

# Hackney Corporate Risks June 2020

Report Type: Risks Report

Generated on: 18 May 2020



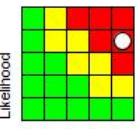

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p><b>SRCR 0039</b>                      Pandemic  <b>EXTERNAL RISK</b>  <b>FUTURE RISK</b></p>	<p>The outbreak of Coronavirus (COVID-19) in the UK continues to persist (or escalate further in the form of a second wave), continuing to affect the local area, both in the community and staff within the Council. This would carry on placing a massive demand on resources around the Borough and also have a potentially negative impact on effective service provision in all areas. It will also pose longer term threats to the Council’s financial stability going forward, with budgets being severely challenged, and income (whether through Council Tax, Business Rates, Parking etc) noticeably reduced. The Council’s supply chain would also be likely to be further affected (with organisations out of the Council’s control struggling both financially, and to provide their agreed service).</p> <p>Whilst responding to the pandemic, there may be other normal Council protocols and risk controls that get waived, side-stepped or reduced. This could result in deficient inspections (potentially affecting vulnerable residents or care homes) or risks to unoccupied property (leading to fire and theft). Other areas, like Highway Safety Inspections may suffer, if another lockdown inhibits normal service delivery.</p> <p>There are increased cyber and data governance risks, with the cross Council emphasis on home working leading to more potential fragility within the systems, with an increased risk of data breach, if staff don’t follow standard online protocols. Also fraud could increase, as people see an opportunity to capitalise at a time when attention may be concentrated elsewhere. There have also been concerns about the risk to vulnerable children, in light of the cessation of school meaning that those on free meals may miss out</p>	<p>Cross Council</p>		<p>The nature of the virus and its impacts are changing on a daily basis. At this stage (May 25), the Government has eased the lockdown in England with a “stay alert” message still placing an emphasis on social distancing and generally staying at home. There are ambiguities in the message however. UK Chief Medical Officers, who are constantly advising the government (along with WHO advice) believe the peak of cases probably occurred in the first week of April, but is still very much at a threatening level, with a reducing but still significant number of daily deaths. At the Council, where possible, the emphasis immediately shifted to working from home for most staff - although this can clearly not apply across all services. Considerable numbers of staff across the Council are being deployed in slightly different roles to support the demands of the service. Overall, services have been generally maintained and the switch to working from home has proved successful.</p> <p>For all but children of key workers, school stopped on March 20, although provision for children on free school meals has been made through vouchers. For children in years 6, 1 and reception, some schools are restarting on June 1.</p>

	on their free meals etc. Also increased poverty (due to less work) and less well stocked food banks / supermarkets impact on vulnerable adults. COVID-19 continues to impact severely on international economies affecting future funding opportunities and causing stock market turbulence which could have problematic implications for pensions. Also if landlords are not managed properly, there is an increased chance of homelessness, which in a time of lockdown could pose a grave threat to those on the streets.				
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>SRCR 0039</b> Pandemic	<p>As the onset of COVID-19 occurred, Emergency Planning and Business Continuity were immediately able (to support services) to activate relevant BCPs, which already existed in a fully up to date format. Senior management receive regular briefings about all developments and advice from the appropriate teams.</p> <p>Also, to ensure essential service obligations to residents are met (which includes warning and informing them of any risks to health, security, welfare property etc.), managers of service areas have updated their contact lists (staff and suppliers) and reviewed the Loss of People section in their Business Continuity plans as a priority (emailing the BC Manager to confirm this has been done). Updated plans are accessible both electronically and in print (both in the office and at home). The BCPs are hoped to ensure service delivery can continue effectively even in light of such disruption.</p> <p>Daily updates are being provided by the Communications team to keep everyone fully posted on all developments and the Council's latest reponse.</p> <p>GOLD (daily) and SILVER (twice weekly) Corporate Resilience meetings have been occurring providing transparent leadership.</p> <p>In terms of the supply chain, Contract managers are being encouraged to think about alternative suppliers that they might be able to use and consider what steps they would need to take to put alternative arrangements in place.</p> <p>Contract Managers are also being advised to familiarise themselves with force majeure clauses for their contracts, and the process that will need to be followed if a supplier tries to trigger it. Businesses may wish to consider force majeure and relief provisions in their contracts in order to reduce or eliminate liabilities, however this will</p>	Senior Officers, advised and directed by Business Continuity	David Blair Reid & assorted Senior Officers	Reviewed daily at the moment.	<p>As of March 16, following the Prime Minister's press conference, the approach towards the pandemic intensified with all British people being urged to change their behaviours and avoiding social / group situations. The closure of school occurred on March 20, and a 'lockdown' commenced on March 24th, with the importance of social distancing being repeatedly stressed (although with debatable success). The lockdown was slightly relaxed on May 11, with a partial reopening of schools planned for June 1.</p> <p>All Council buildings, including libraries, leisure centres and the museum are currently closed to the public, however Hackney libraries are providing an online service so there's no need for residents to leave their house to access books, magazines or newspapers. Residents (and staff) can also access thousands of audiobooks for free through their <a href="#">digital library</a>. Fines are also currently suspended. .</p>

	<p>depend on the specific wording of the clause and the governing law of the contract, and tends to require that the event or circumstance is beyond the party's control and:</p> <ul style="list-style-type: none"> <li>• was not reasonably foreseeable at the time of entry into the contract</li> <li>• the effects cannot be avoided by appropriate measures; and</li> <li>• prevents performance.</li> </ul> <p>Another control to be potentially used is for 'non-essential' (non-frontline) staff to be re-tasked for temporary periods of time. This would be at the discretion of HMT and could assist at a time when staff absences approach extremely high levels.</p> <p>HR have been drafting detailed guidance about every aspect of how COVID-19 may affect staff and how staff should proceed in the light of COVID related difficulties. This clarity should ensure a clearer approach to work during this confusing time.</p>				
Housing	<p>Clear steps have been put in place to ensure the Council can continue to safely manage the 30,000 homes across Hackney's estates and street properties, and prioritising our resources to mitigate against the risk caused by coronavirus. Central to this is ensuring that any council tenant who risks hardship as a result of the outbreak gets the support they need and does not have to worry about the security of their home, including suspending any evictions for the immediate future</p> <p>The Council has guaranteed that council tenants who are unable to pay their rent due to hardship caused by coronavirus will not face eviction proceedings. Extra efforts are in place to protect private and <a href="#">Housing Services tenants</a> from the hazards of evictions or uncertainty of possession orders during the coronavirus pandemic. We're asking landlords in Hackney to support their tenants in financial difficulty to give them the time and flexibility they need, and to go beyond the Government's requirements where they need extra help.</p> <p>Additionally, the Benefits and Housing Needs service are working to help ensure private renters get all the financial support they are entitled to, provide advice on maintaining tenancies, and – where there is likely to be shortfalls in rent payments – help with applications for discretionary <a href="#">housing payments</a>.</p>	HMT		Reviewed weekly	<p>May 2020 - there is a clear acknowledgement that COVID-19 has had a massive impact in areas all around the Council and the relevant services have been quick to act offering much needed protection to the local community, both in private or public housing.</p> <p>More than 50 homeless people have been housed by Hackney Council since the coronavirus lockdown. Cabinet Member for Finance, Housing Needs and Supply, Cllr Rebecca Rennison said: "We were working hard to get rough sleepers off the streets so they can keep safe and comply with the lockdown long before the request from government, but I'm delighted that they have at last recognised the urgency of the longstanding homelessness crisis."</p>

	<p>The Council's Housing Officers have spent considerable time contacting vulnerable residents to make sure they have the support they need and are picked up through the Council's Humanitarian Assistance Group. They've also partnered with the Hackney Food Bank to provide vouchers for anyone struggling for food.</p>				
Business Rates Support	<p>The Business Rates team has worked to identify the thousands of businesses in the borough that are eligible for the new rate reliefs and coronavirus business grants announced by the Government. We know the business community in Hackney needs these funds urgently and have now begun issuing over 90 million pounds worth of relief and grants that will benefit small businesses as well as those in the retail, hospitality and leisure sectors.</p> <p>In addition to this the Council ensured that direct debit payments due on 1 April for any business that will qualify for the extra reliefs were not requested.</p> <p>We have temporarily put recovery on hold and will not be issuing notices to ratepayers chasing outstanding business rates at this time. Where ratepayers do not benefit from the reliefs and grants and still have a bill to pay we are working to agree deferred payments or extended instalment arrangements where requested.</p> <p>Staff have worked flexibly, taking call centre calls remotely for the first time and dealing with ratepayer queries at what would be the busiest time of the year in any year, with bills for the new year having just been delivered.</p> <p>The Inspection team has changed its work programme so that more work can be done from home or without the need to visit properties and will be continuing to look at new ways of working.</p> <p>Council Tax Council tax staff are operating the contact centre via home working. They have provided a near-full service to customers at the busiest time of the year. Over 100,000 annual bills were issued and received by customers from 11 March and the team has continued to successfully deal with the extra enquiries.</p>	HMT			<p>Government has increased the amount available to Whitehall departments for contingency funding to £266bn for 2020/21 in response to the Covid-19 pandemic.</p> <p>On March 27th, the Mayor announced that thousands of Hackney businesses are to share £100m in financial support and relief through a range of measures agreed today by Hackney Council. Mayor of Hackney, Philip Glanville, said: "Hackney's small businesses are the lifeblood of our local economy and we're determined to support them throughout this very challenging time. We have been pushing for a comprehensive package of support for our local businesses from the government. We'll work as quickly as we can to put the government's relief and grant packages into action – as well as deferring rent due from our tenants to give them space to breathe. The incredible response of our well-established voluntary and community organisations shows how essential they will be in the coming months, which is why we've waived all rent due from them for the next three months and will explore with them doing even more.</p>
<b>Increased financial pressures.</b>	<p>On March 27, Hackney Council announced a financial care package for around 20,000 low-income households affected by the coronavirus pandemic, which will see working-age residents who are</p>	HMT			<p>May 2020 - there have been some delays in payments being made, but officers are working through all support claims.</p>

	<p>eligible for Council Tax support automatically receiving a rebate of up to £150 on their 2020/21 bill. In addition, a further £500,000 will be added to the Council's Discretionary Crisis Support Scheme, which provides urgent financial help to residents with emergency needs who apply for it. Deputy Mayor and Cabinet Member for Finance, Housing Needs and Supply, Cllr Rebecca Rennison, said: "Residents in Hackney are worried about their families, incomes and jobs, and we will do everything we can to support them through this very difficult period. This funding will provide urgent help for those residents on the lowest incomes and most exposed to the financial effects of coronavirus." Mayor of Hackney Philip Glanville said: "This financial support will be targeted to those that need it most. For residents with immediate support needs, especially around food – or if you are concerned about someone in Hackney who is vulnerable – please get in touch with our support hub." Children who are missing out on their free school lunches will get the equivalent in vouchers which can be used in supermarkets.</p>				<p>Children who are missing out on their free school lunches will get the equivalent in vouchers which can be used in supermarkets.</p>
--	---	--	--	--	---

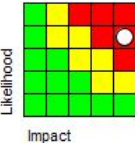

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p><b>SRCR 0001</b> National and International Economic Downturn <b>EXTERNAL RISK</b> <b>CURRENT &amp; FUTURE RISK</b></p>	<p>There is an ongoing risk to the Council's finances arising from measures that the Government are continuing to take. This is now likely to be compounded by the effects of the pandemic, the uncertainty surrounding Brexit, and the results of the Fair Funding Review (which has now been postponed). The sudden spread of the Coronavirus around the world in the first few months of 2020 has completely changed the international economic climate. Going forward, the only conclusion at this stage is that Central Government will be operating with further reduced funds and resources and this will surely be to the detriment of future funding for local authorities. The challenge will be how we adapt to even tighter financial resources.</p> <p>Already, there is the challenge of finding around a further £30m of efficiency savings up to 2021/22 (totalling £140 million since 2010) 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>Likelihood</p> <p>Impact</p>	<p style="text-align: center;"></p> <p>May 2020. Some estimates (such as the Pixel Financial Management report on behalf of the County Councils Network) suggest the (now delayed) Fair Funding Review could almost double the Council's already £19m existing budget gap, as a result of this Government's austerity policies, to over £36m. Therefore, even before the impact of coronavirus on the funding position is considered, there is already a considerable budget gap over the planning period (up to 2024).</p> <p>With the sudden onset of COVID-19, Central Government announced to Councils that they should "spend what you need", and that the Government would support accordingly. But what councils already need is larger than the recently announced two £1.6bn packages for local government, let alone where budgets will be once this crisis is over.</p> <p>Austerity measures have persisted over the last decade, although noises were being made that austerity is coming to an end, but this is even more uncertain now in light of the</p>

				<p>pandemic. More generally, this risk is 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 and the subsequent plans for Brexit (cemented by triggering Article 50 on 29/3/17), has already proved to have a negative financial impact, although not perhaps as severe as some economists predicted. The Conservative election victory on 12/12/19 further suggests a continuation of austerity measures with the final arrangements and deal for Brexit agreed by the end of 2020.</p> <p>Ongoing Central Government cuts mean that Hackney must work with £140 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. Over the period 2010/11 to 2018/19 the Council's core Government funding shrunk from £310m to £180m – and by 2019/20 it is £170m - an overall cut of 45%. The total budget for 2018/19 was £1,074 million, down £17 million on the previous year. All these points illustrate the undeniably challenging financial predicament of the Council. When the budget for 2019/20 was signed off, the Mayor clearly stated his perception that austerity seemed to be continuing, along with a risk of more cuts through the Fair Funding Review. The local government finance settlement 2020-21 proposals unveiled the biggest funding increase in almost a decade. Although this was a small bit of good news, beyond this, this is no certainty.</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. Hackney's latest budget confirmed a further reduction in resources of approximately £30m by 2021/22. In the light of the pandemic adding more uncertainty and challenge to an already problematic situation, the score has had to rise to the maximum.</p>	
<b>Control Title</b>	<b>Control Description</b>	<b>Responsible Officer</b>	<b>Service Manager</b>	<b>Due Date</b>	<b>Control - Latest Note</b>
<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; Ajman Ali; Anne Canning	Ian Williams	31-Dec-2020	May 2020 - action ongoing. Progress made in various areas should provide assurance that even in challenging circumstances, the Council is well placed to manage its duties. In the immediate aftermath of the pandemic and resulting lockdown, an extremely detailed

					paper on the potential financial implications of COVID-19 was presented to full Council with a clear breakdown on what the impacts could be. Even with two £1.6 billion packages being announced as support for Local Government this doesn't look like make much difference long term.
<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, Officers' 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; Ajman Ali; Anne Canning	Ian Williams	31-Dec-2020	May 2020 - action ongoing. At the latest budget (26/2/20), it was agreed that Council tax could be raised by 3.99%, helping mitigate some budgetary shortfalls.
<b>SRCR 0001D</b> National and International Economic Downturn	Savings proposals were developed and agreed with members in order to bridge the forecast reduction in resources in 2019/20 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 numerous restructures, have been used to reduce overall expenditure levels across the Council. There are also continuing efforts at seeking ways to generate additional income, for example in the use of Corporate Estates for events /major regeneration and building projects / changes in service delivery models etc. This is already resulting in considerable savings to help mitigate the risk of funding cuts.	Tim Shields; Ian Williams; Ajman Ali; Anne Canning	Ian Williams	31-Dec-2020	May 2020 - ongoing. A voluntary redundancy campaign was launched with a deadline of January 2020. Those who are accepted left the Council by March 2020, with a few Senior Officers staying on for slightly longer.
<b>SRCR 0001E</b> Commercialisation	The Council is looking to take advantage of commercial opportunities which are presenting themselves as a new way of raising capital and mitigating impacts of austerity. These more innovative ways of working present opportunities to protect the Council against cuts in other areas.	Tim Shields; Ian Williams; Ajman Ali; Anne Canning		31-Dec-2020	May 2020 - The Council has sought ways of generating income in constrained financial circumstances and therefore the scale of investment activity (for example in commercial property) has increased. As yet, Hackney has not adopted a corporate approach to commercialisation across the organisation, although there are specific examples where commercial activity and projects are in progress or being considered. Successful examples include those where Council owned property has been leased out to third parties.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
------------	---------------------	-------------	---------------------	--------------------



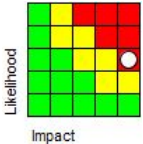

<p><b>SRCR 0001A</b> Brexit Implications <b>EXTERNAL RISK</b> <b>CURRENT &amp; FUTURE RISK</b></p>	<p>Following on from the UK's vote in favour of leaving the EU in June 2016, the continuing fallout from this is producing some serious risks to the Council and country as a whole. Financial issues (external to the Council) could impact massively on income levels, spending ability, and general resources across all areas.</p> <p>The continued possibility of a 'no deal' scenario maintains the level of risk, as the lack of a deal would signal an even more solitary break for the UK, with almost all leading economists issuing a very pessimistic prognosis on this situation. The disruption this could cause to supply chains could have a damaging effect on business continuity. As things stand, Britain formally left the EU on 31/1/20, but negotiation regarding the specifics of any deal are scheduled the last until the end of the year. Britain could still fall out of the Union with no deal.</p> <p>With no deal, stock markets could fall significantly resulting in a serious impact to the Council's pension funds. The likelihood of an increased triennial valuation is much higher, and the risk of the need for increased general contributions emerges. Also with reduced interest rates, Brexit could continue to impact on treasury investments.</p> <p>The impact of Brexit on exchange rates for Sterling means that there is a risk of material cost increases due to the direct and indirect impact on pricing for software and hardware (the Council may see price rises as suppliers pass on increased costs affecting their own ICT services). There may not be budgets to cover the shortfalls that a weak pound produces.</p> <p>When the UK leaves the EU, the existing EU data protection provisions will not apply to the UK. The exact implications of this are currently unclear, but there could be a risk that EU based data processors may notify UK data controllers that they are not able to process UK data in the event of a 'no deal' Brexit.</p> <p>Furthermore, recruitment and retention problems could worsen with the potential loss of employees from EU27 countries. There is a risk of high increases to food costs which could cause a disruption to food supplies, panic buying, an increase in food prices and food bank demands, and finally, reduced food bank donations. There also remains a risk to medicinal supplies, meaning vulnerable residents might not have access to their required medication.</p>	<p>Chief Executive's; Children, Adults &amp; Community Health; Finance &amp; Corporate Resources; Neighbourhoods &amp; Housing</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>May 2020 - Article 50 was triggered on March 29<sup>th</sup> 2017, formally commencing the exit process. With the convincing Conservative victory in the General Election (12/12/19) which followed numerous delays, Brexit occurred on 31 January 2020.</p> <p>However, the possibility of (a potentially catastrophic) 'no deal' scenario is still a reality, as the government have a deadline till the end of 2020 to sort out the specifics of an exit deal (or not). Also, problems such as the pound's instability have caused the Council some clear losses in purchasing (especially ICT equipment which is bought in dollars).</p> <p>In the immediate aftermath of the Brexit vote, some of the more pessimistic outlooks were not realised, with the markets remaining steady, but economists suggest the outlook remains gloomy. Clearly the Coronavirus pandemic has added massive uncertainty and negativity to the short (and long?) term economic prospects. There is also a risk for Central government of the pandemic crisis detracting from efforts to gain a satisfactory deal. Also an atmosphere of political unrest is present especially in areas like Hackney which were predominantly in favour of remain. Thankfully, in Hackney, hate crime/civil unrest has not been an issue as yet (Safer Communities Team monitor this).</p> <p>With No Deal still a possibility, the council's planning must seriously consider the ramifications. As well as the potential macroeconomic impacts of a No Deal exit, concerns have been raised over the impact on residents of potential increases in food and fuel prices - particularly on the poorest. In addition to this, anxieties remain over the supply of critical medicines to the UK, particularly those which cannot be stockpiled such as isotopes used in cancer treatments.</p>
--	---	--	---	--



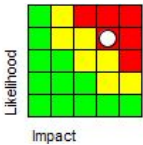

	Finally, fears about an increase in possible hate crimes and civil unrest, post Brexit, have not materialised but are still something to consider as the political climate and public feeling remains unstable.				
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>SRCR 0001A</b> Brexit Implications	Brexit and its potential impacts are discussed at all levels, whether at HMT, DMT, cross-London leadership discussions or within detailed briefings from Legal Services, which are regularly e-mailed out to all. Sessions have also been arranged for local EU citizens in the Borough to provide access to the latest information about their rights around Brexit, and ask questions of an independent immigration lawyer.	Tim Shields; Ian Williams; Ajman Ali; Anne Canning	All	31/12/2020	<p>There is a separate Brexit Risk Register (which was initially produced before the main threads of these risks were subsumed into the normal Directorate / Service registers) . The separate Brexit register is up to date as of May 2020.. Below are examples of further Council work on managing potential Brexit impacts.</p> <p><u>European Settled Status (EUSS)</u></p> <p><i>1. Council Staff</i> Two partnership events for the Council staff have been carried out with the European Commission similar to that already provided for residents, informing citizens of other EU countries of their rights, offering support and guidance on other issues where possible and providing an opportunity to access free legal advice. Around 100 staff signed up.</p> <p><i>2. Residents/Local Workforce</i> The first information session for EU citizens held in October 2018. To encourage eligible residents to apply, a communications plan is being developed to push out the key EUSS messages. This will be structured according to analysis by the Policy and Partnerships team and a workshop with VCS organisations to target individuals at greater risk of not applying for EUSS.</p> <p>The Council is preparing to make EUSS applications for looked-after children in line with its statutory responsibility to do so.</p> <p><u>Supply Chains</u> Supply chains have been reviewed with the procurement team to help anticipate potential price increases or supply shortfalls.</p> <p><u>Demand Increase</u> Departments have been prompted to consider areas which could face increasing demand, and take action to mitigate the impact if possible.</p>

					<p><u>Data Governance</u> We do transfer data to the EU/EEA as part of our cloud hosting arrangements, but are not aware of any cases in which the Council receive data from the EU/EEA. Data hosted in the US is currently covered by the EU-US Privacy Shield. Google hosts data globally, but this data processing is already safeguarded by standard contract clauses so will be unaffected by the UK leaving the EU. The Council's IT team are following the relevant guidance and will work with suppliers to ensure they are preparing accordingly.</p>
<p><b>SRCR 0001A UK leaving the EU Project</b></p>	<p>The Council have commenced a special organisation wide initiative called the "UK leaving the EU project". Through multiple meetings and sharing of material, senior officers are discussing and keeping up to date with the impact of Brexit on the full range of Council operations and services.</p>	<p>Ian Williams</p>	<p>Various Directors and other senior officers around organisation</p>	<p>31/12/2020</p>	<p>The first meeting of this group occurred on 7<sup>th</sup> November 2018. Google community groups have been set up for discussions regarding this. Updates are regularly occurring on all areas of the potential outcomes, and meetings occur at regular intervals.</p> <p>The Task and Finish Group meets every three weeks to co-ordinate the Council's preparedness work. The findings of the group's research and actions taken as a result have been summarised in a 'live' briefing document shared with strategic staff and cabinet members. Feedback has been received on this in meetings with cabinet members.</p> <p><u>Emergency Planning</u> A Brexit 'shadow GOLD rota' was set up ensuring Senior council officer availability 24/7 in the weeks leading up to and after a potential exit from the EU. If enacted, this replaced the normal 7 day cover period by a single Officer and will ensure more effective resilience and capacity under 'emergency/serious incident' conditions. This rota contains a trigger system which will dictate under what circumstances our Borough Emergency Control Centre (BECC) will need to be set up to co-ordinate responses to the full range of possible emergency scenarios. The BECC also has a shadow rota in place in readiness to be stood up if needed on a 24/7 basis. The decision to both stand up the 24/7 GOLD rota and the BECC will be a HMT one, based on circumstances prevailing at the time.</p> <p>The borough's fuel resilience plan has been reviewed. In the event of a fuel shortage, the borough's designated fuel station will be secured, and access to fuel will be provided only to vehicles with a valid permit (issued by the Council). These would be provided to doctors, waste disposal vehicles, care workers, emergency service's vehicles and similar.</p>

<p><b>FR DR 0007</b> Consider potential pricing fluctuations when planning purchases.</p>	<p>The uncertainty of global currency markets and supplier responses to fluctuations means that it is extremely difficult to mitigate this risk. Where possible consideration will be given to the potential of pricing fluctuation when planning purchases and commissioning.</p> <p>This will be an ongoing activity (no fixed end date).</p>	<p>Tim Shields; Ian Williams; Ajman Ali; Anne Canning</p>	<p>Purchasing managers</p>	<p>Ongoing</p>	<p>Task and finish Group continues to monitor across all service areas</p>
<p><b>FR DR 0007b</b> Brexit impact on Treasury and Pensions</p>	<p>Ongoing monitoring of financial markets and close communication with Pension Fund Investment managers/investment consultants. Additionally, there has been ongoing monitoring of financial markets and regular communication with treasury advisers. Monitoring of both interest rates/yields as well as the impact on the credit risk of potential investment counterparties, especially UK based institutions.</p>	<p>Ian Williams; Michael Honeysett</p>	<p>Rachel Cowburn, Pradeep Waddon</p>	<p>Ongoing</p>	<p>Following the leave vote, the Pension team was in immediate contact with fund managers and Investment consultants, receiving commentary from each fund.</p> <p>Pension Committee has received numerous updates and reports and, following the advice of the investment consultants, agreed not to take any immediate action and to monitor the impact on an ongoing basis.</p> <p>Also, UK gilts yields have already reached a record low and the UK base rate marginally increased back up to 0.5% early in 2018, and then 0.75% a few months later (August 2018).</p>

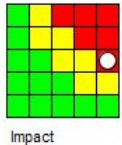

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p><b>SRCR 0002</b> Management of Capital Programmes / Schemes <b>EXTERNAL RISK</b> <b>FUTURE RISK</b></p>	<p>From a financial perspective, as a result of substantial external borrowing to fund the ambitious capital programme, the Council moves from a debt free position and become more vulnerable to changes in the market (potential volatility of the housing market affecting sales volumes / value and increasing building costs as a result of weaker GBP against other currencies). This could lead to financial pressures as unexpected costs of borrowing would be incurred.</p> <p>Additionally, Major Capital Schemes may not be managed or targeted effectively to maximise use of resources available and ensure delivery according to expectations. This poses a risk to the successful completion of such schemes, incurring losses and dissatisfied stakeholders.</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>May 2020 - This risk is ongoing and intensifying somewhat in light of the quantity of high level programmes across the Council. Particularly in regards to property development, the ambitious capital programme requires forward funding, pending future sales of private residential units on completion of regeneration and other mixed use development schemes. In terms of this financial year, the capital programme for 2020/21 is £245m (non-Housing schemes totalling £119m and Housing schemes totalling £126m). The plans for Britannia of course, go beyond Housing, which makes this scheme all the more important, and one of the most ambitious in the programme. There are detailed separate risk registers for projects such as Britannia. Britannia has a commercial lead on its senior Management Team and has contracted Arcadis to provide construction cost advice on the School, and financial viability advice for the project, and CoreFive to provide construction cost advice on the leisure centre and residential aspects of the project. This will provide greater financial certainty to Britannia, enabling more</p>

				<p>informed decision making by the Officer Steering Group and Project Board established to govern it. This should also provide extra assurance about how a major project is being managed. All major projects (another example being the long term plans for the Tesco site) contain detailed break clauses, which essentially provide guarantees that (even with the initial investment) the council cannot suffer serious losses.</p> <p>Because of the (recent) increased quantities of forward funding / borrowing here, the impact had to rise to a 5, however the likelihood decreased to a 3 as the controls (and previous experience) provided assurance that the Council was well positioned to manage this risk. Since June, the risk has remained stable.</p>	
<b>Control Title</b>	<b>Control Description</b>	<b>Responsible Officer</b>	<b>Service Manager</b>	<b>Due Date</b>	<b>Control - Latest Note</b>
<b>SRCR 0002A</b> Management of Capital Programmes / Schemes	All capital schemes are subject to review via capital budget monitoring process. Slippages can be identified via this process and appropriate action taken. The quarterly monitoring that is included in the regular Overall Financial Position (OFP) Report to Cabinet will also be included in future performance review report to Audit Committee. The Capital Monitoring Reports will include more discrete data regarding the actual delivery of the capital programme.	Tim Shields; Ian Williams; Ajman Ali; Anne Canning	Michael Honeysett	31-Jul-2020	April 2020 – ongoing. The latest Capital Programme has been agreed (at £245m) and no revisions announced as yet. Last year’s actual capital expenditure to March 2019 was at £282.6m, £13.7m below the current revised budget. Such regular (quarterly) reporting should provide increased assurance that everything is being astutely managed, especially with out-turns being below budget.
<b>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; Ajman Ali; Anne Canning	Michael Honeysett	31-Jul-2020	April 2020 - ongoing.
<b>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; Ajman Ali; Anne Canning	Michael Honeysett	31-Jul-2020	April 2020 - ongoing. A refresh of the capital programme has been completed as part of the budget process for 20/21 - and a review of the overall corporate strategy.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0003</b> Housing Regeneration Programmes <b>EXTERNAL RISK</b> <b>CURRENT &amp; FUTURE RISK</b>	<p>There are a number of key risks which require careful management between Regeneration and a range of services across the Council, including finance, procurement and planning. Major risks are associated with:</p> <ul style="list-style-type: none"> <li>Risks around certainty of future funding, and the need to contain borrowing within sustainable levels now that the HRA Debt Cap has been lifted. If this is not contained, there will be serious financial consequences.</li> <li>Procurement and performance related risks with developer/contractor partners</li> <li>Falls in property values could impact the viability of schemes.</li> <li>Managing increased risks to social cohesion associated with potential increased polarisation, greater transience and reduced housing affordability.</li> </ul> <p>An uncertain economic environment, particularly as a result of Brexit, poses risks to projects that rely mainly or partly on disposal of assets or the subsequent sale of newly developed properties.</p> <p>In addition, if the Council is unable to dispose of the Private for sale and shared ownership homes on its Estate Regeneration or Housing Supply Programme schemes, due to affordability issues and/or other external econ</p>	Neighbourhoods & Housing		 April 2020 - There are significant regeneration projects ongoing within the borough including the Woodberry Down programme, borough-wide Estate Regeneration schemes and new build affordable housing with significant borrowing requirements which, if not carefully project managed could adversely impact the Council's overall financial position

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>NH DR 006a</b> Regeneration Programmes	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.	Ajman Ali	Chris Trowell	Ongoing	March 2020 – A management review is taking place of schemes.
<b>NH DR 006b</b> Regeneration Programmes	Robust programme management and governance procedures in place for key capital projects and programmes with project sponsorship at Director level. Major schemes are managed via project boards to ensure reputational issues managed and project/programme outcomes delivered to required standard, on time and within budget.	Ajman Ali	Chris Trowell	Ongoing	March 2020 - Risk reviewed and updated.

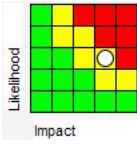

<b>NH DR 006c</b> Regeneration Programmes	<p>Sales and Marketing is now business as usual within the Regeneration Division and has a business assurance role in the delivery of every project.</p> <p>The Council's overarching Sales &amp; Marketing Strategy was agreed at Cabinet in July 2016 with an additional paper presented to Cabinet in November 2016 setting out a flexible framework for affordability and eligibility for shared ownership homes.</p>	Ajman Ali	Zoe Collins	Ongoing via Gateway Reviews and reporting via Housing Development Board	March 2020 – controls are managed as part of the business assurance role within the Regeneration Gateway Review process and regular reporting to Housing Development Board
---	---	-----------	-------------	---	--

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0010</b> Pension Fund <b>EXTERNAL RISK</b> <b>CURRENT &amp; FUTURE RISK</b>	<p>General market volatility (eg – price and pay inflation is more than anticipated), changing demographics, vulnerable asset classes and any legislative changes could pose a risk to investment returns which underpin fund performance and ability to meet future liabilities without additional financial burdens on the taxpayer. If investment returns are poor with a post Brexit plummeting of stock markets, or the outflow of resources is much larger than expected or an asset category seriously underperforms, this will have serious financial implications for the Pension Fund and ultimately add cost pressures to the Council's budget via employer's pension contributions.</p>	Finance & Corporate Resources		<p style="text-align: center;"></p> <p>May 2020 -            In the immediate aftermath of COVID-19 seriously impacting on the UK in March, stock markets crashed and investments almost everywhere went down. While market conditions are currently very volatile, both our investment strategy and the plan for meeting our liabilities (our future pension payments) stretch over the very long term. The Fund remains cash flow positive without relying on investment income. We will be closely monitoring the situation but we do not expect to make major changes outside of the Fund's investment strategy, the formal review of which was already underway. We remain committed to the Fund's policy to reduce exposure to carbon reserves.</p> <p>Brexit also continues to pose risks in the future about meeting liabilities. In its immediate aftermath (June 2016), the initial impact on the markets was negative, but steadied soon after, and has steadily gained strength in the years since. The impact on the strength of the pound has been negative however. In light of this, the economic climate remains volatile.</p> <p>The likelihood of this risk occurring is relatively high, given the challenging conditions in investment markets and the impact of changing demographics. The impact has to remain high,</p>

					<p>given the potential threat to the Fund's ability to pay benefits when they are due.</p> <p>In Oct 2015, the Government called for the assets of the 91 LGPS funds in England and Wales to be pooled into 8 pools of approximately £25bn+ of assets. The Council have now transferred the first tranches of assets to the London CIV, but the process will not be complete for a few years. Further proposals will incur transition risks, as well as overall strategic ones so the whole process is being managed carefully, although the overall aim is to make efficiencies in investment costs.</p> <p>Of course, an increase in the UK's interest rates could represent an opportunity of sorts for the Council, and Asset Pooling may lead to greater saving and efficiencies, so there are potential opportunities here too. All is being monitored closely.</p>
<b>Control Title</b>	<b>Control Description</b>	<b>Responsible Officer</b>	<b>Service Manager</b>	<b>Due Date</b>	<b>Control - Latest Note</b>
<b>SRCR 0010D</b> Pension Fund	The funding of the Pension Fund liabilities continues to be monitored closely and the Fund seeks to mitigate systemic risk through a diversified portfolio but it is not possible to make specific provision for all possible eventualities that may arise under this heading.	Michael Honeysett; Ian Williams	Rachel Cowburn	31-Jul-2020	Updated May 2020 - ongoing.
<b>FRFSV 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. Regarding proposed (asset pooling) changes, all consultations and guidance from the Government are being monitored, and responded to where appropriate.	Michael Honeysett	Rachel Cowburn	31-Jul-2020	Updated May 2020 - ongoing.
<b>FRFSV 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. Assessment of liabilities at the triennial valuation and the roll-forward of liabilities between valuations helps identify – financial mismatch / falling risk free returns on government bonds / higher than anticipated inflation / increasing fund maturity / insufficient deficit reduction payments.	Michael Honeysett	Rachel Cowburn	31-Jul-2020	Updated May 2020 - ongoing.
<b>FRFSV 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. Also regarding future Asset Pooling, planning for transition is considered as	Michael Honeysett	Rachel Cowburn	31-Jul-2020	Updated May 2020 - ongoing.



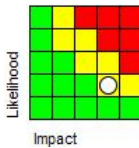

	part of the Investment Strategy development to ensure assets are transitioned efficiently and within the required timeframes.				
<b>FRFSV 0042D</b> Appropriate levels of knowledge and skills to make decisions	Use of external advisers to assist in making investment decisions and ensuring that decision 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/ Pradeep Waddon	31-Jul-2020	Updated May 2020 - ongoing. Detailed reports get taken to Pensions Committee at regular intervals providing them with the assurance that risks are being managed.
<b>FRFSV 0042E</b> Controls related to asset pooling	Monitor proposed changes, consultations and guidance from Government on the pooling agenda, responding where appropriate to influence outcomes. Amend process where required to ensure compliance. Also maintain good working relationships to ensure the Fund is fully aware of developments at the pool level and the pool is aware of and responds to the Fund's strategic requirements.	Michael Honeysett	Rachel Cowburn	31-Jul-2020	May 2020 – Planning for transition is considered as part of the Investment Strategy development to ensure assets are transitioned efficiently and within the required timeframes.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0013</b> Impact of New Legislation <b>EXTERNAL RISK</b> <b>FUTURE RISK</b>	<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>As a result of new policies, the Council's financial position may be adversely affected, constraining its ability to invest or progress work in new areas. Many of these policies could also have damaging consequences for the local community and many people currently living in Hackney.</p> <p>Additionally, the impact of new legislation - seen in areas such as Welfare Reform (especially Universal Credit) - could result in an increase in rent, service charge, arrears, higher legal costs, increased evictions and pressure on the vulnerable (potentially resulting in homelessness).</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>Likelihood</p> <p>Impact</p>	 <p>May 2020 –The Homelessness Reduction Act (April 2018), GDPR (May 2018) and The Housing and Planning Act 2016 are all examples of recent legislation having a significant impact on the demands to the services of the Council. The changes within the Education Bill have not materialised as it was scrapped, however further legislative changes are anticipated in this area in the future. The EU Referendum results and triggering of Article 50 continue to pose great uncertainty going forward. Regarding welfare, the proposed tax credit changes were retracted, however Universal Credit is presenting numerous challenges which are already being planned for (and dealt with) in great detail (after coming into effect in October 2018). With the sudden emergence of the Coronavirus, a great deal of pressure has been put on Benefits as there have been massively increased numbers of those claiming UC, especially post COVID-19.</p>

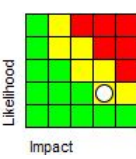

				Regarding the Housing and Planning Act (2016), the HRA debt cap has now been lifted, the forced sale of council houses removed, and the Council is nearing the end of the 1% rent reduction – therefore having increased flexibility for investing in new homes. However, there are pressures on new housing delivery and the investment in existing stock arising from changes to Building Control, fire safety, and the need to reduce carbon emissions.  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. Risk remains at same score.		
<b>Control Title</b>	<b>Control Description</b>	<b>Responsible Officer</b>	<b>Service Manager</b>	<b>Due Date</b>	<b>Control - Latest Note</b>	
<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 quarterly Corporate Law Update outlining all the latest legal developments and their potential impact on the Council.	Tim Shields	Dawn Carter-McDonald	31-Jul-2020	May 2020 - ongoing.	
<b>SRCR 0013A</b> New Policies affecting Housing	Detailed analysis is being carried out regarding the likely impact of these policies, both internally and with other boroughs and representative organisations  Individually and with other boroughs, the Council continues to actively make the case to Government for flexibilities to mitigate the adverse effects of these policies.  Once the detailed Statutory Instruments have been published (timescales still unclear), the likely impacts of the various policies can be more accurately be assessed and work can continue on preparations to implement the measures in a way that best mitigates the impacts on the Council and residents.	Chris Trowell; Ajman Ali	Kevin Thomson	31-Jul-2020	Updated May 2020	

	<p>The current HRA savings plan delivers a fully resourced HRA and keeps HRA borrowing at a sustainable level now that the HRA debt cap has been removed. The HRA business plan is monitored annually as part of the budget setting process, taking into account arising cost pressures, changes in government policy and legislation, and any service changes.</p> <p><i>Homelessness Reduction Act:</i> This was agreed by Parliament and received Royal Assent and was implemented in April 2018. The impact of this is significant for the Council taking into account the impact of the 56 day 'nowhere safe to stay' duty, changes to s21 notices, the additional reviews anticipated and the additional resources required to carry out assessments and manage the necessary additional temporary accommodation.</p>				
<p><b>SRCR 0013B</b> Care Act 2014</p>	<p>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.</p>	<p>Anne Canning / Denise D'zousa</p>		<p>31-Jul-2020</p>	<p>The 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 was deferred until April 2020 (and now been further postponed), 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.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
------------	---------------------	-------------	---------------------	--------------------

<p><b>SRCR 0018</b> Workforce &amp; Skills <b>INTERNAL RISK</b> <b>FUTURE RISK</b></p>	<p>The world of technology and work is changing fast and there is a risk that the Council might fail to maximise the potential of these changes, including the potential to transform services through effective use of data, technology and digital approaches and mind sets. As well as the risk of missing opportunities to deliver more cost effective services, this also risks Hackney failing to meet residents' expectations of the Council's services.</p> <p>There is also the additional 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.</p> <p>An additional organisational risk in this area is around the modernisation agenda and a need for the workforce to adapt and change and be receptive to new ways of working. Failure to do this could result in the Council lacking the dynamism to succeed in effectively utilising opportunities open to it.</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>May 2020 – The sudden onset of the COVID-19 crisis has added an increased importance to this. In the immediate aftermath of the lockdown, it became clear that the vast majority of the workforce would need to permanently work from home for a period of months (at least) and this would be a challenge to technology. Happily, at this stage it seems that any risks related to this have not materialised. Staff have adapted and the technology has generally been robust. Thousands of online meetings a week have been occurring through Google hang-outs and meet. The importance of skills within the workforce is a prominent theme of this risk with the modernisation agenda requiring a need for the workforce to adapt, change and be receptive to new ways of working. Failure to do this could result in the Council lacking the dynamism to succeed in effectively utilising opportunities open to it.</p> <p>The response to the Coronavirus crisis should provide assurance the Council is well positioned to manage these risks.</p> <p>Risk has levelled off, with more stability post restructures. A major (Senior Management) restructure has been long completed (with final interim arrangements ending in April 2017) whilst further ones have occurred (or are continuing). These are being carried out for a variety of reasons including improving team's organisational efficiency, adapting to new ways of working and also in some areas due to cuts to funding. A new round of Voluntary Redundancy was completed at the start of 2020, with those supported for VR leaving at the end of February.</p> <p>Overall however, the new changes have generally been embedded effectively, so the likelihood of negative impacts to service delivery have reduced. Procedures are documented so arrangements in place not to lose knowledge.</p> <p>The Council has now fully switched over to G-suite, which is resulting in increased efficiencies and dynamism, with the transition is being carefully managed by project teams overseeing a phased process. This should provide assurances that teams will effectively adapt to the new ways of working, and reduce the likelihood of an organisational disruption.</p>
--	--	--	---	---

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>SRCR 0018 a</b> Workforce & Skills	Investing in staff skills and digital leadership across all services Ensuring that the Council has a joined up approach to workplace - designing technology, workspace, policy and practice to ensure that these come together cohesively to support maximisation of these opportunities.	Tim Shields, Ian Williams	Dan Paul, Rob Miller	31 Aug 2020	May 2020 - This is currently being accomplished through close work between ICT and HR. Also new technology has been installed all around the Council with Chromeboxes / books being installed for all to ensure better and more efficient usage. These have worked well during the COVID-19 crisis.
<b>SRCR 0018 b</b> Workforce & Skills	There are detailed HR procedures and processes to deal with all relevant areas (including problems/instability created by restructures) and these are carefully adhered to by teams involved. All communication is regular and carefully considered. Staff are well supported in adapting to new ways of working (whether from an IT or HR perspective).	Tim Shields	Dan Paul	31 Aug 2020	May 2020 - these controls are in place and continuing. Detailed guidance was drafted in March to provide staff with detailed instructions and special dispensations (if required) during the Coronavirus crisis.
<b>SRCR 0018 c</b> Workforce & Skills	Ensuring that the Council's strategic plans reflect these opportunities	Tim Shields	Policy	31 Aug 2020	New Corporate and Community Strategy (2018-2028) reflect this.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0018B</b> Recruitment and Retention <b>INTERNAL RISK</b> <b>CURRENT RISK</b>	Services across the Council struggle to effectively and successfully recruit for certain positions, leading to a negative impact on service delivery. 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.	Chief Executive's; Children, Adults & Community Health; Finance & Corporate Resources; Neighbourhoods & Housing		 <p>May 2020 - Risk was broadened (in Nov 2019) across the Council by HMT (from having been focused on ICT). Risk has recently dropped with likelihood decreasing to 2, reflecting some positive progress made. Ongoing work is taking place to assess the recruitment strategy for technology and data roles and identify further steps that can be taken to fill vacancies that arise. The ICT team have contributed to the development of the Council's new recruitment website.</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, Audit, Quantity Surveyors and Highway Engineers). This could impact seriously on the ability to develop and maintain effective service delivery due to difficulties with recruitment and retention. This is</p>

				<p>exacerbated by the recent changes to IR35, which is having the effect of driving skilled specialist workers to the private sector (as many ICT skills are transferable across sectors) and also worries about Brexit's potential impact on EU workers.</p> <p>However, there have been recent developments on this. Particularly with the completion of the ICT restructure with senior positions having been successfully filled through a creative campaign, emphasising the benefit of Hackney as a place to work and also offering market supplements to ensure the organisation is able to be competitive with wages across the market. Overall, the Council has enjoyed some very positive results in terms of attracting high calibre candidates and filling many roles that were expected to be tricky. Therefore, there is now increased assurance that going forward, this risk can be effectively managed.</p>	
<b>Control Title</b>	<b>Control Description</b>	<b>Responsible Officer</b>	<b>Service Manager</b>	<b>Due Date</b>	<b>Control - Latest Note</b>
<b>SRCR 0018B</b> Recruitment and Retention	<p>Services are continuing to 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>	Tim Shields; Ian Williams; Ajman Ali; Anne Canning	All Service Managers	31-Aug-2020	<p>April 2020: Salary supplement models have been reviewed ahead of the scheduled update of supplements in April 2020 to ensure they remain fit for purpose and Hackney continues to be competitive in recruitment to technology and data roles.</p> <p>All roles are now benchmarked against the market, in line with the new Council salary supplement scheme. A prototype for an improved approach to recruitment advertising has been tested over the last year, and this will be reviewed ahead of recruitment arising from the restructure.</p>
<b>FR DR 007 A</b> Training and development	<p>Training and development needs for all staff have been captured from yearly appraisals and 1-2-1 documents. All HR procedures are followed correctly to ensure staff are valued and treated appropriately whilst at work.</p>	Tim Shields; Ian Williams; Ajman Ali; Anne Canning	All managers	31-Aug-2020	No further specific updates to report. Identification of training and development needs and provision of training / learning

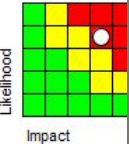

	Where possible acting up and secondment opportunities are made available to staff. This helps contribute to an improved experience of working at Hackney and to an extent, mitigates the risks of absences and departures.				support is ongoing. If all these processes are followed, (with staff having opportunity for improved professional development) that should lead to more assurance that this risk won't materialise. Full support has been offered and provided during the COVID-19 crisis.
--	--	--	--	--	--

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
SRCR 0021 Cyber / Information Security <b>INTERNAL /EXTERNAL RISK</b> <b>FUTURE RISK</b>	There is a risk that the security of Council's systems, network and devices could be compromised. This would have very damaging, widespread implications. Especially because reliance on these systems have increased in the aftermath of the COVID-19 crisis.	Finance & Corporate Resources		<p>May 2020 - The Council's accreditations with external information security standards are up to date and ongoing work from the ICT service is reported to the quarterly Information Governance Group. The Council's ICT team are also introducing proactive security assessment for new cloud based digital services and working with the Cabinet Office, National Cyber Security Centre and Local Government Association to help shape future government security standards.</p> <p>The likelihood slightly decreased (4 to 3) at the previous review in light of positive progress made in making cyber security more robust. This remains stable. This is an ongoing risk and of increasing importance as more Council services are dependent on ICT and electronic information, particularly in the aftermath of COVID-19 and the massive increase in home-working. Also, there is an increasing internal awareness (of staff) of the concept of cyber risks (and what precautions to take). With the move to the new system on G-suite, all transitions have been in line with Information Security risk management. The Council's accreditations for the NHS IG Toolkit</p>



					(which is being replaced by a new assurance framework) and the PSN Code of Connection are up to date and renewing these is part of BAU activity coordinated by the ICT Services division.
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
FR IT 0006a Ensure compliance with the PSN Code of Connection and other applicable standards (including the ICT security requirements for compliance with the NHS IGSoc).	Ensure that good security practice is reflected in the Council's technical architecture and operational practices, including annual PSN Code of Connection compliance assessment (supported by IT health check) This will be an ongoing annual activity (no fixed end date).	Rob Miller; Ian Williams	Henry Lewis	31-Aug-2020	<p>April 2020: Enhanced end-user training for information security and data protection was developed as part of the preparation for the General Data Protection Regulation. On a national scale, attacks have recently been reported in the media and a reminder was issued to all staff about the need to take care when clicking on links in emails. Systems have also been checked to ensure that the specific patch which closes this vulnerability has been applied.</p> <p>By the summer of 2019, the enhanced training has now been rolled out to 3271 officers and roll out to Members will take place soon. Enforcement of the mandatory training is also in place. This should help ensure full compliance (with annual refreshers thereafter).</p> <p>Mitigation of this risk continues to be monitored by the Council's Information Governance Group.</p>
FR IT 0006b Ensure that all users of the Council's systems and data take appropriate measures to protect these.	Ensure that the Council has effective policies, guidance, training and measures to enforce compliance for all users (including Members). This will be an ongoing activity (no fixed end date).	Rob Miller; Ian Williams	Henry Lewis	31-Aug-2020	<p>April 2019: the enhanced training has now been rolled out to 3271 officers (at the time of writing) and roll out to Members will take place soon. Enforcement of the mandatory training is also in place.</p>

<p>FR IT 0006c Ensure that all hardware and software is supported for security updates.</p>	<p>Ensure that infrastructure and application lifecycle management practices are in place and functioning effectively so that the Council's systems remain supported. This will be an ongoing activity (no fixed end date).</p>	<p>Rob Miller; Ian Williams</p>	<p>Henry Lewis</p>	<p>31-Aug-2020</p>	<p>Updates have been completed in line with the PSN Code of Connection submission. The ICT Security Group are reviewing the processes for management of security patches and planned refresh of out of data software and hardware. This is ongoing as part of continuous maintenance and patching.</p> <p>The Council's PSN accreditation was renewed in August 2018 and the ICT Security Group will continue to monitor activity to deliver continual improvement to the Council's systems security and maintenance.</p> <p>April 2020: No further specific updates to report. The Council's accreditations with external information security standards are up to date and ongoing work from the ICT service is reported to the quarterly Information Governance Group.</p>
---	---	---------------------------------	--------------------	--------------------	---

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>FR IT 0001 Information Assets <b>INTERNAL RISK</b> <b>FUTURE RISK</b></p>	<p>The Council holds a wealth of information assets across its services. It is essential that this is managed in compliance with requirements such as the Data Protection Act, the NHS IG Toolkit and also the General Data Protection Regulation (which came into effect from May 2018).</p>	<p>Finance &amp; Corporate Resources</p>		<p style="text-align: center;"></p> <p>April 2020: The programme of work to implement enhancements to the Council's information governance arrangements in line with the requirements of the new Data</p>

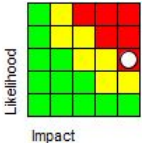

	It is also essential that the Council is able to use these information assets effectively to commission and deliver high quality services, reduce costs and work in partnership with other agencies and providers.			Protection Act and the General Data Protection Regulation is continuing and progress is reported into the Council's Information Governance Group which meets quarterly. A recent internal audit review of the Council's preparations for GDPR gave an assessment of Reasonable Assurance.  The Council's accreditation for the NHS IG Toolkit (which is being replaced by a new assurance framework) is up to date and renewing these is part of BAU activity coordinated by the ICT Services division.  As of April 2020, there is no further significant change. The Council's PSN accreditation is currently being renewed. Mitigation of this risk continues to be monitored by the Council's Information Governance Group.	
<b>Control Title</b>	<b>Control Description</b>	<b>Responsible Officer</b>	<b>Service Manager</b>	<b>Due Date</b>	<b>Control - Latest Note</b>
FR IT 0001a Information management	<p>Ensure effective information management policy and processes are in place so that the Council meets the requirements of the Data Protection Act / other legal and regulatory compliance arrangements.</p> <p>Ensure that the Council's information assets are managed robustly and used effectively to provide insight and to integrate Council and partner services, and deliver the maximum benefit to residents and businesses.</p> <p>This will be an ongoing activity (no fixed end date).</p>	Ian Williams	Matthew Cain	01-Aug-2020	April 2020: The programme of work to implement enhancements to the Council's information governance arrangements in line with the requirements of the new Data Protection Act and the General Data Protection Regulation is continuing and progress is reported into the Council's Information Governance Group which meets quarterly. A recent internal audit review of the Council's preparations for GDPR gave an assessment of Reasonable Assurance.
FR IT 0001c EU General Data Protection Regulation: preparing for compliance from May 2018	Implement the programme of activity to support Hackney's compliance with the GDPR. This will include changes to the Council's information management arrangements, data retention, privacy provisions and	Ian Williams	Matthew Cain	01-Aug-2020	April 2020: The programme of work to implement enhancements to the Council's information governance arrangements in line

	practise across all Council teams who handle people's personal information.				with the requirements of the new Data Protection Act and the General Data Protection Regulation is continuing and progress is reported into the Council's Information Governance Group which meets quarterly. A recent internal audit review of the Council's preparations for GDPR gave an assessment of Reasonable Assurance.
FR IT 0001d Third party information sharing	<p>Ensure that we can do business efficiently and seamlessly by having appropriate data sharing agreements in place.</p> <p>It will be critical to ensure that control requirements are assessed and the implications for Hackney users are clear and proportionate (eg. some third parties require controls that would excessively restrict the Council's use of systems and buildings etc, and these may be barriers to information sharing).</p> <p>This is an ongoing activity (no fixed end date).</p>	Ian Williams	Matthew Cain	01-July-2020	<p>April 2020 : The Council's ongoing work to develop information sharing agreements in response to service needs is reported to the quarterly Information Governance Group.</p> <p>No further significant change. Mitigation of this risk continues to be monitored by the Council's Information Governance Group.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>SRCR 0020 Corporate (ICT / Business) Resilience.</p> <p><b>INTERNAL RISK</b></p> <p><b>FUTURE RISK</b></p>	<p>(Risk that) the Council does not currently have a robust and tested corporate resilience plan in the light of a major incident affecting its business. (An example would be 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.) This could impact on service delivery throughout the organisation.</p> <p>There is also a risk that Business Continuity Plans across the Council's services do not accurately reflect the disaster recovery provision that is available. This could result in services not being able to invoke their</p>	Finance & Corporate Resources		<p style="text-align: center;"></p> <p>May 2020 – Clearly, the challenges mentioned in the risk description have surfaced as a result of the COVID-19 crisis. At this stage, the risks have not materialised and the Council has been able to demonstrate resilience within its plans and approach to the crisis. This should provide assurance regarding the controls in place.</p> <p>The Council has a robust and tested plan in place. It is essential for the Council to provide some assurance that we are suitably prepared</p>

	continuity plans effectively due to incorrect assumptions.				<p>to respond and adapt to incremental change and sudden disruptions. Clearly this could impact massively on our ability to effectively deliver services, so resilience is a critical part of future planning. Recent incidents (eg pandemic / flooding) emphasise the importance of careful management within this area. In the aftermath of the COVID-19 outbreak, services continued to work remotely, and business continuity was clearly achieved</p> <p>DR provision is in place for critical systems additional infrastructure capacity has been added during the COVID crisis. Successful DR testing has recently taken place, providing assurance of overall resilience. BC Plans have been consistently reviewed and will be further updated during the crisis to reflect any changes.</p>
<b>Control Title</b>	<b>Control Description</b>	<b>Responsible Officer</b>	<b>Service Manager</b>	<b>ate</b>	<b>Control - Latest Note</b>
FR IT 0003a 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.</p> <p>It must be noted that 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 - 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.</p>	Ian Williams	Henry Lewis	01-July-2020	<p>May 2020 - the Council has tested DR provision in place and the ICT Services division's Business Continuity Plan has been signed off and tested. A review of the DR provision (from the ICT perspective) was internally audited and the report was completed at the end of 2018. The final level assurance was significant, suggesting a robust approach is in operation.</p> <p>The ICT service's business continuity arrangements are kept</p>

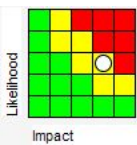

					under regular review and reported to the Council's Business Continuity Management Group which meets quarterly.
FR IT 0003b Review of Business Continuity Plans across the Council's services.	<p>The Corporate Business Continuity Manager is supporting service managers across the Council in carrying out a review of their Business Continuity Plans. This is designed to identify critical services and their continuity requirements, and will help ensure that their plans are based on accurate expectations of the provision available.</p> <p>It is planned to implement a rolling 18 month schedule of review for all the council's BCPs. This will be in place following the current review of BCPs across all services, which has pretty much been completed within the last six months.</p>	Rob Miller; Ian Williams	Henry Lewis	01-July-2020	<p>May 2020: No further specific update. The Council's business continuity arrangements are kept under regular review and reported to the Council's Business Continuity Management Group which meets quarterly.</p> <p>Also, the corporate review of Business Continuity Plans has been completed.</p>
SRCR 020A -Corporate Resilience Forum	<p>A Corporate Resilience forum has been established and will take overall strategic lead reporting to HMT. However the specific ICT issues are still managed by ICT themselves.</p>	Rob Miller	Cross Council	Ongoing	<p>From paragraph 1.1-1.2 of the CRF report:</p> <p>1:1 The CRF oversees the development of all systems and processes for Emergency Planning, Business Continuity, Pandemic Planning and Resilience within Hackney Council. 1:2 This group will also ensure that appropriate links are made to other stakeholders in relation to Emergency Planning and Resilience such as NHS, LFB, MPS, EA AND VCS.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
<p><b>SRCR 0023</b> Person suffers significant harm, injury or death <b>EXTERNAL RISK</b> <b>FUTURE RISK</b></p>	<p>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.</p>	<p>Children, Adults &amp; Community Health</p>		<p style="text-align: center;"></p> <p>Update May 2020 – This remains a high risk, although the controls should provide strong assurance that we are well positioned to manage it. From the Adult perspective, In 2018/19 Adult Services in Hackney invited the London Association of Directors of Adult Social Services (ADASS) to conduct a Peer Review into Adult Safeguarding in order to test and validate the controls in place for how this risk is managed. The review was positive about how this risk is managed in Hackney but also provided areas for further consideration about more we could do. These areas have been built into ongoing adult safeguarding delivery plans within commissioning, operations and the work of the Safeguarding Adults Board. In 2019/20 the City &amp; Hackney Safeguarding Adults Board have continued to work together to embed the learning from SARs to help mitigate this risk further. This included: • Delivery of SAR learning sessions to multi-agency groups, including voluntary agencies • Development of Task &amp; Finish group to promote service user engagement in the work of the CHSAB The Board has also carried out awareness raising activities to help prevent adult safeguarding such as an awareness campaign co-produced with service users to raise awareness of financial abuse.</p>	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<p><b>CYP 006B</b> Local Safeguarding Children Board (LSCB) reviewed and operating as an effective multi-agency forum.</p>	<p>The City &amp; Hackney Safeguarding Children Board (CHSCB) has a remit to monitor safeguarding across all partner agencies, including the local authority.</p>	<p>Anne Canning</p>	<p>Rory McCallum</p>	<p>30 Dec - 2020</p>	<p>May 2020 - The government's response to the Wood Review of LSCBs published in May 2016 removed the requirement for local areas to have boards with set memberships. A new requirement has been placed on councils, the police and the NHS as 'key partners' to decide how boards are organised and what area they cover, while statutory functions will not change for individual agencies. Safeguarding partners are required to notify the Secretary of State for Education that they have agreed and published their new arrangements by June 2019 and have these arrangements up and running by September 2019. The new</p>



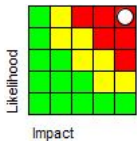

					<p>arrangements for the City &amp; Hackney Safeguarding Children Partnership (CHSCP) were successfully put in place before the deadline.</p> <p>A range of measures have been put in place to ensure the CHSCP is operating as an effective multi-agency forum. Independent chairing is in place, defined governance arrangements, regular attendance from partners at Executive and relevant sub / working groups and Hackneyspecific self-assessment. CHSCP also maintains a risk register covering all key statutory requirements; these actions and progress are regularly reviewed through the CHSCP Executive and full CHSCP. The November 2019 Ofsted inspection found that "joint work across the partnership has not, however, consistently translated into operational improvement" - this will be addressed as part of the post-inspection action plan.</p>
<p><b>CYP 006D</b> Ensure staff have the necessary skills to ensure risk and need are properly assessed</p>	<p>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.</p>	<p>Anne Canning</p>	<p>Sarah Wright</p>	<p>30 Dec - 2020</p>	<p>March 2020 - Ofsted inspectors noted in November 2019 that while there are good opportunities for staff training, the experiences and progress of children who need help and protection required improvement, with some specific actions being highlighted. The actions to address these concerns will be included in the post-inspection improvement plan, due to be submitted to Ofsted at the end of March 2020, with strong governance and oversight by the Mayor, councillors and senior leaders</p>
<p><b>CYP 006E</b> Child Protection procedures in place</p>	<p>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.</p>	<p>Anne Canning</p>	<p>Sarah Wright</p>	<p>30 Dec - 2020</p>	<p>Update May 2020 - 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.</p>
<p><b>CYP 006F</b> Risk assessing activities for young people</p>	<p>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.</p>	<p>Anne Canning</p>	<p>Pauline Adams</p>	<p>30 Dec - 2020</p>	<p>Update May 2020 - 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. Our external commissioned providers are also expected to demonstrate that they meet health and safety standards as part of their</p>

					contract including systems and processes for conducting risk assessments of premises and activities.
<b>CACH ASC 0005</b> Implementing a robust safeguarding approach across adult services	The City & Hackney Safeguarding Adults Board's (CHSAB) role is to monitor safeguarding across all partner agencies, including the local authority and has regular meetings of the Board to ensure safeguarding across the partners is being managed effectively and that relevant intelligence is appropriately shared. The Safeguarding Adults Board with the input and support of Adult Services' Head of Safeguarding will continue to oversee the delivery of the recommendations of the Safeguarding Adults Reviews. This will include working with existing projects within the Integrated Commissioning programme such as the Neighbourhood Programme to ensure they support the delivery of these recommendations.	Anne Canning	Simon Galczynski	31 Dec - 2020	May 2020 – As a stand-alone risk / control, this would be lower than red, 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	
<b>SRCR 0025</b> Contract Procurement and Management (especially in Housing Services). <b>INTERNAL RISK</b> <b>CURRENT RISK</b>	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 poor level of resident's satisfaction (and general negative reputational impacts), unjustified cost and time overruns. Poor procurement decisions could result in non-viable contracts being awarded to non-viable contractors.	Chief Executive's; Children, Adults & Community Health; Finance & Corporate Resources; Neighbourhoods & Housing		<p style="text-align: center;"></p> <p>May 2020 – Risk continues in light of the amount of investigation work currently ongoing. This risk is demonstrated by some of the work the Pro-active Fraud team undertake. There have been major investigations into external contractors and how their relationship with Housing Services (formerly 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.</p> <p>The COVID-19 pandemic clearly increases the likelihood of problems for suppliers and contractors who may be dependent on financial variables outside the control of the Council., This makes the controls more important than ever, and is also referred to in the Pandemic risk.</p>	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note

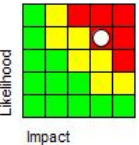

<b>NH DR 007a</b> Contract Specification in place	Contracts clearly define the requirements of the business. Also, regular liaison meetings with contractors.	Sinead Burke	Each Contract Manager	Ongoing	April 2020 – these controls are in place and continuing and KPIs regularly reviewed along with monitoring of spend pattern / profile.
<b>NH DR 007b</b> Tender Stage process followed	Robust tender process in line with EU procurement law and council standing orders.  Internal procedures reinforced via regular Planned Asset Management/Procurement meetings, establishment of contract management board, and current recruitment to additional housing procurement resource.	Sinead Burke	Each Contract Manager	Ongoing	April 2020 – these controls are in place and continuing.
<b>NH DR 007c</b> Contract Monitoring and Fraud Prevention	Restructure of Asset Management Team is based around the new contracts and clarity of responsibility for the contract managers in line with the contract manual.  Key performance indicators in place and used to assess the performance of the contracts. Where these show poor performance, corrective action is taken in line with contract procedures; recent examples include reallocation of work away from poorly performing contractors or raising Early Warning Notices.  Final accounts prepared in a timely manner. A cross-working team has been established with Leasehold Services to ensure final accounts are prepared in line with leasehold recharge requirements as well as contract procedures.  Regular contract audit.  A Fire Safety Programme Board has been established to ensure greater oversight of capital fire safety projects. This board is chaired by Ajman Ali with agenda items led by Donna Bryce.	Ajman Ali  Sinead Burke  Sinead Burke  Michael Sheffield  Donna Bryce	Sinead Burke  Contract Managers  Contract Managers  Fraud Investigation Officers	Ongoing	April 2020 – these controls are in place and continuing. Phase 1 of the restructure is almost complete and final phase will be completed by summer 2020.
<b>NH DR 007d</b> Review of form of Contract	The Contract options are being reconsidered to ensure that the contract form is fit for Hackney's purpose.	Ajman Ali; Rotimi Ajilore	Sinead Burke	Ongoing	April 2020 – these controls are in place and continuing
<b>NH DR 007e</b> Detailed Council guidance in place for Procurement, Partnership and overall Contract Management	There is detailed supporting guidance available for all elements of the procurement process, including detailed Risk Assessment tools and specialised Partnership guidance.	Rotimi Ajilore	Contract Managers	Ongoing	April 2020 – these controls are in place and continuing.

<p><b>NH DR0007f</b> Establishment of Housing Capital Monitoring Board</p>	<p>The Group Director Neighbourhoods and Housing has established a Housing Capital Monitoring Board to</p> <ul style="list-style-type: none"> <li>• maintain an overview of the Asset Management Plan element of the Housing Capital Programme approved by Cabinet;</li> <li>• make decisions on the progression of Housing Capital schemes using the Gateway process.</li> <li>• approve Sectional Commencement Agreements (SCA) with the Council’s contractors,</li> <li>• ensure that each capital scheme has a robust communications plan linked to each Gateway point to ensure residents are consulted and engaged in capital investment in their homes,</li> <li>• monitor delivery against the programme, and</li> <li>• make decisions on the reprioritisation of capital resources within the capital limits approved by Cabinet as part of the annual budgeting process.</li> </ul> <p>The Board is responsible for ensuring that the schemes undertaken through the Housing Capital programme have a communications plan that joins up with other initiatives and projects affecting a locality so that communications with residents on estates where works are taking place are holistic.</p> <p>This board approves all Sectional Commencement Agreements (SCA) for issue to contractors. A checklist is presented on each project which outlines how pre-contract procedures have been completed. A full list of all SCAs (issued and in development) is now available.</p>	<p>Ajman Ali/Deirdre Worrell</p>	<p>Sinead Burke</p>	<p>Ongoing</p>	<p>April 2020 –Control established in Oct 2019 and now ongoing.</p>
<p><b>NH DR0007g</b> - Asset Management Strategy</p>	<p>A new asset management strategy went to March Cabinet for approval, and was fully ratified at the meeting on March 25<sup>th</sup> 2019.</p> <p>This sets out the decision making framework for all capital projects and will ensure that a consistent rationale is in place for all capital expenditure. It identifies an action plan of supporting processes to be developed to implement the strategy (e.g. procurement strategy, staff resources, IT systems) and timeframes for identifying these.</p>	<p>Ajman Ali/Deirdre Worrell/</p>	<p>Sinead Burke/Simon Theobald</p>	<p>02-Aug-2020</p>	<p>April 2020 – Approved in March. This report sets out the long-term objectives for investing in Hackney homes to ensure that the council build on recent successes, demonstrate continuous improvement and achieve the ambition of becoming the leading social housing provider.</p>
<p><b>SRCR 0025</b> Contract Procurement and Management (especially in Housing Services).</p>	<p>Major investigation is ongoing with dedicated team (Proactive Anti-Fraud Team).</p>	<p>Ian Williams</p>	<p>Michael Sheffield</p>	<p>02-Aug-2020</p>	<p>Progress remains confidential at this stage.</p>

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
<p><b>SRCR 0028 CYPS</b>, SEND funding –Escalating SEND spend has an adverse impact on HLT and Council budgets.</p>	<p>The number of pupils eligible for SEN statements continues to increase at a significant rate exceeding the population growth in the Borough, the effect of which is to place the SEND budget in deficit.</p>	 <p style="text-align: center;">Likelihood Impact</p>	<p style="text-align: center;"></p> <p>April 2020: The Risk Review Group recommends maintaining the risk rating at the highest possible level. The SEND Budget pressures are being offset by savings in other areas of HLT and some additional funding.</p> <p>A Co-Design Group, initiated by elected members, has formulated recommendations around incremental funding. These proposals require testing and further detailed refinement. Any funding change of this magnitude should be carefully implemented and managed, with effective governance arrangements in place to ensure transparency and accountability.</p> <p>The risk remains at this level due to the combined effect of the Council not receiving any significant additional funding over many years in spite of a dramatic increase in pupil numbers, combined with difficulty in reducing provision for pupils with existing support plans and transport. The prospect for immediate cost reductions is restricted due to the time taken for funding changes to be implemented and the limited control over aspects of the cost.</p>

Control Title	Control Description	Service Manager	Control - Latest Note
<p><b>SRCR 0028 a</b> Forecasting of financial impact of SEND budget pressures.</p>	<p>Rapid, significant short term reductions in SEND costs and outlays will be difficult to achieve. Ensuring that the policy changes in the action plan result in medium term cost savings that relieve the pressures on the SEND budget, whilst ensuring the operational effectiveness of HLT is not detrimentally affected by the overspend, is imperative.</p>	<p>Anne Canning; Yusuf Erol</p>	<p><b>April 2020:</b> No changes to report. There continues to be very little progress. Short-term reductions in SEND costs have been difficult to achieve. A small reduction of 5% has been agreed and this was launched from April 2018, regarding SEND support paid to schools for new EHC plans. This has not resulted in significant savings.</p>

<p><b>SRCR 0028 b</b> Ongoing work to develop plans/strategies to control/manage SEND spending.</p>	<p>SLT has approved a cost management plan to address the pressures placed on the SEND budget by increasing numbers of children and young people being eligible for SEN statements.</p> <p>The cost management plan is regularly reviewed by STAG.</p>	<p>Anne Canning; Annie Gammon</p>	<p><b>February 2020:</b> The cost management plan remains in place and is due for scrutiny at the CACH Budget Board in February 2020 (note this has been now been rescheduled). The Co-Design Group has proposed recommendations that require further, detailed assessment as to their viability and sustainability over the medium to long term.</p>
<p><b>SRCR 0028 c</b> Risk 07 - Changing the culture of SEND in schools and HLT to implement the action plan.</p>	<p>If the action plan is to control expenditure and distribute resources fairly, changes in the existing culture in HLT teams and schools must also change to critical assessment and the equitable distribution of limited resources. Collaborative working with schools will be necessary to ensure pupils SEND needs are met from delegated SEND resources, with EHCP referral only for exceptional needs.</p>	<p>Anne Canning; Annie Gammon</p>	<p><b>March 2020:</b> SEND managers have attended primary and secondary heads meetings to explain basis of inclusion concept, expectations of schools and how the legal framework operates in relation to them.</p>
<p><b>SRCR 0028 d</b> Risk 08 – The initiation of EHCP assessments is rigorously reviewed</p>	<p>The decision to initiate assessments needs to be rigorously reviewed to ensure the level of support is appropriate and sustainable. This may include senior managers signing off decisions, or refusing to do so.</p>	<p>Anne Canning; Annie Gammon</p>	<p><b>March 2020:</b> A monthly dashboard monitoring the total number of EHC Plans and new requests is reviewed regularly. There has been a steady increase in requests – which is reported nationally, mainly as part of legal cases which err on the side of the young person where there are possible needs.</p>
<p><b>LT1617Risk 09</b> – The costs of providing ECHPs is born equitably across agencies</p>	<p>All agencies need to contribute to the costs of the Education &amp; Health Care Plans through the joint commissioning budget.</p>	<p>Anne Canning; Annie Gammon</p>	<p><b>March 2020:</b> The SEND Partnership Board has developed an action plan in which this is a key action. The post-16 transition process is now being Chaired by CACH Group Director to accelerate progress. SEND team are developing advice templates to standardise information from various agencies.</p>

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
<p><b>SRCR 0029</b> <b>Serious Safeguarding failure in regard to pupils not in school</b> <b>EXTERNAL RISK</b> <b>FUTURE RISK</b></p>	<p>Safeguarding considerations for those pupils who are not registered at a school – Electively Home Educated pupils, children missing from education, children attending unregistered settings, children who are yet to be allocated a school place etc is increasing in importance.</p> <p>This is the particular focus for current Local Authority Safeguarding Inspection frameworks, and there is an expectation that HLT must work to ensure the safety and wellbeing of all such pupils, challenging existing legislative frameworks and guidance where necessary to do so, and working with partners to ensure effective and robust identification, tracking, consultation and referral.</p>		<p style="text-align: center;"></p> <p><b>April 2020</b> – HLT and LBH have limited powers to intervene in schools’ safeguarding practices. The risk controls reflect the fact that HLT has responsibility, but little authority. Risk Review Group recommends maintaining current risk.</p>

Control Title	Control Description	Service Manager	Control - Latest Note
<p><b>SRCR 0029B</b> Information sharing activities in place.</p>	<p>HLT are represented on local Safeguarding Boards at all levels, and work proactively across 1CYPs by contributing to all safeguarding forums and initiatives, subject to capacity. HLT are also engaged on other partnership panels where safeguarding is a concern, such as MATs and Children and Young People's partnership panel. The HLT contributes to all reviews as required by the Safeguarding Board, and implement all actions.</p> <p>HLT's membership of the Ofsted Preparation Group for Ofsted inspections provides the opportunity to establish and use linkages to share information.</p> <p>HLT disseminates to schools briefings based on the findings of Serious Case Reviews. All published SCRs have been shared at Head teacher termly briefings, and with Schools and Settings after discussion and agreement with HLT SLT.</p>	<p>Anne Canning; Annie Gammon</p>	<p>HLT is represented at all relevant Safeguarding Forums and engages extensively in Partnership working.</p> <p>The Safeguarding in Education Team provides advice and guidance to schools on all training, legislation, Serious Case Reviews etc.</p> <p>New and refreshed safeguarding guidance, CHSCB information and newsletters are disseminated to schools and settings through HLT's Bulletin and Leadership Updates.</p> <p>Officer from the HLT Safeguarding in Education Team is working with the CFS and relevant community groups re: a Strategic Safeguarding proposal for specific communities within the borough. Sarah Wright is leading on this.</p> <p>HLT has representation at the LBH Officer Group working on community engagement. HLT has consistently raised safeguarding concerns related to independent and unregistered settings in Hackney.</p>
<p><b>SRCR 0029 Risk 03:</b> Ongoing dialogue between HLT, DfE and Ofsted around necessary legislation to ensure safeguarding duties can be effectively carried out.</p>	<p>Currently, the roles and responsibilities of LAs, DfE and Ofsted are not clearly defined with regard to safeguarding duties.</p>	<p>Anne Canning; Annie Gammon</p>	<p>May 2020: The urgent need for clear legislation was emphasised at the Children &amp; Young People's Scrutiny Commission meeting in January 2020 HLT has produced and circulated a flow chart to clarify HLT's role with partners as to the actions following child not in school in order to pilot attendance orders.</p>
<p><b>SRCR 0029D</b> Continuing attempts at engagement with unregistered settings are made by HLT to reduce the likelihood of pupils being put at risk.</p>	<p>In the absence of clearly defined statutory responsibility and given the numbers of CYP in such settings, the LA is seeking to raise awareness of safeguarding with all community groups through regular dialogue.</p>	<p>Anne Canning</p>	<p><b>April 2020:</b> The working group that has been overseeing the response to CYP Scrutiny Commission is to be reconvened as an unregistered settings oversight group and will expand its membership to all statutory partners e.g., Met police LFB and others.</p>



Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0027 b –</b> Risks posed by unregistered schools and settings <b>EXTERNAL RISK</b> <b>FUTURE RISK</b>	<p>Unregistered centres are neither known to, nor inspected by Ofsted, raising potential issues relating to the wellbeing and safeguarding of children and young people in the borough. HLT does not have any statutory powers or reporting requirements in regard to the registration of independent schools.</p> <p>As well as the potential risk around safeguarding and lack of knowledge and intervention in regard to those young people attending such settings, there are clear reputational risks for the HLT in this area. Despite the fact that HLT holds no powers in regard to either registration or closure, there remains the perception that the Local Authority has not presented sufficient challenge to the status of such settings.</p>		<p><b>April 2020-</b> HLT and LBH have limited powers to intervene in schools' safeguarding practices. The risk controls reflect the fact that HLT has responsibility, but little authority.</p> <p>Risk Review Group recommends maintaining current risk rating.</p>

Control Title	Control Description	Service Manager	Control - Latest Note
LT 1415 Risk 18: Co-ordinating multi-agency responses, HLT escalates any issues relating to the safeguarding of children or young people attending unregistered schools or settings.	HLT are aware of unregistered schools and settings within the borough, we escalating to the appropriate authorities Children and Social Care any issues of concern reported to them. HLT co-ordinates multi- agency responses in regard to those settings that do not comply with Ofsted registration requirements.	Anne Canning; Annie Gammon	<p><b>March 2020:</b> HLT will continue to make partner agencies aware of potentially serious concerns and support the Council and CHSCB in advocating for changes in the legal framework.</p> <p>HLT is currently drafting a paper to outline a recommended borough- wide approach to responding to alerts about settings.</p>
LT 1617 Risk 04: Continuing attempts at engagement with unregistered settings are made by HLT to reduce the likelihood of pupils being put at risk.	In the absence of clearly defined statutory responsibility and given the numbers of CYP in such settings, the LA is seeking to raise awareness of safeguarding with all community groups through regular dialogue and through the Out of School setting project.	Anne Canning	<p><b>March 2020:</b> The OOSS is working with Interlink who have identified a worker who will have dedicated responsibility to promote safeguarding arrangements and practices in the OOSS/Yeshivot</p> <p>A programme of activity, involving visits out of school settings to action these. Encouraging safeguarding policy – providing information to parents. Engaging with Interlink to co-deliver this work.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
------------	---------------------	-------------	---------------------	--------------------

<p><b>SRCR 0030</b> Pressures on Temporary Accommodation <b>INTERNAL RISK</b> <b>CURRENT RISK</b></p>	<p>The demand on temporary accommodation (TA) for homeless households exceeds the supply of property suitable for use, and also causes a clear shortfall between the subsidy provided and the actual cost of meeting TA need. This could result in serious difficulties in providing an effective provision for the accommodation of vulnerable children and adults, and also impact adversely on available budgets. This all produces financial, reputational and legislative (in terms of abiding by the Homelessness Reduction Act) risks.</p>	<p>Finance and Corporate Resources</p>		<p style="text-align: center;"></p> <p>May 2020 – Local authorities have a statutory duty to provide accommodation for homeless households that have been defined as being in priority need and unintentionally homeless, and are obliged to secure temporary accommodation (TA) for that household as an interim measure whilst a longer-term alternative becomes available. Councils in Britain have spent more than £3.5bn on temporary accommodation for homeless families in the last five years, with the annual cost rising 43% in that time. The Local Government Association has commented that these costs are “unsustainable”.</p> <p>The Government's Homelessness Reduction Act took effect from April 2018. Overall, the Act decisively modifies and extends existing homelessness protection.</p> <p>The amount of temporary accommodation property needed to fulfill demand for homeless households continues to increase. The Council now houses the highest amount of households in temporary accommodation for a decade, at 3242 households, containing 3928 children. The cost of temporary accommodation is managed partly via the type of property procured and work has been completed on moving families out of bed and breakfast accommodation into cheaper, more suitable hostel dwellings. This has delivered some cost avoidance. However, the sheer volume of units needed is expected to mean that the costs will continue to rise this year (especially in the aftermath of COVID-19).</p> <p>Despite delivery of 36 hostels within the borough, due to the ever increasing property prices in borough, 1262 of these households are placed outside the borough and London. Homeless households still present on the day and are placed wherever there is accommodation available, more often than not in Essex, Kent, Bedfordshire and Hertfordshire. The Benefits and Housing Needs Service continue to look at ways to boost affordable temporary housing by pursuing hostel leases with private landlords and developers. 1 large hostel in borough is expected to open in July and another has passed planning permission stage for completion in 2021.</p> <p>Further thought is being given to a housing supply strategy as part of the Councils Housing Strategy, as all social lettings in the borough have dwindled to an expected total of 400 homes for 2019/20 and therefore the waiting times for social housing and length of stay in temporary accommodation is increasing. Current waiting times suggest 10 years for a homeless family requiring a 2 bed home and 8 years for a family requiring a 3 bed home. The strategy will consider purchase of further properties, a cash incentive scheme and the usage of modular housing on meanwhile sites via the Housing Strategy Team. Some of this work has been approved by Cabinet and is being progressed.</p>
---	---	--	--	---

				Risk score remains the same to reflect the severity of the challenge to the Council here.
--	--	--	--	---

Control Title	Control Description	Responsible Group Director / Officer	Service Manager	Due Date	Control - Latest Note
<b>SRCR 0030a</b> Utilising all available accommodation	Utilise 100% of all regeneration voids as additional temporary accommodation reducing the need for costly nightly paid TA provision.	Ian Williams	Jennifer Wynter	31-Aug-2020	Control ongoing May 2020  The Benefits and Housing Needs Service continues to utilise all Council owned void properties as temporary accommodation wherever possible and affordable to do so. However, due to the recent fire risk issues resulting in decanting of various properties ie Bridport House, this resource is now not forthcoming in the short term. The Housing Delivery Board are re-examining all void properties with a refreshed budgetary level costed against the cost of temporary accommodation to see if any further properties can be released.
<b>SRCR 0030b</b> Make best use of the provision of discharge of duty into the private rented sector	Additional duty afforded LA's to discharge our homeless duty with provision of an affordable 1 year monthly PRS let, albeit if further homelessness within 2 years we retain the duty. TA strategy in place and agreed way forward with Mayor & Members on OOL placements.	Ian Williams	Jennifer Wynter	31-Aug-2020	Control ongoing May 2020. The benefits and Housing Needs Service continue to make use of this wherever possible and affordable for homeless residents. Private Sector rented properties available outside the borough are the only realistic short term rehousing option. Various options to boost procurement in this area are being explored.
<b>SRCR 0030c</b> Observe pan London cap on nightly paid accommodation procurement	Maintain influence on the rental market by continued observation and no breaches (except emergency disabled accommodation) of the agreed Pan London TA rent cap.	Ian Williams	Jennifer Wynter	31-Aug-2020	Control ongoing May 2020. Business as usual.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0031</b> Fire Safety <b>INTERNAL RISK</b> <b>FUTURE RISK</b>	As a result of inadequate fire safety measures or defective workmanship (on cladding installation for example), death and serious injury occur from fire in LBH managed properties.	Neighbourhoods & Housing		Updated in May 2020 by Donna Bryce – Score is stable.  In the light of the Grenfell tragedy and the increased focus on materials / workmanship on Council properties nationally, this risk was immediately escalated to Directorate and Corporate level. There were always Fire Safety risks on Housing registers, but recent

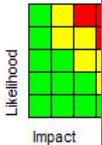
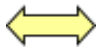
				<p>events and understandable sensitivities necessitated this being featured at the highest level. As the controls below demonstrate, detailed work is taking place – and this has always been the case in terms of this threat. As a result of the tragedy however, extra focus and scrutiny is now been applied to all elements of fire safety in the Borough and there is certainly no complacency as to the situation. The Council has been receptive to new recommendations and with the publication of the Hackitt Review and the Grenfell Report phase one we now need to concentrate on implementing these recommendations in anticipation of new legislation being put in place.</p> <p>This risk focuses solely on risks of an incident in blocks managed by the Council. However, the Council also has limited responsibilities in relation to housing association and privately owned blocks in the borough. An incident in one of these blocks is also a risk to the Council, though obviously we have in place measures to meet the Council's responsibilities. The MHCLG is currently trying to add new burdens on LAs in relation to privately owned blocks.</p>
--	--	--	--	---

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>SRCR 0031a</b> Fire Risk Assessments	<p>Ongoing review of all Fire Risk Assessments (circa 1,800) for all of our stock in order to provide reassurance to residents.</p> <p>Ensure that these new Fire Risk Assessments (FRA) are undertaken by suitably qualified assessors and that the assessments they produce meet strict quality standards.</p> <p>Publish all new Fire Risk Assessments on the Council's website.</p>	Tim Shields; Ajman Ali	Donna Bryce	Ongoing	<p>Updated May 2020 – The fire risk assessment schedule is still on track with a three year programme of fire risk assessments. All blocks identified as high or medium risk will be subject to a type 3 risk assessment.</p> <p>All the fire risk assessors are now on the fire risk assessors register as part of the Institute of Fire engineers and this will enable the Council to have assurance that they are suitably qualified and regularly being assessed.</p> <p>The 2018/19 Fire risk assessments have been published on the council's internet page. A resident portal is being launched in 2020 so that all the fire risk assessments for 2019/20 can be published where residents will be able to track progress of the recommendations. The fire risk assessments will then be available to residents in live time.</p>
<b>SRCR 0031b</b> Fire Safety	Each Directorate has responsibility for ensuring agreed work plans from the previously convened Corporate Fire Safety Group are being delivered.	Ajman Ali; Anne Canning; Ian Williams	Donna Bryce	1/01/21	Updated May 2020 - The Fire Safety Programme Board is in place where all fire safety works are monitored. The Board provides senior managers and member's assurance that we are not complacent in relation to fire safety and will also monitor the implementation of actions coming out of both the Hackitt Review and Grenfell Report. The

					Board is overseen by an independent fire consultant so that we can ensure that we are meeting our obligations under the Fire Safety Reform Order.
<b>SRCR 0031c</b> Fire Safety – high risk blocks	<p>Ongoing implementation of the key findings and recommendations from the new FRAs that have been/will be undertaken across all of our high rise blocks. Blocks to be assessed in priority based on a risk-based Forward Plan (scissor blocks first).</p> <p>Carry out additional non-FRA inspections across our high rise blocks in order to provide a visible presence across the Borough.</p> <p>Carry out any other ad hoc fire safety inspections that are required.</p>	Ajman Ali	Donna Bryce	01/07/20	<p>Updated May 2020 - The three year programme of fire risk assessments is on track and continues to be delivered at a high standard.</p> <p>Housing Officers and Health and Safety Advisers carry out regular checks of our buildings to identify fire safety hazards.</p> <p>A programme of post inspection of all fire safety related works has been implemented in co-operation with PAM.</p> <p>We now have a more proactive approach to fire safety with a number of initiatives being implemented in the last few months to include:</p> <ul style="list-style-type: none"> <li>• Installing new fire signage across the borough</li> <li>• Surveying and installing new premises information boxes and ensuring relevant information is contained with the box</li> <li>• Ensuring we have up to date plans of our blocks which highlight any fire safety equipment</li> <li>• Resident insight project to identify our vulnerable residents and offer them support</li> <li>• Installation of floor level indicators</li> <li>• Fire safety contingency plans</li> </ul>
<b>SRCR 0031e</b> Fire Safety – everyone’s responsibility	<p>Develop and implement a communications strategy that, amongst other things,</p> <p>(a) communicates the need for residents to take responsibility for fire safety in their area and also that we have taken all necessary action to keep them safe from the risk of fire,</p> <p>(b) ensure effective communication and engagement with tenant representatives,</p> <p>(c) manage communications with Members so that they are engaged and up to speed with the work that we are doing but we are not distracted from the work that we are doing,</p> <p>(d) keep staff up to speed with developments,</p> <p>(e) respond quickly to press enquiries.</p>	Ajman Ali	Donna Bryce / John Wheatley	Ongoing	<p>Updated May 2020 - Communications strategy in place and the Resident Safety team carry out regular outreach meetings in co-operation with the Building maintenance team.</p> <p>The internet has been updated to provide additional fire safety advice to residents</p> <p>We send out regular communication with residents to ensure they are aware of their responsibilities in relation to fire safety</p> <p>All sites have been accessed for accessibility and LFB are still carrying out regular inspections of blocks and providing advice.</p>

					<p>Regular briefings to members and to tenant and resident associations are provided.</p> <p>Fire Safety training was provided to members in November 2019</p> <p>Regular internal bulletins on fire safety are sent out to all Housing Services teams via the google community which gives us an opportunity to share good practice.</p> <p>We are working collaboratively with the Housing Officers to implement a constant approach to fire safety within the blocks including joint procedures.</p> <p>Training has been provided to TMO's and Housing Officers on fire safety.</p>
<b>SRCR 0031f</b> LFB meetings	Develop robust arrangements for meeting regularly with the London Fire Brigade (LFB) to consider fire risk assessments and safety on our estates.	Tim Shields; Ajman Ali	Donna Bryce	15 Oct 2020	<p>Updated May 2020 - We continue to have regular meetings with the LFB and we are working closely with LFB on ensuring we have contingency plans in all our premises information boxes and also working with them on identifying our vulnerable residents who would need help in the event of an emergency.</p> <p>We continue to carry out joint visits wherever possible with the LFB.</p>
<b>SRCR 0031g</b> Fire safety policy	<p>Based on the lessons learnt from the fire safety response work undertaken since Grenfell, undertake a series of policy reviews and develop a set of proposal papers that will enhance the way that the Council undertakes fire safety management across the Borough. This will include:</p> <ul style="list-style-type: none"> <li>• Agreement on the new corporate Fire Safety Policy and the development of a new fire strategy with Council professionals, residents and industry experts.</li> <li>• Leaseholder Obligations/Requirements: This will cover a number of areas, including (a) ensuring that leaseholders are providing evidence that they are meeting their fire safety obligations, (b) developing a policy on how we ensure that all leaseholder front doors are 30 minute fire resistant, (c) developing a policy on allowing or requiring leaseholders to be included in communal safety works and inspections, e.g. gas safety or sprinkler or alarm installation; at their cost.</li> <li>• Our current policy and procedures for dealing with fire risks in communal areas (e.g. storage of combustible materials, blocking of escape routes.</li> <li>• Enhanced parking enforcement on our estates.</li> </ul>	Tim Shields; Ajman Ali	Donna Bryce	01/08/20	<p>Updated May 2020 - A policy was implemented in August 2018 and was reviewed in November 2019 to ensure it is still fit for purpose and the legislation is still correct.</p> <p>FRA budgets are monitored via the fire safety programme board and via the Capital monitoring board.</p> <p>Fire safety has been incorporated into the Asset Management Strategy to ensure that fire safety is at the heart of our capital works programme.</p> <p>New guidance has been issued in relation to fire risks in communal areas so we have a consistent approach within council managed blocks and TMO's</p> <p>An updated report was issued to Senior managers in November 2019 outlining progress made in relation to fire safety.</p>

	<ul style="list-style-type: none"> <li>Responding to any recommendations coming from the Grenfell enquiry.</li> </ul> <p>Budget Management: Ensure that the necessary resources are in place to undertake all of the work coming out of the new FRAs.</p> <p>Establish "asks" of the government with respect to resourcing additional fire safety work and related costs, wider building regulation and perhaps industry with respect to cladding and sprinkler systems.</p>					With the release of the Hackitt and the Grenfell review reports we continue to lobby government alongside other London Boroughs with respect to resourcing the additional fire safety works and related costs from both reviews.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0036 –</b> Universal Credit <b>EXTERNAL RISK</b> <b>FUTURE &amp; FUTURE RISK</b>	<p>Universal Credit is administered by the DWP/JCP (Job Centre Plus) and has been live within the borough since March 2016 for job-seeking singles only. Universal Credit full service rolled out for all new claimants in October 2018. Since the pandemic claiming UC is now online or telephone-based only (apart from in exceptional circumstances). There is a commitment to seek work but no sanctions and no face-to-face meetings. The main corporate risks which have been identified are that:</p> <p><b>Financial:</b> Universal Credit places the onus on the claimant to manage their claim and budget; this may lead to rent arrears for Council tenants and make it more difficult for the Council to recover other debts. Since COVID-19 there has been an increase in the number of tenants not paying rent and canceling direct debits (e.g. council tax).</p> <p><b>Strategic:</b> if more residents become more vulnerable because they struggle with budgeting or payments are stopped, this puts pressure on other services. The five-week wait for a first payment remains and any advanced payment has to be paid back reducing future income.</p> <p><b>Reputational:</b> there will be an expectation that the Council helps those who are face barriers to make a claim or struggling to manage their budgets. This will be even more the case now, with COVID increasing the risk.</p>	Finance & Corporate Resources		 <p>May 2020- Now over a year into roll out. DWP has responded well to the surge in claims in March/April. We are working together to adapt to an online/telephone-based system and prepare for the longer-term effects of an increase in demand across the system.</p> <p>UC claims have increased considerably. As of 12 April 2020 weekly claims at Hackney JCP increased from 200 to 1000. Current total claims around 13,500. At Hoxton JCP total UC claims are around 10,300. Changes to the claim process and DWP recruitment and redeployment has meant first timely payment at around target of 90%. It is expected that new claims will not continue at this level but will remain higher than before the pandemic as unemployment increases and existing schemes are ended.</p>

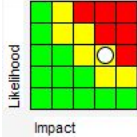

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
FR RV 1718 Impact of Universal Credit	<p>A partnership group involving DWP and external partners keeps a partnership plan which identifies and addresses key risks under review.</p> <p>Main actions are:            Communication strategy for Hackney tenants            Resident sustainment team for Hackney tenants            Partnership working to ensure that claimants can access the DWP funded Help to Claim service delivered by the CAB            Funding the advice sector and working closely with them to meet demand            Close partnership working with DWP</p>	Ian Williams	Sonia Khan	30-Aug-2020	<p>May 2020- The Partnership has moved to meetings every 2 weeks to coordinate and respond to UC in the context of COVID-19. Key risks and mitigating actions are kept under review and updated.</p> <p>The Partnership agreed on a strategic plan at the end of 2019. These issues remain relevant now and guide discussion as well as keeping up to date with operational changes.</p> <p>Through partnership working, we are able to support DWP to keep payment processing on target. However, arrears are high. There are particular groups who are more vulnerable because of the way UC is designed to work directly with claimants and to process claimants for one household. We have focused on these particular issues.</p>

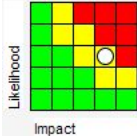
Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
FR FSV 0043 Pensions – Poor Membership Data  Inaccurate or Late Pay Information Supplied to Hackney Pension Fund (LGPS)/Local Pensions Partnership (LGPS)/Teachers Pensions <b>INTERNAL RISK</b> <b>CURRENT RISK</b>	<p>Inaccurate payroll data supplied to the Hackney Pension Fund results in poor membership data.</p> <p>This poor administration could result in inaccurate data giving rise to financial and reputational risks. Without the correct figures and information, actuaries</p>	Finance & Corporate Resources		<p style="text-align: center;">↓</p> <p>Reviewed May 2020 - the likelihood of this risk remains high, although has slightly reduced. Significant problems with the payroll data being provided by the Council</p>



	<p>may be unable to set contribution rates, which could result in higher contribution rates and overall member dissatisfaction. Inaccurate benefit statements might be produced, which could result in the overpayment of benefits.</p> <p>Enforcement action against the Council by the Pensions Regulator</p>			<p>has meant that the quality of membership data has deteriorated since the introduction of the 2014 scheme. The complexity of the scheme has increased significantly and the Council's payroll provider has been unable to respond to these changes, resulting in consistently poor provision of vital data across the Fund's largest employer. A new payroll system was introduced in July 2017; although material progress has been made since the last review on developing pension reporting between the Council and Equiniti, there remain problems to work through. There are still issues on providing some data, but efforts at improving and obtaining better data for reports etc have started to be more successful, hence the slight improvement.</p>	
<b>Control Title</b>	<b>Control Description</b>	<b>Responsible Officer</b>	<b>Service Manager</b>	<b>Due Date</b>	<b>Control - Latest Note</b>
F RTP 0043 A Monitoring of membership data	Annual monitoring of membership records, valuation checks, external data validations	Michael Honeysett	Rachel Cowburn; Lorraine Robinson	30-Dec-2020	Reviewed May 2020
F RTP 0043 B Contributions monitoring	Monthly monitoring of contributions to ensure that employers paying across correct contributions along with membership data being supplied	Michael Honeysett; Dan Paul	Rachel Cowburn; Lorraine Robinson	30-Dec-2020	Reviewed May 2020 - Good communication with payroll, as accurate data is very important.
F RTP 0043 C Performance Monitoring	Service Level Agreement with external administrator and monthly monitoring of contract. Monitoring of employers and Pensions Administration Strategy which enables Fund to recoup additional administration costs for sub-standard performance.	Michael Honeysett	Rachel Cowburn	30-Dec-2020	Reviewed May 2020
F RTP 0043 D Support & Payroll development	<p>Provision of employer support to ensure employers have the knowledge and understanding necessary to provide correct information.</p> <p>Ongoing work with the Council's payroll team to assist in developing Business As Usual processes for iTrent (payroll system) which are them owned and run by the payroll team. The Council's payroll supplies data for the vast majority of the Fund – the Fund's involvement with the implementation helps ensure the importance of good quality pension reporting is recognised.</p>	Michael Honeysett; Dan Paul	Rachel Cowburn; Julie Stacey	30-Dec-2020	<p>May 2020 - the employer portal is in the process of being rolled out to all employees.</p> <p>Team is also liaising with Hackney payroll team to roll out a new contribution monitoring report.</p> <p>Also ensuring that equiniti roll out the employer</p>

					strategy in line with the contract.
--	--	--	--	--	-------------------------------------

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
<b>SRCR 0035 –</b> Setting up Council owned companies  <b>INTERNAL RISK</b> <b>FUTURE RISK</b>	<p>The Council is in the process of setting up a number of companies for a variety of reasons - ranging from a need to explore commercial opportunities, to being a vehicle which can help to deliver the Mayor's housing objectives, or saving money and improving convenience for the residents of the borough.</p> <p>If the resources, expertise and capacity needed to establish these functions is not satisfactorily in place, and/or the necessary legal due diligence is not done, these companies will not be fit for purpose and the Council may run the risk of severe financial and reputational impacts.</p>	Chief Executive's; Children, Adults & Community Health; Finance & Corporate Resources; Neighbourhoods & Housing		 <b>May 2020</b> - The most notable work is here with separate Energy, Waste and Housing companies. The formation of these 'internal companies' is ongoing with some aspects of the development more advanced than others. The energy company, Hackney Light and Power, was properly launched at the beginning of November 2019, promising some great future benefits for the Borough.  There have been instances (nationally) of some Council energy firms (being set up to reduce fuel poverty) struggling and then failing, leaving taxpayers to pick up the bill. 11 have already gone out of business since January 2018, so this underlines how important it is for these companies to be properly set up.	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>SRCR 0035a-</b> Setting up Council Owned Companies	All companies are being developed in accordance with prescribed procedures which will ensure that the resources, expertise and capacity needed to establish these functions is in place, and the necessary legal due diligence is done, with appropriate support provided by relevant Senior Officers, and where necessary, external parties.	Tim Shields; Ian Williams; Ajman Ali; Anne Canning		31 July - 2020	May 2020 – Hackney Light and Power is up and running, and so far has been a successful launch.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<b>SRCR 0036</b> Insourcing  <b>INTERNAL RISK</b> <b>FUTURE RISK</b>	The Council makes a decision to insource more services that it can properly handle and this has a negative impact on service delivery. It also proves a false economy as initial savings become overtaken by increased costs when potentially unseen demands of bringing a service back in-house unfold.	Chief Executive's; Children, Adults & Community Health; Finance & Corporate		May 2020 - Contracts have been brought back in house in the past and in recent years in areas like

	Yet, there is also an opportunity to this risk. If the decisions on insourcing are taken judiciously with regards to in-house capabilities, strategic objectives and potential savings, there is the chance for the Council to benefit from a decision to bring work back 'in-house'.	Resources; Neighbourhoods & Housing		Housing Benefit, Waste, Internal Audit and Payroll. In order to provide further assurance to Audit Committee about the Council's approach to Insourcing, a 'deep dive' was recently carried out (overseen by the Chair of the Audit Committee) into various elements of the approach and guidance papers, and this was signed off at the Committee meeting in April.	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<b>SRCR 0036a</b> Insourcing – approach.	The Council is working on a Guidance Paper that will ensure that before it makes a decision, questions will be asked under five key criteria. These include local policy and business strategies, the performance of the service, quality improvement and value for money, workforce issues and overall risks. Through a careful application of these criteria and asking pertinent questions, any risks or opportunities concerning insourcing should be satisfactorily managed.	Tim Shields; Ian Williams; Ajman Ali; Anne Canning	Rotimi Ajilore	31 Oct - 2020	May 2020 - this was newly escalated to the Corporate register in January 2020. The guidance paper is currently being reviewed.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
<b>SRCR 0039</b> Climate Change / Climate Emergency <b>EXTERNAL RISK</b> <b>CURRENT &amp; FUTURE RISK</b>	The Council fails to meet its own commitments to take constructive steps to tackle the climate emergency. The expectation of change required (conducting extensive work on decarbonisation) may not be matched by the available capital. This could be as a result of overly ambitious targets, a lack of overall awareness or 'buy in' to the concept or a lack of resources to proactively bring about change. Without a coordinated response, the task will be more difficult. Failure to achieve positive change would have reputational impacts but most importantly would contribute negatively to the continued emergency in climate matters, both within our local community and the world at large.	Neighbourhoods & Housing leading (but applying to all Directorates)		<p>May 2020 - The Mayor's climate emergency declaration occurred in February 2019, and Hackney councillors subsequently approved a motion to do 'everything within the Council's power' to deliver net zero emissions across its functions by 2040, ten years earlier than the target set by the Government, and in line with the Intergovernmental Panel on Climate Change's higher confidence threshold for limiting global warming to 1.5C above pre-industrial revolution average. The recent creation of Hackney Light and Power is another step towards fulfilling these targets by committing to providing renewable energy.</p> <p>It was in April 2020, that the Council was able to announce that all of its electricity is now supplied from renewable sources (wind and solar power), and delivered through Hackney Light and Power.</p>	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note

<p><b>SRCR 0039a</b> Councillors have approved motion committing to a series of actions</p>	<p>Council commitment:</p> <ul style="list-style-type: none"> <li>- To tell the truth about the climate emergency we face, and pursue its declaration of a climate emergency with the utmost seriousness and urgency.</li> <li>- Pledge to do everything within the Council’s power to deliver against the stretching targets set by the IPCC’S October 2018 1.50C Report, across the local authority’s full range of functions, including a 45% reduction in emissions against 2010 levels by 2030 and net zero emissions by 2040, and seeking opportunities to make a greater contribution.</li> <li>- Call on the UK Government to provide powers and resources to make the 2030 and 2040 targets possible.</li> <li>- Actively campaign to change national policy where failure to tackle the challenge of heating our homes without fossil fuels, fossil fuel subsidies, insufficient carbon taxation, road-building, and airports expansion, for example, has actively undermined decarbonisation and promoted unsustainable growth.</li> <li>- Support the campaign to create a just transition for workers and users and be part of the creation nationally of a million public sector climate jobs with particular reference to extending sustainable accessible and integrated public transport, retrofitting housing stock, energy democracy, heating and cooling from renewable energy and eco build, food and waste.</li> <li>- Involve, support and enable residents, businesses and community groups to accelerate the shift to a zero carbon world, working closely with them to establish and implement successful policies, approaches and technologies that reduce emissions across our economy while also improving the health and wellbeing of our citizens.</li> <li>- Produce an annual update to Full Council on the progress made against the Council’s decarbonisation commitments, and conduct an annual Citizens Assembly comprised of a representative group of local residents to allow for effective public scrutiny the Council’s progress and to explore solutions to the challenges posed by global warming.</li> <li>- Work with other local governments (both within the UK and internationally) to determine and implement best practice methods to limit Global Warming to less</li> </ul>	<p>Corporate Directors</p>		<p>Ongoing</p>	<p>May 2020 - these are ongoing commitments but essential to adhere to in order to comply with ambitious targets. The Council are resolved to follow this. From a political level, these actions are being strongly supported by Members.</p>
<p><b>SRCR 0039b</b> Hackney Light and Power.</p>	<p>Hackney Light and Power will support the Council to meet declared target and become zero-net carbon borough by 2040.</p> <p>To maximise carbon emission reduction the company will:</p> <p>deliver the Green Homes Program – the first borough wide thermal efficiency housing program in London</p>	<p>Corporate Directors</p>		<p>Ongoing</p>	<p>Hackney Light and Power was officially unveiled as a publicly-owned energy services company on November 1st (2019).</p> <p>From the off, the primary objective of the company is to help deliver the ambitious decarbonisation pledges included in its climate emergency motion. At the launch of this, Cllr Burke commented:</p>

	<p>support the installation of innovating renewable heating measure</p> <p>support the rolling out of electric vehicle charging points</p> <p>supply the grid with green energy</p> <p>reduce fuel poverty</p> <p>improve residents' health and well being</p> <p>promote an inclusive economy and contribute to the nationwide green agenda</p> <p>help make Hackney a sustainable, green borough</p>				<p>" We have already delivered 50% renewable electricity for the Council and many local schools' needs on 1 April, and will switch to 100% in 2020; we're establishing a publicly-owned clean energy company that will turn Hackney into a renewables power station; we are rapidly decarbonising the Council fleet of vehicles and addressing land transport sector emissions; we're decarbonising the built environment through changes to the planning system; we're investing extensively in green infrastructure to derive a wide variety of environmental benefits, from cooler streets to enhanced biodiversity; we're creating a model for drastically limiting the use of petrochemical plastics; and we're investing heavily in our waste service to reduce resource consumption and increase recycling. "</p>
<p><b>SRCR 0039c</b> Communication</p>	<p>Communication is key, with the Council getting the correct message out both internally and externally</p>	<p>Comms</p>			<p>May 2020 - There has already been lots of coverage in local papers and online about Hackney's progress. During the Coronavirus crisis, there has been the opportunity to close roads and convert more space for cyclists and pedestrians.</p>
<p><b>SRCR 0039d</b> Cross Council involvement at all levels</p>	<p>Across all Divisions / services, any service plans or overall strategic documents need to pick up on this ongoing challenge and commitment. Any new projects / directives / initiatives need to consider climate change and our approach to it, in determining how to carry out work. Evidence of this happened can be seen within the Fleet services and the ongoing work with the NLWA.</p>	<p>Needs to be cascaded down from HMT to become normal practice.</p>		<p>Ongoing</p>	<p>This will become embedded as part of standard processes in the future. The Environmental Sustainability Board is meeting regularly to support the Council's approach here.</p>