Detailed Risk Report (incl Control Measure Target Date)

TOWER HAMLETS

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk L	I	Total	Required Control Measures	Target Risk L	I	Total	Responsibility	CPT
CSD0016	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. 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.	Ofsted report indicated shortfalls in following areas across the service: •　Overall management oversight was weak. •　Non-compliance in core statutory and local requirements •　Absence of child care centred practice •　Key threshold decisions •　Risk assessment and Risk Management •　Children's plans and reviews •　Achieving permanence •　Drift, delay and escalation •　Supervision •　Staff development and competence •　Quality assurance and Performance Management	Harm to an individuals Children and young people being left in situations of risk and or unassisted harm. Poorer than expected outcomes for a child. Poor audit/review findings Reputational damage to the council. Loss of experienced professional staff. Potential for legal proceedings against the council leading to financial loss Loss of confidence in safeguarding capability across the council, partnership and wider.	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 b e chaired by an independent advisor appointed by the Dfe. 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: •　A robust model of social work practice •　A sufficient and skilled workforce •　Quality assurance and audit •　Leadership, management and governance The improvement plan is being implemented with robust oversight from the Children's Services Operational Group. reporting to the CSIB. Safeguarding training programme in place covering induction and workforce development programme A back to basics training course is being developed and will be rolled	5	5	25	Overview of level of violence and risk in families in Tower Hamlets Given the number of critical incidents involving children and young people in Tower Hamlets over the last 12 months, it is proposed via the CMT Safeguarding Board that we update the JSNA on domestic violence and abuse as part of the annual assessment on community safety. The links between gang violence and violence in families will be explored as part of this analysis. The purpose will be to test the feasibility of a public health type specific reducing violence strategy across the borough. It will also enable CMT to consider the integration of the the many pieces of work going on within the council and across the wider partnership aiming to increase safety and wellbeing of c/yp within a measurable framework. ***Richard Baldwin*** <u>***Required Control Measure Target Date:***</u> ***30/09/2019***	4	4	16	Richard Baldwin	People Are Aspirational, Independent And Have Equal Access To Opportunities.

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				out to all CSC staff in 2017 as part of the LBTH improvement plan. 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. 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 authorative advice role. A new resolution process has been introduced and there is regular reporting of QA activities to CSC management team. 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. Robust commissioning that includes safeguarding checks of providers This is in place including CSC joint monitoring visits. A new joint commissioning exec is in place to address an integrated commissioning partnership at the									

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				most senior level. Adherence to statutory government guidance, policies and procedures laid down by the council and LSCB / SAB Local Safeguarding Childrens Board Statutory government guidance,polices and procedures in place. Management oversight including supervision is in place. Quality Assurance framework to check and audit various areas is in place. All the above are being revised as part of LBTH improvement plan Quality assurance systems including case audits, LSCB and SAB sub-groups. There is a new approach being taken to multiagency audits via the LSCB sub group and CSC are revewing their QA framework with a view to achieve less process, more assurance and better feedback. 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. CSC have an improvement plan which is being implemented which is being overseen by the Children Services Improvement Board and Operational Group. Effective working relations and swift communication across partnership agencies .... Effective working relations and swift communication across partnership agencies that is held at different levels of Children's services.					

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				LSCB has an executive board for Directors and Chief Executive Officer level across the partnership. Continue to implement Signs of Safety as overarching practice framework A new relational approach is being implemented in Children's Social Care which evidence of effectiveness. This approach will now form part of a wider practice model. Training and development work iin the new appraoch will form part of the CSC workforce development strategy. 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. 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. Serious case review/learning process in place There has been a refreshed case alert process disseminated within Children Social Care, which feeds 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.					

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THB0001	Failure to properly undertake the necessary European Union (EU) exit impact assessments, relevant planning and preparing appropriate mitigation particularly in the following areas; - All the statutory services for which the council is responsible. - All regulatory services for which the council is responsible. - Impact on supply chains including those managed directly by the council and those indirect contracts managed through commissioned services. - Data handling including data handling for any outsourced services. - Local partnership working with key statutory and strategic partners. - Appropriate plans and activity to provide community assurance and provision of timely information.	Leaving the European Union on the 31st December 2020 without a trade deal.	Council services could be disrupted as supply chains and contracts are reassessed, potentially increasing costs and reprioritisation of resources. Uncertainty over grants may undermine the Council's ability to deliver or commit to services. The Council may be unable to access the specialist talent, resources and supply chains it needs to deliver its services.	Business Contiunity planning and assurance assessments of key contract resilience. The Head of Procurement has initiated a supply chain risk assessment with survey been sent to 2,400 suppliers and providers to understand potential impact of Brexit on Council contractors as well as steps taken to mitigate against potential risks. Deadline date for completion of survey is set for 15th February 2019. Areas covered, include the following: - Whether the business import/export services and/or goods to/from EU - Percentage of materials/services purchased from the EU - Envisage any border delays importing materials into the UK - Any impact on current workfoce as a result of Brexit - Provision of support to existing staff that may be impacted by Brexit - Whether Brexit will impact the base cost/prices of core business Supplier and Provider mapping exercise of Tier 1, 2 and 3 contractors has been initiated to help identify those that are part of a multinational firm and with operations outside the UK. Outcome of initial findings and next steps will be discussed at Strategic Procurement Board on 07/02/2019.	4 4 16	Business continuity planning and assurance assessments of key contracts. HR resource planning and resilience. Financial modelling / Strategy reviews. A BCP / staff composition survey has been sent to all Heads of Service. The survey asks for information on the number of EU nationals within each team, what contracts depend on EU imports / services and what civil disorder plans / backups are in place within relevant teams. The information will be used to plan impacts on services. *Amanda Harcus* ***Required Control Measure*** ***Target Date:*** ***31/10/2019***	3 4 12	Neville Murton	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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THB0003	Brexit risk to LBTH procurement and supply chains. - Supplies, services and goods from EU - Increasing costs and tariffs - Lack of availability - Stockpiling"	Leaving the European Union on the 31st December 2020 without a trade deal.	Council services could be disrupted as supply chains and contracts are re-assessed, potentially increasing costs and reprioritisation of resources.		4	4	16	Engagement with Contractors and providers. Supply chain risk assessment sent to 2416 suppliers resulting in a total of 704 (29%) of suppliers completing the survey with majority of the respondents based within the Construction, Healthcare, Technology and Community Services sector. Whist the results of the survey generally indicates a positive response from the market with 82% of the businesses stating that they do not see any issues in importing material from the EU and 93% (389) do not have any plans to downsize their business due to Brexit, there are concerns amongst 37% (153) of the suppliers who believe that Brexit may impact the base cost/prices of their business. Corporate approach to managing potential supply chain risks (currently the council operates a devolved contract management system) through the strategic procurement board including capturing work undertaken with contractors in directors and supply risks identified. A follow up communication was sent to all active creditors (2,416) on 7/3/2019 requesting the completion of a Brexit impact survey to understand the number of NON-UK EU 27 National staff in their employment. A total of 216 suppliers responded, with 112 suppliers stating nil staff employed but nine suppliers	2	4	8	Zamil Ahmed	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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								responded to confirm employment of 100 to 3,000 EU nationals, further work is underway to review existing contracts with these nine suppliers. **Zamil Ahmed** **_Required Control Measure Target Date: 30/06/2019_**					
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.	There is a failure of one or more of the controls which fails to identify the degree of risk to a vulnerable adult. Poor practice and inadequate management oversight. Failure of quality control systems. Service user fails to work to agreed partnership / agency arrangements. Poor communication and partnership work. Poor resourcing of service areas against increased demand. Local authority contracted out service do not have sufficiently robust safeguarding arrangements.	Harm to an individual. Reputational damage to the Council. Potential for legal proceedings against the council leading to financial loss. Loss of confidence in safeguarding capability.	Revised safeguarding procedures introduced from care act implemented. Robust safeguarding procedures in place. Oversight through management reporting Social workers have 1:1 supervsion monthly on thier casework including safeguarding cases. The PSMT meet monthly to review and monitor Adult Safeguarding casework, particulary serrous cases and develop and implement action plans and lessons learnt. 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 4 year (2015 – 2019) adults board strategy The actions within the SAB strategy aim to mitigate the risks associated with safeguarding. Safeguarding issues as part of contract management procedures . Target operating module as part of the care act implemented. This includes key worker role assigned.	3	5	15	**_Required Control Measure Target Date:_**	2	5	10	Claudia Brown	People Are Aspirational, Independent And Have Equal Access To Opportunities.

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				Signs of safety framework implemented. This framework helps identify the risks in a strategic manner. CQC care commission embargo list used. This list is available from the CQC highlighting all providers where the CQC has raised concerns. Failed visit policy and procedures in place. Introduction of safeguarding Star Chamber for front line teams discharge policy in consultation with Bart's					
PLC0013	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.	Accountability for fire safety is not correctly designated, communicated and understood 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 Fire Risk Assessment Action Plans: are not produced and/or delivered within appropriate timescales Limited current contractor supplier chain for scale of identified fire safety works Constrained and limited	Loss of life Loss of housing stock Lobbying and/or protesting The council and local housing management organisations loose the trust of residents 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 Corporate prosecution with potential penalties of unlimited fines, remedial orders and publicity orders Adverse national media coverage Uninsured financial loss Council perceived as not having fulfilled statutory duty to keep local housing conditions under review	Tower Hamlets Homes (THH) Fire Safety Programme progress reported to and monitored by THH and Council Bi-Monthly Operational Meeting - Standing Agenda Item Quarterly Strategic Meeting - Standing Agenda Item Quarterly Mayoral Meeting - Standing Agenda Item Capital Programme Board Council client team to review and agree timetable for publishing remaining Fire Risks Assessments Ensure Fire Risk Assessments are carried out annually or (after works) on ALL council owned housing blocks Capital Programme Board - This is specifically to include blocks who have not yet had programmed work completed	3 5 15	Work with DCLG to ensure owners of private residential tower blocks are taking measures to ensure their residents safety *Karen Swift* *Required Control Measure Target Date: 31/03/2020*	1 5 5	Karen Swift	A Borough That Our Residents Are Proud Of And Love To Live In.

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		ability for Tower Hamlets Homes to complete all the Fire Risk Assessment work identified in the new round of comprehensive Fire Risk Assessments Unable to justify block prioritisation policy for programmes of Fire Risk Assessment works Leaseholders do not fit fire rated flat entry doors (ALL flat entrance doors in a block will need to be compliant to achieve good fire compartmentalisation and a 'Tolerable' fire safety standard) Fire safety measures are uncoordinated							
WSPP0015	Increased demands on corporate services The management of a service that will have a budget c£20M, employ c300 officers and be implementing change that will impact on the majority of the boroughs residents, will require significant support from corporate services such as HR, Finance, Policy, Commercialisation and Communications.	Transfer of 300+ staff from Veolia to LBTH on 1st April 2020	Additional pressures on corporate services Reputational		5 3 15	Element of decided HR and Administration support willl be buit into the services structure. During mobilisation the impact of these corporate services will be assessed. *Dan Jones* *Required Control Measure Target Date: 26/09/2019* Recruitment of temporary HR adn Comms support staff Comms staff recruited and in place. HR in process of recruitment *Dan Jones* *Required Control Measure Target Date: 31/08/2019*	3 3 9	Dan Jones	A Borough That Our Residents Are Proud Of And Love To Live In.

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ICT0071	Failure to ensure ICT risks are within the scope of council-wide risk management and internal control frameworks in the following areas; •ICT availability and continuity risk •ICT security risk •ICT change risk •ICT data integrity risk •ICT outsourcing risk Ensuring the following are kept under review: •ICT risk management policy, processes and risk tolerance thresholds •Organizational management and oversight framework •Internal audit coverage and findings; and •ICT risk controls that are specific for the identified material ICT risk. Zoe & Adrian are attending Clearview training week commencing the 14th October. Following this BCP sections will be updated on Clearview. Major incident policy and processes collated from LBTH & Agilisys side and being updated Audit preparatory work	Changes to technology and interdependent software on various applications used within the Council.	Loss of revenue. Reputational damage. Disruption to services.	Risk(s) currently managed as detailed below. IT availability and continuity risk – managed through the Corporate Business Continuity Forum. IT are standing members, with both LBTH IT and our strategic partners Agilisys represented. (IT security risk – managed through Information Governance Group and Strategic Information Governance Group, IT are standing members. IT change risk – managed through weekly change advisory board and through monthly technical design authority. IT data integrity risk – I am not aware of any specific board for this. In the classic security model information security covers confidentiality, integrity and availability, so I'd say this is covered as part of IT security risk. IT outsourcing risk – managed through monthly operations meeting and quarterly strategic partnership boards.	3	4	12	IT needs to develop business continuity plan Identify key threats e.g. suppliers going bust, loss of data centre, Prioritise the likelihood (strike, supplier failure) Develop business continuity plan Test business continuity plan *Zoe Matthews* ***Required Control Measure*** ***Target Date:*** ***31/03/2020***	2	4	8	Zoe Matthews	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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	under way to review BCP plan for sample of key systems - Accolaid, GIS, Northgate housing, housing options systems. For these systems we will: Identify key threats e.g. suppliers going bust, loss of data centre, Prioritise the likelihood (strike, supplier failure) Develop business continuity plan Test business continuity plan - as far as practical								
THB0002	Impact of Brexit on the recruitment and retention of LBTH staff (People & Skills). - Number that are EU residents - Specific service pressures e.g. social care - Professional qualifications from EU nations - Vacancies - Skills shortages - Increasing costs for agency staff or attracting workers for low skilled jobs	Leaving the European Union on the 31st December 2020 without a trade deal.	The Council may be unable to access specialist talent and resources it needs to deliver its services.	Additional Social Care workforce already in pressurised areas. Response from care home and home care providers is that there will be limited if any impact for them, as workforces in both cases are predominantly non - EEA nationals. Support provided to EU workforce ensuring they understand the EU settlement scheme and their rights post exit and support around wellbeing. Creation of a Social Work Academy within children's social care to address over reliance on agency workers and mitigate any impact on the supply of agency staff from Brexit.	3 4 12	***Required Control Measure Target Date:***	2 4 8	Amanda Harcus	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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CLPRCG0040	We are currently at a recycling rate of 23.2% and have a target to reach 35% by 2020. Services are currently in transition from contracted to an in-house delivery model. This may impact on our ability to bring in long term measures to improve recycling on the service as there may be significant service redesign.	Service changes may affect ability to deliver long term solutions to increase recycling rate	Reputational		3 3 9	Increase participation and reduce contamination levels via communication and outreach. Work with Outreach Teams to ensure that effective communication is rendered to residents on how/what to recycle. Additionally increase participation on food waste and dry recycling *Fiona Heyland* *Required Control Measure Target Date: 01/04/2020*	3 3 9	Oli Kapopo	A Borough That Our Residents Are Proud Of And Love To Live In.
RM0009	Increased acts of significant fraud or corruption (both internal and external) against the Council	Due to changes in people (personnel), systems and processes arising from change and transformation	Financial loss Damage to reputation of the council Increased costs of investigations Service disruption		3 3 9	Programme of Anti-Fraud Work The Corporate Anti-Fraud Team will deliver a programme of work across 2019/20 to raise the profile of fraud and increase fraud awareness amongst the staff. This will include a fraud awareness campaign and proactive exercises to detect potential fraud. The annual plan of activity is presented to CLT and the Audit Committee for review and agreement. Progress is reported to both on a quarterly basis. *Paul Rock* *Required Control Measure Target Date: 31/03/2020*	2 3 6	Neville Murton	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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THB0004	Brexit - Organisational Impact Impact of Brexit on the regulatory landscape Impact on income streams Impact on local communities 1. Decreased revenues & changes in demand - Business and economy - Drop in the value of the pound - Business rates - Regeneration schemes - Skills shortages - Cost of living - Decline in town centres/high streets 2. Laws, Legislation and regulation. - Environmental regulations - Devolution/public service reform - Human rights 3. Citizens and Community - Community cohesion - Migration into the borough - No Recourse to Public Funds"	Leaving the European Union on the 31st December 2020 without a trade deal.	Disruption to council processes and services.		3 3 9	Identify and plan for impacts on service budgets and identify new income streams e.g. new government initiatives. Monitor/Plan/Mitigate - mitigations in terms of business continuity plans, are required from all areas of the organisation. Putting in funding to plug funding gaps over 4-5 years with General Fund as contingency, but significant shocks might remove this backup, earmarked reserves could be used to meet higher priorities. Concern that not much time to get useful information from Government contacts to react. Working with partners to support local business, including access to business rate relief for small businesses. **Neville Murton** **_Required Control Measure_** _Target Date:_ _30/06/2019_	2 3 6	Neville Murton	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To