are taking measures to ensure their residents are safe and feel safe.</p> <p>Regardless of who carries it out, the Responsible Person (for the Fire Risk Assessment) will be liable to prosecution if, as a result of an inadequate fire risk assessment, people are placed at the risk of death or serious injury.</p>	<p>Accountability for fire safety is not correctly designated, communicated and understood</p> <p>Fire Risk Assessments: * are incomplete, inadequate or not carried out in accordance with the latest advice from DCLG and fire and rescue services * are not published in accordance with the Mayor's commitment * do not include the time limits on recommendations</p> <p>Fire Risk Assessment Action Plans: are not produced and/or delivered within appropriate timescales</p> <p>Limited current contractor supplier chain for scale of identified fire safety works</p> <p>Constrained and limited ability for Tower Hamlets Homes to complete all the Fire Risk Assessment work identified in the new round of comprehensive Fire Risk Assessments</p> <p>Unable to justify block prioritisation policy for programmes of Fire Risk Assessment works</p> <p>Leaseholders do not fit fire rated flat entry doors (ALL flat entrance doors in a block will need to be compliant to achieve</p>	<p>Loss of life</p> <p>Loss of housing stock</p> <p>Lobbying and/or protesting</p> <p>The council and local housing management organisations lose the trust of residents</p> <p>Individual prosecution under a number of Acts of Parliament and common law offences with potential penalties including unlimited fines and a maximum of life imprisonment</p> <p>Corporate prosecution with potential penalties of unlimited fines, remedial orders and publicity orders</p> <p>Adverse national media coverage</p> <p>Uninsured financial loss</p> <p>Council perceived as not having fulfilled statutory duty to keep local housing conditions under review</p>		<p>3</p> <p>5</p> <p>15</p>	<p>Tower Hamlets Homes (THH) Fire Safety Programme progress reported to and monitored by THH and Council</p> <p>Bi-Monthly Operational Meeting - Standing Agenda Item</p> <p>Quarterly Strategic Meeting - Standing Agenda Item</p> <p>Quarterly Mayoral Meeting - Standing Agenda Item</p> <p>Capital Programme Board</p> <p><b>Mark Baigent</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/03/2019</b></p> <p>Work with DCLG to ensure owners of private residential tower blocks are taking measures to ensure their residents safety</p> <p><b>Mark Baigent</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/12/2017</b></p> <p>Council client team to review and agree timetable for publishing remaining Fire Risks Assessments</p> <p><b>Mark Baigent</b> <b><u>Required Control Measure Target Date:</u></b> <b>29/12/2017</b></p> <p>Ensure Fire Risk Assessments are carried out annually or (after works) on ALL council owned housing blocks</p> <p>Capital Programme Board - This is specifically to include blocks who have not yet had programmed work completed</p>	<p>1</p> <p>5</p> <p>5</p>	Ann Sutcliffe	A Transformed Council, Making Best Use Of Resources And With An Outward Looking Culture				

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		good fire compartmentalisation and a 'Tolerable' fire safety standard) Fire safety measures are uncoordinated													
ASD0017	Risk that should a major incident take place affecting Council services, there may be a failure to implement an effective response. The risk is increased if there was to be more than one incident at the same time.	Failure by Directorates to ensure that the Borough Major Emergency Plan (Part 3B) is kept up to date with Directorate information and procedures. Staff are unaware of the EP process. Insufficient resilience in key roles including management, rest centres, BECC and CPU.	(1) Failure of the Council to continue to operate during a crisis period as a consequence of a civil event or situation. (2) Slower than expected management response causing increased disruption to key service delivery, inconvenience to service users and the stakeholders, adverse public criticism and additional costs to the Council.	Business continuity plans kept up to date  Staff with extensive experience in dealing with incidents are in place Officers in the Civil Protection Unit have dealt with incidents on several occasions, and have gained quite extensive experience on dealing with this type of incident and the action that may be required to be taken.  Any future restructure will need to ensure that key posts are retained within the organisation to continue to minimise this risk  Borough Emergency Management Team to co-ordinate the Council's response on tactical matters. B. E. M. Team.  6 month review of EP plan with Directorate changes.  Annual report to CMT  Independently review the Borough Major Emergency Plan to ensure it is fit for purpose. complete  Rollout a refresh training programme for senior managers and officers supporting the emergency plan. Complete  2016 June BC business impact assessment reviews by service areas 2016 June BC plan update	4	3	12	Procurement of an IT system to manage BC plan update  Drafting of a business case to procure IT System to manage BC plan update - the business case is drafted and has been agreed by the Directorate Management Team. The proposal will now go forward to the Corporate Leadership Team in September 2017.  <b>Ann Corbett</b> <b>Required Control Measure Target Date:</b> <b>30/03/2018</b> Additional staff to be sought to be trained and on call if needed.  <b>Ann Corbett</b> <b>Required Control Measure Target Date:</b>  Business Continuity test on key LBTH sites.  <b>Ann Corbett</b> <b>Required Control Measure Target Date:</b>  Sessions on MEP/BC plans for members and senior managers.  <b>Ann Corbett</b> <b>Required Control Measure Target Date:</b>	2	2	4	Denise Radley	A Transformed Council, Making Best Use Of Resources And With An Outward Looking Culture		

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				notification has been sent to directorates											
CSDR0011	There is a risk that the Council may be challenged in Court for making a formal decision under the 1967 Act, to retain for educational purposes the newly constructed Christ Church Primary School's nursery building, which is built on a disused burial ground. (The basic premise of the challenge is that the school had no right to erect the building, and that it is unlawful to erect the building on a disused burial ground, and that it should be demolished.)	Decision by the Council to allow the Christ Church Primary School to occupy the building for the next academic year may trigger the matter taken to Court by the interested parties calling themselves Spitalfields Open Space (SOS) who object to the new building.	<p>- The Council allowing Christ Church Primary School to occupy the building may result in the matter taken to Court, which could result in an injunction to vacate or not to occupy the building.</p> <p>- The Council's decision under the 1967 Act, to retain the building could be challenged in the High Court by way of a Judicial Review.</p>	<p>Authorise officers to write to SOS with the Council's offers</p> <p>Authorise officers to write to SOS with an offer based on a 25 year life for the building and a commitment to moving the open space to a community trust and a proportion of their stated costs (to be determined by CMT). Letter sent and SOS are considering their position</p> <p>Authorise officers to seek Counsel's opinion</p> <p>Authorise officers to seek Counsel's opinion regarding the likely outcome of the Judicial Review currently held in abeyance (following the 1967 act determination) and on the extent to which populating the building and entering in to a lease with the school may or may not undermine our defence.</p> <p>CMT to agree to move forward with the lease to the School to allow occupation for the Summer Term</p> <p>Subject to the above advice received being marginal, neutral or positive, CMT to agree to move forward with the lease to the School to allow occupation for the Summer Term.</p> <p>CMT to consider if or when to commit any additional resource to the landscaping and improvement of the Open space</p> <p>In the context of the offer to SOS, and pending their reaction to it, CMT to consider if or when to commit any additional resource to the landscaping and improvement of the Open space.</p>	3	4	12				2	4	8	Ronke Martins-Taylor	A Transformed Council, Making Best Use Of Resources And With An Outward Looking Culture
								<b><u>Required Control Measure Target Date:</u></b>							

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CSDSC0004	Incidents of serious violence where young people known to or in the care (LAC) of the Local Authority are harmed or perpetrate harm in a community setting	Postcode tensions due to gang activity, honey trap behaviour or rumours on social media escalating tension between groups of young people who consider themselves to be aligned to a gang or postcode group. Revenge attacks by friends or family of young people who have been targeted for violence or humiliation Increased use of knives and other weapons	Risk of serious harm or death to the young people concerned. Risk of harm to community members who may inadvertently become caught up in the incident. Reputational risk to Local Authority and poor media coverage. LBTH now rank as No 1 for youth violence in London.	Targeted or/and specialist intervention Targeted or/and specialist intervention with young people and their families from a range of services within the Community Safety partnership. Monitoring of intelligence through the monthly gangs unit meetings and daily police intelligence meetings in the Youth Offending Service. Regular reviews to assist risk management using the Risk Management panel. EGGSYV co-ordinator is leading on work to develop a Reducing Youth Violence Strategy and MOPAC bid to secure a specialist knife intervention for schools and early intervention delivery.	3	4	12	Better co-ordination of intelligence through the appointment of a data analyst  Refresh of Risk Management policy is complete. Development of co-ordinated strategic and delivery to recognise vulnerability across CSE, HSB, MAPPA, Gangs matrix and Youth Justice victims work. Further development of Restorative Justice work. A number of strategic groups exist that are hampered by a lack of data analyst that impairs the identification of patterns and impedes co-ordinated action. Funding has been awarded for this role by MOPAC.  <b>Nikki Bradley</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/07/2017</b>	3	4	12	Nikki Bradley	Creating Opportunity By Supporting Aspiration And Tackling Poverty		
CSDSC0005	Loss of resources as a result of a failure to reach target Payment by Results claims, resulting in loss of capacity to deliver the Troubled Families programme. Reputational risk of being the only Local Authority in England to be withdrawn from the programme.	Troubled Families data system solution is not yet in place, causing a reliance on manual data sets and work arounds. This has impacted on the Payment by Results claims in the first two years of Phase Two of the SSF programme in LBTH. A lack of strategic drive has weakened the programme's capacity to problems solve and gain cross directorate support and co-operation. A review of the timescale until the	The DCLG who drive the national programme have formally expressed their concern to the CEO in writing. The risk of further attachment fees and unclaimed payment by results funds being withheld is a real risk at this stage as there is no prospect of catch up this financial year. However, Recovery Plan has been accepted	Change of governance arrangements Current governance arrangements enable practice sharing and multiagency consultation but mitigate against quick and focussed decision making. Review of governance is underway to determine clarity of purpose, agile decisions and clear accountability for the programme. Project Board has been re-established and is meeting regularly	3	4	12	Renewed strategic drive  An additional senior manager has joined the programme delivery to offer a fresh approach and additional management capacity. A rescue plan is being compiled for presentation to the CEO to assist a response to the DCLG Families team  Recovery plan submitted to, and accepted by DCLG by 28th February 2017 Re- established Project Board chaired by DCS Children's Services  Continued focus and robust project management is beginning to impact positively on	3	3	9	Nikki Bradley	A Transformed Council, Making Best Use Of Resources And With An Outward Looking Culture		

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		<p>system goes live is May 2017, beyond this financial year. It is not possible to catch up manually before March 31st 2017.</p> <p>Target date for data system to 'Go live' is now set at 5th May 2017 Manual process of identifying attached families has enabled 1900 attached to date/close to target</p>							<p>performance <b>Nikki Bradley</b> <b><u>Required Control Measure Target Date:</u></b> <b>01/06/2017</b></p>						
LPGLS0001	Non-compliance with corporate governance procedures	<p>Poor understanding of governance processes / lack of clarity of processes Lack of awareness on areas such as conflict of interest and the Bribery Act Possible pressure from politicians on officers to deviate</p>	<p>Ineffective decision making Potential for reputation damage Poor council performance Failure to optimise opportunities Adverse media reporting Unlawfulness leading to ultra vires decision</p>	<p>Council Constitution in place</p> <p>Annual Governance Statement process reporting to the Audit Committee.</p> <p>Regular meetings of the Statutory Officers Co-ordination Group. Ongoing.</p> <p>Arrangements in place for regular reporting of significant governance matters via Head of Audit and Risk and the Monitoring Off.</p> <p>Financial regulations, Financial and Procurement Procedures have been updated and further clarification of staff, manager and senior officer responsibilities have been incorporated.</p> <p>The post of 'financial compliance manager' has also been created through the restructure of finance and the role of that post is to monitor and report to the section 151 officer on noncompliance in key areas such as use of purchase cards, petty cash, budget monitoring etc....</p>	2	4	8	<p>Review Constitution</p> <p>Proposals to be submitted to CMT by Constitution Working Group piecemeal as changes occur.</p> <p><b>Asmat Hussain</b> <b><u>Required Control Measure Target Date:</u></b> <b>30/11/2017</b></p> <p>Refresh Local Code of Corporate Governance</p> <p>The review will need to be carried out in conjunction with the work of the Governance Group and the new code of corporate governance.</p> <p><b>Asmat Hussain</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/10/2017</b></p> <p>Delivery of the culture change plan of the Best Value Plan.</p> <p><b>Will Tuckley</b> <b><u>Required Control Measure Target Date:</u></b> <b>31/10/2017</b></p> <p>Refresh Officers' Scheme of Delegation</p>	2	3	6	Asmat Hussain	A Transformed Council, Making Best Use Of Resources And With An Outward Looking Culture		

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				<p>Member training provided on Code of Conduct.</p> <p>Training for members and independent co-opted members of Standards Advisory Committee on Standards Framework was held on 14/07/15.</p> <p>Mandatory training programme in place for members of the Planning, Licensing and Grants Scrutiny Committees. Training provided post 2015 Elections and further training delivered due to changes in membership of said Committees.</p> <p>Member Induction Programme took place June - July 2014. (After the Local, Mayor and Euro elections).</p> <p>Strategic Information Governance Board and Information Governance Review Group in place.</p> <p>Governance Review Working Group provide an oversight of continuing development of good governance</p> <p>E-learning anti-fraud and bribery training programme including Bribery Act Provisions The e-learning and the accompanying test provide staff an opportunity to be appraised of the bribery regulations and more generally, of the anti-fraud arrangements.</p> <p>Refresh Members Code of Conduct</p> <p>O&amp;S Grants Scrutiny Sub-committee responsible for pre-decision scrutiny of grants matters</p>								

**Asmat Hussain**  
Required Control Measure Target Date:  
**31/12/2017**  
 Progression to the Mayor taking executive decisions in the absence of the Commissioners

**Will Tuckley**  
Required Control Measure Target Date:  
**03/10/2017**

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
				Discharge of Executive decisions by the Commissioners to ensure that legal requirements are met.								
RSB0019	Maintaining and strengthen financial viability/balance across MTFS period to 2020.	Reduction in government funding NHS integration – unfunded services transferred in through Public Health and Adult Social Care Changes in Government initiatives/priorities Potential inability to manage working capital effectively Increasing expectation of the Council aligned with increasing local need Implications of welfare reform agenda on council services and budgets CSR in Autumn 2015 HRA changes Population growth	Future service cuts Inability to meet public expectation Increased pressure on delivery of statutory and priority services Unfunded base budget pressures/new burdens from government Failure to deliver community plan/strategic plan priorities.	<p>Formal annual budget setting process and medium term financial plan</p> <p>Continuous monitoring of Council's medium term financial plan in place</p> <p>Monthly monitoring and management reporting of Council's financial position</p> <p>Annual External Audit health check on financial processes including budgets and reporting</p> <p>Programme Manager for Council Savings Plan in place.</p> <p>Corporate Programme Board formed to monitor delivery of savings programme. Monitoring in progress.</p> <p>Implement savings programme/opportunities Longer term financial and investment strategy</p> <p>Develop and implement corporate approach to deliver and monitoring of Council savings plan and transformation plan</p> <p>On-going advancement of linkages between the 30 year HRA Business Plan and Council service plans. Longer term financial and investment strategy</p> <p>Methodology for council transformation in place and ongoing Corporate Transformation Programme covering all directorates with a focus on delivering service</p>	2	4	8	2	4	8	Neville Murton	A Transformed Council, Making Best Use Of Resources And With An Outward Looking Culture



Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
				improvements, efficiencies and savings											
ICT-CT0010	That Agilisys are unable to perform as a strategic supplier with significant and consistent failures to meet SLAs	SLAs missed, projects late, operational issues and relationships showing disconnects.	The Corporate vision of a Digitally Enabled Council will be threatened. Operational SLAs will fail affecting productivity	<p>New enhanced performance regime introduced as part of reset</p> <p>Performance is being reported on, monitored and is generally within target</p> <p>Mulberry Place &amp; Albert Jacobs House Comms room UPS have been upgraded.</p> <ul style="list-style-type: none"> <li>- Some temporary measures to free up storage agreed</li> <li>- SAN remediation being worked on</li> </ul> <p>Relationship is much better than pre -reset</p>	2	3	6	<p>Get Focus on the projects</p> <ul style="list-style-type: none"> <li>- Oldest projects being looked into on regular basis and helping movement (either progress or abandon).</li> <li>- Prioritising projects that really matter is helping</li> <li>- Project dashboard is being reviewed to monitor what matters</li> <li>- Use of formal project appraisal techniques being considered (NPV, ROI) for the future</li> </ul> <p><b>Muhibul Hoque</b></p> <p><b><u>Required Control Measure Target Date:</u></b></p> <p><b>30/11/2017</b></p>	2	2	4	Khaled Hussein	A Transformed Council. Making Best Use Of Resources And With An Outward Looking Culture		