

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

Risk Ref	Risks	Triggers	Consequences	Existing Control Measures	Current Risk			Required Control Measures	Target Risk			Responsibility	CPT
					L	I	Total		L	I	Total		
ASD0028	Overspend in adult social care services due to demographic changes and demand led pressure for services.	National proposal on long-term funding solution for adult social care from October 2023 onwards likely insufficient to meet demographic changes and increased demand. Short-term funding mechanisms which do not provide stability Increasingly complex needs of adults in need of care and support Growing demand of those in need of care and support 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 Regular budget monitoring meetings held across the service. Project Board implemented to monitor saving projects. Staffing review undertaken in September 2020 to align staffing budget. Budget realignment project being undertaken with Finance - anticipated completion November 2021. Implementing strategies and commissioning services which are focused on community support Commissioning effective preventative services including advice and information Ensuring sufficient community support services and accommodation options which minimise the need to use expensive residential care	4	4	16	ASC Transformation  Practice and finance review undertaken by Social Care Institute for Excellence (SCIE) and the Chartered Institute of Public Finance (CIPFA). Opportunities identified for savings in relation to managing demand, reducing costs of home care, reducing need for residential care and raising income.  Transformation board commencing on 27th September 2021 to progress this work. <b>Katie O'Driscoll</b>  <b><u>Required Control Measure</u></b> <b><u>Target Date:</u></b> <b><u>31/03/2022</u></b>	3	4	12	Katie O'Driscoll	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To
ASD0042	Upgrade of Telecare Jontek equipment does not progress.	Delay in Open Reach work to install ISDN30 lines at Frizlands Depot in LBBDD	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,	1	4	4	Denise Radley	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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						on a month by month basis, as a temporary measure until contract novation is completed and confirmed. <b>Melanie Rose</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>30/07/2021</b>			
ASD0015	Death or serious harm to a vulnerable adult who was or should have been, in receipt of services, either from the council or a partner agency.	There is a failure of one or more of the controls in place to identify the degree of risk to a vulnerable adult (multi-agency safeguarding procedures) Poor practice, insufficient information sharing and/or inadequate management oversight. Failure of quality control systems. Service user fails to work to agreed partnership / agency arrangements. Poor communication and partnership work. Poor resourcing of service areas against increased demand. Local authority contracted out service do not have sufficiently robust safeguarding arrangements.	Harm to an individual. Reputational damage to the Council. Potential for legal proceedings against the council leading to financial loss. Loss of confidence in safeguarding capability.	CQC care commission embargo list used. This list is available from the CQC highlighting all providers where the CQC has raised concerns. London ADASS branch circulate any service suspensions or restarts due to safeguarding concerns and these are passed to the Brokerage service. Paul Swindells, Service Manager has oversight of Brokerage Team. Provider Concerns and interface with Adult Safeguarding is a standard agenda item at Joint ASC/IC SMT.	3 5 15	Oversight through management reporting Social workers have 1:1 supervision monthly on their casework includes safeguarding cases. High risk cases are present to the High Risk panel chaired by Shaun Last, Service Manager for Mental Health. The SMT managers are responsible for the review and monitor Adult Safeguarding case in their services in supervision with their Team Managers. <b>Katie O'Driscoll</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>28/08/2022</b> Information campaigns to raise awareness of safeguarding with oversight from Safeguarding Adult's Board  This is an ongoing priority for the Safeguarding Adults Board and includes the annual 'Safeguarding Month' campaign in November each year. The Independent Chair takes a key role in this and all SAB partners participate. Specific campaigns are run at other times including financial abuse & scams, modern slavery, domestic abuse etc.	2 5 10	Denise Radley	People Are Aspirational, Independent And Have Equal Access To Opportunities.

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**Katie O'Driscoll**

**Required Control Measure**

**Target Date:**  
**28/08/2022**

5 year (2019 – 2024)  
Safeguarding Adults Board Strategy

The actions within the SAB strategy aim to mitigate the risks associated with safeguarding. These are linked to the principles of Safeguarding with is Empowerment, Prevention, Proportionality, Partnership, Protection and Accountability. They are also linked to the principles of Making Safeguarding Personal. The SAB will be focusing on 3 key priorities relating to transitions, self neglect and homelessness.

**Katie O'Driscoll**

**Required Control Measure**

**Target Date:**  
**28/08/2022**

Safeguarding issues as part of contract management procedures

Status changed to allow review by Joint Director for Integrated Commissioning (last reviewed 2016) - contract management procedures continue to focus on safeguarding.

**Warwick Tomsett**

**Required Control Measure**

**Target Date:**  
**01/12/2021**

Failed visit policy and procedures in place.

Responsibility for this policy sits within Commissioning and applies to all commissioned services as well as the Council's own re-ablement service.

Safeguarding Adults Reviews

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have identified problems with compliance to this policy and it is crucial that it is regularly reviewed and forms part of contract monitoring. Status changed back to in progress so that a review can be provided by Joint Director of Integrated Commissioning - policy review to be carried out (policy last updated c18months ago) alongside a review of intelligence from contract monitoring reports.

**Warwick Tomsett**

**Required Control Measure**

**Target Date:**  
**01/12/2021**

Safeguarding Adult Reviews Action Plan - implementation of recommendations of all SARs

We have recently overhauled our approach to tracking the implementation of recommendations from Safeguarding Adult Reviews. We now have a single log providing a comprehensive overview of recommendations and the status of action/implementation. This is reported regularly to the Safeguarding Adult Board.

**Katie O'Driscoll**

**Required Control Measure**

**Target Date:**  
**31/03/2022**

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ASD0038	<p>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.</p> <p>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.</p>	<p>A lack of appropriate governance, policy and standard operating procedures.</p> <p>No asset registers for surveillance systems.</p> <p>Out of date or missing Data Processing Impact Assessments</p> <p>No SLAs with major stakeholders such as the Police and Transport for London</p> <p>A lack of compliance with agreed governance, policy and procedures.</p> <p>An inspection by the Surveillance Camera Commissioner.</p> <p>An inspection by the Information Commissioner.</p> <p>A freedom of information request.</p>	Financial, legal and reputational.		3	4	12	<p>Improvement Action Plan Completion</p> <p>SPP have been commissioned by the Senior Responsible Officer to draft an action plan and ensure we are compliant with the regulations. SPP will also draft the Council policies and procedures. All the client departments such as Parks, FM, Parking and CCTV will need to ensure that they implement the action plan, policies and procedures. The action plan will be monitored by the Information Governance Board. Each client department to nominate a lead, a Single Point of Contact (SPOC) who will be responsible for all operational matters relating to surveillance cameras and they will act as the main contact point for anything related to surveillance camera systems. They SPOCs will support the SRO regarding compliance with Protection of Freedoms Act.</p> <p><b>Ann Corbett</b></p> <p><b><u>Required Control Measure</u></b></p> <p><b><u>Target Date:</u></b> <b>31/08/2021</b></p> <p>Service Actions</p> <p>Ensure an updated DPIA is in place for all departmental VSS systems.</p> <p>Ensure DPIAs are quality assured by Information &amp; Governance Team and signed off</p> <p>Ensure robust information sharing agreements are in place where appropriate for all departmental VSS</p> <p>Ensure Asset management registers are maintained.</p>	2	2	4	Denise Radley	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To		

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								<p>Ensure DLTs and Directors are appraised of progress and risks. <b>Peter Allnutt</b></p> <p><b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>30/09/2021</b></p> <p>Service Actions</p> <p>Ensure an updated DPIA is in place for all departmental VSS systems. Ensure DPIAs are quality assured by Information &amp; Governance Team and signed off Ensure robust information sharing agreements are in place where appropriate for all departmental VSS</p> <p>Ensure Asset management registers are maintained. Ensure DLTs and Directors are appraised of progress and risks. <b>Michael Darby</b></p> <p><b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>30/09/2021</b></p> <p>Service Actions</p> <p>Ensure an updated DPIA is in place for all departmental VSS systems. Ensure DPIAs are quality assured by Information &amp; Governance Team and signed off Ensure robust information sharing agreements are in place where appropriate for all departmental VSS</p> <p>Ensure Asset management registers are maintained. Ensure DLTs and Directors are appraised of progress and risks. <b>Richard Williams</b></p> <p><b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>30/09/2021</b></p> <p>Service Actions</p>							

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



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								and CLT. The recommendations will be developed into an action plan and delivery will be overseen by the CCB. <b>Charles Griggs</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>31/12/2021</b> Directorate Leadership Teams to have oversight of and regularly review and test their directorate Business Continuity Plans DLT's are to regularly review their directorate BC Plans and become familiar with the Business Continuity Management IT platform, ClearView. Regular management reports can be provided by the CPU or their own BC Assistants. The CPU will also aim to deliver 'Silver' training at DLT's to build greater resilience across the council. <b>Charles Griggs</b> <b><u>Required Control Measure</u></b> <b>Target Date:</b> <b>31/03/2022</b>					

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ASD0029	Failure to mainstream the PREVENT legal duty in the Counter Terrorism and Security Act 2015. Failure to effectively identify and manage safeguarding referrals to Prevent. Failure to deliver requirements of the Counter Terrorism and Security act 2015 as it relates to multi-agency arrangements for safeguarding people from being drawn into terrorism. Failure to deliver annual delivery plan and, failure to effectively deliver commissioned projects due to COVID.	The organisation fails to have processes and policies in place to have due regard to preventing people from being drawn into terrorism. The local authority fails to mainstream Prevent in all directorates. Staff fail to recognise signs of safeguarding risk and vulnerability to radicalisation in all council activity. Failure to ensure effective governance and monitoring arrangements with regard delivery plan. Extended period of time under lockdown with lack of access to community groups or schools.	Individuals are not protected. Places are not protected. The wider community are not protected. Individuals are radicalised. Community harm and a drop in community confidence. Damage to reputation of the local authority. Home Office intervene to ensure effective delivery. Reduction in resourcing from Home Office. Individuals commit violence as a consequence of extremist ideology.		3	3	9	Ensure delivery of the Prevent Delivery Plan 2021/22  The Delivery Plan has been developed based on the risks identified within the East London CTLP. It includes a broad range of activities across the organisation that will demonstrate mainstreaming of the Prevent Duty. The Plan also includes a range of projects to be delivered by VCS organisations in the community. <b>Charles Griggs</b> <b><u>Required Control Measure</u></b> <b><u>Target Date:</u></b> <b>31/03/2022</b>  Ensure Channel Panel's compliance with the new Home Office Guidance 2020  The Channel Panel must follow the new Guidance and will be subject to self-assessment and an Annual Assurance Statement to ensure national standards and consistency. An action plan has been developed to address gaps identified in the first Assurance Statement Process; this includes training for the Chair and inclusion of Channel in the Council's constitution. A new vice-chair needs to be identified and trained. <b>Charles Griggs</b> <b><u>Required Control Measure</u></b> <b><u>Target Date:</u></b> <b>31/03/2022</b>	3	2	6	Ann Corbett	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To

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ASDCH001 1	Failure of commissioned provider	Notification of provider intending to cease trading and/or having ceased trading	Discontinuity of service provision. Possible financial loss to the council.	Finalisation of Directorate's Provider Failure Policy and Procedures Detailed guidance to cover circumstances where a provider fails and is therefore unable to continue providing services.	2	2	4	2	2	4	Warwick Tomsett	A Dynamic Outcomes-Based Council Using Digital Innovation And Partnership Working To