

## 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"> <li>• Overall management oversight and quality of supervision.</li> <li>• Compliance with core statutory and local requirements.</li> <li>• Adherence to key safeguarding thresholds.</li> <li>• Regular assessments of cases, and emerging /changing risks.</li> <li>• Strong planning for children, with regular reviews to avoid drift and delay.</li> <li>• Maintaining strong quality assurance and auditing mechanisms.</li> </ul>	<ul style="list-style-type: none"> <li>• Harm to individual Children and young people being left in situations of risk and or unassisted harm.</li> <li>• Poorer than expected outcomes for a child.</li> <li>• Poor audit/review findings</li> <li>• Reputational damage to the council.</li> <li>• Poor Staff development and competence.</li> <li>• Poor Quality assurance and Performance Management</li> <li>• Loss of experienced professional staff.</li> <li>• Potential for legal proceedings against the council leading to financial loss</li> </ul>	<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.

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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. Gold, Silver and Bronze groups are operating effectively. Key risks have been identified and are being managed and reviewed at Gold and Silver meetings. <b>Will Tuckley</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>30/06/2021</b> Recovery and Reconstitution  The Council began its recovery phase during the summer of 2020. The plan anticipates additional waves of the pandemic occurring. A new MTFs has been agreed. Whilst R&R work has slowed in some areas this is anticipated and activity will be stepped up between waves of the virus. The Council is maintaining essential business as usual. <b>Will Tuckley</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>30/06/2021</b>	4	3	12	Will Tuckley	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		

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RS0056	<p>The Council may significantly overspend its budget, fail to deliver savings and continue to rely on dwindling reserves.</p> <p>As of January 2021, we have a balanced budget for 2021/22, albeit still drawing on reserves to balance and a longer term funding gap of £11m.</p>	<p>COVID-19 Virus outbreak and associated increase in costs.</p> <p>Loss of income in particular council tax, business rates and leisure events.</p> <p>Poor budget management</p> <p>Failure to deliver savings</p>	<p>Significant financial losses, overspent budgets, further drawn down on reserves.</p>	<p>Financial Measures</p> <p>CLT and SLT have prepared savings proposals to deliver savings across 9 themes which were presented Members for their agreement:</p> <ol style="list-style-type: none"> <li>1. New ways of working from the pandemic</li> <li>2. Managing demand by enabling people to help themselves</li> <li>3. Streamlining our back office</li> <li>4. Greater use of community assets</li> <li>5. Digital</li> <li>6. Buildings</li> <li>7. Non- statutory services</li> <li>8. Joining up services</li> <li>9. Headcount reductions</li> </ol> <p>Financial Actions</p> <p>Increased focus on budget management. Budget Managers Handbook Issued. All budget managers directed by CLT to remain in budget. High risk budgets reviewed by the Corporate Director Resources or the Divisional Director of Finance, Procurement and Audit.</p> <p>Redoubled efforts to deliver previously agreed savings proposals.</p>	5	4	20	<p>Monitoring and Control</p> <p>Continual focus on budget management. Closely tracking delivery of savings and identifying alternatives if proposals become undeliverable.</p> <p>Regular budget reporting to CLT, Portfolio Leads, MAB and Cabinet.</p> <p><b>Allister Bannin</b></p> <p><b><u>Required Control Measure</u></b></p> <p><b><u>Target Date:</u></b></p> <p><b><u>31/03/2022</u></b></p>	4	3	12	Kevin Bartle			
BCLR0013	<p>Whilst an EU-UK Trade and Cooperation Agreement was reached and ratified by the UK in December 2020, considerable uncertainty remains about the medium to long term impact leaving the EU will have on the Council and it's residents.</p>	<p>Unknown and/or unforeseen impacts of the EU-UK Trade and Cooperation Agreement that have yet to materialise.</p>	<p>The consequences for the Council and the community may include less grant funding, data adequacy/protection, new regulatory services, increased settlement application support, construction, and some supply chain delays whilst business adapt to the new processes.</p>		4	4	16	<p>Brexit Impact Monitoring and Response</p> <p>Each Directorate will be closely monitoring the impact of the EU-UK Trade and Cooperation Agreement and will rapidly put in place appropriate actions to mitigate. CLT is maintaining oversight and receiving regular reports on progress, implications and necessary actions.</p>	4	2	8	Will Tuckley	<p>A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To</p>		

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									<b>Sharon Godman</b> <u>Required Control Measure</u> <b>Target Date:</b> <b>31/12/2021</b>						
ASD0015	Death or serious harm to a vulnerable adult who 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 in place to identify the degree of risk to a vulnerable adult (multi-agency safeguarding procedures) Poor practice, insufficient information sharing and/or 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.	CQC care commission embargo list used. This list is available from the CQC highlighting all providers where the CQC has raised concerns. London ADASS branch circulate any service suspensions or restarts due to safeguarding concerns and these are passed to the Brokerage service. this control measure passed to Claudia Brown 28/1/21 as Brokerage function now sits within Adult Social Care - Claudia to review and then pass to Paul Swindells, Service Manager if appropriate. Paul Swindells has recently reviewed the arrangements for this protocol.	3	5	15	Oversight through management reporting Social workers have 1:1 supervision monthly on their casework including safeguarding cases. The PSMT meet monthly to review and monitor Adult Safeguarding casework, particularly serious cases and develop and implement action plans and lessons learnt. Status changed to allow review of this control measure by Divisional Director (last reviewed 2016). <b>Claudia Brown</b> <u>Required Control Measure</u> <b>Target Date:</b> <b>30/04/2021</b> Information campaigns to raise awareness of safeguarding with oversight from safeguarding adult's board  This is an ongoing priority for the Safeguarding Adults Board and includes the annual 'Safeguarding Month' campaign in November each year. The Independent Chair takes a key role in this and all SAB partners participate. Specific campaigns are run at other times including financial abuse & scams, modern slavery, domestic abuse etc. Status changed to in progress to allow review by Divisional Director (this control measure not updated since 2016) who may wish to assign it to the relevant lead officer.	2	4	8	Denise Radley	People Are Aspirational, Independent And Have Equal Access To Opportunities.		

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**Claudia Brown**  
**Required Control Measure**  
**Target Date:**  
**30/04/2021**  
 5 year (2019 – 2024)  
 Safeguarding Adults Board Strategy  
 The actions within the SAB strategy aim to mitigate the risks associated with safeguarding. Please articulate key actions implemented and priorities for next six months when this control measure is next reviewed.

**Claudia Brown**  
**Required Control Measure**  
**Target Date:**  
**30/04/2021**  
 Safeguarding issues as part of contract management procedures  
 Status changed to allow review by Joint Director for Integrated Commissioning (last reviewed 2016) - contract management procedures continue to focus on safeguarding.

**Warwick Tomsett**  
**Required Control Measure**  
**Target Date:**  
**30/04/2021**  
 Failed visit policy and procedures in place.  
 Responsibility for this policy sits within Commissioning and applies to all commissioned services as well as the Council's own re-ablement service. Safeguarding Adults Reviews have identified problems with compliance to this policy and it is crucial that it is regularly reviewed and forms part of contract monitoring. Status changed back to in progress so that a review can be provided by

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Joint Director of Integrated Commissioning - policy review to be carried out (policy last updated c18months ago) alongside a review of intelligence from contract monitoring reports.  
**Warwick Tomsett**

**Required Control Measure**

**Target Date:**  
**31/07/2021**

Safeguarding Adult Reviews Action Plan - implementation of recommendations of all SARs

We have recently overhauled our approach to tracking the implementation of recommendations from Safeguarding Adult Reviews.

We now have a single log providing a comprehensive overview of recommendations and the status of action/implementation. This is reported regularly to the Safeguarding Adult Board. New control measure added by Corporate Director and discussed with Claudia Brown, Divisional Director - control measure to be overseen by Principal Social Worker.

**Claudia Brown**

**Required Control Measure**

**Target Date:**  
**31/03/2022**

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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	A fully functioning and embedded Business Continuity Framework  The Corporate Leadership Team has adopted a business continuity policy and civil contingencies arrangements. The development & maintenance of these arrangements is managed through the Civil Contingencies Board which is chaired by Denise Radley. The CCB meeting quarterly and more frequently when required. In 2019/20, new business continuity software (Clearview) to support directorates and services to manage key risks was implemented and is being embedded across the Council. A recent audit of Business Continuity and Resilience identified some areas for improvement which are in the process of being actioned. The Council will soon run an exercise to test its preparedness for a cyber attack. <b>Denise Radley</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>30/09/2021</b> Cyber Insurance  The Council is currently seeking quotes to purchase insurance to mitigate the potential costs of a successful cyber attack. <b>Adrian Gorst</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>30/04/2021</b>	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	Improvement Action Plan Completion  SPP have been commissioned by the Senior Responsible Officer to draft an action plan and ensure we are compliant with the regulations. SPP will also draft the Council policies and procedures. All the client departments such as Parks, FM, Parking and CCTV will need to ensure that they implement the action plan, policies and procedures. The action plan will be monitored by the Information Governance Board. Each client department to nominate a lead, a Single Point of Contact (SPOC) who will be responsible for all operational matters relating to surveillance cameras and they will act as the main contact point for anything related to surveillance camera systems. They SPOCs will support the SRO regarding compliance with Protection of Freedoms Act. <b>Ann Corbett</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>30/06/2021</b>	2 2 4	Denise Radley	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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COVID0002	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.	<p>Lock down and partial opening of schools to key worker and vulnerable children only March – July 2020</p> <p>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</p> <p>Potential school closure on infection control grounds and or business continuity grounds</p> <p>Second full lockdown from 5th January – keyworker and vulnerable children in school only, remote learning for all others.</p>	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	<p>Infection control measures, partnership working, lap to scheme &amp; additional safeguarding guidance. Infection control measures, partnership working, laptop scheme &amp; 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.</p> <p>Schools have audited families' IT capacity to identify pupils/families that are unable to access online learning and put other provision in place.</p> <p>Roll out of the government's laptop scheme, providing laptops for all children and young people with a social work and those leaving care, as well as vulnerable pupils in year 10 at school.</p> <p>Support for IT equipment to be purchased for pupils through the business community.</p> <p>Schools purchasing IT equipment for pupils.</p> <p>Additional safeguarding guidance issued to schools about pupils who are isolating.</p> <p>Information sharing across the council and with police regarding schools with groups of pupils who are isolating.</p>	4	3	12	<p>Summer programme</p> <p>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.</p> <p>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.</p> <p>Update 13/1/21 THEP building on systematic programme to support schools' remote learning in the short term and catch-up learning in the longer term. More systematic approach to address the remaining digital gap for home learning. Partnership approach to seek to identify hidden harms proactively. FSM entitled children supported with a local voucher scheme. Revised risk assessments by schools to enable in-school learning for all those entitled to attend.</p> <p>Update 16/2/2021 Schools successfully delivering in school and remote learning for</p>	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.	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 has been completed to support delivery of the revised strategic plan.	3	4	12	3	3	9	Will Tuckley	

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								progress and discuss challenges. Annual review of strategic plan for 2021-2022. DLT's monitoring their directorate level delivery plans. <b>Afazul Hoque</b>  <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>31/03/2022</b>					
PLC0023	Failure to prepare and take action in relation to the proposed Building Safety Bill	Lack of leadership  Insufficient resources  Poor understanding of the requirements and consequences  Passage of the bill is faster than anticipated	Potential Injury or death of residents  Criminal and/or civil litigation for the Council and/or individual senior leadership  Delays in construction  Regulatory breaches  Financial penalties  Poor building safety  Reputational damage	Research, Legal Advice and Monitoring Key officers are involved in researching the implications of the bill  Legal advice has been sought  LBTH/THH Building Safety Bill Group monthly meetings to monitor impact and progress  Liaise with London wide forums and Federation of ALMOS on implementation	3	4	12	Key actions  Develop appropriate Resident Engagement Strategies and inform tenants and leaseholders about the Bill.  Communicate the likely impact of the Bill to Members, CLT and DLT.  Working with LBTH, legal services, CLT and Members to examine the responsibilities linked to the Bill.  Calculate the additional resources required to comply with the Bill when enacted  Consider appointing a building safety lead in the council to undertake the assurance work need for the council to carry out its Accountable Body role.  Consider appointing a specialist advisor for support with the Building Safety Case reviews.  The Council's Building Safety Bill guidance will be updated regularly by Counsel.  Potentially review existing	2	3	6	Ann Sutcliffe	A Borough That Our Residents Are Proud Of And Love To Live In.

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								contracts to ensure they comply with the Bill's requirements.  Investigating digital storage methods to maintain the "Golden Thread of information". <b>Karen Swift</b>  <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>31/03/2022</b>							
RS0060	There is a risk of deteriorating health and wellbeing in the Council's workforce.	Prolonged impact of the pandemic including ill health (from contracting Covid-19) bereavements, isolation, poor mental health, significantly increased workloads necessitating long working hours, reduced resources, remote and different ways of working and a potential for 'burn out'.	Increases in stress and sickness Financial and physical impact on organisation and workforce. Inability to retain staff. Large backlogs of work. Delays in service delivery.		4	3	12	Health and Wellbeing Support  Employee Assistance Programme promoted and available to all staff which provides confidential information, advice and support 24/7.  Introducing a Network of trained Mental Health First Aiders. Staff can access the Tower Hamlets Well-being Zone for tips and advice. Financial support is available if needed. Regular team meetings held with frequent updates and 'check ins' for staff. Wellbeing staff surveys and action plans. 1:1's held regularly with staff. Management encouraging regular breaks. <b>Amanda Harcus</b>  <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>31/12/2021</b>	3	2	6	Amanda Harcus			

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RSB0023	Statement of Accounts qualified opinion received. Objections to the accounts. Previous years accounts being re-audited.	External audit of the statement of accounts and the subsequent findings/outcome.	Qualified opinion on statement of accounts. Reputational damage to the Council.		3	4	12	Improvement Plan An extensive improvement plan is in place and being actively delivered and monitored. Progress will be reported to CLT and the Audit Committee. <b>Ahsan Khan</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>31/07/2021</b>	2	2	4	Kevin Bartle	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		