

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 a focus on safeguarding and 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>The Tower Hamlets Children's Safeguarding Partnership, delivering the statutory multi-agency oversight of safeguarding.</p> <p>The Tower Hamlets Safeguarding Children's Partnership is jointly led by the Council, Police and CCG, and benefits from the support and challenge of an Independent Scrutineer. The Partnership provides routine oversight of multi-agency data and quality assurance findings.</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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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"> 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 7. Non- statutory services 8. Joining up services 9. Headcount reductions <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</p>	<p>5</p> <p>4</p> <p>20</p>	<p>Monitoring and Control</p> <p>Continual focus on budget management. Closely tracking delivery of savings and identifying alternatives if proposals become undeliverable. Regular budget reporting to CLT, Portfolio Leads, MAB and Cabinet.</p> <p>Allister Bannin</p> <p><u>Required Control Measure</u></p> <p>Target Date: 31/03/2022</p>	<p>4</p> <p>3</p> <p>12</p>	Kevin Bartle				

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				Resources or the Divisional Director of Finance, Procurement and Audit. Redoubled efforts to deliver previously agreed savings proposals.								
BCLR0013	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.	Unknown and/or unforeseen impacts of the EU-UK Trade and Cooperation Agreement that have yet to materialise.	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.		4	4	16	4	2	8	Will Tuckley	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To
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.		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 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. Paul Swindells, Service Manager has oversight of Brokerage Team. Provider Concerns and interface with Adult Safeguarding is a standard agenda item at Joint ASC/IC SMT.	3	5	15	2	5	10	Denise Radley	People Are Aspirational, Independent And Have Equal Access To Opportunities.

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								<p>These are linked to the principles of Safeguarding with is Empowerment, Prevention, Proportionality, Partnership, Protection and Accountability. They are also linked to the principles of Making Safeguarding Personal. The SAB will be focusing on 3 key priorities relating to transitions, self neglect and homelessness.</p> <p><i>Katie O'Driscoll</i></p> <p><u>Required Control Measure</u> <i>Target Date:</i> <i>28/08/2022</i></p> <p>Safeguarding issues as part of contract management procedures</p> <p>Status changed to allow review by Joint Director for Integrated Commissioning (last reviewed 2016) - contract management procedures continue to focus on safeguarding.</p> <p><i>Warwick Tomsett</i></p> <p><u>Required Control Measure</u> <i>Target Date:</i> <i>01/12/2021</i></p> <p>Failed visit policy and procedures in place.</p> <p>Responsibility for this policy sits within Commissioning and applies to all commissioned services as well as the Council's own re-ablement service.</p> <p>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 Joint Director of Integrated Commissioning - policy review to be carried out (policy last</p>							

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								updated c18months ago) alongside a review of intelligence from contract monitoring reports. Warwick Tomsett <u>Required Control Measure</u> Target Date: 01/12/2021 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. Katie O'Driscoll <u>Required Control Measure</u> Target Date: 31/03/2022							
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	3	3	9	Will Tuckley	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		

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									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. Denise Radley <u>Required Control Measure</u> Target Date: 31/10/2021						
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	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	Work with MHCLG to ensure owners of private residential tower blocks are taking measures to ensure their residents safety Officers within the Council, representing Environmental Health, Planning and Building Control and Housing and Regeneration meet weekly at Fire Safety meeting, to discuss progress with the remediation of ACM from tall buildings, this also includes progress on responses to EWS survey. Information from the EWS survey are inputted onto the MHCLG's DELTA system and details of information received are sent to a Technical Officer in the Building Control Team for analyses. Council Officers are in weekly contact with the GLA on the progress of each development's individual grant application to remediate ACM from particular buildings and this is reported back to the Fire Safety Meeting. Likewise Officers are in regular dialogue with MHCLG on buildings which are of concern and also to discuss various freeholders and	1	5	5	Ann Sutcliffe	A Borough That Our Residents Are Proud Of And Love To Live In.		

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		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				managing agents who are not communicating well or slow in making progress in supplying information and we work together in bringing pressure on the freeholder/managing agent to improve their performance. Jen Pepper <u>Required Control Measure</u> Target Date: 30/11/2021			
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.	2 2 4	Denise Radley	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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Ann Corbett

Required Control Measure

Target Date:
31/08/2021

Service Actions

Ensure an updated DPIA is in place for all departmental VSS systems.

Ensure DPIAs are quality assured by Information & Governance Team and signed off

Ensure robust information sharing agreements are in place where appropriate for all departmental VSS

Ensure Asset management registers are maintained.

Ensure DLTs and Directors are appraised of progress and risks.

Peter Allnutt

Required Control Measure

Target Date:
30/09/2021

Service Actions

Ensure an updated DPIA is in place for all departmental VSS systems.

Ensure DPIAs are quality assured by Information & Governance Team and signed off

Ensure robust information sharing agreements are in place where appropriate for all departmental VSS

Ensure Asset management registers are maintained.

Ensure DLTs and Directors are appraised of progress and risks.

Michael Darby

Required Control Measure

Target Date:
30/09/2021

Service Actions

Ensure an updated DPIA is in

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place for all departmental VSS systems.
 Ensure DPIAs are quality assured by Information & Governance Team and signed off
 Ensure robust information sharing agreements are in place where appropriate for all departmental VSS
 Ensure Asset management registers are maintained.
 Ensure DLTs and Directors are appraised of progress and risks.
Richard Williams
Required Control Measure
Target Date:
30/09/2021
 Service Actions

Ensure an updated DPIA is in place for all departmental VSS systems.
 Ensure DPIAs are quality assured by Information & Governance Team and signed off
 Ensure robust information sharing agreements are in place where appropriate for all departmental VSS
 Ensure Asset management registers are maintained.
 Ensure DLTs and Directors are appraised of progress and risks.
Chris Smith
Required Control Measure
Target Date:
30/09/2021
 Service Actions

Ensure an updated DPIA is in place for all departmental VSS systems.
 Ensure DPIAs are quality assured by Information & Governance Team and signed off
 Ensure robust information sharing agreements are in place where

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COVID0001	Risk to essential service delivery, the workforce and public safety as a result of the coronavirus and variants of concern.	Third wave of the virus and/or new variants. Vaccines are ineffective against new strains. Vaccine take up is low. Increase in infection rates. National or local restrictions on movement and/or social contract are re-introduced.	Death of members of the public, service users and staff. NHS and hospitals unable to cater for increase in population requiring hospitalisation and intensive care. Collapse or significant reduction in public services including local government, significant down turn in the economy.	Local Outbreak Management Plan The Council has prepared and successfully implemented a local outbreak management plan (surveillance, testing, vaccination, prevention & outbreak management, equalities, communication & engagement) as well as clear and robust governance made up of CLT Gold, Health Protection Board and Local Engagement Board and workstream groups, effective community mobilisation, visible professional and political leadership, data flow from national system, collaboration with London	3	4	12	3	3	9	Will Tuckley	A Borough That Our Residents Are Proud Of And Love To Live In.

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				Coronavirus Response Cell and North East London Incident Mangement Team, and a communications plan.								
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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PLC0023	Failure to prepare and take action in relation to the proposed Building Safety Bill	<p>Lack of leadership</p> <p>Insufficient resources</p> <p>Poor understanding of the requirements and consequences</p> <p>Passage of the bill is faster than anticipated</p>	<p>Potential Injury or death of residents</p> <p>Criminal and/or civil litigation for the Council and/or individual senior leadership</p> <p>Delays in construction</p> <p>Regulatory breaches</p> <p>Financial penalties</p> <p>Poor building safety</p> <p>Reputational damage</p>	<p>Research, Legal Advice and Monitoring</p> <p>Key officers are involved in researching the implications of the bill</p> <p>Legal advice has been sought</p> <p>LBTH/THH Building Safety Bill Group monthly meetings to monitor impact and progress</p> <p>Liaise with London wide forums and Federation of ALMOS on implementation</p> <p>Obtain Human Resources advice when required.</p>	3	4	12	2	3	6	Ann Sutcliffe	A Borough That Our Residents Are Proud Of And Love To Live In.

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e. 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.
 In Progress: The Shadow Building Safety Framework, includes a Building Safety Advisor role, responsible for the preparations for the building safety regime. Once the Bill has received Royal Assent the Building Safety Advisor will overseeing THH as Building Safety Manager, ensuring the Council is compliant with the new building safety regime and reviewing all statutory returns before submission to the Building Safety Regulator. They will be the named person on behalf of the Council, as Accountable Person (as an entity).

f. Consider appointing a specialist advisor for support with the Building Safety Case reviews.
 In progress: Discussion have taken place with HR with the view of a recruitment agency leading on the appointment of a Building Safety Advisor.

g. The Council's Building Safety Bill guidance will be updated regularly by Counsel.
 In progress: Bevan Brittan has provided updated advice since the release of the Building Safety Bill on 5 July 21. A comparison to the draft bill has been provided.

h. Potentially review existing contracts to ensure they comply

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								with the Bill's requirements. In progress: LBTH Legal has been asked to carry out the review.							
								i. Investigating digital storage methods to maintain the "Golden Thread of information". In progress: Initial ICT requirements have been identified to the IT Project Board (ITPB). The ITPB will make recommendations on progressing the investigations.							
								j. Seek Cabinet approval. In progress: A Shadow Building Safety Framework report is going to Cabinet on 27/11/21. Seeking approval for the framework, to appoint to the Building Safety Advisor role, appoint THH as interim Building Safety Manager and make necessary changes to the constitution. Karen Swift <u>Required Control Measure</u> Target Date: 31/03/2022							
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.		3	3	9	Health and Wellbeing Support Employee Assistance Programme promoted and available to all staff which provides confidential information, advice and support 24/7. A network of trained Mental Health First Aiders is established and in place. Staff can access the Tower Hamlets Well-being Zone for tips and advice. Financial support and advice is available if needed. Regular team meetings held with	3	2	6	Amanda Harcus			

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								frequent updates and 'check ins' for staff. Wellbeing staff surveys and action plans. 1:1's held regularly with staff. Management encouraging regular breaks. Amanda Harcus <u>Required Control Measure</u> Target Date: 31/03/2022							