

Chief Executive's Directorate Risks October 2021



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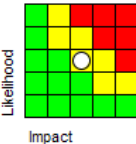

ECONOMY, POLICY AND NEW HOMES (EPNH)

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE EPNH 001 Employment, Skills and Adult Learning- External risks	<p>The Hackney Works service delivers employment advice, support and signposting to residents who are unemployed or underemployed. The wider Employment and Skills service works with businesses to broker a range of opportunities as well as developing new opportunities in house, for example, through the Corporate Apprenticeship Programme.</p> <p>There are a number of external risks that could have a significant impact both in terms of increasing the level of need in the borough and compromising the service's ability to deliver.</p> <p>These include:</p> <ul style="list-style-type: none"> • Covid Pandemic: 44,100 employees living in Hackney had been put on the CJRS as per 31 July. Across London, 75% of eligible jobs in the accommodation & food services industry have been put on furlough, 69% of jobs in the arts, 57% of those in construction and 44% in the wholesale & retail industry (separate data for Hackney is unavailable but we can expect the above to be indicative). The Office for Budget Responsibility's projections assume that more than one million furloughed workers may not have jobs to return to when the scheme ends in October 2021, risking a second spike of unemployment. • The creative, arts and cultural industries in Hackney provide over one in 10 jobs and are key to the success of the borough's economy, however, in the face of coronavirus the sector is among the most vulnerable of industries. • The data on UC claims shows that per 16 July, there were 30,000 people on UC in Hackney - 10,393 in employment and 	EPNH		Risk reviewed September 2021

	<p>19,603 not employed. This compares to 13,125 in Feb 2020, of which 4,373 were employed and 8,750 unemployed.</p> <ul style="list-style-type: none"> • A report published by the London School of Economics shows that individuals who are young, low-paid, black, in self-employment and those who have low education levels or live in large families are disproportionately affected by the current recession. • There are issues with vulnerable residents who are out of work having no access to ICT or broadband eg. homeless making it challenging for them to find work or access support to find work. • Welfare Reform- Continued changes to the benefits system resulting in further reductions to the welfare 'safety net' are likely to significantly increase demands for employment & skills services. • The impact of Brexit on available funding- Traditionally EU funding – particularly European Social Fund – has been a key funding source and source of revenue for Hackney Employment, Skills & Adult Learning Team. This will no longer be available post Brexit. This reduction in resource needs to be seen alongside the ongoing lack of government funding for local authority led employment and skills programmes since 2010. • Skill levels: Local/regional employers are increasingly demanding around skills levels of employees, this is related to pressures on improving productivity and decreased investment in workplace training. The increased divergence of skill levels of Hackney residents may result in a lack of access to opportunity for certain cohorts. This is compounded by ongoing cuts to Further Education and Adult and Community Learning budgets. 			
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE EPNH 001a Employment & Skills - External risks	<ul style="list-style-type: none"> • A new management structure for the Employment, Skills and Adult Learning Service has been established. This is providing improved strategic oversight and managerial support for the service. • An employment advisor working with homeless/those at risk of homelessness was introduced in 2019 • An overarching funding strategy for service has been developed. • Work is underway to improve the training and developmental offer of the Hackney Works service to 	Stephen Haynes	Andrew Munk	March 2022	September 2021 - control updated.

	<p>address the need for upskilling – this will include better integration with the service’s Adult Learning offer</p> <ul style="list-style-type: none"> • Employment, Skills & Adult Learning has applied to be a Kickstart intermediary to connect residents to DWP funded paid work placements. • Employment, Skills & Adult Learning is working with HR to maximise opportunities to connect residents to Council opportunities. • Development of the digital service provision to support residents accessing service provision online • Additional funds secured via the GLA to address barriers relating to COVID. • Employment, Skills & Adult Learning are exploring options for some face to face provision for those needing it most • Further development of key partnerships (e.g. New City College & Ingues) to ensure that there is a coordinated offer of support for key groups e.g. young people. 				
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE EPNH 002 LLDC Transition Risk	<p>Since the re-start of the transition process amongst Growth Boroughs in 2020, the GBP (Growth Borough Partnership) have made good progress in re-aligning the relationship with London Legacy Development Corporation (LLDC) from stakeholder to partner.</p> <p>The risks concerning these are split between those focused on LLDC and those associated with the GBP.</p> <p>LLDC</p> <ul style="list-style-type: none"> • LLDC have not yet released their financial plan for transition and the “new world”. Although budget shortfalls will have to be met by the GLA, there is a risk that Boroughs are asked to contribute. • No information on the reset board or commercial subsidiary has been provided yet. This could impact the future of the park as the commercial subsidiary is likely to control assets and their future income, which would be a risk to any inclusive economic work. • Details concerning what programmes that are currently offered by LLDC in terms of their inclusive economy work has yet to be provided, nor has any details concerning what funding these programmes have. 	EPNH		<p>Control reviewed September 2021.</p> <p>Risks are currently stable.</p> 

	<ul style="list-style-type: none"> Although LLDC have attempted to recruit someone to undertake asset mapping for the LLDC area, this has yet to be realised. 			
GBP	<ul style="list-style-type: none"> Lack of commitment from Boroughs to undertake any role post transition. This includes not providing resources. A change of leadership within boroughs could alter the current relationship. This is particularly pertinent with local elections within 2022. 			

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE EPNH 002a LLDC Transition Risk	<p>Risks associated with LLDC are centred around the need for information to be shared between themselves and the GBP. Steps taken to ensure this are:-</p> <ul style="list-style-type: none"> Recording instances of where information requested has not been provided. Discussing with LLDC colleagues at the formal BTG regarding these issues. If requests are still not provided then the issue is escalated to a political level, where formal representations are made via the GBP to the Chief Exec of LLDC. Informal meetings between officers have also been organised to ensure that dialogue can be achieved prior to escalating issues. A notable success of this is LLDC now sharing transition related papers prior to other parties so that we can steer on particular issues. <p>For risks associated with the BTG, the following controls have been devised:-</p> <ul style="list-style-type: none"> A meeting has been organised between GBP Chief Execs to ensure that potential resource commitments are highlighted early. Ensuring that any potential changes in leadership have been highlighted so that existing GBP members can provide a steer to new members. 	Andrew Munk	Sam Cunningham	March 2022	Control Added September 2021. Further details on risks will be available following LLDC / GBP Meetings in March 2022.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE EPNH 003 A range of key external factors that have the potential to undermine our ability to deliver	<p>Due to the complexity of the wider environment, there are external factors which can 'blow off course' the delivery of the Community Strategy 2018-2028.</p> <p>These factors include:</p>	EPNH		<p style="text-align: center;">↔</p> <p>Updated September 2021–Risk of impact high due to external context and uncertainty around ongoing pandemic and capacity.</p>



against the priorities of our Community Strategy 2018-2028.	Covid Pandemic, population churn and change, economic uncertainty, growing poverty and inequality, housing affordability and growing demands on services could undermine community wellbeing and cohesion and increase community tensions. Continued and substantial funding reductions. Uncertainty caused by 18 month Covid Pandemic, Brexit and Fairer Funding Review. Reactive national policy environment Refugees from conflict areas arriving in London in larger numbers than has been seen in recent years.			Description updated to include global refugee crisis.	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE EPNH 003a Analysis and proactive forward planning to support the management of the increased complexity of the external environment.	<p>Adopt a suite of frameworks and strategies, and the corporate planning and delivery infrastructure needed to respond to uncertainty and complexity - helping us focus on long term goals, and maximising the benefits and mitigating the impacts as they arise.</p> <p>The Community Strategy was developed with extensive external and internal dialogue, and was approved by Council in 2018 along with a Single Equality Scheme.</p> <p>We continue to clearly articulate what is within local authority control and what we can deliver and what is outside our control and what we need to influence.</p> <p>We maintain an overview of community impacts and continue to progress our single equality scheme which sets out how we will tackle key equality and cohesion issues.</p> <p>We have also adopted a poverty reduction framework.</p> <p>We are taking actions to shape a more inclusive economy as set out in our strategy adopted in November 2019.</p>	Stephen Haynes	Sonia Khan	March 2022	<p>Updated September 2021</p> <p>Developed Community Impact Assessment to identify direct and indirect impacts of pandemic- refreshed in Jan 2021 and now an underpinning tool to support corporate planning.</p> <p>Corporate plan refreshed in March 2020 in the light of these impacts to strengthen focus on vulnerability and equality - adopted by Cabinet in July 2020 and update taken to Council in July 2021.</p> <p>Refreshed approach to corporate planning delivery is being put in place to further strengthen delivery of corporate priorities.</p> <p>Poverty reduction framework developed and in use.</p> <p>Proactive work identified in response to the refugee crisis was identified in corporate plan and has now been accelerated.</p>
CE EPNH 003b Focus of CE support to manage the impact and opportunities	<p>The directorate capacity is closely aligned to supporting HMT to identify and deliver solutions to manage the impact of reduced funding.</p> <p>The establishment of Strategic Business Managers (SBM) within the Policy and Strategic Delivery Service has increased the capability of the Directorate to influence strategic programmes across the organisation.</p>	Mark Carroll	Stephen Haynes	March 2022	<p>Updated September 2021</p> <p>Control amended to reflect change of team. SBMs continue to be in place, are working with Directorates across the Council as well as providing corporate support to HMT and have played a key role in</p>

associated with reduced resources.	There is also an established CE directorate management team to corporately manage and monitor impacts and opportunities.				supporting the pandemic and cyber attack related governance.
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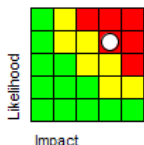

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
CE EPNH 004 Key LB Hackney partners' strategies and implementation plans diverge from the overall vision and strategy for Hackney - as articulated in the Community Strategy 2018-2028, undermining the cross cutting priorities which require partners to work collectively rather than institutionally.	<p>LB Hackney partners' strategies and implementation plans diverge from the agreed approaches leading to:</p> <ul style="list-style-type: none"> a failure to deliver new cross cutting priorities in the Community Strategy that address the strategic risks and opportunities in Hackney an ineffective or misdirected use of resources, with individual partners approaching issues in a piecemeal or siloed way. short termism and a lack of join up around long term preventative strategies the value of Hackney's Voluntary and Community Sector (VCS) and their potential to leverage in external resources is not maximised 	EPNH			
				<p>Updated September 2021 - Risk same level Although this is still a risk because of capacity -the pandemic has highlighted the importance of long term goals that promote fairness, equality and cohesion. Having a strategy and partnership in place has demonstrated that Hackney had a level of preparedness to respond to the pandemic and to develop our strategic response. Partners are therefore valuing this infrastructure and engaging with it, as a way to focus on cross cutting priorities, which ultimately will help us address the immediate demands on services and inequalities in communities. We will now be focusing on how we build on this beyond the pandemic, reviewing the role of the community strategy partnership and resetting the work of the voluntary sector as outlined below.</p>	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE EPNH 004a Strategic partners own and drive cross cutting priorities identified in	The Community Strategy Board, chaired by the Mayor, will steer cross cutting priorities in relation to inclusive economy, poverty reduction, sustainable procurement and workforce diversity.	Stephen Haynes	Sonia Khan	March 2022	<p>Updated September 2021 The Community Strategy Partnership set four priorities in</p>

<p>the Community Strategy.</p>					<p>February 2019. Since then they have met five times and progressed priorities outside of meetings with a focus on: inclusive leadership and workforce diversity anchor institutions local employment</p> <p>Since last year they have also been looking at pandemic impacts and informed the reset of the corporate plan in 2020.</p> <p>We will be looking at the role of the partnership beyond 2021/22, aligned to the challenges we have started to identify with partners, and taking into account the role of other partnerships and wider integration.</p>
<p>CE EPNH 004b The Council's partnership with the voluntary and community sector is underpinned by a shared strategy that defines how we will work together and our shared priorities, framed by the Community Strategy</p>	<p>The Voluntary and Community Sector Strategy sets out actions we will take over the next three years to support effective partnership working with the sector.</p>	<p>Stephen Haynes</p>	<p>Sonia Khan</p>	<p>March 2022</p>	<p>Updated September 2021 A new Voluntary Sector Strategy was adopted in March 2019 and is providing the frame for priorities which are now being progressed on: ways of working together investment property volunteering and community action</p> <p>This work has been accelerated by the pandemic, confirming that it was the right area to focus on.</p> <p>We are now using the work delivered during the pandemic to embed into longer term approaches to volunteering and community action and developing a new grants programme, lettings policy.</p>

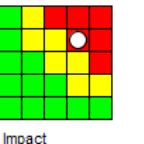

<p>CE EPNH 004c The Council's investment and support of the voluntary and community sector is framed by the current institutional and external contexts and ultimately supports the long term goals in the Community Strategy.</p>	<p>A review of grants and other investment in the voluntary and community sector will take place between July 2019 and March 2020. The key issues that the review will address have been identified in the Voluntary and Community Sector Strategy. The outcome of the review will inform decisions taken in 2020/21.</p>	<p>Stephen Haynes</p>	<p>Sonia Khan</p>	<p>March 2022</p>	<p>Updated September 2021: As reported last year we had to defer the grants review. (planned for March 2020). It is now being progressed and we are drawing on the more dynamic and relational ways of investing that we have had to put in place during the pandemic. A new programme will be launched in July 2022.</p>
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>CE EPNH 005 Building Safety (DPO 02, DPO 04, DPO 05, ERP 07, HSP 07, HS&P 07)</p>	<p>New building safety legislation places additional responsibilities on services and will have a significant impact on the design, specification, cost and timescale for new homes delivered by the Council. This creates additional pressures to enforce fire safety measures in the private rented sector, as well as ensuring the 'golden thread' of building information is passed from Regeneration to Housing Services for new council homes.</p>	<p>EPNH</p>		<p style="text-align: center;"></p> <p>September 2021 - This continues to be a risk with emerging legislation yet to be fully embedded into working practices.</p>

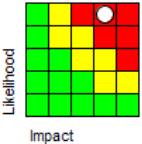

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<p>CE EPNH 005a Building Safety</p>	<p>Establishing a Hackney New Build standardised brief and building information/quality assurance systems. Incorporating Fire Safety Strategies and guidance issued by the central government. Clerk of Works employed as part of ongoing governance.</p>	<p>Chris Trowell/James Goddard</p>	<p>Diana Hall Jane Havemann Rachel Bagenal</p>	<p>Ongoing</p>	<p>Utilising BIM as 'Golden Thread' of information from Regeneration through to Housing Services. Futureproof buildings: modifying mid design or re-briefing early stage projects to meet requirements. Revise specifications: V5 spec included early Grenfell findings, V6 to include complete recommendations. Quality: Only brick facades, cladding issues generally avoided. Key stakeholder engagement including MHCLG and GLA.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE EPNH 006 Recruitment and Retention (DPO 12, DPO 21, HS&P 04, PSH 09)	If the Regeneration function is unable to recruit and retain sufficient appropriately skilled staff this will adversely affect the delivery of new affordable housing, as well as area regeneration and economic development in the borough. This will also compromise our ability to deliver key strategic policy objectives and improve the quality of the private rented sector.	EPNH		 This continues to be a risk until the Regeneration Service Review has completed and a new structure put in place for new homes delivery.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE EPNH 006a Recruitment and Retention	HR specialist recruited to support Regeneration's recruitment and retention. Inhouse development programme for staff to develop greater leadership skills and technical knowledge. Regeneration Service Review undertaken by Campbell Tickell, and recommendations being followed up. Recent recruitment drives have proved challenging.	Chris Trowell/James Goddard	Diana Hall Kevin Thompson	Ongoing	Regeneration Service Review findings and recommendations being introduced in staff roadshows. Awaiting confirmation of change management implementation via the Strategic Director EPNH. Staff recruitment retention and training plan development.

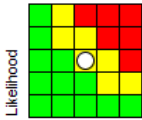

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE EPNH 007 Covid impacts on regeneration.	Long term and wider impacts of Covid 19 may mean that we need to change what and how we deliver in terms of future regeneration projects, for example to accommodate shifts in the function and use of workspaces, as well as demographic and lifestyle changes in the local population. Increased build costs may also reduce our ability to deliver new homes.	EPNH		 This continues to be a risk as we follow government guidelines

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE EPNH 007a Covid (AR 04, ERP 04, HSP 04, HS&P 01)	<p>Continued business engagement helps to understand business concerns and respond to these. Adapting existing programmes to respond to changing priorities. Programmes at the feasibility stage will explore broader questions about the function of high streets, how we travel to work and what our work spaces look like.</p> <p>Adapting existing programmes to respond to changing priorities. Programmes at feasibility stage will explore broader questions about the function of the house building/affordable housing sector in Hackney.</p> <p>Uncertainty and impact on supply chain (both labour and materials) resulting in higher tenders than estimated leading to unviability.</p>	Chris Trowell/James Goddard	Suzanne Johnson Jane Havemann Rachel Bagenal	Ongoing	<p>Area Regeneration Managers reviewing programmes following Covid 19 and addressing the impact of Covid. e.g. study in Shoreditch on Covid impact. Business grant funding used to support targeted sectors like cultural grants fund.</p> <p>Soft market testing and market information gathered to try to inform pre-tender cost estimates. Procurement strategies being developed and cost plan scrutiny.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE EPNH 008 Funding and Financial Viability (AR 01, ERP 04, HSP 02, HSP 04, WD 01, WD 02, WD 03)	If stagnant/falling house prices continue to be compounded by increasing build costs due to labour/materials shortages following Covid/Brexit, this will have a significant impact on the financial viability of the Council's house building programmes and the quantum of new affordable homes that can be delivered. These adverse market factors may also result in reduced external funding for area regeneration projects.	EPNH		 <p>This continues to be a risk with falling house prices and increased build costs.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE EPNH 008a Funding and Financial Viability	Planning and delivering projects in phases. Considering options/scenarios for delivery which include a scenario with a reduced scope. Improving the quality of bid submissions.	Chris Trowell	Suzanne Johnson Jane Havemann Rachel Bagenal Anne Byrne	Ongoing	Working closely with planning to ensure Area Regen input during the new neighbourhood CIL. New economic development function and changes to team revenue budget

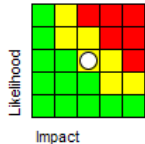

	<p>Homes could be rented (as a build to rent, market rent product) with an option for some to be rented out at Hackney Living Rent if viable.</p> <p>The legal agreement for Woodberry Down provides for the Council and its partners to work together to address viability on each phase, and it provides for mechanisms (e.g. the use of overage, tenure mix, mix of uses) to address challenges to viability.</p>			<p>will help develop the evidence base to improve quality of external grant bid submissions.</p> <p>Ongoing monitoring of the housing market and impact of Brexit on supply chains (labour and materials).</p> <p>Overage is now being generated from Phase 2 of Woodberry Down, and the post-planning viability test for Phase 3 was agreed in March 2021.</p>
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Risk Title *	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE EPNH 009 Breach of Statutory Requirements on Elections / Electoral Registration	Non-compliance with the Statutory Requirements for Elections may lead to invalid processes resulting in legal action and the need to re-hold elections incurring additional costs and reputational damage.	Chief Executive's		 <p>Any breaches or problems will impact severely on the authority and Returning Officer. Risk score remains static.</p>


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CE EPNH 009a A Breach of Statutory Requirements on Elections and Electoral Registration	Electoral Services to monitor and maintain procedures for all Electoral Requirements to ensure compliance with new and existing processes using appropriate advice and guidance. Regular review of systems and infrastructure particularly with future legislative electoral changes in the next 3 years, particularly in relation to the annual canvass	Bruce Devile	Bruce Devile	March 2022	Reviewed September 2021 The latest proposed Government Elections Bill is being closely monitored for implications
CE EPNH 009b Breach of Statutory Requirements on Elections / Electoral Registration	Regular review of systems and infrastructure for both electoral registration and elections	Bruce Devile	Bruce Devile	March 2022	Reviewed September 2021
CE EPNH 009c Breach of Statutory Requirements on Elections and Electoral Registration	Continue to review team resources to ensure continued accurate and consistent delivery of priorities.	Bruce Devile	Bruce Devile	March 2022	The team successfully delivered elections in recent years, including the GLA and by elections in May 2021 which required significant additional Covid-19 requirements. The team structure will continue to be monitored. Additional staff will be brought in at election times.

ENGAGEMENT, CULTURE, AND ORGANISATIONAL DEVELOPMENT

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE CC 0004 Involvement: uncertainty regarding residents feeling involved in Council key projects and view on	Consultation and community engagement activity not providing relevant information and/or not reaching or getting feedback from a wide and diverse range of people in Hackney. People do not feel listened to and cannot relate their views, priorities and interests to work being delivered to deliver the goals of the community strategy and do not feel that the local growth and change in the borough is benefiting them.	ENGAGEMENT, CULTURE, AND ORGANISATIONAL DEVELOPMENT		 Updated September 2021 – Risk is stable This risk is ongoing.

achieving the goals of the community strategy.	The Covid pandemic has exacerbated this risk as many people find it difficult to participate in digital engagement, but face to face participation opportunities are still limited. The events of the past 18 months have strengthened communities in some ways but have also served to create a number of divisive narratives which have led to some people feeling further excluded from participation and decision making.				
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CECC 0004 Consultation and community engagement strategy and individual consultation and engagement plans	<p>Community Engagement is a key driver of the Communications Strategy alongside Council Corporate Plan; all consultation adheres to the standards of the Council's consultation charter and community engagement plans align with corporate priorities.</p> <p>Communications strategy is informed by a community insight gathering and engagement, which considers the priorities and interests of Hackney's diverse communities. This includes regular surveys and engagement work by the Council and with partners. Our resident's survey has been a major exercise to engage with local people about the key benefits and opportunities arising from growth and how these can be maximised. This exercise provides the basis for the council's long term engagement strategy.</p> <p>The Council has not carried out a full residents survey for more than two years. Covid has affected both the timing and the funding for this (NB our established methodology is Ipsos MORI face to face interviews with 1,000 residents, which provides very high quality data but is costly, and has been difficult to carry out during the pandemic). Work is underway to explore funding options and content for a survey in the new year.</p> <p>The Council continues to develop and implement an insight and engagement led approach to communications and to work across the Council to ensure that residents are given the chance to influence the decisions that most affect them. Matrix management has been established to strengthen links between the Tenant Participation Service in Housing, and the corporate team, to ensure we are effectively reaching and engaging residents in social housing.</p>	Polly Cziok	Polly Cziok	March 2022	Updated September 2021

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CE CC 0005: Organisational Development: risks to the workforce strategy aims of an engaged, motivated workforce, and inclusive workplace.	The next phase of the Covid pandemic, and the implementation of future workplace programmes could lead to staff feeling disengaged and unsupported, lack of cohesion within hybrid teams, disproportionate impacts on some groups of staff, and growing perceived disparities between fieldbased and office/home based staff. Staff working remotely for the majority of their time could feel excluded from development opportunities. Ongoing uncertainty around the pandemic situation could lead to organisational drift.	ENGAGEMENT, CULTURE, AND ORGANISATIONAL DEVELOPMENT		 Updated September 2021 – Risk is stable This risk is ongoing.	
Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CECC 0005a Ongoing programme of staff engagement and insight, OD board focusing on emerging needs of workforce	The Council is piloting training for all managers with home/office staff to help them gain the skills to effectively manage a hybrid workforce. 65 managers are taking part in the pilot in Sept/Oct 21 with the aim to use their feedback further adapt and tailor the course content for Hackney and deliver organisation wide. An organisation wide staff survey is currently underway to test staff engagement/morale/informed levels. Data will be provided at directorate and dept level and support provided for Directors to shape action plans. Regular staff insight work has been carried out throughout the pandemic and has shaped the organisational response and future workforce plans. The workforce strategy has been updated in the light of the pandemic.	Polly Cziok	Polly Cziok	March 2022	Updated September 2021

LEGAL & GOVERNANCE SERVICES

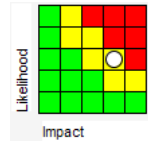

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CE LS 0016 No Legal Advice Sought or Given	Directorates and services fail to seek timely advice on the right decision-making process and to seek legal advice on contracts or litigation resulting in adverse court rulings and increased costs or compensation.	Legal & Governance Services		<p>Risk remains static, regular client training, client liaison meetings and quarterly team updates will continue to provide mitigation. In addition, training is being delivered by the Governance Service around Constitutional matters.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE LS 0016 No Legal Advice Sought or Given	<p>Governance training for Legal Services and Directorates. Decision making procedure note prepared and provided to clients and staff; regular advice provided to clients on governance and decision making; close management and monitoring of decision making requests on urgent items.</p> <p>Consider and review team training, including reporting and authority limits and accuracy checks on high risk activities and briefings of arrangements to other directorates. Training on procurement procedures to mitigate the risk of service departments following the incorrect procedure. Also ensure effective communication is carried out between teams, and effective templates are distributed by Legal Services.</p>	Dawn Carter-McDonald	Dawn Carter-McDonald	March 2022	<p>The Governance Service has carried out, and continues to offer, training on the role of the Service and decision-making generally.</p> <p>The Excellence in Governance Group now has representation from each Directorate across the Council and carries out thematic reviews of service areas / topics.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
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<p>CE LS 0019 Legal and Governance compliance</p>	<p>Failure of Lawyers and Governance Team to identify in a timely manner Legal and Governance Risks that arise in case management and non-compliance with Governance procedures, this also includes providing legal advice and governance support on matters instructed upon by clients and directorates.</p>	<p>Legal & Governance Services</p>		<p style="text-align: center;"></p> <p>Risk remains static, albeit that in some areas, such as childcare, litigation, procurement and housing there has been an increase in the volume of instruction in a non-timely manner.</p>
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<p>CE LS 0019 Legal and Governance compliance</p>	<p>Ensuring that appropriate authority for the legal action proposed is sought at the outset of instructions.</p> <p>Lawyers to review cases at commencement to identify potential risk.</p> <p>Matters and areas of concern relating to identified risks are escalated.</p> <p>Regular review of the Legal Risk Register by all lawyers and senior management.</p> <p>Monitor the submission timetable for reports in advance of the due dates.</p> <p>Monitor late submission to identify trends and escalate where necessary.</p>	<p>Dawn Carter-McDonald</p>	<p>Dawn Carter-McDonald</p>	<p>March 2021</p>	<p>Workloads and cases are monitored closely by line managers via supervisions / check-ins / team meetings.</p> <p>Concerns are escalated to SMT where appropriate.</p> <p>The internal Legal Risk Register is carefully monitored</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE LS 0020 Meetings	Return to physical meetings - lack of resources to support hybrid or live streamed meetings, and issues with Town Hall infrastructure (i.e. microphones, ICT and other elements). Risk of reputational damage as result, or legal challenge due to meeting procedures not being followed correctly.	Legal & Governance Services		 This continues to be a risk while stop-gap solutions are in place and resolutions being sought.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE LS 0020a Meetings	Regular meetings between ICT, Facilities and Governance Services to identify issues and solutions. Continued support for staff and Councillors for virtual/hybrid settings.	Dawn Carter-McDonald	Dawn Carter-McDonald	December 2021	Procurement of a permanent ICT solution is in progress.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE LS 0021 Risk to Resources	Demand for Legal Services is greater than the service can deliver due to lack of sufficient resources (i.e. legal staff), leading to decrease in staff morale, higher workplace stress levels and associated risk of absence due to ill-health. Alternative service provision via external lawyers would place increased financial pressure upon the Council at a time when its budget is constrained.	Legal & Governance Services		New risk added September 2021

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE LS 0021a Risk to Resources	Early engagement with Legal Services should be encouraged to enable matters to be more effectively managed throughout and to enable advice to be provided which could obviate difficulties arising later on, such as avoidable legal proceedings. Where pressures have been identified, business cases will be presented to client services where more resources are required.	Dawn Carter-McDonald	Dawn Carter-McDonald	December 2021	Added September 2021

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE LS 0022 Case Management System	<p>Following the cyber attack in October 2020, the Legal case management system became unavailable. An alternative system was in process of being implemented which had to be accelerated even though the system was not fully functional. Some 10 months later, the system remains 'in development' and is not fit for purpose.</p> <p>Impact on staff morale and productivity with having a system which is not fully functional.</p> <p>Risk of loss of Lexcel (Law Society) accreditation due to non-compliance with the Lexcel standards.</p>	Legal & Governance Services		New risk added September 2021

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE LS 0022a Case Management System	<p>Discussions are underway with ICT about an alternative case management system, but we are hampered by the Council being a G-Suite authority as there are insufficient suppliers within the marketplace who have systems which integrate fully with G-Suite. A significantly greater number of options would be available if the Legal Service was permitted to utilise Windows / MS products.</p> <p>This continues to be a priority for the Legal Service.</p>	Dawn Carter-McDonald	Dawn Carter-McDonald	December 2021	Added September 2021