

## Detailed Risk Report (incl Control Measure Target Date)

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
ASD0028	Overspend in adult social care services.	National proposal on long-term funding solution for adult social care from October 2023 onwards likely insufficient to meet demographic changes and increased demand. Short-term funding mechanisms which do not provide stability Increasingly complex needs of adults in need of care and support Growing demand of those in need of care and support	Pressures on care package budgets across client groups. Pressures on staffing budget. Cost pressures on other areas of the Directorate. Non-delivery of savings targets	Robust budget management Regular budget monitoring meetings held across the service. Project Board implemented to monitor saving projects. Staffing within costed establishment budget. Budget realignment exercise undertaken. Budget training with all budget managers. Implementing strategies and commissioning services which are focused on community support Commissioning effective preventative services including advice and information Ensuring sufficient community support services and accommodation options which minimise the need to use expensive residential care	4	4	16	ASC Transformation  Adult Social Care Transformation & Improvement Programme - opportunities identified for medium to long term savings with a particular focus on technology enabled care and housing with support (reducing the need for residential provision). A refreshed Adult Social Care strategy was developed at the end of 2021, this sought to embed a refreshed vision for Adult Social Care and transformation and support with developing a more sustainable budget. <b>Katie O'Driscoll</b>  <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>28/02/2023</b>	3	4	12	Katie O'Driscoll	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To
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	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.	Safeguarding issues as part of contract management procedures Procedures overseen by Joint Director for Integrated Commissioning - contract management procedures continue to focus on safeguarding. Care Quality Commission embargo list used. This list is available from the Care Quality Commission highlighting all providers where the CQC has raised concerns. London ADASS branch circulate	3	5	15	Oversight through management reporting  Social workers have 1:1 supervision monthly on their casework includes safeguarding cases.  Safeguarding case work is managed via s.42 Safeguarding Procedures in line with the Care Act 2014  High risk cases are present to the High-Risk panel  The Senior Management Team managers are responsible for the	2	5	10	Denise Radley	People Are Aspirational, Independent And Have Equal Access To Opportunities.

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		<p>systems.</p> <p>Service user fails to work to agreed partnership / agency arrangements.</p> <p>Poor communication and partnership work.</p> <p>Poor resourcing of service areas against increased demand.</p> <p>Local authority contracted out service do not have sufficiently robust safeguarding arrangements.</p>		<p>any service suspensions or restarts due to safeguarding concerns and these are passed to the Brokerage service.</p> <p>Provider Concerns and interface with Adult Safeguarding is a standard agenda item at Joint Adult Social Care and Integrated Commissioning Senior Management Team meeting.</p> <p>Failed visit policy and procedures in place.</p> <p>The Failed visits policy and procedures were originally agreed in 2018 and have been reviewed over the last year. They are currently in use and should be reviewed and amended if necessary annually.</p>								

review and monitor Adult Safeguarding cases in their services in supervision with their Team Managers.

The Principal Social Worker leads on implementing learning from Safeguarding Adult Reviews in the Council alongside the Safeguarding Adults Board  
**Katie O'Driscoll**

**Required Control Measure**  
**Target Date:**  
**27/02/2023**

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.  
**Katie O'Driscoll**

**Required Control Measure**  
**Target Date:**  
**28/02/2023**

5 year (2019 – 2024)  
Safeguarding Adults Board Strategy

The actions within the SAB strategy aim to mitigate the risks associated with safeguarding. 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

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								Personal. The SAB will be focusing on 3 key priorities relating to transitions, self neglect and homelessness. <b>Katie O'Driscoll</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>28/02/2023</b> Safeguarding Adult Reviews Action Plan - implementation of recommendations of all SARs We have a Safeguarding Adults Review Tracker in place to monitor and oversee the implementation of actions arising out of Safeguarding Adult Reviews. This is monitored for the Safeguarding Adult Review sub group and Board. <b>Katie O'Driscoll</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>28/02/2023</b>					
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	Financial, legal and reputational.	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.	3	4	12	Improvement Action Plan Completion Update the action plan to ensure progress against the requirements & regulations - this is a cross-Council action plan as services sit within multiple directorates. 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	2	2	4	Denise Radley	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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		Information Commissioner. A freedom of information request.										

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.  
**Joseph Lacey-Holland**  
**Required Control Measure**  
**Target Date:**  
**31/03/2023**  
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:**  
**31/03/2022**  
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**Michael Darby**  
Required Control Measure  
**Target Date:**  
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Ensure Asset management registers are maintained.  
Ensure DLTs and Directors are appraised of progress and risks.

**Chris Smith**  
Required Control Measure  
**Target Date:**  
**31/12/2021**  
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.

**Sam Brown**  
Required Control Measure  
**Target Date:**  
**31/03/2023**  
Service Actions  
Ensure an updated DPIA is in

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						<p>place for all departmental VSS systems.</p> <p>Ensure DPIAs are quality assured by Information &amp; Governance Team and signed off</p> <p>Ensure robust information sharing agreements are in place where appropriate for all departmental VSS</p> <p>Ensure Asset management registers are maintained.</p> <p>Ensure DLTs and Directors are appraised of progress and risks.</p> <p>A new DPO has been appointed and a new Head of IG is starting on 17th Oct. This action will be fully reviewed then.</p> <p><b>Raj Chand</b></p> <p><b><u>Required Control Measure</u></b></p> <p><b>Target Date:</b> <b>30/12/2022</b></p>			
ASD0047	There is a risk of a significant health impact on the community in the short, medium and long-term from Covid-19 alongside seasonal flu and in the context of a challenging Winter period and cost of living crisis.	Low uptake of the flu/Covid vaccination in Tower Hamlets. Covid-19 and variants of concern - whilst current rates of infection are falling, this may change. Winter is likely to be a difficult period given the current cost of living crisis on people keeping warm, well and safe combined with the risks around Covid and flu as above.	Increasing hospitalisations, care needs and deaths.	Vaccination Programme Delivery has begun for Flu & Covid booster Vaccination programmes. Coordinating with winter planning group. Update received from NHS, showing levels of uptake across all priority groups. Average for borough is 35% which is the same as NEL, but this does increase for the high-risk groups.	3 4 12	<p>Communications campaign &amp; awareness-raising</p> <p>Planned campaigns around vaccination and keeping well in Winter and consideration of how these can best be targeted in the borough to ensure groups who may be less able to receive the messages and those hesitant around vaccines are supported to protect themselves this Winter.</p> <p><b>Somen Banerjee</b></p> <p><b><u>Required Control Measure</u></b></p> <p><b>Target Date:</b> <b>31/03/2023</b></p>	3 3 9	Somen Banerjee	People Are Aspirational, Independent And Have Equal Access To Opportunities.

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ASD0022	Failure to meet our duties under the Civil Contingencies Act. This would become evident if a major incident occurred and the council failed to implement an effective response.	<p>A lack of resilience and expertise in the council's Civil Protection Unit, and staff to perform relevant duties during an emergency.</p> <p>Lack of robust policies and processes, including compliance with the Resilience Standards for London.</p> <p>Failure of Directorates to develop, update and test Business Continuity Plans.</p> <p>Under the requirements of the Civil Contingencies Act 2004, the Council is required to have in place suitable &amp; sufficient plans to continue to deliver essential service to the public during major civil emergencies.</p>	A failure by the council to deliver essential services and to meet its responsibilities as a 'First Responder' during a major or catastrophic incident. The response may be slower than expected causing disruption to essential services and affect our overall effectiveness during a crisis. This will impact on the reputation of the council, confidence in communities, adverse criticism and increased cost.		3	3	9	<p>Ensure compliance with Resilience Standards for London (RSL)</p> <p>The RSL is new. We have conducted a self-assessment and presented this to the CCB on 13 January 2020. Areas for development have been identified. These need to be addressed. A peer challenge of our assessment will be held on 27 February by the Central Sub-regional Resilience Forum. The RSL will need to be incorporated within our Borough Major Emergency Plans.</p> <p><b>Charles Griggs</b></p> <p><b><u>Required Control Measure</u></b></p> <p><b>Target Date:</b> <b>31/03/2023</b></p> <p>Implementation of the Baseline Review recommendations.</p> <p>The Baseline Review was an independent review of the council's preparedness to meet its responsibilities under the Civil Contingencies Act 2004. It was conducted in July 2019 by the Emergency Planning College. Eleven recommendations were made. These have been presented to HAC DLT, the CCB and CLT. The recommendations will be developed into an action plan and delivery will be overseen by the CCB.</p> <p><b>Charles Griggs</b></p> <p><b><u>Required Control Measure</u></b></p> <p><b>Target Date:</b> <b>30/12/2022</b></p> <p>Directorate Leadership Teams to have oversight of and regularly review and test their directorate Business Continuity Plans</p>	3	2	6	Ann Corbett	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		

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						DLT's are to regularly review their directorate BC Plans and become familiar with the Business Continuity Management IT platform, ClearView. Regular management reports can be provided by the CPU or their own BC Assistants. The CPU will also aim to deliver 'Silver' training at DLT's to build greater resilience across the council. <b>Charles Griggs</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>31/03/2023</b>			
ASD0029	Failure to mainstream the PREVENT legal duty in the Counter Terrorism and Security Act 2015. Failure to effectively identify and manage safeguarding referrals to Prevent. Failure to deliver requirements of the Counter Terrorism and Security act 2015 as it relates to multi-agency arrangements for safeguarding people from being drawn into terrorism. Failure to deliver annual delivery plan and, failure to effectively deliver commissioned projects due to COVID.	The organisation fails to have processes and policies in place to have due regard to preventing people from being drawn into terrorism. The local authority fails to mainstream Prevent in all directorates. Staff fail to recognise signs of safeguarding risk and vulnerability to radicalisation in all council activity. Failure to ensure effective governance and monitoring arrangements with regard delivery plan. Extended period of time under lockdown with lack of access to community groups or schools.	Individuals are not protected. Places are not protected. The wider community are not protected. Individuals are radicalised. Community harm and a drop in community confidence. Damage to reputation of the local authority. Home Office intervene to ensure effective delivery. Reduction in resourcing from Home Office. Individuals commit violence as a consequence of extremist ideology.		3 3 9	Ensure Channel Panel's compliance with the new Home Office Guidance 2020  The Channel Panel must follow the new Guidance and will be subject to self-assessment and an Annual Assurance Statement to ensure national standards and consistency. An action plan has been developed to address gaps identified in the first Assurance Statement Process; this includes training for the Chair and inclusion of Channel in the Council's constitution. A new vice-chair needs to be identified and trained. <b>Charles Griggs</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>31/03/2022</b>	3 2 6	Ann Corbett	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To