

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		
CLPRPM0076	Parking Services to ensure that the Enforcement Agents contract meets its expected annual income; revenue expectations now managed by Revenue Services	Parking Services have no control over the enforcement debt collection Loss of revenue in comparison to previous years	Loss of revenue over 2 years Revenue services have collected approx. £50k over 2 years		5	5	25	Senior management intervention Senior management intervention required to agree an action plan to ensure the income expectation is met. Regular meeting to take place between the Head of Revenue and Parking. Michael Darby <u>Required Control Measure</u> Target Date: 31/03/2022	3	3	9	Michael Darby	A Borough That Our Residents Are Proud Of And Love To Live In.
CSD0016	Death or serious harm to a child that was or should have been in receipt of services, either from the council or a partner agency. There is an on-going need to ensure that services to all vulnerable children and young people have a focus on safeguarding and prevention of harm.	Our most recent Ofsted report (June 2019) rates Children's Social Care and Early Help service's as "Good". However, there will be a need to regularly review and scrutinise the quality of services for vulnerable young people. This scrutiny and challenge will need to have a focus on; • Overall management oversight and quality of supervision. • Compliance with core statutory and local requirements. • Adherence to key safeguarding thresholds. • Regular assessments of cases, and emerging /changing risks.	<ul style="list-style-type: none"> Harm to individual Children and young people being left in situations of risk and or unassisted harm. Poorer than expected outcomes for a child. Poor audit/review findings Reputational damage to the council. Poor Staff development and competence. Poor Quality assurance and Performance Management Loss of experienced professional staff. Potential for legal proceedings against the council leading to financial loss 	<p>Monthly meeting of the Continuous Improvement Board, chaired by the DCS, and involving the Lead member.</p> <p>The Tower Hamlets Children's Safeguarding Partnership, delivering the statutory multi-agency oversight of safeguarding.</p> <p>The Tower Hamlets Safeguarding Children's Partnership is jointly led by the Council, Police and CCG, and benefits from the support and challenge of an Independent Scrutineer. The Partnership provides routine oversight of multi-agency data and quality assurance findings.</p> <p>Monthly service level performance meetings held by the Divisional Director.</p> <p>An established Audit process which is undertaken 5 x times each year.</p>	5	5	25	<p>Increased level of Quality Auditing.</p> <p>From May 2021 the quality assurance programme will move to monthly quality audits and be positioned as a core activity for all managers to ensure consistent and improving standards of casework across Children's Social Care. All audits are moderated.</p> <p>Richard Baldwin <u>Required Control Measure</u> Target Date: 30/09/2021</p> <p>External peer scrutiny of our safeguarding practice.</p> <p>Two Directors of Children's Social Care from other East London boroughs will be joining the Continuing Improvement Board to provide external peer support and challenge. We are also planning with the East London</p>	4	4	16	James Thomas	People Are Aspirational, Independent And Have Equal Access To Opportunities.

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		<ul style="list-style-type: none"> Strong planning for children, with regular reviews to avoid drift and delay. Maintaining strong quality assurance and auditing mechanisms. 		Practice Week which is held twice a year (May and November) which involves all Corporate Directors and members.								

sub-region to initiate peer scrutiny and moderation of our quality auditing.
Richard Baldwin
Required Control Measure
Target Date:
30/09/2021

Inspection by the regulator, Ofsted

Tower Hamlets is due a Focused Visit as part of the ILACS inspection framework later in 21/22, which will provide external scrutiny of our safeguarding practice against the national inspection benchmarks.
Richard Baldwin
Required Control Measure
Target Date:
31/03/2022

Tower Hamlets Safeguarding Children's Partnership and increased quality assurance.

The THSCP has planned for 21/22 an increased level of quality assurance, including multi-agency case audits and Safeguarding Child Practice Reviews.
James Thomas
Required Control Measure
Target Date:
31/03/2022

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DRCPCD00 57	(New Town Hall Project): That the contingency budget allowance of £5m is not sufficient.	Discoveries that fit outside of the Design and Build contract.	Additional time and money cost to the project.	Design workshops are being held with BYUK, Client side Design Guardians and Cost consultants. Additional works relating to the retained building are being reviewed - the contingency is now committed to the Roof and Façade repairs. Review of the residual risks on the project impacting cost and programme are being worked through with the contractor and Employers agent. Additional discoveries outside of the Design and Build Contract The team are reviewing all variations and client instructions against the available budget. The contingency needs to be increased from £5m and will be progressed via required governance process - Asset Management and Capital Delivery Board.	5	5	25	The client held contingency has been exceeded. The £5m risk allowance has been committed and additional contingency is being sought via the capital governance process. Yasmin Ali <u>Required Control Measure</u> Target Date: 31/03/2022	5	5	25	Yasmin Ali	A Borough That Our Residents Are Proud Of And Love To Live In.		
CLCSIS00 03	Unique or rare heritage collections preserved by Tower Hamlets Local History Library & Archives are degrading and are at risk of damage or theft due to poor environmental conditions and insufficient space. The building in which the service operates is Grade 2 listed and in need of modernisation of its infrastructure. The archive houses the corporate memory of LBTH and its predecessors, as well as many collections donated by local community groups and businesses.	Changeable weather and/or extremes of weather compromise the structural integrity of the Bancroft Library building (built 1860) in which the service is housed. Regular monitoring of temperature and humidity has provided more than 2 years worth of evidence that the building cannot maintain the stable range of temperature and humidity in its storerooms as required by the standard EN 16893 which governs the environmental conditions required for permanent preservation	If the collections are lost in part or in whole, it is more or less impossible to replace them. An insurance valuation of £4.5m has been obtained which covers the estimated cost of sending materials damaged by fire or flood to a specialist salvage company for restoration. However, the corporate memory of the council, and significantly the wider borough and all its residents would be lost or hugely damaged if such a disaster were to occur. There would be substantial reputational damage to LBTH plus	Environmental monitoring in overspill storage rooms All vacant offices within the building which are currently being used to store collections are being monitored daily for their temperature and humidity. Results are analysed quarterly and actions taken as needed (such as introduction of dehumidifiers)	4	5	20	Improvements to shelving in overspill rooms Overspill collections have been stored on wooden shelving dating from the 1960s which was left over from the building's former use as a lending library (shallow, designed for paperback books). New shelving compliant with regs is being procured gradually in phases beginning in 2014, to ensure that it is deep and strong enough to store boxed collections securely. Phases 1 and 2 have been completed with two small S106 grants, and there is at least one further phase to be completed in 2019-20.	1	1	1	Tamsin Bookey	A Borough That Our Residents Are Proud Of And Love To Live In.		

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		<p>of historic documents. Furthermore, due to the lack of space, many boxes of material are stored in vacant offices which lack the required 4hr fire protection. There is also insufficient access control of the collections storage areas to give confidence that the risk of theft is minimised. A report has been written by a preservation consultant summarising the high risks to the collections presented by their current accommodation.</p>	<p>financial claims from depositors who donated their precious heirlooms to the archives in good faith. The history of London's East End is a popular visitor attraction for tourists as well as a source of pride for residents and this would be undermined by the loss of the collections. Finally, this risk has been well documented by the service's officers (who have been seeking senior management and political support to address it since 2009), and so the fact that the underlying cause of any disaster is ultimately ascribable to corporate negligence will become apparent to the public.</p>							<p>Tamsin Bookey <u>Required Control Measure</u> Target Date: 31/03/2020</p> <p>Improvements to packaging of collections</p> <p>Archival documents are their most vulnerable when exposed to atmospheric fluctuations. Though most collections are boxed on arrival, one large deposit from LBTH comprised thousands of rolled architectural plans on paper which were delivered in cages open to the elements. This collection is therefore at high risk of damage as it cannot be easily boxed. It was decided to apply for external funding to assist the service in prioritising the processing of the collection as ideally boxing and cataloguing would happen at the same time. A funding application submitted in Dec 18 was successful in securing a scoping grant to develop detailed plans, and a further application will be submitted later in 2019.</p> <p>Tamsin Bookey <u>Required Control Measure</u> Target Date: 31/03/2020</p> <p>Capital project to construct a new strongroom with room for 40 years growth of the collections</p> <p>Since 2009 the service has been exploring options to extend its storage capacity. Two detailed options for capital redevelopment of the Bancroft Library site have been progressed but subsequently abandoned, due to the high cost of adapting the listed building and there being</p>		

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									insufficient space within the footprint. Following a direction by the Mayor in April 2018, a business case is now being prepared to relocate the entire THLHLA service to the site of the PDC at 227 Bethnal Green Road, constructing a new, expanded, fit-for-purpose, energy efficient strongroom on the vacant car park adjacent. The service would be repositioned as a heritage centre for the East End benefitting from close proximity to Brick Lane and Columbia Road and its profile boosted by a high street shopfront. A new Idea Store for Bethnal Green would be co-located with it. Tamsin Bookey <u>Required Control Measure</u> Target Date: 31/03/2020						
CSD0024	Negative OFSTED rating for SEND.	Areas of significant weakness identified as a result of a Local area SEND inspection Current performance: Failure to meet the 20-week statutory requirement for EHCP completion Quality of EHCP below expected standards Annual reviews not completed within statutory timelines. Insufficient capacity within SEN Caseworkers Insufficient funding to meet increasing demand for EHCP Negative feedback from parents/carers and	Risk of a negative inspection outcome Local area required to respond to identified areas for improvement through a formal Written Statement of Action (WSoA) to the Department for Education (DfE) Local area unable to meet the needs of children and young people with SEND Increased pressure on the DSG Statutory deadlines not met and poor response times to communications from parents/carers	Recovery plans Recovery plan in place to address known weakness: EHCP and timeliness and quality Annual reviews DSG recovery plan in place Send Improvement Action Plan with oversight from SEND Improvement Board DSG Recovery plan in place	5	4	20	Action owners - John O'Shea, Lewis Teasdale, Emma Shelton Increase the number of SEN Caseworkers. Implement EHCP and Annual review workflow tracking through Synergy. Implement quality Assurance process for EHCPs and annual reviews and associated workforce training and development. Signpost available support to parents/cares prior to requesting an EHCP needs assessment. John O'Shea <u>Required Control Measure</u> Target Date: 31/12/2021	4	3	12	Steve Nyakatawa			

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		children and young people Lack of data for local area to have shared understanding of outcomes for children and young people with SEND	Lack of confidence and trust in SEND provision in the local area No oversight of overall performance for children and young people with SEND across Education, Health and Care						
CSDLA0001	Special Educational Needs (SEN) Budgets over-spend including transport costs. There remains a significant deficit in the High Needs Funding block subject to a Management Plan monitored by the DFE – which will be updated for October 2021.	Local population growth along with the numbers of children with very complex needs. Significant influx of children with complex needs move into the borough from abroad. New legal framework extends Council duties to children 0-25. Not enough special school places locally. The quality of data held on the system produces inconsistent data reports and a lack of clarity in terms of the real picture for SEN.	Pressure on service resources and budgets Over stretched staff can't complete statutory duties in a timely fashion. Parents take out tribunals against the Council who award them expensive placements Data does not accurately reflect the correct numbers and the finance module is ineffective in tracking spending.	Monthly monitoring of budgets in place. Monthly monitoring of budgets in place. New budget codes set up to separate different elements of funding and improve tracking of spending. New requests of assessment tracked. SEN Grant funds ceased in 2017 and so the current additions to capacity within the service are being sourced by the Children's Finance Team – who are also working on the DSG Recovery plan above. New IT system to be procured though implementation has been delayed. Present IT system modified to accommodate new reporting requirements. New budget codes set up to separate different elements of funding and improve tracking of spending. New requests for EHCP assessment tracked. all new requests for EHCP assessments are now tracked. Improved SEN IT system in place and compliant with all aspects of new legal framework Improved dedicated SEN IT system in place and compliant with all aspects of new legal framework	5 4 20	Children's Digital Steering Board The MIS for SEN, Synergy is undergoing a full review from the Children's Digital Steering Board and the data issues are currently scrutinised by the SEND Improvement Board. John O'Shea <u>Required Control Measure</u> Target Date: 31/12/2021 Further training Further training and work on quality assurance and tracking systems is being put in place with the Strategy and Performance team - This work is being scrutinised and monitored by the SEND Improvement Board. John O'Shea <u>Required Control Measure</u> Target Date: 31/12/2021	4 4 16	John O'Shea	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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				<p>Training Service Staff have undergone recent training (May 2021).</p> <p>Funding The use of the Government capital funding for SEND has meant that 3 special schools have been expanded to meet current capacity and additional resource bases have been set up in 2 primary schools. A further £2.8million pounds of funding has been received and working with the Schools Sufficiency team and schools we will continue to expand resource provision in local schools.</p>								
RS0056	<p>The Council may significantly overspend its budget, fail to deliver savings and continue to rely on dwindling reserves.</p> <p>As of January 2021, we have a balanced budget for 2021/22, albeit still drawing on reserves to balance and a longer term funding gap of £11m.</p>	<p>COVID-19 Virus outbreak and associated increase in costs. Loss of income in particular council tax, business rates and leisure events. Poor budget management Failure to deliver savings</p>	<p>Significant financial losses, overspent budgets, further drawn down on reserves.</p>	<p>Financial Measures CLT and SLT have prepared savings proposals to deliver savings across 9 themes which were presented Members for their agreement:</p> <ol style="list-style-type: none"> 1. New ways of working from the pandemic 2. Managing demand by enabling people to help themselves 3. Streamlining our back office 4. Greater use of community assets 5. Digital 6. Buildings 7. Non- statutory services 8. Joining up services 9. Headcount reductions <p>Financial Actions Increased focus on budget management. Budget Managers Handbook Issued. All budget managers directed by CLT to remain in budget. High risk budgets reviewed by the Corporate Director Resources or the Divisional Director of Finance, Procurement and Audit. Redoubled efforts to deliver</p>	5	4	20	4	3	12	Kevin Bartle	

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				previously agreed savings proposals.								

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RS0061	Office accommodation has largely been left out of any business rates reliefs during 2020/2021 and Businesses/MHCLG/VOA /Rating Agents are in discussion to try and achieve a reduction in rateable values through the Material Change in Circumstances provisions (MCC). This was reported by the BBC as a 25% reduction although there has been no communication from central government to confirm this. There has also been no clear guidance from central government regarding the Expanded Retail Scheme under which we currently receive over £100m and whether this will continue into 2021/2022. If it does not it is likely that that will further MCC appeals for Retail, Hospitality and Leisure businesses. There is a 75% compensation scheme in place for losses in the current year but it is not clear whether this will continue into 2021/2022. All of the above make it extremely difficult to know what to do for the NNDR1 return and how to estimate the impact on the councils income for 2021/2022	A reduction in rateable values of 25% (or more) for offices. Retail Hospitality and Leisure could follow if reliefs are not extended into 2021/2022	Using the VOA SCAT codes for offices codes: CO, COC, COO, COS and COW: Total RV: £604,112,975 No. of props: 6531. We currently receive over £100m in Retail Hospitality and Leisure Relieve which could be lost	Working with VOA and MHCLG We will continue to work with the VOA and MHCLG to look at whether this will be funded either through S31grant or other means, and consider whether this should be accounted for in the NNDR 1 and 3 Working with all London Councils Working with all London Councils to present a united approach to MHCLG and how NNDR1's are being completed. Letter to be sent with completed NNDR1's from all London Councils Working with all London councils to present a united response to MHCLG Waiting for central government announcements on reliefs and RV changes. Annual billing delayed until budget statement on 3rd March. May need to consider changing 1st instalment date to allow for changes in software and testing before bills being sent out. Reviewing the current Check Challenge Appeal Data CCA data has been reviewed and updated estimates on current year provisions have been submitted in the NNDR2 return to London pool for March	4	5	20	Estimates on MCC changes will be worked for the NNDR3 return due 20th June 2021 Further analysis will be carried out on Check Challenge Appeal data and the Rating List will be broken down into categories to estimate the impact of unknown MCC's that may come through in the future for Offices, Retail Hospitality and Leisure, and other types of hereditament in the local list. Roger Jones <u>Required Control Measure</u> <u>Target Date:</u> 31/08/2021 Retail Relief has been extended We are now waiting to award the extended relief for retail hospitality and leisure 100% to 30/6/21 and then 66% for the rest of the year. New bills will need to be issued by mid June in time for the 1st July instalment date. The government has made it clear that market-wide economic changes to property values, such as from COVID-19, can only be properly considered at general rates revaluations, and will therefore be legislating to rule out COVID-19 related MCC appeals. Further work needs to be done to establish the effect of this decision and whether an increase in provisions is still necessary Roger Jones <u>Required Control Measure</u> <u>Target Date:</u> 31/08/2021 New provisions for appeals and revised bad debt provisions	2	2	4	Roger Jones	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		

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ASD0028	Overspend in adult social care services due to demographic changes and demand led pressure for services.	Lack of a national proposal on the long-term funding for adult social care Short-term funding mechanisms which do not provide stability Increasingly complex needs Growing demand Changing demographic High cost of care and support services in the borough	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, BCF spend review and restructure Regular budget monitoring meetings held across the service. Project Board implemented to monitor saving project. BCF spend reviewed to make best use of income on ASC staff who are focused on discharge to assess model and admission avoidance. Restructure of service implemented in September 2020 to align establishment to staffing budget. 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	4	4	16	3	4	12	Katie O'Driscoll	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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				residential care											
ASD0042	Upgrade of Telecare Jontek equipment does not progress.	Delay in Open Reach work to install ISDN30 lines at Frizlands Depot in LBBB	If the upgrade cannot progress, there is greater risk day-by-day of the current Jontek equipment which is no longer serviceable, falling over. This has happened twice already and each time there is a risk we may not be able to get it working again. This puts our most vulnerable service users at risk.		4	4	16	Contract Novation and Temporary Arrangements ICT colleagues are working hard to ensure novation happens by the 31/03/21. This risk has also been escalated to Adrian Gorst. Ensure the phone lines are not terminated, by having an agreement in place to ensure that in case of delays beyond 31/03/21, the contract for phone lines continues to be extended, on a month by month basis, as a temporary measure until contract novation is completed and confirmed. Melanie Rose <u>Required Control Measure</u> <u>Target Date:</u> <u>30/07/2021</u>	1	4	4	G.Beadlephelps	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		
BCLR0013	Whilst an EU-UK Trade and Cooperation Agreement was reached and ratified by the UK in December 2020, considerable uncertainty remains about the medium to long term impact leaving the EU will have on the Council and it's residents.	Unknown and/or unforeseen impacts of the EU-UK Trade and Cooperation Agreement that have yet to materialise.	The consequences for the Council and the community may include less grant funding, data adequacy/protection, new regulatory services, increased settlement application support, construction, and some supply chain delays whilst business adapt to the new processes.		4	4	16	Brexit Impact Monitoring and Response Each Directorate will be closely monitoring the impact of the EU-UK Trade and Cooperation Agreement and will rapidly put in place appropriate actions to mitigate. CLT is maintaining oversight and receiving regular reports on progress, implications and necessary actions. Sharon Godman <u>Required Control Measure</u> <u>Target Date:</u> <u>31/12/2021</u>	4	2	8	Will Tuckley	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		

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COVID0001	Risk to essential service delivery, the workforce and public safety as a result of the coronavirus and variants of concern.	Third wave of the virus and/or new variants. Vaccines are ineffective against new strains. Increase in infection rates. National or local restrictions on movement and/or social contract are re-introduced.	Death of members of the public, service users and staff. NHS and hospitals unable to cater for increase in population requiring hospitalisation and intensive care. Collapse or significant reduction in public services including local government, significant down turn in the economy.	Local Outbreak Plan The Council has prepared and successfully implemented a local outbreak plan which along with the national response and vaccination programme has results in a dramatic drop in infections and deaths as a result of COVID-19.	4	4	16	3	3	9	Will Tuckley	A Borough That Our Residents Are Proud Of And Love To Live In.
DRD0062	Insufficient resources to deliver the Capital Delivery Service's Work Programme	Client teams do not have sufficient budget to commission the internal Capital Delivery team to deliver work Recruitment and retention (inability to offer adequate remuneration packages in a highly competitive market) Funding uncertainty Lack of capacity in key support services including legal and procurement	Inability to deliver projects on time		4	4	16	3	4	12	Jane Abraham	A Borough That Our Residents Are Proud Of And Love To Live In.

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									Jane Abraham <u>Required Control Measure</u> Target Date: 31/01/2020						

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DTLC0003	<p>Local Land Charges section provide information on property being purchased in the borough through 'search requests'. Searches answer a series of legally drafted questions as part of the wider conveyance process. The Local Land Charges search is a small transaction in terms of cost to a prospective purchaser, but is extremely important in informing whether there are any limitations, charges etc. that can impact future living or development potential. The search can allow the purchaser to take on a property having assessed any risk identified. This can include for example details such as planning site constraints which may impact future development/use or plans.</p> <p>Data informing the search is pulled from sources within different parts of the Council. Some services are not aware that information must be provided to LLC department in order that it can be revealed or data is often not updated regularly. Changes to the public realm structure and</p>	System failure- The system is already failing on a regular basis	Compensation claims possible if information, especially that relating to financial charges is not revealed		4	4	16	<p>Review of all source data.</p> <p>Review of all source data held spatially and in all other formats. This will involve different departments across Place with project and potential collaboration, where possible to ensure information provided is accurate and up-to-date always. Process reviews likely required.</p> <p>Umbreen Qureshi</p> <p><u>Required Control Measure</u> <u>Target Date:</u></p> <p>Acquisition of New database</p> <p>Acolaid database is used for the whole of the P&BC service and holds the Council-wide Local Land and Property Gazetteer. The database is over 30 years old with very little interoperability and API functionality. The dependency on this one out-of-date system, now with limited supplier support and no future development opportunity, must be replaced at the earliest opportunity to enable a timely service providing the correct data.</p> <p>Umbreen Qureshi</p> <p><u>Required Control Measure</u> <u>Target Date:</u> 30/09/2022</p>	4	2	8	Umbreen Qureshi	A Borough That Our Residents Are Proud Of And Love To Live In.

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	<p>processes has resulted in knowledge loss in this area of work, and highlights need for automation.</p> <p>The current database is hampered by its limitations and data volume. As data continues to accumulate and grow, this results in the system unable to cope. Intermittent results can be given with information that is either missing, partial or false.</p> <p>Additionally GIS functionality is extremely slow impacting on turnaround times and risking property transactions to fall through.</p>											

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ICT-SP0017	<p>Failure to run a secure service - Non-compliance with Cyber security principles</p> <p>The likelihood is defined solely on the grounds of exposure to threats (medium/high), the (15/7/2014) assertion of PCI auditor about insufficient partner capabilities to run LBTH ICT services, and the lack of understanding of Agilisys managers of compliance requirements and current state of affairs/compliance of LBTH ICT operations during the PSN gap analysis.</p>	<p>Social Engineering - phishing</p> <p>Denial of Service (DDOS)</p> <p>Mis sent email</p> <p>inappropriate sharing</p> <p>Insecure design</p> <p>inappropriate access</p> <p>Introduction of malware to the network</p> <p>Introduction of unauthorized software to the network (intellectual property issues and loss of configuration control capabilities)</p> <p>Introduction of acceptable usage policy (AUP) breaching content to the network.</p> <p>Combined with significantly low levels of defence in depth.</p> <p>Successful Phishing attack.</p> <p>ropriate content read and transferred from user devices plugged in to LBTH systems (~3000 occurrences per month).</p> <p>User clicking on phishing scam email link, and or divulging sensitive information</p>	<p>Propagation of malware in LBTH network, with adverse impact to the network's confidentiality, integrity and availability.</p> <p>Breach of copyright laws</p> <p>Breach of AUP in mass.</p> <p>Potential unauthorised intrusion in our network resulting in loss of data, and possible damage due to successful phishing attack.</p>		4	4	16	<p>Independent review external and internal</p> <p>Internal Audits</p> <p>External Penetration tests</p> <p>This is an on going measure. Next independent penetration tests to be commissioned as soon as transition to the new service providers have been completed. This is expected to be sometime in June 2021.</p> <p>Internal vulnerability scanning is on-going, occurring every two week and the critical / high vulnerabilities discovered continue to be escalated for urgent remediation</p> <p>RFQs for the independent penetration tests for 2021 has been published. Expected date for the tests is August 2021. This is an on-going exercise with no end dates as the threat landscape changes</p> <p>Mary Umoh</p> <p><u>Required Control Measure</u></p> <p>Target Date: 31/12/2021</p> <p>Implementation of a SIEM solution</p> <p>Project has been initiated to look into this</p> <p>Project overview has be released</p> <p>The project has been completed and now live, but open to review. We are also now recruiting additional specialist resources to support the SIEM</p>	3	4	12	Mary Umoh	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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								Mary Umoh <u>Required Control Measure</u> Target Date: 31/12/2021							
ICT-SP005 2	Infrastructure not consistently patched	Not Patching	Compatibility issues Performance issues 3rd party support issues Non-compliant with PSN, Health, PCI DSS Disruption to service - lose connection - e.g NHS		4	4	16	Remediation plan for pen test plan - Get monthly reports from MOM Request patch reports from MOM Compare with pen test to ensure patching quarterly vulnerability scans are being done and results used to independently monitor Agilisys patch scheduling Extended support bought for high priority external facing servers and need to ensure that this is patched. To Agree a process to allow for exceptions. This is an on-going risk as patching is an on-going process and the list of unsupported applications is dynamic as its a revolving door. The weekly Nessus scan is being used to assess the patch status of the environment and make adequate remediation plans On-going risk. Nessus scans is run weekly to identify the vulnerabilities and our service provider ANS, who looks after the servers in Azure is asked to remediate any critical / high vulnerabilities identified. The Head of IT service is responsible for the End User Devices patching activities.			3	3	9	Mary Umoh	Risk Corporate Plans

Risk 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		
									Mary Umoh <u>Required Control Measure</u> Target Date: 31/12/2021						
ICT0076	The IT service is unable to maintain or recover essential services following an incident or event.	Hardware failure Software failure Connectivity failure Environment failure (power, aircon) Physical failure (fire, flood, theft) Service failure (cloud provider) Provider failure (business disruption or failure)	Degradation or interruption to public services delivered by the council.		4	4	16	Backup Measures Unix systems covered by tape backup and offsite storage, -being decommissioned as apps migrated to cloud Selected systems covered by Agilisys Backup-As-A-Service, untested -being moved to ANS, Azure or IaaS by end of March SAN to SAN copy of home and shared drives, data migrated to cloud storage and teams Melanie Rose <u>Required Control Measure</u> Target Date: 31/07/2021 New policies, procedures, guidelines and audit points covering IT backup/restore, disaster recovery and BCP. New policies, procedures, guidelines and audit points covering IT backup/restore, disaster recovery, business continuity and resilience covering all IT applications and services. Achievable RTCs and RTOs being loaded onto clearview. IT Disaster recovery guidance updated. Register of applications and services updated to include IT backup/restore, disaster recovery, business continuity and resilience covering all IT applications and services. Technical solutions to implement policy and procedure	1	4	4	Melanie Rose			

Risk 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		
									Test plan to ensure technical solutions perform as designed and meet requirements set out in policy and procedure. Melanie Rose <u>Required Control Measure</u> Target Date: 31/07/2021						
LPGSE0006	Poor or inadequate ICT infrastructure and core application	Hinders development work on new/better systems, tools/software Disruptions to work processes as a result unreliable ICT	Inability to implement enterprise BIA solutions and architecture Failure to deliver on work programme Poor service delivery and service failure		4	4	16	Work with IT colleagues to improve the systems, and their reliability through representing service interests at Digital Board Thorsten Dreyer <u>Required Control Measure</u> Target Date: 31/03/2022	3	4	12	Thorsten Dreyer	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		
PLC0024	The Council may fail to adequately discharge its health & safety and/or other statutory compliance responsibilities for its property estate that is outside of the Corporate Landlord Model (CLM) and for property that is inside CLM but excluded from its scope.	Compliance and/or maintenance requirements cannot be passed to occupiers via a lease. The Council has inadequate resources to undertake compliance checks and remedial action.	Potential for death or serious injury to tenants, building occupiers. Failure to meet statutory responsibilities, breach of regulatory framework. Reputational damage. Financial loss from fines and other claims.	Monitoring and Escalation As soon as the risk was identified weekly meetings were set up between asset management and facilities management to address the concerns. The first step has been to identify the properties that are associated with the risk. In parallel, steps are being taken to secure appropriate resource in order to conduct checks of the leases and other arrangements that dictate where responsibility for compliance lies. The matter has also been raised with the Corporate Director, Place.	4	4	16	Legal Advice and Resource Requirements We need to take legal advice on the extent to which we can pass on responsibility to the occupiers of our buildings even though they may not be aware and may not have adequate knowledge, experience and capacity. Increase resources for the in-house Facilities Management Team to undertake compliance activity and coordinate remedial action and/or maintenance. Vicky Clark <u>Required Control Measure</u> Target Date: 31/03/2022	2	2	4	Ann Sutcliffe	A Borough That Our Residents Are Proud Of And Love To Live In.		

Risk 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		
RSB0023	Statement of Accounts qualified opinion received. Objections to the accounts. Previous years accounts being re-audited.	External audit of the statement of accounts and the subsequent findings/outcome.	Qualified opinion on statement of accounts. Reputational damage to the Council.		4	4	16	Improvement Plan An extensive improvement plan is in place and being actively delivered and monitored. Progress will be reported to CLT and the Audit Committee. Ahsan Khan <u>Required Control Measure</u> Target Date: 30/09/2021	2	2	4	Kevin Bartle	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		
RSBR0007	A significant reduction in the councils income across all income streams due to COVID-19 and economic downturn as a result of government initiatives coming to and end, businesses not opening, and further spikes in infections.	COVID - temporary shut down of all collection and enforcement processes. Government funding coming to an end for furloughing schemes. Fees and charges not being raised. Decreased revenues and changes in demand for business premises - businesses moving out of Canary Wharf leading to a reduction in business rates, Landlords not being able to let large assessments and stripping them out which reduces the RV to Zero producing no yield. Office accommodation potentially being exempt. Local economy slow to restart, businesses failing	Significant loss of income for all income areas across the council Financial Pressure on the Councils finances	Income Recovery Plan being set up A recovery plan is being put together to look at restarting the collection and enforcement processes across all income streams Looking at the arrears position, bad debts, provisions and what increases in provisions will be needed. How quickly the courts will fully reopen to hold bulk hearings. When EA's can return to their usual working practices. Setting up extended arrangements and looking at the effect of furlough schemes coming to an end	4	4	16	Monitor losses in RV due to Zero RV's being given to large assessments by the Valuation Office Agency Reducing RV's to zero have seen rating income impacted significantly with landlords choosing to carry out significant structural alterations while new tenants cannot be found. Consider whether further funds need to be set aside to increase provisions to cover the loss in income Collection Rates are monitored weekly Data collected and reported monthly on estimated losses Growth targets for both Council Tax base and ratebase are monitored monthly Roger Jones <u>Required Control Measure</u> Target Date: 31/08/2021 Engaging with Central Government Work with central government to ensure we are reporting accurate levels of losses and all claims for additional funding are	3	2	6	Roger Jones	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		

Risk 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		
								completed correctly to maximise the claim and mitigate any losses Roger Jones <u>Required Control Measure</u> Target Date: 30/09/2021							
STCCP003 5	Failure to engage with managers and staff directly will lead to dis-engagement from the process Anthony Walters - Keep - need to re-word to reflect this relates to the Corporate Enabling Functions Project.	Activity analysis survey Re-designing an effective model for the future delivery of these functions	£1.5m savings to be made in 21/22 not realised Low staff morale		4	4	16	Implement communications strategy to support the engagement of staff and managers Strong support from the leadership to ensure its success Anthony Walters <u>Required Control Measure</u> Target Date: 31/03/2022	3	3	9	Anthony Walters	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		