

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

## Adults Services Directorate

Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
ASD0015	Death or serious harm to a vulnerable adult that was or should have been in receipt of services, either from the council or a partner agency.	<p>There is a failure of one or more of the controls which fails to identify the degree of risk to a vulnerable adult.</p> <p>Poor practice and inadequate management oversight.</p> <p>Failure of quality control 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>Harm to an individual.</p> <p>Reputational damage to the Council.</p> <p>Potential for legal proceedings against the council leading to financial loss.</p> <p>Loss of confidence in safeguarding capability.</p>	<p>Revised safeguarding procedures introduced from care act implemented.</p> <p>Robust safeguarding procedures in place.</p> <p>Target operating module as part of the care act implemented.</p> <p>This includes key worker role assigned.</p> <p>Signs and safety framework implemented.</p> <p>This framework helps identify the risks in a strategic manner.</p> <p>CQC care commission embargo list used.</p> <p>This list is available from the CQC highlighting all providers where the CQC has raised concerns.</p> <p>Failed visit policy and procedures in place.</p>	3	5	15	<p>Oversight through management reporting</p> <p><b>Cath Scholefield</b> <b><u>Required Control Measure Target Date:</u></b> <b>11/11/2015</b></p> <p>Information campaigns to raise awareness of safeguarding oversight from safeguarding adult's board</p> <p><b>Cath Scholefield</b> <b><u>Required Control Measure Target Date:</u></b> <b>15/12/2015</b></p> <p>4 year (2015 – 2019) adults board strategy</p> <p><b>Cath Scholefield</b> <b><u>Required Control Measure Target Date:</u></b> <b>25/01/2016</b></p> <p>Safeguarding issues as part of contract management procedures</p> <p><b>Cath Scholefield</b> <b><u>Required Control Measure Target Date:</u></b> <b>15/02/2016</b></p> <p>Developing a strategic approach to reviewing and analysing data in a systematic way.</p>	2	5	10	Cath Scholefield	A Safe And Supportive Community		

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					L	I	Total	L	I	Total	L	I	Total		
								<p>The Council and its partners have a number of controls to monitor and safeguard vulnerable adults including data from a variety of sources.</p> <p>The proposed control seeks to use this from a structured analysis to help identify areas of risk.</p> <p><b><i>Karen Sugars</i></b></p> <p><b><u>Required Control Measure Target Date:</u></b></p>							

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### CDResources

Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
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CSDR0002	Council's inability to meet demand for school places	<p>Actual roll &gt; projected roll exceeds available capacity</p> <p>Higher than anticipated birth rate / inward migration</p> <p>Insufficient capacity created in time to meet need</p> <p>Unable to secure executive decisions regarding the use of existing school,</p> <p>Decisions not taken in time to implement projects to provide places</p> <p>'Scheming" Powers: Schedule 1 of the 2010 Academies Act gives the Secretary of State powers to transfer a school property to an academy and/or free school</p>	<p>Failure to have sufficient statutory school places to meet local need, children out of school and LA failing to meet duty</p> <p>Additional transport costs; lack of parental engagement as children not at local school</p> <p>Insufficient capacity for school places realised in existing estate.</p> <p>Additional costs incurred due to re phasing of projects if unanticipated delays in decision making.</p>	<p>Service Head - Learning and Achievement chairs regular meeting to review short/medium and long term position</p> <p>Monitoring of projected pupil numbers V roll numbers and planned capacity</p> <p>Planning sufficient expansion options to provide additional capacity required</p> <p>Sites for new schools secured following Examination in Public</p> <p>Annual review of capital programme schemes and available resources (grant, s. 106 &amp; CIL</p> <p>Engagement of GLA to provide projections to strengthen reliance on LBTH model - Further review to provide annual projections</p> <p>Produce briefing on primary sites and accurate timely updates. Timing of further reports to be agreed. Programme of primary school site reviews commenced.</p> <p>GLA continue to provide roll projections; LBTH supply GLA with housing development data</p> <p>Revise the governance arrangements of the Pupil Place Planning group to report directly to the Corporate Asset and Capital Board</p>	3	5	15	1	5	5	Kate Bingham	A Great Place To Live

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**CDResources**

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				<p>Need for places included in LBTH Best Value Plan</p> <p>In assessing surplus or underused sites for disposal, particular attention will be paid to ensuring that where school places can be achieved, these are highlighted and sites will be considered for new school and/or expansion provision.</p> <p>Approved at Cabinet 28 July 2015</p> <p>Quarterly monitoring by Commissioners</p> <p>Sites for two new primary schools secured</p> <p>Cabinet approved 5 FE primary school places - May 2015</p>											

Detailed Risk Report (incl Control Measure Target Date)



Children's Services Directorate

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.	<p>There is a failure of one or more the controls which fails to identify the degree of risk to a child</p> <p>Poor practice and inadequate management oversight</p> <p>Failure of quality control 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>Harm to an individual</p> <p>Poorer than expected outcomes for a child.</p> <p>Reputational damage to the council</p> <p>Potential for legal proceedings against the council leading to financial loss</p> <p>Loss of confidence in safeguarding capability across the council, partnership and wider.</p>	<p>Adherence to statutory government guidance, policies and procedures laid down by the council and LSCB / SAB Local Safeguarding Children's Board</p> <p>Statutory government guidance, policies and procedures in place.</p> <p>Quality assurance systems including case audits, LSCB and SAB sub-groups.</p> <p>Effective working relations and swift communication across partnership agencies that is held at different levels of Children's s</p> <p>Effective working relations and swift communication across partnership agencies that is held at different levels of Children's services</p> <p>Safeguarding board to seek evidence that existing performance measures are being upheld</p> <p>Regular updates with key partner agencies, (examples) Police, NHS and Schools</p> <p>Strong and effective relationships with partner agencies.</p> <p>Consultation with children subject to looked after plans to be sought in conjunction with the review of their plans</p>	3	5	15	2	5	10	Debbie Jones	A Safe And Supportive Community

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Children's Services Directorate

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					L	I	Total	L	I	Total	L	I	Total		
				<p>Quality assurance systems in place to provide triangulation of information Provide evidence to safeguarding board that existing performance measures are being upheld</p> <p>Regular and good quality management and performance information</p> <p>Evolve System risk assessment of trips reviewed by Health and Safety Advisor</p> <p>Serious/serious case review process in place</p> <p>Safeguarding training programme in place covering induction and workforce development programme</p> <p>Staff complete the Health and Care professions Council (HPC) re-registration process every 3 years</p> <p>CEO appointed, independent Chair of the Safeguarding Board. The local safeguarding children's board makes a key contribution to effective working relationships between the authority, each of the authorities relevant partners and such other persons or bodies working with children in the local authorities area including where services are contracted out.</p> <p>Robust commissioning that includes safeguarding checks of providers</p>				<p>Ensure that CMT have a view of the activities within the service and develop some assurance using the corporate accountability framework</p> <p><b>Debbie Jones</b> <b><u>Required Control Measure Target Date:</u></b></p>							

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**Children's Services Directorate**

Ref	Risks	Triggers	Consequences	Existing Control Measures Multi-agency safeguarding hub  Effective oversight of all key activities by service managers  Review arrangements of looked after children and child protection is led by the child protection review service which has a critical challenge role to children's social workers	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		

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

### Communications

Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
LPGCOM003	Failure to effectively manage the reputation of the Council	Relationship with central government / increased scrutiny Potential for criticism from constituents Potential lack of clarity of political situation Lack of clear guidance on reputation / "brand" management Poor perception of Council following intervention from central government and PWC report and election petition	Breakdown in relationships with key stakeholders Loss of key funding streams Community becomes fractured Impact upon service delivery Increasing demands on core officers Poor perception of the Borough Increased external scrutiny	Implementation of best value improvement plan  Clear communication protocols in place for both proactive and reactive management of the Council's reputation.  Strategy laid out for how Service Heads communicate with third parties  Constitution in place that governs the actions and behaviours of members and officers.  Council code of conduct in place.  Communications strategy in place Communications strategy in place to proactively promote the Council's reputation, including for example the production of a weekly Council newspaper and social media usage.  Information Governance Group and FOI Board in place  Open and transparent decision making provisions in place. For example the filming of cabinet meetings.	4	3	12	4	3	12	Will Tuckley	One Tower Hamlets



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

### Corporate Finance

Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
RSB0019	Maintaining financial viability /balance in 2016/17 to 2017/18	Reduction in funding NHS integration – unfunded services transferred in through Public Health Changes in Government initiatives Potential inability to manage working capital effectively Increasing expectation of the Council aligned with increasing local need Further austerity programme rolled out by central government impacting local authority CSR in autumn 2015 HRA changes Population growth Claim resulting in circa £1m additional annual cost to the authority	Future service cuts Inability to meet public expectation Increased pressure on delivery of statutory and priority services Government intervention Reduction in reserves	Formal annual budget setting process and medium term financial plan  Continuous monitoring of Council's medium term financial plan in place  Monthly monitoring and management reporting of Council's financial position  Annual External Audit health check on financial processes including budgets and reporting  Programme Manager for Council Savings Plan in place.  Corporate Programme Board formed to monitor delivery of savings programme. Monitoring in progress.  Develop and implement corporate approach to deliver and monitoring of Council savings plan and transformation plan  On-going advancement of linkages between the 30 year HRA Business Plan and Council service plans. Longer term financial and investment strategy	3	5	15	2	5	10	Zena Cooke	One Tower Hamlets

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

### Corporate Strategy and Equalities

Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		
LPGSE0001	Failure to achieve community cohesion Radicalisation of young people and gangs	Extremist incident - local, national or international Failure to engage with stakeholders in responding to extremism Failure to liaise with police to address extremism Increasing polarisation between communities in the borough Council funding decision exacerbating community tension	Rising crime and unrest within the Borough Damage to property and harm to persons Reputation damage Increase in social deprivation More segmented society	<p>Formal multi-agency approach in place</p> <p>Formal multi-agency approach in place (including Council, Police, Education, Housing Organisations, Voluntary Sector and Faith Organisations.</p> <p>Cohesion Promotion Programme e.g. No Place for Hate Forum and Events</p> <p>Use of Community Cohesion Contingency Planning &amp; Tension Monitoring Group Community Cohesion Contingency Planning &amp; Tension Monitoring Group that complete cohesion impact assessment around key event</p> <p>Debrief programme in place for after key events/incidents.</p> <p>Cohesion toolkit and impact assessment in place and used</p> <p>Annual cohesion measured through residents' survey.</p> <p>Home Office funded programme of activities including interventions with young people.</p> <p>Multi-agency SAP Panel in place to review case referrals of individuals of concern within the Borough. Multi-agency SAP Panel in place to review case referrals of individuals of concern within the Borough. (Close liaison with Policy and SO15).</p>	3	4	12				2	4	8	Andy Bamber	One Tower Hamlets

Detailed Risk Report (incl Control Measure Target Date)



Corporate Strategy and Equalities

Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
				<p>On-going development of the "Prevent Programme" to include work in schools. Officer appointed to lead this work from May 2014.</p> <p>Competing prevent agenda action plan funded by Home Office</p>									

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### Development and Renewal

Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
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DR0029	<p>Council is unable to identify a viable exit route from Mulberry Place that ensures staff are decanted by September 2019</p> <p>NB: Managed and monitored as part of the Civic Centre Project Board Strategic Risk Register which includes detailed risk mitigations and controls Reported to the Project Board, the Council's Major Projects Board, CMT fortnightly and briefings to the Mayor.</p>	Detailed in Civic Centre Project Strategic Risk Register	Detailed in Civic Centre Project Strategic Risk Register	<p>Present a new report to November Cabinet (as per Mayor in Cabinet decision on 280715 that the original decision be withdrawn)</p> <p>Explore option of negotiating an extension to Mulberry Place lease pending delivery of permanent Town Hall solution Current lease expires June 2020</p> <p>Action outcomes of the Mayoral briefings on the Civic Centre Project</p> <p>Obtain Cabinet approval for officer's recommendations Civic Centre Report</p>	4	5	20	Required control measures are detailed in the Civic Centre Project - Strategic Risk Register	3	4	12	Aman Dalvi	One Tower Hamlets		

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**Legal Services**

Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
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LPGLS000 1	Non-compliance with corporate governance procedures	Poor understanding of governance processes / lack of clarity of processes Lack of awareness on areas such as conflict of interest and the Bribery Act Possible pressure from politicians on officers to deviate	Ineffective decision making Potential for reputation damage Poor council performance Failure to optimise opportunities Adverse media reporting	<p>Council Constitution in place</p> <p>Annual Governance Statement process, incorporating the Audit Committee. On 13 June 2014, the draft AGS was reported to the audit committee and it is planned to finalise this at its Sept Committee.</p> <p>Regular meetings of the Statutory Officers Co-ordination Group. Ongoing.</p> <p>Regular Section 151 Officer meetings. Arrangements are in place for the regular reporting of significant governance matters via the Head of Audit and Risk Management to the Monitoring officers and the S151 officer.</p> <p>Financial regulations have been updated and further clarification of staff, manager and senior officer responsibilities have been incorporated.</p> <p>The post of 'financial compliance manager' has also been created through the restructure of finance and the role of that post is to monitor and report and report to the section 151 officer on non-compliance in key areas such as use of purchase cards, petty cash, budget monitoring etc...</p>	3	4	12	2	4	8	Graham White	One Tower Hamlets

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Legal Services

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					L	I	Total	L	I	Total	L	I	Total		
				<p>Member training provided on Code of Conduct.</p> <p>Training for members and independent co-opted members of Standards Advisory Committee on Standards Framework was held on 14/07/15.</p> <p>Mandatory training programme on licensing and planning in place for members of the Planning Committee. Mandatory training for Members of the Planning Committee was held on 29/06/15, 01/07/15, 07/07/15 and 21/07/15. Some Members were unable to attend these sessions so the Legal Planning Team Leader provided training to smaller groups. Training was given to Members of the Licensing Committee by Leo Charamides (Counsel).</p> <p>Member Induction Programme took place June - July 2014. (After the Local, Mayor and Euro elections).</p> <p>Information Governance Group and FOI Board in place</p> <p>Update Constitution to include agreed revisions. Updated version of the constitution is on the Council's website - updated May 2014.</p>											

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**Legal Services**

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				<p>Existing Control Measures</p> <p>E-learning anti-fraud and bribery training programme including Bribery Act Provisions</p> <p>The e-learning and the accompanying test provide staff an opportunity to be appraised of the bribery regulations and more generally, of the anti-fraud arrangements.</p>											

Detailed Risk Report (incl Control Measure Target Date)



Strategy, Regeneration & Sustainability

Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total		
DRA0016	<p>Failure to meet the borough's housing targets</p> <p>NB: The Executive Mayor has established a Cabinet Commission to investigate the delivery of 'affordable' housing in Tower Hamlets and the degree to which it is affordable for those on low and average incomes in the borough who cannot afford to access market housing. The Housing Policy &amp; Affordability Commission is due to report in December 2015. It will consider the approach of the Council to achieving homes which are truly affordable.</p>	<ol style="list-style-type: none"> <li>1. Negative impact of ongoing welfare reform agenda</li> <li>2. Reduction in supply of suitable accommodation</li> <li>3. Private sector landlords increasingly resistance to accepting residents on benefits</li> <li>4. Universal credit implications/potential increase in tenants in arrears</li> <li>5. Insufficient capital financing to deliver new homes on available sites</li> <li>6. Insufficient revenue protection to cover debt charges in the HRA following the Government's summer 2015 budget.</li> <li>7. Right to Buy extended to housing association properties</li> <li>8. As a result of policy changes set out in the Government's Summer 2015 budget local housing associations amend development plans in favour of shared ownership, market rent and outright sale at market rates.</li> </ol>	<ol style="list-style-type: none"> <li>1. Increase in homelessness</li> <li>2. Increase in costs for temporary housing e.g. B&amp;Bs</li> <li>3. Rental market instability</li> <li>4. Negative impact on initiatives to reduce overcrowding</li> <li>5. Council fails to achieve its targets</li> <li>6. Reputation damage</li> <li>7. Increases in right to buy leading to a reduction in housing stock</li> <li>8. Significant reduction in supply of housing association affordable and social rent housing</li> </ol>	<p>Bid for any available match funding made available by central government</p> <p>Consider off site provision for specific private sector planning applications</p> <p>Include an element of cross subsidy through mixed tenure development schemes</p> <p>The preparation of master planning documents to promote housing growth in appropriate areas - Whitechapel Masterplan</p> <p>The preparation of masterplanning documents to promote housing growth in appropriate areas - South Quay Masterplan</p> <p>5.3 South Quay Master Plan Supplementary Planning Document</p> <p>The Mayor noted the additional submission received</p> <p>DECISION</p> <ol style="list-style-type: none"> <li>1. To adopt the South Quay Masterplan SPD (contained in Appendix 1 to the report) and approve its supporting documents (contained in Appendices 2-7 to the report).</li> <li>2. To agree that upon adoption of the South Quay Masterplan SPD, the Millennium Quarter Masterplan SPD (2000) will be revoked.</li> <li>3. To note the late submission received on behalf of the Ballymore Group.</li> </ol>	<p>3</p> <p>5</p> <p>15</p>	<p>2</p> <p>5</p> <p>10</p>	<p>Investigate feasibility of using a joint venture to provide capital financing for new homes on available sites</p> <p><b>Jackie Odunoye</b> <b>Required Control Measure Target Date:</b> <b>31/03/2016</b></p> <p>Ensure all development &amp; construction contracts are affordable within the current HRA Financial Model</p> <p>A review of all of the sites is being undertaken in light of the July 2015 budget.</p> <p><b>Jackie Odunoye</b> <b>Required Control Measure Target Date:</b> <b>31/03/2016</b></p> <p>Develop and implement full Poplar Riverside Housing Zone project plan agreed with partners</p> <p><b>Jackie Odunoye</b> <b>Required Control Measure Target Date:</b> <b>31/03/2016</b></p>	Aman Dalvi	A Great Place To Live			



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



**Strategy, Regeneration & Sustainability**

Ref	Risks	Triggers	Consequences	Existing Control Measures Attain Housing Zone designation Housing zone designation attained.	Current Risk			Required Control Measures			Target Risk			Responsibility	CPT
					L	I	Total	L	I	Total	L	I	Total		

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

### Street Enforcement & Response Services

Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
CLSCEI0008	There is a risk that, should a major incident take place affecting Council services, there may be a failure to implement an effective response. (Corporate level risk)	Failure by Directorates to ensure that the Borough Major Emergency Plan (Part 3B) is kept up to date with Directorate information and procedures, and that staff are unaware of the EP process.	(1) Systemic failure of the Council to continue to operate during a crisis period as a consequence of a civil event or situation; (2) Resulting in a slower than expected management response causing increased disruption to key service delivery, inconvenience to service users and the stakeholders, adverse public criticism and additional costs to the Council.	<p>Business continuity plans kept up to date Business continuity plan updates remain outstanding from 3 Directorates – CX, Resources and ECSW, meaning the Council's corporate BC plan is out of date.</p> <p>Staff with extensive experience in dealing with incidents need to be in place Officers in the Civil Protection Unit have dealt with this type of incident on several occasions, and have gained quite extensive experience on dealing with this type of incident and the action that may be required to be taken.</p> <p>Any future restructure will need to ensure that key posts are retained within the organisation to continue to minimise this risk</p> <p>Borough Emergency Management Team Borough Emergency Management Team to co-ordinate the Council's response on tactical matters.</p> <p>6 month review of EP plan with Directorate changes.</p> <p>Annual report to CMT</p>	2	5	10	Independently review the Borough Major Emergency Plan to ensure it is fit for purpose.	2	3	6	Trevor Kennett	One Tower Hamlets