

Detailed Risk Report (incl Control Measure Target Date)

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
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 is an on-going need to ensure that services to all vulnerable children and young people have focus on safeguarding and a prevention of harm.	Our most recent Ofsted report (June 2019) rates Children's Social Care and Early Help service's as "Good". However, there will be a need to regularly review and scrutinise the quality of services for vulnerable young people. This scrutiny and challenge will need to have a focus on; <ul style="list-style-type: none"> Overall management oversight and quality of supervision. Compliance with core statutory and local requirements. Adherence to key safeguarding thresholds. Regular assessments of cases, and emerging /changing risks. Strong planning for children, with regular reviews to avoid drift and delay. Maintaining strong quality assurance and auditing mechanisms. 	<ul style="list-style-type: none"> Harm to individual 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. Poor Staff development and competence. Poor Quality assurance and Performance Management Loss of experienced professional staff. Potential for legal proceedings against the council leading to financial loss 	<p>Monthly meeting of the Continuous Improvement Board, chaired by the DCS, and involving the Lead member.</p> <p>New multi-agency Children's Safeguarding Partnership. Arrangements are over-seen by the independent Scrutineer.</p> <p>Monthly service level performance meetings held by the Divisional Director.</p> <p>An established Audit process which is undertaken 5 x times each year.</p> <p>Practice Week which is held twice a year (May and November) which involves all Corporate Directors and members.</p>	5	5	25	4	4	16	James Thomas	People Are Aspirational, Independent And Have Equal Access To Opportunities.
				<p>Overview of level of violence and risk in families in Tower Hamlets</p> <p>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.</p> <p>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.</p> <p>Richard Baldwin</p> <p><u>Required Control Measure</u></p> <p>Target Date: 01/09/2021</p> <p>Improvement Arrangements to respond to the Ofsted Report</p> <p>Richard Baldwin</p> <p><u>Required Control Measure</u></p> <p>Target Date: 31/03/2021</p>								

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COVID0001	Risk to essential service delivery including the protection of staff, stakeholders and continued service delivery (critical) as a result of the current coronavirus pandemic.	Classification as a pandemic by the world health organisation. Increase in the number of people infected by the virus.	Death to members of the public, service users and staff. NHS and hospitals unable to cater for increase in population requiring hospitalisation and intensive care. Collapse of public services including local government, significant down turn in the economy.		4	5	20	Pandemic Flu Plan and Emergency Borough Command Structure The Council has instigated it's Multi Agency Pandemic Influenza Plan and the emergency Borough Command Structure. The Gold and Silver Groups are operating as expected, although scaled down at present. Risks have been identified and are being managed and reviewed at Gold and Silver meetings. Will Tuckley <u>Required Control Measure</u> Target Date: 31/12/2020 Recovery and Reconstitution The Council is beginning it's recovery phase. Appropriate risk assessments have taken place with particular emphasis on risks for staff and residents in Tower Hamlets. Financial stability and plans are also being finalised. Will Tuckley <u>Required Control Measure</u> Target Date: 31/12/2020	4	3	12	Will Tuckley	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		
RS0056	The Council may significantly overspend its budget, fail to deliver savings and continue to rely on dwindling reserves. As of July 2020 there is a potential budget gap of £12.9m for 2021-22 with a further £26.3m in 2022/23.	COVID-19 Virus outbreak and associated increase in costs. Loss of income in particular council tax, business rates and leisure events. Poor budget management Failure to deliver savings Excessive agency costs.	Significant financial losses, overspent budgets, further drawn down on reserves.	Financial Actions Increased focus on budget management. Budget Managers Handbook Issued. All budget managers directed by CLT to remain in budget. High risk budgets are being reviewed by the Corporate Director Resources or the Divisional Director of Finance, Procurement and Audit. Redoubled efforts to deliver previously agreed savings proposals.	5	4	20	Financial Measures CLT and SLT are preparing new proposals to deliver £30m of savings across 9 themes for presentation to Members: 1. New ways of working from the pandemic 2. Managing demand by enabling people to help themselves 3. Streamlining our back office 4. Greater use of community assets 5. Digital 6. Buildings	4	3	12	Neville Murton			

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7. Non- statutory services
8. Joining up services
9. Headcount reductions

In addition, the following actions are being taken:

An immediate recruitment freeze – no further recruitment should be taken without specific approval from Director of HR or the Corporate Director of Resources; in-flight recruitment should be reviewed and can continue provided only that a permanent budget is available for the post.

An immediate freeze on additional agency placements – as above no additional contracts should be placed with Adecco without the express authorisation from Director of HR or the Corporate Director of Resources.

A review of opportunities for re-deployment of staff into vacant permanent posts in order to manage down our overall agency costs bill.

An urgent review of Agency staff contracts

A Review of overall staffing levels taking into account defined essential services

An enhanced requirement for the delivery of agreed savings – in particular the need to recommence and reinvigorate previously agreed savings including reorganisations and

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								restructures. A review of all posts currently funded through reserves – with an expectation that they will be ceased and the work reallocated. Kevin Bartle <u>Required Control Measure</u> <u>Target Date:</u> <u>31/03/2021</u>					
RSB0020	A balanced budget has been approved for the financial year 2020/2021 and approved by Council in February 2020. There is a risk that additional savings are required to respond to major variances in the financial planning assumptions which underpin the basis of the Medium Term Financial Plan.	Failure to deliver savings targets Lower than anticipated Grant settlement and/or higher inflationary cost pressures Higher levels of service demand as a result of the general economic climate Business Rates income continuing to fall with significant losses through vacant assessments and VOA valuation reducing to Zero RV. Project Management Team identifies delivery failures of significant programmes and projects such as HR ,Finance, ICT. Population Growth and impact of Welfare Reform Agenda	New/alternative savings will need to be identified and actioned to ensure a balanced budget over the medium term planning period and there may also be a larger than planned draw-down on reserves. Negative impact on council services Increased pressure on delivery of statutory and priority services New burdens from central government and failure to deliver strategic plan priorities		4	4	16	2	2	4	Kevin Bartle	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To	

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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 supervision monthly on thier casework including safeguarding cases. The PSMT meet monthly to review and monitor Adult Safeguarding casework, partucularly 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 5 year (2019 – 2024) Safeguarding 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. 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.	3	5	15	2	4	8	Denise Radley	People Are Aspirational, Independent And Have Equal Access To Opportunities.

Required Control Measure
Target Date:

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				Failed visit policy and procedures in place. Introduction of safeguarding Star Chamber for front line teams discharge policy in consultation with Bart's								
ORG0026	There is a risk the Council will be unable to deliver critical and essential services.	Cyber Security Attack e.g. ransomware, denial of service, phishing, malware or an active attack exploiting network security vulnerabilities. Industrial dispute Pandemic Flu or similar widespread infections/diseases. Natural disasters (fire, flood etc) Failure of critical third party provided services. Loss of regional infrastructure e.g. utilities	Failure to deliver critical services Death of serious injury e.g. to staff, members of the public or service users Failure to comply with statutory duties or other legal responsibilities Financial loss		3	5	15	3	3	9	Will Tuckley	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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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 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	Loss of life Loss of housing stock Lobbying and/or protesting The council and local housing management organisations lose 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	1	5	5	Ann Sutcliffe	A Borough That Our Residents Are Proud Of And Love To Live In.

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		good fire compartmentalisation and a 'Tolerable' fire safety standard) Fire safety measures are uncoordinated										
ASD0038	There is a risk that the Council will fail to comply with its obligations in relation to the Protection of Freedoms Act 2012 and therefore failing to meet the Code of Practice compiled under that Act by the Home Office Surveillance Camera Commissioner (SCC) for the operation of video surveillance systems. The Council may also fail to meet the requirements of the Data Protection Act 2018 related to the use and management of video surveillance systems.	A lack of appropriate governance, policy and standard operating procedures. No asset registers for surveillance systems. Out of date or missing Data Processing Impact Assessments No SLAs with major stakeholders such as the Police and Transport for London A lack of compliance with agreed governance, policy and procedures. An inspection by the Surveillance Camera Commissioner. An inspection by the Information Commissioner. A freedom of information request.	Financial, legal and reputational.		3	4	12	2	2	4	Denise Radley	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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COVID000 2	Risk that inequalities in attainment and well-being between disadvantaged children and other children will increase as a consequence of prolonged period out of school.	Lock down and partial opening of schools to key worker and vulnerable children only March – July 2020 Post 1st September - Confirmed cases of Covid-19 infection and /or isolation of school staff and pupils following contact with a confirmed case of Covid-19 - Potential school closure on infection control grounds and or business continuity grounds	In the short term, pupils not achieving their educational potential and missing out on opportunities for personal, social and physical development Children and young people identified as 'vulnerable' may be particularly at risk when out of school. Large groups of young people (secondary schools operate year groups as bubbles) out of school isolating potentially not staying at home but congregating outside	Infection control measures, partnership working, lap to scheme & additional safeguarding guidance. All schools advised and supported to put rigorous infection control measures in place inside the school and to manage parents dropping off and picking up primary pupils outside schools. Health and Safety guidance is regularly updated. All work is delivered through a partnership between council officers and school workforce unions. Schools have audited families' IT capacity to identify pupils/families that are unable to access on line learning and put other provision in place Roll out of the government's lap top scheme, providing laptops for all children and young people with a social work and those leaving case, as well as vulnerable pupils in year 10 at school. Support for IT equipment to be purchased for pupils through the business community. Schools purchasing IT equipment for pupils. Additional safeguarding guidance issued to schools about pupils who are isolating. Information sharing across the council and with police regarding schools with groups of pupils who are isolating.	4	3	12	Summer programme Proposals under development in partnership with schools, including additional support for schools and children in September; broader summer programme for children moving from year 6 to year 7. Update 8 June 2020: Expansion of Year 7 transition programme underway. Planning underway with both primary and secondary schools to plan for a response to issues emerging when pupils return to school. Information gathering exercise planned with schools to understand current level of support and good practice as a basis for ensuring a consistent offer across the borough. Christine McInnes <u>Required Control Measure</u> <u>Target Date:</u> <u>31/03/2021</u>	3	3	9	James Thomas			

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LPGSE001 2	The Council may fail to deliver the strategic plan's priorities and outcomes and/or meet its responsibilities generally to the community.	COVID-19 virus pandemic including local outbreaks leading to a significant reduction in staffing and financial resources and the diversion of remaining staff/resources to deliver essential/critical services and/or new operational activity such as test and trace.	Failure to meet commitments, achieve strategic objectives and discharge responsibilities to the community.		3	4	12	Strategic Plan Review A revised strategic plan was agreed by Cabinet in July 2020 which included updated high level actions and priorities designed to move the Council forward. Business planning and target setting is underway to support delivery of the strategic plan. Sharon Godman <u>Required Control Measure</u> <u>Target Date:</u> 30/09/2020 Medium Term Financial Strategy The MTFS has been reviewed and updated and agreed at Cabinet in July 2020. CLT are preparing proposals to save £30million for presentation to Cabinet. Kevin Bartle <u>Required Control Measure</u> <u>Target Date:</u> 30/10/2020	3	3	9	Will Tuckley	
RSB0023	Statement of Accounts drafted late or qualified opinion received Objections to the accounts	Inaccurate fixed assets on balance sheet identified in audit review Incomplete bank reconciliation Incomplete reconciliation of debtors/creditors Accounts disclosures incomplete / incorrect	Qualified opinion on statement of accounts		2	4	8	Process put in place to minimise risk Training to be provided annually on all aspects of the final accounts process to Budget Managers and Finance Staff, with a particular emphasis on accruals for debtors and creditors, recharge processes and accounting for grants. All control account reconciliations, not just Bank Reconciliations, to be recorded on a central list and completion actively monitored in year with both preparers and reviewers identified. Library of procedure notes to be established and	2	2	4	Neville Murton	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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reviewed on a regular basis.

All holding accounts to be identified and responsibilities assigned, accounts no longer needed to be closed down.
Central list and procedure notes to be produced alongside control accounts.

Process for internal recharges to be reviewed and new coding structure introduced to ensure internal transactions can be properly eliminated in the accounts.

Usage of the Fixed Assets Register software to be developed.

Template Working Papers to be developed for all key notes in the Statement of Accounts.

Detailed timetable to be produced and used for active monitoring of progress.

Tim Harlock
Required Control Measure
Target Date:
31/03/2021