



Risk Assessment with Risk and Control Updates

Children's Services Directorate

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score				
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. Type of risk Reputation	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 	<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 	Severe	Significant				
			Impact 5 Likelihood 4	Impact 4 Likelihood 3	Next Review Date 26/10/2024	Last Review Date 26/09/2024	Days Overdue 31	Risk Owner Steve Reddy

Risk Review Update

Submitted on behalf of Steve Reddy by Victoria Lewis (comments were submitted via outlook email for transcribing into system) Steve: I have consulted our team and confirm the current risk scoring pre and post mitigation is still accurate. Control Measures were also reviewed in full with comments updated. 26/09/2024

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner

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<p>CSD0016/031 Increased level of Quality Auditing.</p>	<p>This Review is being submitted by Risk Officer on behalf of Steve Reddy who submitted comments via outlook email on 26/09/2024 at 8:32: Audit Regime - Fully implemented – now have bi monthly audits and monthly dip sampling of areas of focus to ensure consistent and improving standards of casework across Children's Social Care. All audits are moderated.</p>	<p>In Place</p>	<p>£0 £0</p>	<p>100</p>			<p>Susannah Beasley-Murray</p>
<p>CSD0016/032 Monthly meeting of the Continuous Improvement Board, chaired by the DCS, and involving the Lead member.</p>		<p>In Place</p>	<p>£0 £0</p>	<p>100</p>			<p>Steve Reddy</p>
<p>CSD0016/033 The Tower Hamlets Children's Safeguarding Partnership, delivering the statutory multi-agency oversight of safeguarding.</p>		<p>In Place</p>	<p>£0 £0</p>	<p>100</p>			<p>Steve Reddy</p>
<p>CSD0016/035 Monthly service level performance meetings held by the Divisional Director.</p>		<p>In Place</p>	<p>£0 £0</p>	<p>100</p>			<p>Susannah Beasley-Murray</p>
<p>CSD0016/037 Practice Week which is held twice a year (May and November) which involves all Corporate Directors and members.</p>		<p>In Place</p>	<p>£0 £0</p>	<p>100</p>			<p>Susannah Beasley-Murray</p>
<p>CSD0016/038 External peer scrutiny of our safeguarding practice.</p>	<p>This review was submitted by the Risk Officer on behalf of Steve Reddy who submitted comments via outlook email on 26/09/2024 at 8:32: Scrutiny of our safeguarding practice - includes Continuous Improvement Board providing monthly internal peer challenge is chaired by Corporate Director; monthly performance and QA surgeries are chaired by the Director (Supporting Families / Social Care) , and formal external peer reviews are commissioned on a regular basis.</p>	<p>In Place</p>	<p>£0 £0</p>	<p>100</p>			<p>Steve Reddy</p>

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CSD0016/039 Inspection by the regulator, Ofsted	This review was submitted by the Risk Officer on behalf of Steve Reddy who provided comments via outlook email sent on 26/09/2024 at 8:32 - Inspection by the regulator - Ofsted Focused Visit completed in July 2022 - letter published 31/8/22. Positive outcome. Annual Conversation with Ofsted indicated our next inspection will be the full ILACS, expected by end of 2024.	In Progress	£0 £0	0	0	26/12/2024	Steve Reddy
CSD0016/040 Tower Hamlets Safeguarding Children's Partnership and increased quality assurance.	This review was submitted by the Risk Officer on behalf of Steve Reddy who provided comments via outlook email sent on 26/09/2024 at 8:32 - Tower Hamlets Safeguarding Children's Partnership quality assurance - the THSCP is delivering for 23/24 an increased level of quality assurance, including multi-agency case audits and Safeguarding Child Practice Reviews.	In Progress	£0 £0	50	0	26/12/2024	Steve Reddy
CSD0016/041 Performance monitoring and audit by statutory Local Safeguarding Partnership		In Place	£0 £0	0			Susannah Reaslev-Murrav
CSD0016/042 Principal Social Worker leads on implementing learning from other authorities where provision is inadequate.		In Place	£0 £0	0			Susannah Reaslev-Murrav
CSD0016/043 Corporate scrutiny and oversight		In Progress	£0 £0	80	0	26/12/2024	Steve Reddy

Risk Assessment with Risk and Control Updates



Corporate Resources Directorate

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score	Next Review Date	Last Review Date	Days Overdue	Risk Owner
RS0056 There is risk to Council's Financial Standing from overspending its revenue budget, failing to deliver savings and a reliance on reserves. (Reserves remain robust but there is a risk that the Medium Term Financial Strategy may require a draw down of reserves. Reserves can only be used once and therefore should not be used to plug permanent budget requirements). Type of risk Financial	Loss of income in particular council tax, business rates and leisure events. Poor budget management Failure to deliver savings Demographic pressures in Adult Social Care, SEND related pressures in Children's and Unfunded discretionary expenditure from temporary reserves.	Significant financial losses, overspent budgets, drawn down on reserves.	Severe	Significant				
			<div style="background-color: red; color: white; text-align: center; padding: 2px;">20</div> Impact 4 Likelihood 5	<div style="background-color: orange; color: white; text-align: center; padding: 2px;">12</div> Impact 3 Likelihood 4	11/12/2024	11/11/2024	0	Chris Leslie

Risk Review Update

Councils are facing national pressures in Adult Social Care, SEND, pay inflation and homelessness to which Tower Hamlets is not immune. A number of actions have been taken to address the financial pressures, including Star Chamber sessions to review and scrutinise budgets at a detailed level. There is risk to Council's Financial Standing from overspending its revenue budget, failing to deliver savings and a reliance on reserves. (Reserves remain robust but there is a risk that the Medium Term Financial Strategy may require a draw down of reserves. Reserves can only be used once and therefore should not be used to plug permanent budget requirements). 11/11/2024

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
RS0056/001 Financial Measures:		In Place	£0 £0	25			Julie Lorraine
RS0056/002 Financial Actions:		In Place	£0 £0	100			Julie Lorraine
RS0056/003 Monitoring and Control:	Control remains relevant and new governance arrangements in place.	In Progress	£0 £0	75	0	16/12/2024	Ahsan Khan

Risk Assessment with Risk and Control Updates



Finance

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score				
RSB0023 There is a risk that the Statement of Accounts will receive a qualified opinion for 2020-21 and onwards Type of risk Financial	External audit of the statement of accounts and the subsequent findings/outcome.	Qualified opinion on statement of accounts. Reputational damage to the Council.	Severe	Manageable	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			16	4				
			Impact 4	Impact 2				
			Likelihood 4	Likelihood 2				

Risk Review Update

An extensive improvement plan was enacted and remaining tasks part of BAU from June 2022. The 18/19 and 19/20 accounts have been signed off by the councils external auditors. The council has focused its resources on publishing draft accounts for financial years 21/22 and 22/23 and completed the period of public inspection for these accounts – which it has done so and also published draft accounts for 23/24. The current proposed backstop date to clear all outstanding draft accounts up to and including 22/23 is 13th December 2024. The auditors work will now largely focus on VFM for the years outstanding (20/21, 21/22 and 22/23) prior to an audit opinion being issued for these years by the proposed backstop date. The 2023/24 External Audit is currently underway and the current proposed backstop date for 23/24 is 28/02/2025. 25/09/2024

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
RSB0023/003 Improvement Plan	The plan has been implemented and is in place, progress continues to be made.	In Place	£0 £0	100			Ahsan Khan
RSB0023/005 Working with External Auditors		In Progress	£0 £0	0	0	25/12/2024	Ahsan Khan

Risk Assessment with Risk and Control Updates



Pensions and Treasury

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score				
HRP0009 There is a risk that historical errors in Pension Scheme member data will lead to materially incorrect calculation of the Pension's liability figure and qualification of the Council's Statement of Accounts and Pension Fund Accounts. Type of risk Financial	External Audit review of IAS 19 (Employee Benefit) reports leading to discovery of unremediated errors in the underlying records. Triennial valuation to scheme actuary Valuation extracts to scheme actuary	Material error in calculation of the Pension's Liability figure leading to qualification of the Council's Statement of Accounts.	Severe 16	Material 9	Next Review Date 26/12/2024	Last Review Date 26/09/2024	Days Overdue 0	Risk Owner Abdulrazak Kassim
			Impact 4 Likelihood 4	Impact 3 Likelihood 3				

Risk Review Update

Third party company engaged to provide data audit, assurance and rectification. Initial findings are very positive with work to be completed october 2024 26/09/2024

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
HRP0009/001 Initial one off reconciliation of pensioner records in altair and payroll to identify records which require amending or updating	Third party company commissioned to provide data audit and rectification to be completed by end of October 2024.	Proposed	£0 £0	0	0	26/12/2024	Abdulrazak Kassim
HRP0009/002 Existing Controls: Monthly reconciliations using Pensions Dashboard		In Place	£0 £0	0			Paul Audu

Risk Assessment with Risk and Control Updates



ICT

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score	Next Review Date	Last Review Date	Days Overdue	Risk Owner
ICT0087 There is an ongoing risk of a Cyber Attack and a consequential Data Breach, Financial Loss and Business Interruption. Type of risk Technology	Cyber attacks could include ransomware, denial of service, social engineering, phishing, malware and/or an active attack exploiting network security vulnerabilities. Attacks could be enabled through miss-sent emails, inappropriate sharing, insecure design, inappropriate access, introduction of unauthorized software to the network, users clicking on phishing scam email links, and/or divulging sensitive information	Significant and prolonged loss of IT services. Inability to deliver critical and essential services. Failure to comply with statutory duties or other legal responsibilities. Breach of data protection legislation Financial loss Reputational damage	Severe	Significant				
			16	12				
			Impact 4	Impact 3	04/12/2024	04/09/2024	0	Hemanth Shanthirama
			Likelihood 4	Likelihood 4				

Risk Review Update

We have gone live with 24/7 Cyber Security Operations Centre. We have better alerting and remediation processes in place. 04/09/2024

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
ICT0087/001 Current activity		In Place	£0 £0	100			Mary Umoh
ICT0087/002 Zero Tolerance to unsupported software in the council live environment without a mitigation plan in place.	An Independent Penetration Tests has started on 19/11/24, after which Infosec will determine any unsupported software in the environment. Zero Tolerance to unsupported software in the council live environment without a mitigation plan in place.	In Progress	£0 £0	90	0	17/12/2024	Mary Umoh
ICT0087/003 Review of BCP	Review of BCPs is completed, and reporting is now being collated, to be shared with CCB in May 2022 and subsequently, CLT and Audit Committee in June 2022. Will keep In Progress until reporting completed.	In Place	£0 £0	100			Hemanth Shanthirama
ICT0087/004 Governance	As per last review - this control measure in is place and BAU.	In Place	£0 £0	100			Usman Zia

Risk Assessment with Risk and Control Updates



ICT

ICT0087/005 Information/Cyber Security Incident Response Procedures	Updated documented ready for sign off in January	In Place	£0 £0	100			Mary Umoh
ICT0087/006 Cyber Security/Attack Exercise		In Place	£0 £0	100			Simon Smith
ICT0087/007 Promote Cyber Security awareness using Training and Campaigns	Red Flags re-procured for the next 3 years.	In Progress	£0 £0	90	0	24/12/2024	Mary Umoh

Risk Assessment with Risk and Control Updates



09/2024 Housing Policy, Strategy and Regulatory Compliance

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score	Next Review Date	Last Review Date	Days Overdue	Risk Owner
HRPSRC0001 Following the Grenfell Fire tragedy residents of Private sector tower blocks in the borough are not safe or do not feel safe due to dangerous cladding that needs removing. Type of risk Health & Safety	Accountability for fire safety is not correctly designated, communicated and understood by building owners * Buildings remain unremediated. * Funding to remediate not secured interim measures in place	Fatality due to fire spread in a building. Council perceived as not having fulfilled statutory duty to keep local housing conditions under review under the Housing Act 2004	Significant 15	Material 5				
			Impact 5 Likelihood 3	Impact 5 Likelihood 1	20/12/2024	20/09/2024	0	Karen Swift

Risk Review Update

Review Re-Submitted to include edit of XXX number: Sadly, post Grenfell, there are still private sector buildings in the borough that need remediating to remove dangerous cladding. Tower Hamlets has the highest number of private sector tall buildings that require remediation in the country. A dedicated fire safety team funded with MHCLG funding is making significant progress in investigating and enforcing the removal of dangerous cladding and enhancing fire safety. To date, the team have successfully remediated or removed cladding from 50 buildings through both formal and informal methods. Only 1 private sector building has ACM remaining, with 6 ACM buildings having their ACM removed or being removed As well as enforcement 83 Section 235 notices, 57 Section 239 notices, 30 HHSRS notices, and 7 Hazard Awareness Notices have been served. The team works closely with the MHCLG Joint Inspection Team (JIT) and have accommodated 13 JIT inspections to validate our rigorous approach to safety. The team is testing new legislation and in the final stages of applying for a Remediation Order underway on the last remaining building over 18 meters. In May 2024, the council hosted an EHO London Fire Safety Network event, bringing together over 50 EHOs and experts from 18 London councils. The event featured speakers from the CSS, MHCLG, and BSR, and was met with such enthusiasm that attendees requested a follow-up event. Following the Grenfell Fire tragedy residents of tower blocks in the borough are not safe or do not feel safe due to dangerous cladding that needs removing. 20/09/2024

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
HRPSRC0001/004 Work with DLUHC to ensure owners of private residential tower blocks are taking measures to ensure their residents safety	Target date extended.	In Place	£0 £0	100			Karen Swift
HRPSRC0001/006 Safety & Enforcement	1 building in the process of going through the Tribunal for Remediation Order The programme is ongoing to include the BSR and under 18m for the CSS with Homes England. We are the first LA who submitted the 11-18m to Homes of England	In Progress	£0 £0	0	0	19/12/2024	Karen Swift

Risk Assessment with Risk and Control Updates



Environmental Health and Trading Standards

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score	Next Review Date	Last Review Date	Days Overdue	Risk Owner
CLSCCB0012 Major Health and Safety Incident affecting Council employees, Buildings or related Infrastructure. Type of risk Health & Safety	The job: including areas such as the nature of the task, workload, the working environment, the design of displays and controls, and the role of procedures. Tasks not designed in accordance with ergonomic principles to take account of both human limitations and strengths. Not matching the job to the physical and the mental strengths and limitations of people. Mental aspects would include perceptual, attentional, and decision-making requirements. The individual: including a person's competence, skills, personality, attitude, and risk	Injury/ill health/death, direct and indirect costs, disruption to service, reputational damage and possible prosecution	Significant 15	Significant 10				
			Impact 5 Likelihood 3	Impact 5 Likelihood 2	09/12/2024	09/09/2024	0	Stephen Halsey

Risk Review Update

Risks reviewed and stay the same as impact/likelihood currently unchanged 09/09/2024

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
CLSCCB0012/001 Existing Control Measures		In Place	£0 £0	100			Edward Farrelly
CLSCCB0012/002 Required Control Measures	Control measure has now been implemented and is in place. The control measure is having the desired effect and while work remains to be done, we will continue to monitor.	In Place	£0 £0	100			Edward Farrelly
CLSCCB0012/003 Required Control Measures	Work is still outstanding though scheduled in workplan	Proposed	£0 £0	0	0	26/12/2024	Edward Farrelly

Risk Assessment with Risk and Control Updates



Environmental Health and Trading Standards

CLSCCB0012/004 Required Control Measures	Control measure in place - review moved to Annual Review.	In Place	£0 £0	100			Edward Farrelly
CLSCCB0012/005 Required Control Measures	Reversing vehicles in Waste have aids and electronic sensors to aid drivers. All sensors are now being used, with items being monitored by H&S Advisor based on site.	In Progress	£0 £0	0	0	19/12/2024	Edward Farrelly

Risk Assessment with Risk and Control Updates



Health and Adults Social Care Directorate

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score	Next Review Date	Last Review Date	Days Overdue	Risk Owner
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. Type of risk Reputation	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	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.	Significant	Significant				
			15	10				
			Impact 5 Likelihood 3	Impact 5 Likelihood 2	30/10/2024	30/07/2024	27	Georgia Chimbani

Risk Review Update

Control Measures have been reviewed. Following appointment of the New Chair of SAB, In september the Boards Priorities and Associated Risks will be reviewed in full . 30/07/2024

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
ASD0015/002 Oversight through management reporting	Control measure updated with other strategies in place.	In Place	£0 £0	100			Margaret Young

Risk Assessment with Risk and Control Updates



Health and Adults Social Care Directorate

<p>ASD0015/003 Information campaigns to raise awareness of safeguarding with oversight from Safeguarding Adult's Board</p>	<p>We have undertaken investigatory work to better understand the low safeguarding concern referrals to the service. Whilst we have seen an increase this year on the previous year, the increases seen are not in line with national increase trends. We have established that we have seen a reduction in the referrals from health partners, particularly Community Health Services and Acute settings. We are actively responding to this by working in partnership with the Safeguarding Adults Board - where we have presented the data and insights, as well as with the Community Engagement Subgroup. Partners have committed to review their safeguarding referrals to ensure appropriate referrals are made and are planning some further community engagement activity to raise awareness in the community.</p>	<p>In Progress</p>	<p>£0 £0</p>	<p>50</p>	<p>55</p>	<p>02/10/2024</p>	<p>Margaret Young</p>
<p>ASD0015/004 Safeguarding Adults Board Strategy</p>	<p>Reviewed and remains relevant.</p>	<p>In Progress</p>	<p>£0 £0</p>	<p>75</p>	<p>27</p>	<p>30/10/2024</p>	<p>Margaret Young</p>
<p>ASD0015/005 Safeguarding issues as part of contract management procedures</p>	<p>Safeguarding is part of the contract monitoring process and stronger links have been made through the Quality Assurance Board to align safeguarding information through ASC and Commissioning. This includes the strengthening of our provider failure policy. Further work is underway to review the whole contract monitoring approach, as part of a wider organizational review and the introduction of an electronic system to enable quicker, more efficient processes.</p>	<p>In Place</p>	<p>£0 £0</p>	<p>100</p>			<p>Warwick Tomsett</p>
<p>ASD0015/008 Care Quality Commission embargo list used.</p>		<p>In Place</p>	<p>£0 £0</p>	<p>100</p>			<p>Margaret Young</p>
<p>ASD0015/009 Failed visit policy and procedures in place.</p>	<p>Review started</p>	<p>In Place</p>	<p>£0 £0</p>	<p>100</p>			<p>Warwick Tomsett</p>
<p>ASD0015/011 Safeguarding Adult Reviews Action Plan - implementation of recommendations of all SARs</p>	<p>Safeguarding Adult Review tracker remains in place and operational.</p>	<p>In Place</p>	<p>£0 £0</p>	<p>100</p>			<p>Margaret Young</p>

Risk Assessment with Risk and Control Updates



Health and Adults Social Care Directorate

ASD0015/012 Recruit a new Independent Chair of the Safeguarding Adult Board	This is now completed and chair is appointed and in place.	In Place	£0 £0	100			Denise Radley
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Risk Assessment with Risk and Control Updates



Customer Services

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score	Next Review Date	Last Review Date	Days Overdue	Risk Owner
CS0014 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. Type of risk Governance	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 Sureveillance Camera Commissioner. An inspection by the Information Commissioner. A freedom of information request.	Financial, legal and reputational.	Significant	Manageable				
			12	4				
			Impact 4	Impact 2	12/03/2024	12/12/2023	259	Leah Sykes
			Likelihood 3	Likelihood 2				

Risk Review Update

Following exit of the Director of Customer Services who was the nominated SRO for this matter - the risk will be reviewed to establish if it needs to be re-articulated and/or relegated from the CRR.
12/12/2023

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
CS0014/001 Improvement Action Plan Completion	Work in progress to address the Council wide action plan needed.	In Progress	£0 £0	70	712	15/12/2022	Joseph Lacev-Holland

Risk Assessment with Risk and Control Updates



Customer Services

<p>CS0014/002 Service Actions</p>	<p>CONTROL DETAIL 1-Ensure an updated DPIA is in place for all departmental VSS systems. PA ANSWER TO 1 - This is not for me to ensure is complete. We are in the process of completing the SNO ones including Public Realm CCTV, Mobile CCTV Van and a seperate one for body worm CCTV. Because we are updating and busy with major upgrade and move the assistance of our tech consultant has been required to help complete the document 2-Ensure DPIAs are quality assured by Information & Governance Team and signed off. PA Answer to 2- This is probably out of date now as the new DP Officer who replaced the one working on this has said that it is not for them to sign off as they do not know anything about CCTV, it would need someone with experience of a consultant to sign off 3-Ensure robust information sharing agreements are in place where appropriate for all departmental VSS PA Answer to 3. CS has a general ISA with the Police and we have one with Metcall. Any sharing of CCTV Images to any organisation is done under COP regs</p>	<p>In Progress</p>	<p>£0 £0</p>	<p>0</p>	<p>202</p>	<p>08/05/2024</p>	<p>Peter Allnutt</p>
<p>CS0014/003 Service Actions</p>	<p>DPIA has been completed and signed off. There is an agreement for the police to share information if part of an investigation. The technical construction file is up to date.</p>	<p>In Progress</p>	<p>£0 £0</p>	<p>0</p>	<p>141</p>	<p>08/07/2024</p>	<p>Michael Darby</p>
<p>CS0014/004 Service Actions</p>	<p>Asset register is being reviewed</p>	<p>In Place</p>	<p>£0 £0</p>	<p>100</p>			<p>Richard Williams</p>
<p>CS0014/005 Service Actions</p>	<p>target date extended</p>	<p>In Progress</p>	<p>£0 £0</p>	<p>0</p>	<p>141</p>	<p>08/07/2024</p>	<p>Chris Smith</p>
<p>CS0014/006 Service Actions</p>	<p>All sites have now had the surveys completed and have marked pans in place. There is a process in place now for any new additional camera requests at all CLM sites with CCTV systems to have a DPIA form completed and the sites and plans are reviewed Annually., This task is now complete and being managed.</p>	<p>In Progress</p>	<p>£5,000 £5,000</p>	<p>100</p>	<p>461</p>	<p>23/08/2023</p>	<p>Sam Brown</p>
<p>CS0014/007 Service Actions</p>	<p>ROPA updated</p>	<p>In Progress</p>	<p>£0 £0</p>	<p>75</p>	<p>357</p>	<p>05/12/2023</p>	<p>Usman Zia</p>

Risk Assessment with Risk and Control Updates



Communities Directorate

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score				
COM0005 There is a risk the Council will be unable to deliver critical and essential services owing to a Business Continuity Incident. Type of risk Business Continuity Management	Denial of access to, or loss of one or more of the following (4 P's): People – Example -Staffing loss due to industrial action or pandemic Places – Example - Premises/ Location unable to carry out services due to fire/flood/utility failure etc. Processes – Example - Essential Software loss due to Cyber Attack, Office Equipment, Mobile Devices or Vehicles Providers – Example – Failure of Commissioned Providers & Suppliers	Loss of one or more of the 4 P's may impact on these area's - Inability to deliver, or disruption to Critical Services - Finance - Reputation - Delivery of KPI's - Safeguarding/ Health & Safety	Significant 12	Material 8	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			Impact 4 Likelihood 3	Impact 4 Likelihood 2	30/11/2024	30/08/2024	0	Stephen Halsey

Risk Review Update

This is an ongoing process. However it is recognised that further work needs to take place at a Corporate and Directorate level to ensure the risks arising from non completion of a BC plan are recognised. An audit into the status of BC plans has been completed and is about to be presented to the CMT. The audit will highlight some significant risks 30/08/2024

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner

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Communities Directorate

<p>COM0005/001 A fully functioning and embedded Business Continuity Framework</p>	<p>I have reviewed this risk and the control measures. Since the last review the annual civil contingencies report which covers the organisation's civil contingency arrangements, and therefore the scope of this risk, was presented to DLT on 1 November and CLT on 16 November. The report focused on embedding 'Resilience is everyone's business' into the organisation in line with the Resilience Standards for London, responding to emergencies, the continuing Covid response, continuing to improve business continuity arrangements, and ICT developments in response to the Internal Audit of IT Business Continuity and Resilience, 2020. There is significant evidence of continuous improvement. The report was also presented to the Mayor on 22 November. The borough is required to update our response to the Grenfell Action Plan and the next (limited) RSL Assurance process by 12 January.</p>	<p>In Place</p>	<p>£0 £0</p>	<p>100</p>			<p>Simon Smith</p>
<p>COM0005/004 Ownership of Business Continuity (BC) at senior level (CLT/DLT) and embedded into culture of the organisation.</p>	<p>Whilst the CPU are supporting service areas and directorates in completing the BC plans, there are a significant number of directorates that have not accessed their plans or reviewed them. The audit is highlighting a number of areas which require attention. This audit will be presented to the SMT within the next few weeks.</p>	<p>In Progress</p>	<p>£0 £0</p>	<p>50</p>	<p>0</p>	<p>30/11/2024</p>	<p>Simon Smith</p>
<p>COM0005/005 Provision of monthly management information to DLT's, and Directors.</p>	<p>As previously outlined, whilst the CMT is presented with the data concerning completion of the BC plans, there needs to be recognition of the impact and risk that the data is showing and action to ensure the BC plans across the organisation are being updated, monitored and supervised. This is a corporate responsibility which does not sit in the Civil protection Unit</p>	<p>In Progress</p>	<p>£0 £0</p>	<p>75</p>	<p>0</p>	<p>30/11/2024</p>	<p>Simon Smith</p>
<p>COM0005/006 Annual Audit of Business Continuity Plans</p>	<p>Work with the CMT and Directorates continues with a clear need for constant pushing and reminding of the corporate responsibility. Community resilience remains a challenging area of work but this is being reviewed in line with our revised community engagement strategy. Presentations to the CMT are continuing.</p>	<p>In Place</p>	<p>£0 £0</p>	<p>100</p>			<p>Simon Smith</p>

Risk Assessment with Risk and Control Updates



Adults Social Care

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score				
ASDASC0018 Regulatory censure and Safeguarding failure arising from deficient process for new and ongoing employee vetting (i.e. pre-employment checks, ongoing vetting of DBS status, verification of qualifications and other suitability/ screening checks). Type of risk Workforce	Non-adherence to procedures in relation to recruitment and employee vetting Failure of reporting mechanisms to provide assurance on vetting Vetting not renewed/updated where required	<ul style="list-style-type: none"> Harm to individual children, young person or vulnerable adult Poor audit/review findings Reputational damage to the council including poor inspection outcomes Poor quality assurance Potential for legal proceedings against the council leading to financial loss 	Significant	Manageable	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			12	4				
			Impact 4	Impact 4				
			Likelihood 3	Likelihood 1				

Risk Review Update

This is a holding review - New Corporate Director of Health and Adults Social Services commenced in post 01/09/2024. Control Measures were reviewed by Control Measure Owner and Risk Officer on 17/09/2024. Review period for Risk Review has been extended to allow time for New CD to settle in and understand the Risk prior to reviewing. 19/09/2024

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
ASDASC0018/001 Reporting Tool	This control measure is now in place, and is working well and reporting effectively.	In Place	£0 £0	100			Catriona Hunt
ASDASC0018/002 Identify any actions needed to ensure compliance using the renewed DBS reporting tool	Control Measure is in place and working effectively.	In Place	£0 £0	100			Catriona Hunt
ASDASC0018/003 Review of posts in scope of DBS	Meetings were conducted with every head of service and a post tagging exercise was completed in July 2024. the Data was uploaded to the HR System. This will ensure that there is a consistency in checks and that all officers requiring DBS check are captured.	In Place	£0 £0	100			Catriona Hunt

Risk Assessment with Risk and Control Updates



Adults Social Care

ASDASC0018/004 Review DBS process & policy	Revised policy and associated documents in place November 2023, further review to take place end of October 2024.	In Place	£0 £0	100			Catriona Hunt
ASDASC0018/005 Existing protocols and procedures relating to DBS checks and recruitment more generally		In Place	£0 £0	100			Catriona Hunt
ASDASC0018/006 Annual Monitoring of all control measures.		Proposed	£0 £0	0	0	30/09/2025	Catriona Hunt

Risk Assessment with Risk and Control Updates



Communities Directorate

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score				
COM0002 Failure to meet the Council's legal duties under the Civil Contingencies Act. This would become evident if a major incident occurred and the council failed to implement an effective response and recovery. Type of risk Business Continuity Management	A lack of resilience and expertise in the council's Civil Protection Unit, and staff to perform relevant duties during an emergency. A lack of a robust policy framework to meet the requirements of the CCA. Failure of governance and robust performance management oversight of Business Continuity Plans by the Corporate Management Team. Lack of robust policies and processes, including compliance with the Resilience Standards for London. Failure of the organisation and the responsible Directorates to continuously develop, update	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. Failure of the Council to ensure a strategic recovery plan is led and delivered to ensure recovery from a major or catastrophic incident.	Material	Material	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			8	6				
			Impact 4	Impact 3	29/01/2025	29/07/2024	0	Ann Corbett
			Likelihood 2	Likelihood 2				

Risk Review Update

The annual resilience standards exercise is due before Dec. The annual civil contingencies report for CMT is due Nov and will give CMT the opportunity to have oversight on areas of risk and areas of progress. There is an annual Business Continuity Audit underway as an additional part of the governance and assurance process. Results will be presented to CMT. 29/07/2024

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
COM0002/004 Ensure compliance with Resilience Standards for London (RSL)	I have reviewed this control measure. Whilst areas for improvement have been discussed at the NE sub-region, we will focus on those highlighted locally within our own self-assessment. Work continues to improve and meet those standards in development. These will be reported in the next self-assessment.	In Place	£0 £0	100			Simon Smith

Risk Assessment with Risk and Control Updates



Communities Directorate

COM0002/006 Directorate Leadership Teams to have oversight of and regularly review and test their directorate Business Continuity Plans	Attendance at DLTs and provision of reports has continued. The focus has been on transition from ClearView to BC&R (business continuity and risk software application), and for plan owners to update plans prior to migration. Children and Culture DLT sourced attendance of 20+ plan owners at a training session to improve their knowledge and skills in BC plan management.	In Progress	£0 £0	0	0	30/11/2024	Simon Smith
COM0002/007 Implementation of Business Continuity Management system upgrade to improve BC management.	ClearView BC plans have all been migrated to the new BC&R application. CLT have been briefed and approved a implementation plan that includes training for plan owners and approvers. DLT's are being briefed too. The Community Safety BC Plan has been completed updated and will be presented to the next CCB to demonstrate the new system. In the interim, all BC plans can be viewed on ClearView should there be a BC incident.	In Place	£0 £0	75			Simon Smith
COM0002/008 Training and exercising		In Place	£0 £0	100			Simon Smith
COM0002/009 Governance and oversight of civil contingencies and business continuity.		In Place	£0 £0	100			Ann Corbett
COM0002/010 Learning from experience		In Place	£0 £0	100			Simon Smith
COM0002/011 Develop a training package and timetable for elected members and the Mayor		In Progress	£0 £0	0	0	30/11/2024	Simon Smith
COM0002/012 Crisis Communications Plan in place and regularly reviewed as part of the Emergency Planning Policy Framework		In Progress	£0 £0	50	0	30/11/2024	Andreas Christophorou
COM0002/013 Ensure adequate pooled resources available for out of hours rota		In Progress	£0 £0	0	0	30/11/2024	Andrea Stone
COM0002/014 Policy framework requirements		In Progress	£0 £0	0	0	30/11/2024	Andrea Stone

Risk Assessment with Risk and Control Updates



Communities Directorate

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score				
COM0004 Community Cohesion: A loss of social capital and a fracturing of the community and local networks Type of risk Social	- Global Tensions causing persistent public anger, distrust, divisiveness, lack of empathy, marginalisation of minorities and political polarisation in the local communities - Local serious crime incident where local community feel response by council is insufficient - Other serious incident within the UK that leads to widespread public disorder (such as Southport Tragedy summer 2024) - Political/Government Changes	- Negative impact on social stability, individual well-being and economic productivity - Public Disorder/Riot - Increased 'extremism' Risk	Material	Material	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			8	8				
			Impact 4 Likelihood 2	Impact 4 Likelihood 2	24/01/2025	24/10/2024	0	Simon Baxter

Risk Review Update

I have reviewed and considered the risk and likelihood of a breakdown of community cohesion. The council and the community has a incredible sense of belonging and ownership of the problems faced internationally and across the UK. The recent annual residents survey demonstrates that Tower Hamlets has a very very strong sense of community . The councils No Place for Hate campaign, the THEO service, the strong network of inter faith groups, our Tension Monitoring Group, our partnership work with the Police, and other Government departments, our internal stakeholder groups all reflect and deliver on ensuring that community cohesion is at the heart of what we do. Community Cohesion: A loss of social capital and a fracturing of the community and local networks 24/10/2024

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
COM0004/001 Communication		In Place	£0 £0	0			Simon Baxter
COM0004/002 monitoring		In Place	£0 £0	0			Simon Smith

Risk Assessment with Risk and Control Updates



Chief Executive Office

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score				
LPG0037 People First Transformation: A failure to fully execute, implement and realise the benefits from the Council's core transformation programme Type of risk Performance	Statistically reliable negative staff feedback about the organisation as a place to work. Poor performance against KPI's Failure to deliver strategic plan priorities Failure to deliver support service transformation (SIT/SPI/Data/Research etc.) Failure to deliver transformation related target savings and the MTFS Poor resident perceptions of Council / Services Failure of the People 1st comms programme to deliver cultural shift and alignment with the new target operating model. Failure to deliver planned restructures in a timely way.	ineffective governance, cultural disengagement, strategic misalignment, and failing to understand and meet the needs of borough residents.	Material	Material	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			8	6				
			Impact 4 Likelihood 2	Impact 3 Likelihood 2				

Risk Review Update

The risk has been defined very broadly. Therefore there are a range of triggers that might indicate failure to manage the risk. Consequently there are a range of control measures that would be used to manage that risk. Most of these are BAU and already in place reporting transparently to CMT MAB Cabinet etc. People First Transformation: A failure to fully execute, implement and realise the benefits from the Council's core transformation programme 11/11/2024

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LPG0037/001 Staff Survey and IIP feedback to monitor staff opinion of the organisation.		In Place	£0 £0	0			Robin Beattie
LPG0037/002 KPI monitoring		In Place	£0 £0	0			Doug Plumer
LPG0037/003 Regular updates on progress of Strategic Plan Priorities		In Place	£0 £0	0			Doug Plumer

Risk Assessment with Risk and Control Updates



Chief Executive Office

LPG0037/004 Support Service Transformation - Empowering Services Review		In Progress	£0 £24,500	25	0	04/01/2025	Stephen Halsey
LPG0037/005 Monitoring of Transformation Related Financial Deliverables		In Place	£0 £0	0			Julie Lorraine
LPG0037/006 Annual Residents Survey will monitor public perceptions of the Council and Services		In Place	£100,000 £100,000	100			Robin Beattie
LPG0037/007 People 1st Progress Updates.		In Place	£0 £0	0			Andreas Christophorou
LPG0037/008 Corporate Restructure Board / Budget Board		In Place	£0 £0	0			Simon Baxter

Risk Assessment with Risk and Control Updates



ICT

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score				
ICT0081 Risk of exploitation of Supply Chain vulnerabilities or shocks impacting Council Services, Vendors and Partners. Type of risk Third Party	Cyber attack exploits vulnerability of key supplier Key supplier has inadequate DR and BC to recover from attack in a timely fashion	Inability to deliver services as a result of service outage or disruption – e.g. exploitation of log4j vulnerability in line of business applications Attack is terminal for the supplier i.e. triple threat - ransom of data, deletion of data, publicly expose data	Material 6	Manageable 4	Next Review Date 23/10/2024	Last Review Date 23/09/2024	Days Overdue 34	Risk Owner Steven Tinkler
			Impact 3 Likelihood 2	Impact 2 Likelihood 2				

Risk Review Update
 This risk and associated control measures have been subject to an independent internal audit, completed in September 2024. The recommendations associated with this audit and the proposed management actions are currently being discussed with colleagues from Procurement, Information Governance and Information Security Management. This risk is however subject to ongoing monitoring including taking forward any learning from cyber security incidents reported nationally. 23/09/2024

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
ICT0081/001 Procurement process [new suppliers]	The scope of this audit has extended to considering corporate arrangements, and is currently subject to discussion between Procurement, Information Governance and IT Security Management. It is anticipated that the agreed management response and action plane will be finalised by the end of October 2024.	In Progress	£0 £0	75	3	23/11/2024	Steven Tinkler
ICT0081/002 Service reviews [existing suppliers]	Control measure has been subject to an independent internal audit with the findings and recommended management actions currently subject to corporate consideration.	Proposed	£0 £0	45	3	23/11/2024	Adamx Evans
ICT0081/003 Where we don't do service reviews [existing suppliers]	Post has been recruited and new post-holder has regular engagement with IT Security Management and the IT Vendor Management team. Where appropriate, implementation of the agreed management actions following the recent internal audit, will be co-ordinated by this officer.	In Progress	£0 £0	0	3	23/11/2024	Adamx Evans

Risk Assessment with Risk and Control Updates



ICT

ICT0081/004 Threat intelligence		In Place	£0 £0	100			Mary Umoh
ICT0081/005 Technical Controls		In Place	£0 £0	99			Mary Umoh
ICT0081/006 Contractual measures		In Place	£0 £0	95			Mary Umoh

Risk Assessment with Risk and Control Updates



Corporate Finance

Description of Risk Event	Triggers	Consequences	Current Risk Score	Target Risk Score				
RSF0002 The risk of being unable to reclaim VAT from HMRC owing to weaknesses in accounting for VAT and underlying non-compliance with HMRC requirements Type of risk Financial	Not being able to provide evidence to substantiate VAT claims	Loss of funds to the Council	Material	Manageable	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			6	4				
			Impact 2	Impact 2				
			Likelihood 3	Likelihood 2				

Risk Review Update

Work is ongoing and no material issues have been issued . 26/09/2024

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
RSF0002/001 Liaise with HMRC to provide evidence required to support claims of VAT	This is now standard practice and happens on a regular basis and, we believe, is working effectively.	In Place	£0 £0	100			Danny Warren
RSF0002/002 Engage external tax advisors to independently review VAT claims for a period of one year	PSTax have been engaged and they are reviewing each month's VAT claims before it is submitted to HMRC. A newly revised VAT Manual has been uploaded to the intranet. Internal VAT training will take place by Christmas 2024.	In Progress	£0 £30,000	70	0	25/12/2024	Danny Warren
RSF0002/003 Existing Controls: PSTAX to review the VAT returns		In Place	£0 £0	100			Danny Warren