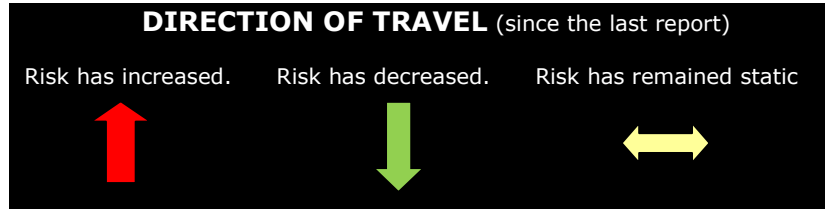


# Hackney Corporate Risks July 2016

Report Type: Risks Report

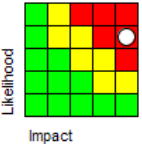
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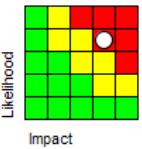

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p><b>SRCR 0001</b> National and International Economic Downturn</p>	<p>There is an ongoing risk to the Council's finances arising from austerity measures that the Government are continuing to take. This is now likely to be compounded by the effects of the impending Brexit. There is the challenge of finding around a further £30m of efficiency savings up to 2019/20 and possibly more beyond that time. This poses a risk that as a result of reductions made to services and overall funding, the quality and outcome of work impacts adversely on stakeholders, leading to local dissatisfaction and damage to the Council's reputation. Tighter finances result in less capital, repossessions, and potential developments frozen, affecting potential economic development and social infrastructure. This all contributes to a risk of real poverty and inequality emerging in areas of the Borough.</p>	<p>Chief Executive's; Children, Adults &amp; Community Health; Finance &amp; Corporate Resources; Neighbourhoods &amp; Housing</p>		<p style="text-align: center;"></p> <p>Risk ongoing due to continuing and proposed cuts by the government. Recent revenue budgets and Capital Programmes have been put together against the backdrop of some of the most significant reductions in Central Government support to Local Government since World War Two. The result of the EU Referendum on June 23rd 2016 and the subsequent plans for Brexit, is already proving to have a negative financial impact.</p> <p>2016/17 Central Government cuts mean that Hackney must work with £110 million less a year than in 2010, while rising costs and increased demand for services have added a further £42 million of expenditure for the Council to find each year. In fact local authority core funding has reduced by 35% over the period 2010/11 to 2015/16. Hackney's revenue grant reduced on the basis of the 2015/16 settlement will fall by a further £36m (31%) this year. The total budget for 2016/17 is £1091.85 million, down £2 million on the previous year. All these points illustrate the undeniably challenging financial predicament of</p>

				<p>the Council.</p> <p>Clearly, this risk is ongoing and the need for efficiency savings will not diminish in the foreseeable future (especially with Brexit). Therefore this will have an impact on the Council which needs to be carefully managed. Proposals are being developed to manage an expected further reduction in resources of approximately £60m by 2018/19. This is underway with the Senior Management restructure, signed off in November 2015, and taking effect in April 2016. Score slightly higher due to increasing high likelihood (Brexit related) and extremely high impact of the financial consequences.</p>
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>SRCR 0001B</b> National and International Economic Downturn	There is a need to ensure that the Medium Term Financial Plan accurately reflects best estimates of future funding levels. Financial planning will be constantly diligent and reflect the changing circumstances of budgets available. Also, controls from other related risks are relevant, e.g. Regeneration projects and Recruitment and Retention [increasing access routes into the Council's employ].	Tim Shields; Ian Williams; Kim Wright; Anne Canning	Ian Williams	28-Nov-2016	August 2016 - action updated and ongoing
<b>SRCR 0001A</b> National and International Economic Downturn	Whilst the overall risk is external and largely beyond control of the Council, there is a clear need to identify, implement, monitor and resource the delivery of significant reductions in expenditure and to ensure the services that continue to be provided are resourced adequately. Also, Officer's advice to members needs to be explicitly clear as to what can and cannot be delivered including the organisations ability to deliver and implement the commitments contained within the local manifesto.	Tim Shields; Ian Williams; Kim Wright; Anne Canning	Ian Williams	28-Nov-2016	August 2016 - action updated and ongoing.
<b>SRCR 0001D</b> National and International Economic Downturn	Savings proposals are being developed and agreed with members in order to bridge the forecast reduction in resources in 2016/2017 and subsequent financial years. At the same time, the capital programme is subject to review to ensure that available resources are used to deliver Council priorities. Several measures, including reduction in the use of agency staff and the introduction of a Corporate VR scheme, are in place to reduce overall expenditure levels across the Council. As of April 2016, a Senior Management restructure had been finalised and then implemented. This is already resulting in considerable savings to help mitigate the risk of funding cuts.	Tim Shields; Ian Williams; Kim Wright; Anne Canning	Ian Williams	13-Nov-2016	August 2016 - ongoing. Regarding the Senior Management restructure – transitional arrangements for specific areas through until April 2017 will aim to manage risks over this period.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0001A</b> Impact of BREXIT result	Following on from the UK's vote in favour of leaving the EU, the fallout from this is likely to produce some serious risks to the Council and country as a whole. Financial issues (external to the Council) could impact massively on income levels, spending ability, and general resources across all areas. Also risk of hate crime occurring.	Chief Executive's; Children, Adults & Community Health; Finance & Corporate Resources; Neighbourhoods & Housing		NEW RISK August 2016 - Already the rate of Sterling has plummeted immediately affecting the Council's purchasing of equipment in Dollars. Also an atmosphere of political unrest is present especially in areas like Hackney which were predominately in favour of remain. Thankfully, in Hackney, hate crime has not been an issue as yet.

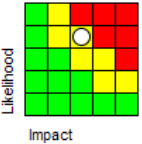

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>SRCR 0001A</b> Impact of BREXIT result	A separate BREXIT Risk Register has been produced and all relevant parties are contributing to it. This is addressing the range of risks that have come about as a result of this referendum.	Tim Shields; Ian Williams; Kim Wright; Anne Canning	All	12-Nov-2016	Ongoing - the BREXIT Risk Register is available separately, and constantly evolving/being updated.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0002</b> Management of Major Capital Schemes	Major Capital Schemes may not be managed or targeted effectively to maximise use of resources available and ensure delivery per expectations. This poses a risk to the successful completion of such schemes, incurring losses and dissatisfied stakeholders.	Chief Executive's; Children, Adults & Community Health; Finance & Corporate Resources; Neighbourhoods & Housing		 August 2016 - This broad risk is ongoing and in light of the quantity of high level projects across the Council, the likelihood has risen from 3 to 4, whilst impact remains a high 4.

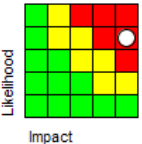

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>0809 SRCR 0002A</b> Management of Major Capital Schemes	All capital schemes are subject to review via capital budget monitoring process- slippage etc can be identified via this process and appropriate action taken	Tim Shields; Ian Williams; Kim Wright; Anne Canning	Michael Honeysett	28-Nov-2016	August 2016 - ongoing
<b>0809 SRCR 0002B</b> Management of Major Capital Schemes	Major schemes are managed via project boards to ensure appropriate actions are taken to ensure delivery of scheme to expected standards	Tim Shields; Ian Williams; Kim Wright; Anne Canning	Michael Honeysett	28-Nov-2016	August 2016 - ongoing.
<b>0809 SRCR 0002C</b> Management of Major Capital Schemes	The Capital programme is currently subject to overall review in order to reduce the overall call on available resources and to ensure their use is prioritised in line with member decisions.	Tim Shields; Ian Williams; Kim Wright; Anne Canning	Michael Honeysett	13-Nov-2016	August 2016 - ongoing.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0003</b> Regeneration Projects	<p>Key risks which require careful management between Regeneration Delivery in CE's and a range of services across the Council including planning policy, development and housing policy and strategy and education. Major risks are associated with;</p> <ul style="list-style-type: none"> <li>□ Uncertainty of future funding: including key programmes such as Ways into Work</li> <li>□ Procurement and performance related risks with developer partners, such as failing to obtain the correct agreements.</li> <li>□ Ensuring there is sufficient funding and space for the required social infrastructure to cater for population and economic growth. Also drops in property value (post BREXIT) could have damaging impacts.</li> <li>□ Managing increased risks to social cohesion associated with potential increased polarisation, greater transience and reduced housing affordability.</li> </ul> <p>The ongoing economic downturn poses risks to these projects that rely mainly or partly on disposal of assets or subsequent sale of newly developed sites. In addition there are risks that the private sector partners in these schemes find it difficult to raise required finance in current economic conditions. There are also risks that the benefits of the physical, economic and social regeneration will not result in sustainable and cohesive communities.</p>	Chief Executive's; Neighbourhoods & Housing	<p>Likelihood</p> <p>Impact</p>	<p>August 2016 - There are significant regeneration projects ongoing within the borough (including the nationally significant Woodberry Down programme), borough-wide Estate Regeneration schemes and new build affordable housing, along with frequent business, industrial development and the leasing of Hackney Council's own freehold office buildings (e.g. Keltan House). There are now additional related risks on specific projects within the Regeneration Delivery Division which is part of the Chief Executive's Directorate. Risk remains scored at 20, so no change in Direction of Travel.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>NRDR 0014A</b> Regeneration Projects	The Council's Sustainable Communities Strategy (2008 - 2018) and supporting strategies have been developed to address and manage these risks.	Tim Shields; Kim Wright	Michael Clark; John Lumley	30-Nov-2016	August 2016 - ongoing
<b>NRDR 0014C</b> Regeneration	Application of sound programme and project management methodology for delivery of complex programmes and projects including reporting where agreed tolerances have been exceeded, and finance assessment of business cases including those that need to be revised.	Tim Shields; Kim Wright	Michael Clark; John Lumley	30-Nov-2016	August 2016 - ongoing.
<b>NRDR 0014D</b> Regeneration Projects	Policy and Strategy Divisional scrutiny of the largest and most complex initiatives	Tim Shields	Carl Welham	30-Nov-2016	August 2016 - ongoing
<b>SRCR 0003C</b> Economic Downturn	Current and projected impact (including robust national, regional and local assessment) will be considered regularly across our Regeneration Programme and specific project stages to ensure it remains viable and we do not continue to pursue options which will prove untenable. Sound scenario and contingency planning at the scoping stages of new projects and thorough stage reviews of established projects.	Tim Shields; Kim Wright	Michael Clark; Carl Welham	30-Nov-2016	August 2016 - ongoing.

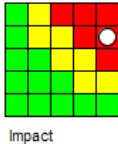

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0009</b> Reputation Management	<p>Risk that (through press / media) perceptions about the Council's performance/image do not reflect relative levels of performance and the huge service improvements leading to public dissatisfaction or misunderstanding about the progress actually being made.</p> <p>Note: this risk may be associated with need to make savings and a perception of deterioration in the levels of specific services, rather than an understanding of the complete picture regarding resource management.</p>	Chief Executive's; Children, Adults & Community Health; Finance & Corporate Resources; Neighbourhoods & Housing		<p style="text-align: center;"></p> <p>August 2016 – Risk has remained stable.</p> <p>Although the scale of continuing funding reductions announced in the 15/16 settlement is sizeable, the risk has not increased due to careful mitigation. Impact remains steady, benefitted by an (external) website and (internal) intranet refresh. However, past MORI results and continued positive media coverage, prestigious events and other awards illustrate that this risk is being managed. Earlier in 2016, the Council was awarded the prize by the LGC for 'Best Council of the past 20 years". This clearly indicates positive progress.</p> <p>Also, more generally, the Olympics (and now their legacy) are an excellent example of something very major being communicated in a positive and effective way (an example of a risk - for things <i>could</i> have gone wrong - being turned into an opportunity). The Risk applies to all Directorates, but is centrally managed by Communications.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>SRCR 0009A</b> Reputation Management	<p>Key ongoing activities include active press engagement, key stakeholders involvement, MORI and active media coverage. Corporate Communications are very proactive in managing this and always quick to respond to any issues.</p> <p>Media monitoring is carried out quarterly and this examines coverage of Hackney as a Council and a Borough. Analysis of this informs communication work plans. Collection and use of robust performance and customer intelligence.</p> <p>A two pronged approach is taken to the specific risks associated with reduced funding: firstly communications associated with overarching budget setting and secondly communications associated with major changes to specific services. There is also a 6 weekly forward public affairs forward plan circulated to senior management and members.</p>	Tim Shields	Polly Cziok	30-Jun-2017	August 2016 - ongoing. Controls continue to be applied.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0010</b> Pension Fund	General market volatility (especially resulting from the impending BREXIT), and recent legislative changes (eg Freedom and Choice) poses risk to investment returns which underpin Fund performance and ability to meet future liabilities without additional financial burdens on taxpayer. If investment returns are poor with a post BREXIT plummeting of stock markets, or the outflow of resources is much more than expected, this will have serious financial implications on the Council.	Finance & Corporate Resources		 August 2016 - Risk ongoing and likelihood has increased due to important and potentially challenging developments over the last year, notably BREXIT. Regarding this, the initial impact on the markets was negative, but has steadied somewhat in the following days. However, the economic climate remains very volatile. Also, the new Freedom and Choice in Pensions offers the potential for scheme members to transfer all their benefits to a defined contributions (DC) scheme in order to access all their savings. This could result in a significant outflow of resources from the Council's fund and therefore have notable financial implications. Finally, the changes to the Teacher's Pension Scheme (TPS) are far reaching and similar in scope to the LGPS changes of 2014. This will present additional pressures on the Service. Further assurance supplied by recent (and favourable) internal audits on Pensions related work.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>0809 SRCR 0010D</b> Pension Fund	Discussions continue with the Pension Fund Actuary regarding the assumptions and deficit recovery period to be used in order that the employer contributions for the Council can be smoothed.	Michael Honeysett; Ian Williams	Rachel Cowburn	13-Dec-2016	August 2016 - ongoing
<b>FRFSV 1213 0052D</b> Knowledge and Skills	Ensuring those charged with governance of the Fund and for managing the day to day operations have the requisite knowledge and skills to make informed decisions when managing the funding position.	Michael Honeysett	Rachel Cowburn	30-Dec-2016	Updated August 2016 - ongoing
<b>FRFSV 1213 0053B</b> Pension - Valuation Monitoring	Triennial Valuation assesses the funding position, intervaluation monitoring ensures that movements in the Funding position can be assessed and strategies to manage any deterioration are put in place.	Michael Honeysett	Rachel Cowburn	30-Dec-2016	Updated August 2016 - ongoing.
<b>FRFSV 1213 0053C</b> Identifying the external risk factors that affect the funding position	Identifying the various risk factors, asset/liability, investment, longevity, interest rates, inflation, liquidity, etc and how the interaction of these impacts on the funding position and adapting the strategy and business plans to manage these risk where feasible.	Michael Honeysett	Rachel Cowburn	30-Dec-2016	Updated August 2016 - ongoing.
<b>FRFSV 0042D</b> Appropriate levels of knowledge and skills to make decisions	Use of external advisers to assist in making investment decisions and ensuring that decision takers understand the investments of the fund. There is ongoing monitoring of financial markets and close communication with Pension Fund Investment managers/consultants.	Michael Honeysett	Rachel Cowburn/ Christopher Ellmore	30-Dec-2016	August 2016 - In the wake of the BREXIT leave vote, the Pension team was in immediate contact with fund managers and investment consultants, receiving

					commentary from each fund. A report was taken to the Pension Committee on 27 June 2016, the Monday immediately following the BREXIT vote, to facilitate discussions.
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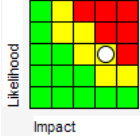
Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0013</b> Impact of New Legislation (and Welfare Reforms)	<p>The Council may not be able to respond to external influences on legislation and updated policies, thus risking the efficiency and effectiveness of service provision. Also if requirements of any new act are not met, there would be an adverse impact on the Council's legal and reputational standing.</p> <p>Additionally, the impact of new legislation - seen in areas such as Welfare Reform - could result in an increase in arrears, higher legal costs, increased evictions and pressure on the vulnerable.</p> <p>Further effects of new legislation could be financial, legislative (with a failure to understand the breadth of responsibility) and reputational, directly affecting the local community. There could also be issues amongst the local community in terms of dissatisfaction, lack of understanding and increased financial difficulties.</p>	Chief Executive's; Children, Adults & Community Health; Finance & Corporate Resources; Neighbourhoods & Housing		 <p>August 2016 - in the light of the recent EU Referendum, this risk is more relevant than ever and the overall score has increased due to the extremely high impacts of the consequences resulting from these changes. However, irrespective of when Article 50 is triggered to commence the exit, Brexit will not stop the General Data Protection Regulation (GDPR) becoming the new reality for all in the UK in 2018. The 2014 Care Act introduced serious changes and new responsibilities for local authorities with broad changes in social care and delivery in tight timescales. Although the introduction of the cap on care costs has been deferred until 2020, the introduction of the national eligibility criteria is widening the responsibility of the Council in respect of care and support and increasing demand for services. Potential consequences of this risk could include a major adverse impact on the Council's financial health and Adult Social Care savings delivery plan. Additionally there would be a strong additional demand on services. Also if requirements of any new Act are not met, there would be an adverse impact on the Council's legal and reputational standing. Furthermore there are other forthcoming examples of proposed legislation that could impact on the carrying out of Council functions, and the risk that needs to be managed is the implementation process and the financial and human resources that may be required. This needs to be kept under review as each legislation is passed and implemented. Regarding welfare, the proposed tax credit changes were retracted.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>SRCR 0013</b> Impact of New Legislation	The Council continues to monitor and respond to consultations regarding service delivery and other innovations to ensure that it is fully aware of new and changed initiatives and can react accordingly. All managers keep up to date with external developments which may impact on their work. Careful project and programme management is undertaken to deal with any serious reforms and their implementation. There is a monthly Corporate Law Update outlining all the latest legal developments and their potential impact on the Council.	Tim Shields	Yinka Owa	30-Dec-2016	August 2016 - ongoing.
<b>SRCR 0013B</b> Care Act 2014	This Act has reformed the law relating to care and support for adults and the law relating to support for carers. Detailed work has been undertaken to ensure its effective implementation, and clear timescales and budgets which need to be adhered to. Adult Social Care managers have a robust monitoring system in place to track the impact of the Care Act which will inform service and financial planning.	Anne Canning		30-Dec-2016	Ongoing August 2016
<b>SRCR 0013C</b> BREXIT	A separate / stand-alone risk register has been developed specifically on the impacts of Brexit and this will look at the consequences of new legislation etc.	Ian Williams	Tracy Barnett	30-Dec-2016	August 2016 - This has been developed and is in the process of being signed off.
<b>FR RV 1213</b> Impact of new Welfare Reforms	The risks have been / are being managed by detailed programmes of training and briefings for staff, DHP training for frontline staff, and letters explaining any changes. There has been a communication strategy specifically developed for this so that the public have everything explained and broken down as comprehensively as possible. Resident's briefings, 'surgeries', and online explanations are also further contributing to making transitions as smooth as possible.	Ian Williams	Kay Brown	30-Dec-2016	Control updated August 2016. Welfare Reforms (introduced in recent years and still continuing) include benefit caps, new rules on under occupancy, and changes to DLA, Council Tax Support and also Universal Credits. All these reforms could result in an increase in arrears, higher legal costs, increased evictions and pressure on the vulnerable.

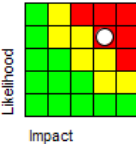

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
<b>SRCR 0018</b> Workforce	The Risk that amidst an atmosphere of financial reductions and redundancies, the Hackney workforce become demotivated, leading to a negative atmosphere amongst workers, impacting upon service delivery and leading to dissatisfied stakeholders. Also that restructures may cause temporary loss in efficiency as officers are unsure of how new reporting arrangements, responsibilities and service provisions are put into practice. Knowledge could be lost with a large number of experienced staff taking redundancies.	Chief Executive's; Children, Adults & Community Health; Finance & Corporate Resources; Neighbourhoods & Housing		<p>August 2016 - Risk ongoing (and score remaining the same). A major (Senior Management) restructure was completed in April 2016 but further ones will occur due to ongoing Council cuts to funding. Procedures are documented so arrangement in place not to lose knowledge. Also Brexit could further impact on morale and general resources.</p>	
Control Title	Control Description	Responsible	Service	Due Date	Control - Latest Note



		Officer	Manager		
<b>1213 SRCR 0018</b> Staff Motivation / Commitment	There are detailed HR procedures and processes to deal with problems/instability created by restructures and these are carefully adhered to by teams involved. All communication is regular and carefully considered.	Tim Shields	Dan Paul	20-Nov-2016	August 2016 - ongoing. Brexit is further adding to the instability of the environment.

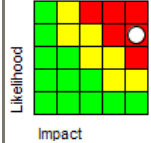
Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0018B</b> Recruitment and Retention	<p>Services across the Council struggle to effectively and successfully recruit for certain positions, leading to a negative impact on service delivery.</p> <p>Also, with the Council needing an increasingly agile workforce (not constrained by traditional customs and practises), it may struggle to compete with other organisations to get the best candidates.</p>	Finance & Corporate Resources		<p>NEW RISK – initially escalated by ICT August 2016, and broadened across the Council by HMT.</p> <p>In a competitive market for skills the Council has experienced difficulties recruiting to a range of roles essential to delivery of services and planned service improvements (including ICT, Adult Social Care, and Highway Engineers). This could impact seriously on the ability to develop and maintain effective service delivery due to difficulties with recruitment and retention.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>1213 SRCR 0018B</b> Recruitment and Retention	<p>Service will work with HR / OD to carry out the following suggested mitigations:</p> <ul style="list-style-type: none"> <li>- review recruitment strategy and identify other measures which can be taken to promote Hackney Council as a great place to work in technology and attract high quality candidates</li> <li>- review salary supplements to ensure that these are providing market competitive salaries and are also fair and transparent</li> <li>- review career development paths within the service and also ensure that apprenticeships / graduate trainee opportunities are being used effectively to develop internal talent.</li> </ul>	Ian Williams	All Service Managers	20-Nov-2016	Ongoing

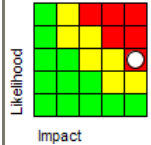

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0020</b> Information Management	<p>The Council holds an ever increasing amount of information (both electronically and in paper records).</p> <p>There are risks that:</p> <ul style="list-style-type: none"> <li>- information may not be adequately safeguarded, potentially leading to sensitive information being at risk as a result of systems being hacked</li> <li>- sensitive information might be disclosed in error (eg by email / written correspondence being sent to the wrong address)</li> <li>- information may not be available or different data sets may not be linked effectively, resulting in negative impacts on outcomes (eg incorrect decisions being made, policy being based on partial evidence etc)</li> </ul> <p>This presents an increasing risk of reputational, financial or other damage to the Council and, in the worst circumstances, could result in harm to individual citizens who come into contact with us.</p>	Finance & Corporate Resources	 <p>Likelihood</p> <p>Impact</p>	<p style="text-align: center;"></p> <p style="text-align: center;"><b>(under review)</b></p> <p>August 2016 Mitigation of this risk, and harnessing the most of the significant opportunity presented by effective information management, is a joint responsibility across each service directorate and the corporate ICT service. At Hackney, these risks are currently overseen by the Information Governance Group (which meets quarterly).</p> <p>Information Risks are currently monitored through Covalent as local risks under ICT and have been aligned with those risks identified in the Government publication <i>Managing Information Risk</i>. Following the Cabinet Office's Review of Data Handling procedures in Government, Central Government Audit Committees will have to maintain oversight of information risk, and Accounting Officers will have to report explicitly on information risk as part of the Statement on Internal Control.</p> <p>Regarding the actual Data Protection Act, ICT lead on the technical controls, whereas all managers across the Council need to adhere to organisational controls.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>SRCR0020 C001</b> Lack of comprehensive oversight and control	<ol style="list-style-type: none"> <li>1. Key information assets across the organisation identified (content and systems)</li> <li>2. Board level (HMT) Senior Information Risk Owner (SIRO) identified</li> <li>3. Information Asset Owner (IAO) named for each information asset</li> <li>4. Regular monitoring of the Information Risk Register</li> <li>5. Compliance with legislation and key standards</li> <li>6. Information management factored into business and system design processes</li> </ol>	Ian Williams	Rob Miller & all Service Heads	30-Dec-2016	Ongoing August 2016
<b>SRCR0020 C002</b> Not learning when things go wrong.	<ol style="list-style-type: none"> <li>1. Clear reporting and escalation process</li> <li>2. Clear press and communications strategy as part of major incident plan</li> <li>3. Lessons Learned process after major incidents</li> </ol>	Ian Williams	Rob Miller & all Service Heads	30-Dec-2016	Ongoing August 2016
<b>SRCR0020 C003</b> Failure of 3rd parties	<ol style="list-style-type: none"> <li>1. Map of key suppliers and associated information assets</li> <li>2. Contractual obligations re standards to be met and remedies in</li> </ol>	Ian Williams	Rob Miller & all Service	30-Dec-2016	Ongoing August 2016

	<ul style="list-style-type: none"> <li>case of breach</li> <li>3. Training for key staff</li> <li>4. Independent audits of suppliers</li> <li>5. Systems accredited to recognised standards</li> </ul>		Heads		
<b>SRCR0020 C004</b> New business processes don't take information risk into account.	<ul style="list-style-type: none"> <li>1. Business Case, Procurement and Business Change processes actively assess information risk implications</li> <li>2. Privacy Impact Assessments are carried out</li> <li>3. Penetration testing carried out</li> </ul>	Ian Williams	Rob Miller & all Service Heads	30-Dec-2016	Ongoing August 2016
<b>SRCR0020 C005</b> Critical information is wrongly destroyed, not kept or can't be found.	<ul style="list-style-type: none"> <li>1. Clear Records and Retention Policy</li> <li>2. Clear guidance on where information must be kept</li> <li>3. A well-used EDRMS system (CDM)</li> <li>4. Regular compliance audits</li> </ul>	Ian Williams	Rob Miller & all Service Heads	30-Dec-2016	Ongoing August 2016
<b>SRCR0020 C006</b> Lack of basic record management disciplines	<ul style="list-style-type: none"> <li>1. Clear Records and Retention policy</li> <li>2. Records management disciplines embedded in staff training</li> <li>3. Easy to use systems</li> <li>4. Exit routes removed (i.e. ability to circumvent rules and keep local files)</li> <li>5. Controls access controls in place for key files</li> <li>6. Compliance with legislation (e.g. DPA, FOIA)</li> </ul>	Ian Williams	Rob Miller & all Service Heads	30-Dec-2016	Ongoing August 2016
<b>SRCR0020 C007</b> Inaccurate Information	<ul style="list-style-type: none"> <li>1. Assessment of high risk areas</li> <li>2. Spot checks/cross-reference to help ensure accuracy of data</li> </ul>	Ian Williams	Rob Miller & all Service Heads	30-Dec-2016	Ongoing August 2016
<b>SRCR0020 C008</b> Vital electronic information becomes unreadable (digital obsolescence / decay)	<ul style="list-style-type: none"> <li>1. Clear identification of information that needs to be readable beyond 5-7 years</li> <li>2. Explicit plans to deal with obsolescence in ICT Strategy</li> </ul>	Ian Williams	Rob Miller & all Service Heads	30-Dec-2016	Ongoing August 2016
<b>SRCR0020 C009</b> Malicious activity (internal)	<ul style="list-style-type: none"> <li>1. ICT Security standards</li> <li>2. Connection and Information Sharing protocols in place</li> <li>3. Penetration testing</li> <li>4. Secure disposal processes in place</li> </ul>	Ian Williams	Rob Miller & all Service Heads	30-Dec-2016	Ongoing August 2016
<b>SRCR0020 C010</b> Malicious activity (external)	<ul style="list-style-type: none"> <li>1. ICT Security standards</li> <li>2. Connection and Information Sharing protocols in place</li> <li>3. Penetration testing</li> <li>4. Secure disposal processes in place</li> </ul>	Ian Williams	Rob Miller & all Service Heads	30-Dec-2016	Ongoing August 2016
<b>SRCR0020 C011</b> Inappropriate disclosure of personal information	<ul style="list-style-type: none"> <li>1. Use of protective markings</li> <li>2. Mandatory DPA training for all staff</li> <li>3. Secure email/encryption in place</li> </ul>	Ian Williams	Rob Miller & all Service Heads	30-Dec-2016	Ongoing August 2016

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0020B</b> Resilience of ICT systems / Disaster Recovery	The Council does not currently have disaster recovery provision in place for recovery of critical ICT systems in the event of a major failure affecting the Council's hosting facility provider (Advanced 365). The clear risk here would be the loss/unavailability of the external data centre (single point of failure).	Finance & Corporate Resources		<b>(under review)</b> NEW RISK – escalated by ICT August 2016

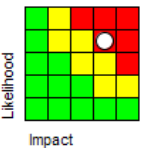
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>SRCR 0020B</b> Resilience of ICT systems / Disaster Recovery	<p>Work is currently in progress to commission resilient hosting arrangements in the Council's Stoke Newington offices. This will provide the facility to restore critical systems (based on a previously agreed list of corporate priority applications) so that priority Council services will have access to their systems within 4 hours of a major outage with loss of data limited to 15 minutes (Recovery Point Objective). A test on 1 key application has already proved successful. A full test on all applications in scope is due to be carried out at the end of August 2016.</p> <p>It must be noted that:</p> <ul style="list-style-type: none"> <li>- this provision will not give instant seamless failover for these services - so Council services must ensure that their Business Continuity Plans include plans in the event that ICT systems are not available</li> <li>- other services whose systems are not included in the resilience provision must ensure that their Business Continuity Plans include plans for extended unavailability of their ICT systems.</li> </ul> <p>Responsibility for Organisational Resilience lies at Corporate Level.</p>	Ian Williams	Rob Miller	30-Dec-2016	Control updated August 2016

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0023</b> Person suffers significant harm, injury or death	Children, young people and adults who use our care and support services are at higher than usual risk of harm, injury or death. If risks are not adequately assessed and protected a child, young person or adult could suffer significant injury or death attributable to the Directorate's failure to take appropriate safeguarding and risk management measures. Additionally, general members of the public or Hackney staff could suffer harm due to a lack of general health and safety measures being in place.	Children, Adults & Community Health		 Update August 2016 – This remains a high risk, and controls are in place to manage this. This was escalated to the Corporate Register last September.

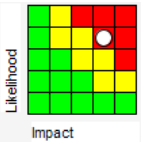
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>CYP 0910 006B</b> Local Safeguarding Children Board (LSCB) reviewed and operating as an effective multi-agency forum.	The City & Hackney Safeguarding Children Board (CHSCB) has a remit to monitor safeguarding across all partner agencies, including the local authority.	Anne Canning		30-Dec-2016	Update August 2016 – A range of measures have been put in place to ensure the CHSCB is operating as an effective multi-agency forum. There is an Independent Chair in place, defined governance arrangements, regular attendance from partners at Board and relevant sub / working groups and Hackney-specific self-assessment. CHSCB also maintains a risk register covering all key statutory requirements; these actions and progress are regularly reviewed through the CHSCB Executive and full CHSCB.
<b>CYP 0910 006D</b> Ensure staff have the necessary skills to ensure risk and need are properly assessed	The Directorate as a whole understands areas of high risk and works together to mitigate risk in relation to individual children by joint training and development and joint monitoring of practices across the services.	Anne Canning	Sarah Wright	30-Dec-2016	Update August 2016 – No change.
<b>CYP 0910 006E</b> Child Protection procedures in place	Children subject to Child Protection Plans and Looked After Children are visited in line with statutory guidance and care plans are monitored, updated and amended as appropriate. Children are to be seen alone.	Anne Canning		30-Dec-2016	Update August 2016 - Ongoing, monitored through management oversight and audit, monthly, quarterly and annual performance reports, including statutory returns to DfE and by Child Protection Conference Chairs and Independent Reviewing Officers.
<b>CYP 0910 006F</b> Risk assessing activities for young people	All activities directly provided and commissioned by the directorate must be subject to rigorous risk assessments. These follow a consistent format. Also, the internal health and safety team conduct assessments and provide advice to mitigate risks of harm to staff in the course of work.	Anne Canning	Pauline Adams	30-Dec-2016	Update August 2016 - All providers of proposed activities, including the local authority, are required to submit a written risk assessment which is scrutinised and approved / not approved by the service area. Where a risk assessment is not approved, the activity is not able to proceed. Minimum ratios of adults to young people are required.
HCS ASC 0005 Implementing a robust safeguarding approach across adult services	The City & Hackney Safeguarding Adults Board, with a newly appointed independent chair, is monitoring the refreshed strategy for safeguarding adults to ensure the delivery of the strategic outcomes which includes embedding learning from Safeguarding Adult Reviews into practice through policies and training.	Anne Canning	Iiona Sarulakis	30-Dec-2016	August 2016 – new control added relating to safeguarding adults. As a stand-alone risk / control, this would be green, however in the overall context of the risk (especially relating to children), it remains red.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
SRCR 0024 Devolution	The Council does not take advantage of the devolution powers on offer and therefore misses any potential benefits they could present. By not capitalising on this opportunity the Council could miss a genuine chance to increase revenues, streamline services and improve efficiencies.	Chief Executive's; Children, Adults & Community Health; Finance & Corporate Resources; Neighbourhoods & Housing		<p>August 2016 - This was mentioned earlier in 2016 at Audit Committee as being a good example of an 'opportunity' risk. The negative side of this lies in not capitalising on its potential. The opportunity is that by utilising the new powers / funding, savings and improved efficiencies occur, to the overall benefit of the Council.</p> <p>Hackney's bid to become one of the five areas in London to take part in a health and social care devolution pilot, has been approved by government. Hackney Council, City and Hackney Clinical Commissioning Group and local organisations delivering health, social care and wellbeing services have signed up for the initiative. This demonstrates the opportunity is being capitalised on.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
SRCR 0024 Devolution	Detailed talks (at Senior Management level) and preparation are ongoing to ensure all are best prepared to take advantage of what devolution can offer.	Tim Shields; Ian Williams; Kim Wright; Anne Canning		01-Sep-2017	August 2016. This work is clearly ongoing, and evidence of its early success can be seen in the health and social care devolution pilot, which the Council is an integral part of. We know from last year, the Council is no longer a part of the joint 9 borough bid (councils across North and East London) but this has not impacted on the overall commitment to pursuing the potential benefits of devolution. There is significant opportunity connected to this risk in that serious opportunities could be missed if we do not take advantage of it.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0025 **New Risk**</b> Contract Management (and potential of fraud).	As a result of Contract Management not being carried out properly or with regard to agreed parameters, revenue is lost or charges are levied which are not justified, leading to a clear financial loss to the Council and also negative reputational consequences arising from this.	Chief Executive's; Children, Adults & Community Health; Finance & Corporate Resources; Neighbourhoods & Housing		August 2016 : <b>NEW RISK</b> This risk is currently being acutely demonstrated by some of the work the Pro-active Fraud team is undertaking. A major investigation is well underway into external contractors and how their relationship with Hackney Homes has been managed, and whether the work actually completed accurately corresponds to the charges which have been levied. Also scrutiny is being applied to the quality and accuracy of their work. All this ultimately relates to the Council ensuring it gets the best deal for its money.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
SRCR 0025 Contract Management (and potential of fraud)	Major investigation is underway with dedicated team (Proactive Anti-Fraud Team) of 3 staff.	Ian Williams	Tracy Barnett	23-Jun-2017	Much of the progress is confidential at this stage.

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0027 **New Risk**</b> The impact of the Education Bill (based on the proposals in the Education White Paper <i>Educational Excellence Everywhere</i> ) and introduction of the National Funding Formula has a detrimental impact on school improvement services, available financial resources, the capacity for effective children's services multi-agency working and the long-term security of the Borough's school estate.	The academisation of all schools will end the role of LAs in school improvement and their ability to exercise an effective mediating layer between central government and schools. The National Funding Formula is likely to result in reductions for inner-city school budgets; the available resources for supporting school improvement is likely to be significantly reduced. Academisation will also see the transfer of LA school sites to the Secretary of State for Education to be awarded to Multi Academy Trusts. The capacity to work in partnership across all Children's Services to deliver safeguarding and other services at school-level will be reduced by academisation.		August 2016: <b>NEW RISK</b> requested by HMT on 2 August 2016

Control Title	Control Description	Service Manager	Control - Latest Note
<p><b>SRCR 0027A**New Risk Control**</b> Development of an alternative service delivery model that provides a governance structure for the local schools system, maintains viable support for school improvement through traded services and maintains effective partnerships across CYPs.</p>	<p>An alternative model for the governance of the Hackney school system is developed that retains the capacity for the strategic provision of school improvement and enables the continuation of a local mediating layer. The alternative delivery model will seek to develop further the commercial approach to trading services with schools. Delivering Safeguarding and Prevent will be in collaboration with the alternative service delivery model.</p>	<p>Anne Canning</p>	<p>August 2016: New risk control developed at HMT's request.</p>
<p><b>**New Risk Control**</b> The implications of changes to the National Schools Funding Formula are mitigated as far as possible through modelling changes to determine impact, as well as robust Budget monitoring to manage income and maintain service delivery.</p>	<p>Mitigating the impact of the significant reduction in schools budgets and resources available for supporting school improvement resulting from the introduction of the National Funding Formula. The current commercial traded services approach will seek to support improvement services.</p>	<p>Anne Canning</p>	<p>August 2016: New risk control developed at HMT's request.</p>
<p><b>**New Risk Control**</b> Developing an alternative service delivery model that avoids the fragmentation of the Borough's school estate.</p>	<p>An alternative service delivery model retains a coherent and collaborative approach to managing the LA's school estate, avoiding the fragmentation resulting from school sites and buildings being awarded to a number of Multi Academy Trusts operating in the Borough.</p>	<p>Anne Canning</p>	<p>August 2016: New risk control developed at HMT's request.</p>