Hackney Corporate Risks June 2021

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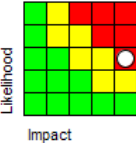
Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
SRCR 0040 Pandemic (COVID-19) ***EXTERNAL RISK*** ***FUTURE RISK***	The fall-out from the COVID-19 pandemic continues to persist (with the potential of further waves, new strains and uncertainty about the exact future impact of long COVID) having an undeniably damaging impact on the local area, both in the community and amongst staff within the Council. Also, if there are significant numbers of the community who are not vaccinated or fail to adhere to health guidelines, there are further risks of the pandemic persisting. This would continue to place 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 carry on posing longer term threats to the Council's financial stability going forward, with budgets being severely challenged, and income (whether through Council Tax, Business Rates, Leisure 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). 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 (exacerbated by the cyber attack), 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, emphasised by current political arguments about their access to free school (and out of term) meals. Also increased poverty (due to less	Cross Council		June 2021 The nature of the virus and its impacts have been constantly changing, although following the third lockdown, statistics now suggest a more positive picture going into the summer of 2021, which enables a slight improvement in the (still high) overall risk assessment. Amidst the array of advice, rules and guidance, there have been ambiguities in the message from the UK government which has caused discontent in local communities (especially the hospitality sector). Within Hackney specifically, there have also been lower than expected take ups of the Vaccine, for an array of reasons including mistrust in the government and politics, and fear of the side effects of the vaccine. Public Health have been diligently trying to tackle these objections. At the Council, where possible, home working has continued - although this can clearly not apply across all services. Considerable numbers of staff have been deployed in slightly different roles to support the demands of the service, with a second phase of redeployment having been launched. Overall, services have been generally maintained (although now impacted by the Cyberattack) and the switch to working from home has proved successful. The

	work) and less well stocked food banks / supermarkets impact on vulnerable adults, as well as impacts on all kinds of supply chains. COVID-19 continues to impact on international economies affecting future funding opportunities and causing stock market turbulence which could have problematic implications for pensions (although most recent figures are encouraging). Also if landlords are not managed properly, there is an increased chance of homelessness, or more reliance on temporary accommodation.			longer this set up goes on (with redeployed staff, special leave and increased workloads and backlogs), the more it may impact on effective service delivery. The details within the risk controls (and work already undertaken this year) should provide some assurance that the Council is positioning itself as effectively as possible to deal with the challenges.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
SRCR 0039 Pandemic - Business Continuity / GOLD / SILVER meetings / Contract Management / HR	The BECC (Borough Emergency Control Centre) continues to coordinate all critical activities that support the Council's response. Senior management receive regular briefings about all developments and advice from the appropriate teams. 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 The BCPs are hoped to ensure service delivery can continue effectively even in light of such disruption. Regular updates are being provided by the Communications team to keep everyone fully posted on all developments and the Council's latest response. GOLD (initially held daily) and SILVER (initially held twice weekly) Corporate Resilience meetings have been occurring providing transparent leadership. 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. 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.

Another control being used is for 'non-essential' (non-frontline) staff to be redeployed for temporary periods of time. This is at the discretion of HMT and assisting services with particularly high | Senior Officers, advised and directed by Business Continuity | Cross Council | Reviewed weekly at the moment. | May 2021 - The third national lockdown is in the process of being eased, with a roadmap for the months ahead setting out how things across the UK are scheduled to open up (dependent on COVID statistics continuing in a positive direction). There is optimism that the government date of June 21 for all restrictions to be lifted is on course to happen. |

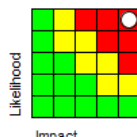|					
	workloads in the aftermath of COVID. (eg Business Grant Applications) HR have drafted detailed guidance about every aspect of how COVID-19 may affect staff and how staff should proceed in the light of COVID related difficulties. This clarity should ensure a clearer approach to work during this confusing time. Pubic Health have been continuing a targeted and comprehensive campaign to address any concerns that Hackney citizens have about taking up the vaccine.				
Housing & Business Rates Support	The Council 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 Housing Services tenants from the hazards of evictions or uncertainty of possession orders during the coronavirus pandemic. Landlords in Hackney were asked by the Council 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. Multiple homeless people have also been rehoused by the Council since the first lockdown. 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 housing payments. The Business Rates team worked to identify the thousands of businesses in the borough eligible for the new rate reliefs and coronavirus business grants announced by the Government. Over 90 million pounds worth of relief and grants have been processed that will benefit small businesses as well as those in the retail, hospitality and leisure sectors. In addition to this the Council ensured that direct debit payments due in the early phase of Coronavirus for any business that will qualify for the extra reliefs were not requested. The Council also temporarily put recovery on hold and didn't issue notices to ratepayers chasing outstanding business rates at this time. 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.	HMT	Cross Council		Government has increased the amount available to Whitehall departments for contingency funding to £266bn for 2020/21 in response to the Covid-19 pandemic. In December 2020, three new business grant programmes were launched by the Council. Over 3,500 businesses are expected to benefit from the £12million package of support being delivered by Hackney Council. Earlier in 2020, the Mayor announced that thousands of Hackney businesses are to share £100m in financial support and relief through a range of measures agreed by the 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

| | 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.

Council Tax
Council tax staff are operating the contact centre via home working. They have provided a near-full service to customers although the Cyberattack introduced new challenges.
The Council is supporting around 24,000 low or no income families that receive up to a 85% discount on their Council Tax bill by committing to a further £60 reduction in their bill in 2021/22, alongside most pensioners on low incomes and care leavers who are not being charged Council Tax at all. | | | | 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." |

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
SRCR 0041 Risks arising from the (October 2020) Cyberattack *INTERNAL RISK FUTURE RISK*	In the aftermath of the recent cyberattack on the Council's legacy internally hosted systems, there are continued impacts on services where work to recover systems and data is not yet complete (potentially heightened by the ongoing pandemic). Substantial progress has been made with investigations and recovery, but this is still expected to take a significant period of time (at least many months). This presents significant risks in terms of service delivery and the ability of the Council's staff to carry out their roles in full. Data stolen by the attackers was published to the dark web in early January 2021, which presents a further risk. There is also the risk that recovery work may introduce new vulnerabilities / reintroduce vulnerabilities which existed at the time of the attack / retain elements of the attack which could be reused in future.	Chief Executive's; Children and Education; Adults, Health and Integration; Finance & Corporate Resources; Neighbourhoods & Housing		**May 2021** - On Sunday October 11th the Council's ICT team identified a serious cyberattack on the Council's systems. Work was carried out immediately to isolate the Council's internally hosted systems and network and to notify the national leads for cyber security. Cloud and other externally hosted systems were not affected by the attack. Despite this, affected systems include a large number of critical services, including: social care; housing benefits; Council Tax and Business Rates; land charges; and housing services. Investigations are continuing with the cooperation of multiple organisations, including the National Crime Agency, National Cyber Security Centre and local law enforcement. The Council is also continuing to work closely with the Information Commissioner's Office to support their investigation into the breach. At this stage, the Corporate priorities for the recovery remain focused on supporting the COVID response, protecting the most vulnerable and assuring residents and partners. Recovery and business continuity progress to date includes: • Continued payment of housing benefits, Council Tax and Business Rates, based on October 2020 payments • Recovery of the elections system so that the May 2021 elections could be held as required

	• Recovery of the main Revenues and Benefits system so that annual billing could complete on schedule and work can begin to process the backlog of benefits claims • Provision of interim tools to support services such as housing repairs and social care - with further development in progress to restore full functionality • Reintroduction of some of the Council's online services, such as recycling requests for estates and street properties • Recovery of data and provision of a partial land charges service • We are able to raise orders for goods and services and pay suppliers This will continue to be an ongoing focus for the Council's services and ICT teams.

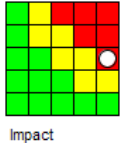| Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
SRCR 00??a Recovering data	The cyber attack has resulted in all internally hosted legacy systems being unavailable. The recovery work is complex and extensive, so priority will need to be given in line with the Gold priorities.	Tim Shields; Ian Williams; Ajman Ali; Anne Canning; Helen Woodland	Rob Miller	Sept- - 2021	In line with the priorities set by Cyber Gold, the most critical systems that are still prioritised for recovery are: • Mosaic (social care) • Academy (benefits and revenues) • M3 (Planning and land charges) • Housing (delivery of modern digital tools to replace the legacy system) Work is also ongoing to attempt recovery of other data, including Civica APP (environmental services) and eDOCS (legacy document management). Progress has been made with each of the priority areas of recovery, but significant effort is still required to complete this work.
Service continuity	The systems that have been impacted by the cyber attack are essential for the delivery of many of the Council's critical services including: social care; housing benefits; Council Tax and Business Rates; land charges; and housing services. These systems and data sets being unavailable has a major impact on those services and business continuity and contingency arrangements will be essential to delivery of the most critical parts of those services.	Tim Shields; Ian Williams; Ajman Ali; Anne Canning; Helen Woodland	James Groom	Sept - 2021	The Council's Cyber Gold group is continuing to coordinate service continuity, risk management and recovery efforts. Fortnightly briefings are in place for Council Silver officers to make sure that services are kept up to date with the technical recovery work.

Maximizing existing tools	While primary services systems are unavailable it is essential to explore alternative interim tools that can be made available to support service continuity arrangements. The Council has a number of tools it can deploy to provide this, including tools developed using the Amazon Web Services cloud platform and Google Workplace.	Tim Shields; Ian Williams; Ajman Ali; Anne Canning; Helen Woodland	Rob Miller	Sept - 2021	The ongoing recovery work continues to include significant progress to recover data onto modern cloud technologies (which in many cases present a faster route to recovery and supports delivery of the Council's longer term strategy for technology and data).

This includes migrating recovered data onto new cloud based systems which were already in progress, procurement of cloud based systems to replace legacy systems, and development of modern digital tools where that presents the best strategic fit. |
| Communication to residents and staff | Many services that residents depend on have been impacted by the attack. | Tim Shields; Ian Williams; Ajman Ali; Anne Canning; Helen Woodland | David Hardiman | Sept - 2021 | Each service area is responsible for taking the lead on communicating impacts and change to their services.

The Council's communications team are providing support to services in developing their proactive and reactive comms plans.

Regular communications are being published online, through the Council's e-newsletter, social media channels, Hackney Today and Hackney Life which are used to deliver updates on service status, impacts on residents and mitigations.

Fortnightly Council Silver briefings are taking place to ensure that senior managers across all services are updated on progress and are able to cascade relevant information to their teams. This is supported by updates on progress and key cyber updates as part of internal communications to all staff. |
| Security of recovery work | The work to recover systems and deploy contingency tools needs to move at pace and involves a large number of pieces of work. This presents potential security risks from using tools in different ways and the pace of work.

There are also potential security risks arising from restoring legacy systems, with the risk that pre-existing vulnerabilities and any remnants of this attack are returned into the operational environment. | Rob Miller | Rob Miller | Sept - 2021 | The technical recovery workstream includes a work strand focusing on security risk management. This covers:

- Security assessment of unaffected services (to ensure that any latent risks are identified)
- Password resets to protect against potential account compromise arising from stolen credentials
- Security assessment (including third party assessment by BAE Systems - the external cyber security experts supporting our response) of services before they are restored / new services |
| Data exfiltration risk | Alongside the significant disruption to the Council's services, data stolen by the attackers was published on the dark web in early January 2021.

This presents a risk that the Council will need to control against for an extended period of time (years). | Rob Miller | Cate McLaurin | Ongoing | The Council's Information Management team worked with data owners across services to assess the risks relating to the different datasets held on the Council's systems, with support from partners in the Met Police and National Crime Agency.

The risk assessment process was used to develop response plans which have been deployed in response to the publication of the stolen data. |

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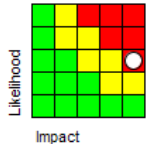|					
					Work is now in progress to set up the longer term arrangements needed to mitigate against the risks this presents.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
SRCR 0001 National and International Economic Downturn *EXTERNAL RISK CURRENT & FUTURE RISK*	There is an ongoing risk to the Council's finances arising from measures that the Government are continuing to take. This is now being compounded by the effects of the pandemic and the uncertainty surrounding Brexit. COVID-19 expenditure has significantly reduced the flexibility and resilience of the Council's financial position and this has now been exacerbated by the Cyberattack. 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. The risk is that the Council spends more money than it can finance through planned income streams and the annual financial settlement from central government. This then results in a budget deficit or an unacceptable call on reserves. 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.	Chief Executive's; Children and Education; Adults, Health and Integration; Finance & Corporate Resources; Neighbourhoods & Housing		June 2021. Since the last update , the Coronavirus pandemic has continued to have a seismic impact on economies internationally. The Council has clearly been seriously affected by this. Additional pressures arising from COVID-19 in the financial year of 2020/21) are estimated at £58.5 million, through a combination of reduced income (from loss of business rates, parking, leisure facilities etc) and increased expenditure. Current estimates are of £24m additional spending and £34.5m in lost payments. For 2020-21, Central government has provided £32.3m from the Emergency Fund to LBH and will provide an estimated £9.6m from the SFC compensation scheme. Because of the Collection Fund compensation scheme and the fact that losses in business rates and council tax after the application of this funding will not accrue until 2021-22 to 2023-24, the Government's overall funding pot in 2020-21 may broadly match the increase in our net spend in this year resulting from Covid but we will not know for certain until the accounts have been closed. However, the pandemic looks set to create adverse impacts not just in 2020-21 but over years to come. In 2021-22, we will receive £11m Emergency Fund grant and some SFC income (but on a much smaller scale than in 2020-21) but whether this will be sufficient will primarily depend on how quickly the local economy recovers and the speed with which all restrictions are lifted. The **Fair Funding Review** was, at the last review of this risk, a significant factor from 2021/22 onwards. In light of the pandemic its implementation is unlikely to occur before 2023/24. This review will affect how funding is allocated and redistributed between local authorities in the future and should take account of the 'new normal' following Covid. It is anticipated that the Council will be a net loser on the basis of proposals that were previously proposed. It must also be recognised that the likely delay to Fair Funding will make robust medium term financial planning extremely difficult. Despite the fact Brexit was finally agreed, there still remain financial risks with regards to supply chains and how the economy in general adjusts to this new situation.

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Austerity measures have persisted over the last decade, although noises were being made that austerity is coming to an end, this is even more uncertain now in light of the pandemic and the economic impacts. Ongoing Central Government cuts mean that Hackney must already 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 2020/21 it is £170m - an overall cut of 45%. All these points illustrate the undeniably challenging financial predicament of the Council.

The latest MTFP (published as part of the 2021-22 Budget report) estimates that there will be a gap of £11.2m in 2022-23 and a further gap of £12.6m in 2023-24. However this must be regarded as an Illustrative forecast only because of uncertainties regarding future external funding and the ongoing impact of Covid and the cyber attack.

Clearly, the one year settlement for 2021/22 does not assist with medium term financial planning and the Council must be prepared to develop significant savings plans in the medium term in anticipation of the Fair Funding Formula and in the context of the economic impact of the pandemic and Brexit which may also impact on resources available. 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.

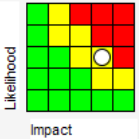| Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
SRCR 0001B National and International Economic Downturn	There is a need to ensure that the Medium Term Financial Plan accurately reflects best estimates of future funding levels. Financial planning 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; Helen Woodland	Ian Williams	31-Jul-2021	May 2021 - action ongoing. 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. Further detailed updates to Members have continued throughout the year and the current position is set out above. The MTFP was refreshed and presented as part of the 2021-22 Budget report with the indicative impact of the Fair Funding Review for 2023/24 being built into the Council's forecasts.
SRCR 0001A 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; Helen Woodland	Ian Williams	31-Jul-2021	June 2021 - action ongoing. The budget for 2022/23 is being developed in the context of MTFP forecasts noted above. Work on the budget needs to deliver significant savings and maintain momentum to ensure these are developed together with those for 2023-24

SRCR 0001D National and International Economic Downturn	Savings proposals were developed and agreed with members in order to bridge the forecast reduction in resources in 2020/21 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; Helen Woodland	Ian Williams	31-Jul-20 21	June 2021 - ongoing. As noted above. There has also been an ongoing campaign to reduce agency spend but the forecast for the current year remains at £40m with the cyberattack presenting a further risk to this figure. HMT have agreed to target a 15% reduction in agency spend going forward.
SRCR 0001E Commercialisatio n	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; Helen Woodland	Ian Williams	31-Jul-20 21	June 2021 - 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 have been leased out to third parties including the recent letting of the Annex which helped reduce the budget gap for 2021/22.

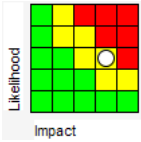| Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
SRCR 0002 Management of Capital Programmes / Schemes *EXTERNAL RISK FUTURE RISK*	From a financial perspective, as a result of substantial external borrowing to fund the ambitious capital programme, the Council moves from 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. 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.	Chief Executive's; Children and Education; Adults, Health and Integration; Finance & Corporate Resources; Neighbourhoods & Housing	Likelihood / Impact	May 2021 - 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 £221m (non-Housing schemes totalling £117m and Housing schemes totalling £104m). 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 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 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 on Morning Lane) contain detailed break clauses, which essentially provide guarantees that (even with the initial investment) the council cannot suffer serious losses.

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 April, the risk has remained stable. |
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
SRCR 0002A 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; Helen Woodland	Jackie Moylan	31-Aug-2021	May 2021 - Draft outturn position for 20/21 is £202m, against a revised budget of £222m. Reasons for the underspend against budget will be reviewed as part of our normal process. Capital budget profiling is a focus as it informs treasury decisions, and actuals v budget are being reported to Audit Committee accordingly. .
SRCR 0002B 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; Helen Woodland	Jackie Moylan	31-Aug-2021	May 2021 - ongoing.
SRCR 0002C 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; Helen Woodland	Jackie Moylan	31-Aug-2021	May 2021 - ongoing. A full capital management review has now commenced. This will be reported back on in due course.

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SRCR 0010 Pension Fund ***EXTERNAL RISK CURRENT & FUTURE RISK***	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 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 and other employers in the Fund via increased employer's pension contributions.	Finance & Corporate Resources		May 2021 - In the immediate aftermath of COVID-19 stock markets crashed and investments almost everywhere went down, although they quickly recovered and continue to generally increase in value. While market conditions remain volatile, both our investment strategy and the plan for meeting our liabilities (our future pension payments) stretch over the very long term and we are confident that it is robust. The Fund remains cash flow positive albeit not as strongly as in the past. 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 and we are now in the implementation stage. We remain committed to the Fund's policy to reduce exposure to carbon reserves and greater focus on ESG matters. 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. The likelihood of this risk occurring remains relatively high, given the ongoing volatile conditions in investment markets and the impact of changing demographics. The impact has to remain high, given the potential threat to the Fund's ability to pay benefits when they are due. 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 has recently committed to transfer further assets to the London CIV, but the process will still not be complete for a few years. Further proposals will incur transition risks, as well as overall strategic ones so the process continues to be managed carefully, although the overall aim is to make efficiencies in investment costs. The refreshed investment strategy will result in further pooling of the Fund's investment assets.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
SRCR 0010D 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.	Jackie Moylan	(Rachel Cowburn); Michael Honeysett	31-Aug-2021	Updated May 2021 - ongoing.

FRFSV 0052D 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 changes, all consultations and guidance from the Government are being monitored, and responded to where appropriate.	Jackie Moylan	(Rachel Cowburn); Michael Honeysett	31-Aug-2021	CIPFA are currently reviewing and updating the framework and we will assess training against the framework bearing in mind also recent staff changes on the Pensions Team - May 2021
FRFSV 0053B 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/improvement 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.	Jackie Moylan	(Rachel Cowburn); Michael Honeysett	31-Aug-2021	Updated May 2021 - ongoing. (Next valuation due March 2022)
FRFSV 0053C 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 risks where feasible. Also regarding further Asset Pooling, planning for transition is considered as part of the Investment Strategy development to ensure assets are transitioned efficiently and within the required timeframes.	Jackie Moylan	(Rachel Cowburn); Michael Honeysett	31-Aug-2021	Updated May 2021 - ongoing.
FRFSV 0042D 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.	Jackie Moylan	(Rachel Cowburn)/ Michael Honeysett	31-Aug-2021	Updated May 2021 - ongoing. Detailed reports are considered at Pensions Committee at regular intervals providing them with the assurance that risks are being managed.
FRFSV 0042E 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.	Jackie Moylan	(Rachel Cowburn); Michael Honeysett	31-Aug-2021	May 2021 – 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
SRCR 0013 Impact of New Legislation ***EXTERNAL RISK*** ***FUTURE RISK***	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. 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. Additionally, the impact of new legislation - seen in areas such as Welfare Reform (especially Universal Credit) and in response to the Coronavirus crisis- could result in an increase in rent, service charge, arrears, higher legal costs, increased evictions and pressure on the vulnerable (potentially resulting in homelessness). 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.	Chief Executive's; Children and Education; Adults, Health and Integration; Finance & Corporate Resources; Neighbourhoods & Housing		May 2021 –The Homelessness Reduction Act (April 2018), GDPR (May 2018), The Housing and Planning Act 2016 and the forthcoming Environment Bill (2021) 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. 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 (and business grants etc), especially post COVID-19. Regarding the Housing and Planning Act (2016), the HRA debt cap has now been lifted, the forced sale of council houses removed – 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.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
SRCR 0013 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	Tim Shields	Dawn Carter-McDonald	31-Jul-2021	May 2021 - ongoing.

	Law Update outlining all the latest legal developments and their potential impact on the Council.				
SRCR 0013A New Policies affecting Housing	Detailed analysis is being carried out regarding the likely impact of new policies, both internally and with other boroughs and representative organisations. Individually and with other boroughs, the Council continues to respond to policies in order to mitigate the adverse effects of these policies. Once the detailed Statutory Instruments have been published , 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. The Building Safety Bill (issued 20/7/20) and new energy regulations will both constitute new legislation to get to grips with. 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. *Homelessness Reduction Act*: 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.	Ajman Ali	David Padfield	31-Jul-2021	Updated May 2021
SRCR 0013B Care Act 2014	This Act has reformed the law relating to care and support for adults and the law relating to support for carers. Detailed work has been undertaken to ensure its effective implementation, and clear timescales and budgets which need to be adhered to. Adult Social Care managers have a robust monitoring system in place to track the impact of the Care Act which will inform service and financial planning.	Anne Canning / Helen Woodland		31-Jul-2021	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.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
SRCR 0018 Workforce & Skills *INTERNAL RISK* *FUTURE RISK*	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. There is also the additional risk that amidst an atmosphere of financial reductions and redundancies (and the ongoing pandemic), the Hackney workforce become demotivated, leading to a negative atmosphere amongst workers, impacting upon service delivery and leading to dissatisfied stakeholders. Also that restructures and significant senior leadership change 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. 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.	Chief Executive's; Children and Education; Adults, Health and Integration; Finance & Corporate Resources; Neighbourhoods & Housing	 *Likelihood* / *Impact*	May 2021 – The ongoing pandemic 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 (now extended to over a year) and this would be a challenge to technology. Happily, at this stage it seems that most risks related to this have not materialised. Staff have adapted and the cloud based technology has generally worked well (with the switch to G-suite having succeeded). Thousands of online meetings a week have been occurring through Google meet (with numbers continuing to increase). This should provide assurances that teams will effectively adapt to the new ways of working, and reduce the likelihood of an organisational disruption. Staff at home now have a new ICT offer available to them where they can request all appropriate equipment to enable them to carry out their job effectively (Chromebox / monitor etc). 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. The response to the Coronavirus crisis (and way officers have worked) should provide assurance the Council is well positioned to manage these risks. Going forward, decisions are currently being taken with regards to a return to work and a balance with continued home working. This is being done very openly with the full input of staff through wellbeing surveys and regular communications (and questions) about the latest roadmaps. The Cyberattack in October 2020 added a new level of challenges to this risk, which have been worked through over the last six months with ongoing workstreams to ensure all services can return to running as normal. There has been notable change within the Senior Leadership at the Council in 2021. Major appointments are in the process of being made. The latest Voluntary Redundancy scheme was completed in the spring of 2020. Further restructures are planned or taking place in different services around the Council. 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. **Risk has slightly increased, reflecting the challenging circumstances.**

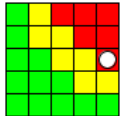| Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
SRCR 0018 a Workforce & Skills	Investing in staff skills and digital leadership across all services Ensuring that the Council has a joined up approach to workplace - designing technology, workspace, policy and practice to ensure that these come together cohesively to support maximisation of these opportunities.	Tim Shields, Ian Williams	Stuart Thorn, Rob Miller	31 Aug 2021	May 2021 - 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 (and now distributed to all home workers). These have worked well during the COVID-19 crisis. The same equipment is being delivered by couriers to the houses of staff where required.
SRCR 0018 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	Stuart Thorn,	31 Aug 2021	May 2021– 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. These have been consistently updated. Also clear guidance and support offered for restructures etc.
SRCR 0018 c Workforce & Skills	Ensuring that the Council's strategic plans reflect these opportunities. Also that internal communications effectively relay any developments and changes.	Tim Shields	Policy	31 Aug 2021	New Corporate and Community Strategy (2018-2028) reflect this.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
SRCR 0021 Cyber / Information Security ***INTERNAL /EXTERNAL RISK FUTURE RISK***	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. Clearly, this risk has recently materialised but still needs to be logged as a risk going forward with revised controls offering assurance.	Chief Executive's; Children and Education; Adults, Health and Integration; Finance & Corporate Resources; Neighbourhoods & Housing		May 2021 - On Sunday October 11th the Council's ICT team identified a serious cyberattack on the Council's systems. Work was carried out immediately to isolate the Council's internally hosted systems and network and to notify the national leads for cyber security.Cloud and other externally hosted systems were not affected by the attack. Despite this, affected systems included a large number of critical services, including: social care; housing benefits; Council Tax and Business Rates; land charges; and housing services. Investigation is continuing with the cooperation of multiple organisations, including the National Crime Agency, National Cyber

| | | | | | Security Centre and local law enforcement. The Council is also continuing to work closely with the Information Commissioner's Office to support their investigation into the breach.

The Council's accreditations with external information security standards were up to date at the time of the attack 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. |
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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	Sept 2021	**May 2021:**

The Council is working with the Cabinet Office PSN team to establish the assurance arrangements to renew our PSN accreditation (the previous accreditation expired on 20 January 2021 but the recovery from the attack means that the architecture of our systems has changed significantly).

The security workstream for the recovery work is reviewing policy, practice, culture and behaviours to identify any changes for inclusion in ongoing security management arrangements.

Regular updates on cyber security risk management continue to be monitored by the Council's Information Governance Group. |
| 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 | Sept 2021 | **May 2021:**

Data Awareness Training has now been rolled out to Members and ongoing training and monitoring for staff and Members is managed as a Business As Usual process. |
| FR IT 0006c Ensure that all hardware and software is supported for security updates. | Ensure that infrastructure and application lifecycle management practices are in place and functioning effectively so that the Council's systems remain supported. | Rob Miller; Ian Williams | Henry Lewis | Sept 2021 | **May 2021**
The Council is working with the Cabinet Office PSN team to establish the assurance arrangements to renew our PSN accreditation (the previous accreditation expired on 20 |

| | This will be an ongoing activity (no fixed end date). | | | | January 2021 but the recovery from the attack means that the architecture of our systems has changed significantly).

The security workstream for the recovery work is reviewing policy, practice, culture and behaviours to identify any changes for inclusion in ongoing security management arrangements.

Regular updates on cyber security risk management continue to be monitored by the Council's Information Governance Group. |
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
FR IT 0001 Information Assets **_INTERNAL RISK_** **_FUTURE RISK_**	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). 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.	Finance & Corporate Resources	Likelihood / Impact	May 2021- Following the cyber attack on 11 October the Council took swift action to notify national Government and also the Information Commissioner's Office. The Council is continuing to work closely with the Information Commissioner's Office to support their investigation into the breach.

The Council's preparations for GDPR have helped to support the incident response. Specifically, the Information Asset Register has been effective in providing the basis for assessing the risks of data exfiltration / publication to inform mitigation plans.

Regular updates on management of information assets continue to be monitored by the Council's Information Governance Group. | |

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
FR IT 0001a Information management	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.

Ensure that the Council's information assets are managed robustly and used effectively to provide | Ian Williams | Cate McLaurin | Sept 2021 | May 2021 Following the cyber attack on 11 October the Council took swift action to notify national Government and also the Information Commissioner's Office. The Council is continuing to work closely with the Information Commissioner's Office to support their investigation into the breach. |

	insight and to integrate Council and partner services, and deliver the maximum benefit to residents and businesses. This will be an ongoing activity (no fixed end date).				The Council's preparations for GDPR have helped to support the incident response. Specifically, the Information Asset Register has been effective in providing the basis for assessing the risks of data exfiltration / publication to inform mitigation plans. Regular updates on management of information assets continue to be monitored by the Council's Information Governance Group.
FR IT 0001c EU General Data Protection Regulation: 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 practise across all Council teams who handle people's personal information.	Ian Williams	Cate McLaurin	Sept 2021	**May 2021 -** Following the cyber attack on 11 October the Council took swift action to notify national Government and also the Information Commissioner's Office. The Council is continuing to work closely with the Information Commissioner's Office to support their investigation into the breach. The Council's preparations for GDPR have helped to support the incident response. Specifically, the Information Asset Register has been effective in providing the basis for assessing the risks of data exfiltration / publication to inform mitigation plans. Regular updates on management of information assets continue to be monitored by the Council's Information Governance Group.
FR IT 0001d Third party information sharing	Ensure that we can do business efficiently and seamlessly by having appropriate data sharing agreements in place. 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). This is an ongoing activity (no fixed end date).	Ian Williams	Cate McLaurin	Sept 2021	**May 2021 -** Following the cyber attack on 11 October immediate action was taken to isolate the Council's network and systems, including blocking connections to third party networks. The recovery work that is now taking place includes coordination with third party security and compliance teams to reestablish those connections in a controlled and secure way. Regular updates on management of information assets continue to be monitored by the Council's Information Governance Group.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
SRCR 0020 Corporate (ICT / Business) Resilience. ***INTERNAL RISK*** ***FUTURE RISK***	(Risk that) the Council does not have an updated, 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. 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 continuity plans effectively due to incorrect assumptions.	Finance & Corporate Resources		⬌ May 2021 - 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 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. After the sudden need for all office based workers to move to working from home in March 2020, following the outbreak of COVID-19, the consensus is that Business Continuity was maintained and services were able to continue operating effectively.The IT framework was able to support this massive surge in home working. The cyberattack in October caused critical problems, which impacted on all of the Council's internally hosted systems. Cloud hosted services (including G Suite and the Council's website and intranet) continued to function but other major systems were not functional, impacting severely on service delivery. This is ongoing. DR provision is in place for critical systems and 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.

Control Title	Control Description	Responsible Officer	Service Manager	ate	Control - Latest Note
FR IT 0003a Resilience of ICT systems / Disaster Recovery	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	Ian Williams	Henry Lewis	Sept 2021	May 2021 - 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

	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. 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.				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. A new internal audit is now scheduled. The ICT service's business continuity arrangements are kept 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.	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. 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.	Rob Miller; Ian Williams	Henry Lewis	Sept 2021	May 2021: 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. Also, the corporate review of Business Continuity Plans has been completed.
SRCR 020A -Corporate Resilience Forum	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.	Rob MIller	Cross Council	Ongoing	From paragraph 1.1-1.2 of the CRF report: 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.

					Regular meetings continue to occur (most recently in April 2021).

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
SRCR 0023 Person suffers significant harm, injury or death *EXTERNAL RISK* *FUTURE RISK*	Children, young people and adults who use our care and support services are at higher than usual risk of harm, injury or death. If risks are not adequately assessed and protected a child, young person or adult could suffer significant injury or death attributable to the Directorate's failure to take appropriate safeguarding and risk management measures. Additionally, general members of the public or Hackney staff could suffer harm due to a lack of general health and safety measures being in place.	Children and Education; Adults, Health and Integration	Likelihood / Impact	Update May 2021 – This remains a high risk, although the controls should provide strong assurance that we are well positioned to manage it. In 2020/21 the City & 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. 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.	

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CYP 006B Local Safeguarding Children Board (LSCB) reviewed and operating as an effective multi-agency forum.	The City & Hackney Safeguarding Children Board (CHSCB) has a remit to monitor safeguarding across all partner agencies, including the local authority.	Anne Canning	Rory McCallum	30 Aug - 2021	April 2021 - 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 Hackney-specific 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 area has been included as part of the post-inspection action plan. The CHSCP has introduced Contingency Oversight Group meetings from February 2021; these will involve meetings every 3 weeks to discuss Workforce / Themes, Patterns and Trends / Interoperability. The intention is to provide a better understanding of partnership working in the context of the pandemic.
CYP 006D Ensure staff have the necessary skills to ensure risk and need are properly assessed	The Directorate as a whole understands areas of high risk and works together to mitigate risk in relation to individual children by joint training and development and joint monitoring of practices across the services.	Anne Canning	Anne Coyle	30 Aug - 2021	March 2021 - A series of professional supervision workshops is being rolled out in February and March 2021 to all practitioner managers in CS so that they are clear about supervision standards and are able to identify training needs for their staff. This will ensure that plans are progressing for children in timescales that meet their needs. A workforce hub is being established in the Safeguarding and Learning service to ensure that staff training needs are met and prioritised in terms of urgency.
CYP 006E Child Protection procedures in place	Children subject to Child Protection Plans and Looked After Children are visited in line with statutory guidance and care plans are monitored, updated and amended as appropriate. Children are to be seen alone.	Anne Canning	Anne Coyle	30 Aug - 2021	March 2021 - 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. While the cyber attack in October 2020 has had a significant impact on reporting capabilities, visits and plans have been monitored through manual monitoring and close management oversight. A new interim social care database was introduced in January 2021, and reporting capabilities brought back online in February 2021.
CYP 006F Risk assessing activities for young people	All activities directly provided and commissioned by the directorate must be subject to rigorous risk assessments. These follow a consistent format. Also, the internal health and safety team conduct assessments and provide advice to mitigate risks of harm to staff in the course of work.	Anne Canning	Pauline Adams	30 Aug - 2021	May 2021 - 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 contract including systems and processes for conducting risk assessments of premises and activities. As a result of the pandemic - in-person activities have been subject to risk assessment to ensure that they can be delivered safely, with mitigating actions in place to

					minimise risk to children and staff such as changing venue, capping numbers and ensuring hygiene measures are in place. Other activities have been provided virtually.
CACH ASC 0005 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 McGale	John Binding	31 Aug - 2021	May 2021 – 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.

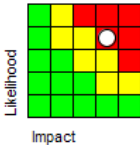| Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
SRCR 0028 CYPS, SEND funding –Escalating SEND spend has an adverse impact on Hackney Education and Council budgets.	The number of pupils eligible for EHC Plans continues to increase at a significant rate exceeding the population growth in the Borough, the effect of which is to place the SEND budget in deficit.		**May 2021**: The Risk Review Group recommends maintaining the risk rating at the highest possible level. All controls are appropriate and progress is being made; however the risk remains. It is anticipated that with the appointment of the Contract Manager a decrease in expenditure overtime will be seen against Independent School budgets. In the meantime, current controls remain appropriate and risk rating remains unchanged.

Control Title	Control Description	Service Manager	Control - Latest Note
SRCR 0028 a Forecasting of financial impact of SEND budget pressures.	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 HE is not detrimentally affected by the overspend, is imperative.	Anne Canning; Yusuf Erol	**April 2021:** there has been a project update report that clearly lists the initiatives that will be pursued. Regular, quarterly updates will be provided to Budget Board to highlight the position and the impact of these proposed initiatives.

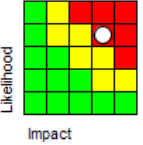|			
SRCR 0028 b Ongoing work to develop plans/strategies to control/manage SEND spending.	SLT has approved a cost management plan to address the pressures placed on the SEND budget by increasing numbers of children and young people being eligible for SEN statements. The cost management plan is regularly reviewed by STAG.	Anne Canning; Nick Wilson	**April 2021:** Contract officer recruited. Focus work by an external consultant requires final approval. Jan 2020 to Dec 2020 EHC Plans increased by 386 from 2249 to 2635 (17%).
SRCR 0028 c Risk 07 - Changing the culture of SEND in schools and Hackney Education to implement the action plan.	If the action plan is to control expenditure and distribute resources fairly, changes in the existing culture in Hackney Education 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.	Anne Canning; Nick Wilson	**April 2021:** Headteachers SEND group to be established. Improved communication and shared narrative beginning to emerge.
SRCR 0028 d Risk 08 – The initiation of EHCP assessments is rigorously reviewed	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.	Anne Canning; Nick Wilson	**April 2021:** New Head of SEND reviewing process to establish if an operation changes need to occur.
LT1617Risk 09 – The costs of providing ECHPs is born equitably across agencies	All agencies need to contribute to the costs of the Education & Health Care Plans through the joint commissioning budget.	Anne Canning; Nick Wilson	**April 2021:** First draft of the self evaluation delayed by one month. Due to pressures in January.

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
SRCR 0029 Serious Safeguarding failure in regard to pupils not in school *EXTERNAL RISK* *FUTURE RISK*	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. This is the particular focus for current Local Authority Safeguarding Inspection frameworks, and there is an expectation that HE 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.	Likelihood / Impact matrix	**May 2021:** RRG noted the work ongoing against the controls, which appear appropriate at the current time.

Control Title	Control Description	Service Manager	Control - Latest Note

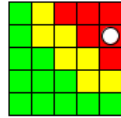| SRCR 0029 Risk 03: Ongoing dialogue between Hackney Education, DfE and Ofsted around necessary legislation to ensure safeguarding duties can be effectively carried out.	Currently, the roles and responsibilities of LAs, DfE and Ofsted are not clearly defined with regard to safeguarding duties.	Anne Canning; Chris Roberts	**April 2021:** DfE consultation response completed. Recording of pupils attending UES agreed as a subset of CME, which provides clarity as to their status. Agreed approach to this cohort being developed by the UES working group. Education officer assigned to FAST to support vulnerable learners and schools during Covid. The Covid-19 vulnerable children's group ensures there is a senior level focus on vulnerable learners during this pandemic.
SRCR 0029D Continuing attempts at engagement with unregistered settings are made by Hackney Education 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.	Anne Canning; Chris Roberts	**April 2021:** Action arising from the meeting with Interlink to meet with a representative of the Rabbinette, which was held early in January. Offer being developed ahead of the next meeting in February.

Risk Title	Description of Risk	Current Risk Matrix	Risk - Latest Note
SRCR 0027 b – Risks posed by unregistered schools and settings *EXTERNAL RISK* *FUTURE RISK*	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. HE does not have any statutory powers or reporting requirements in regard to the registration of independent schools. 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 HE in this area. Despite the fact that HE 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.		**April 2021:** Work to implement the controls is ongoing, however the risk remains unchanged. Risk Review Group recommends maintaining current risk rating.

Control Title	Control Description	Service Manager	Control - Latest Note
LT 1415 Risk 18: Co-ordinating multi-agency responses, Hackney Education escalates any issues relating to the safeguarding of children or young people attending unregistered schools or settings.	HE is aware of unregistered schools and settings within the borough, we are escalating to the appropriate authorities Children and Social Care any issues of concern reported to them. HE co-ordinates multi-agency responses in regard to those settings that do not comply with Ofsted registration requirements.	Anne Canning; Chris Roberts	**April 2021:** UES protocol embedded into practice. New information recording system finished. Migrating historical data needs to occur before wider use for capturing information
LT 1617 Risk 04: Continuing attempts at engagement with unregistered settings are made by Hackney Education 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; Chris Roberts	**February 2021:** Action arising from the meeting with Interlink to meet with a representative of the Rabbinette, which was held early in January. Offer being developed ahead of the next meeting in February.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
SRCR 0030 Pressures on Temporary Accommodation *INTERNAL RISK CURRENT RISK*	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.	Finance and Corporate Resources		**April 2021 – data provided is from September 2020 due to cyber attack and system outage** 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. 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 3352 households, containing 3928 children. The number of households seeking advice and support with homelessness in borough has risen by 52% since March 2018 and the introduction of the Homeless Reduction Act. The sheer volume of units needed is expected to mean that the costs will continue to rise this year and next, especially in the aftermath of COVID-19 once the legal protection to private tenants expires in May 2021. Currently the Council has no way of knowing the amount of residents that are in rent arrears in the borough due to the economic downturn, who may present to the Council as homeless once the protection is lifted at the end of March. Despite 33 temporary accommodation hostels within the borough, demand far outstrips supply. 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. It is impossible to source ground floor and mobility accessible TA within the borough. The majority of the Council's expenditure on temporary accommodation is on c.1400 households placed outside the borough and London in nightly paid accommodation. The Benefits and Housing Needs Service in conjunction with Strategic Property Services and Housing Strategy team continue to look at ways to boost more affordable temporary housing in borough by pursuing hostel leases with private landlords and developers, to reduce the reliance on nightly paid accommodation and contain expenditure. Another new 23 bed TA hostel in borough is expected to open in May 2021 and a further report agreed at Cabinet to deliver five hostels over the next 2 years with a private developer and funding from MHCLG and GLA. Plans are also being worked up for another 7 bed hostel for high risk homeless residents to go live in 2022.

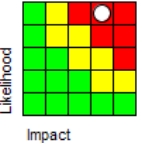|					
					Temporary accommodation income collection is currently unknown and is being forecasted as a an estimate. However, since the cyber attack, rent accounts have not been available to view and the level of collection is impossible to determine. For new temporary accommodation residents, rent accounts have not been created and housing benefit and discretionary housing payments applied. Lock down rules and restrictions on bailiffs have further impeded the removal of those that refuse to pay. The Covid 19 Protect Hotel continues to offer accommodation, food, health care and support to 70 individuals who were rough sleeping under the 'In for Good' principles. This pathway hosts a mixture of clients some on a statutory and non statutory basis, including NRPF, most with high support needs that will require supported accommodation. Move on plans are in place for these individuals. Net expenditure on this scheme is expected to be covered in full via various government grants.

Control Title	Control Description	Responsible Group Director / Officer	Service Manager	Due Date	Control - Latest Note
SRCR 0030a 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	April 2021	April 2021- The Benefits and Housing Needs Service continues to utilise all Council owned regeneration void properties as temporary accommodation wherever possible and affordable to do so. The current figure is c.500 units. Work has been undertaken by the regeneration programme to further review the voids for economic viability and has resulted in a further 85 becoming available for us over the next 6 months.
SRCR 0030b 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	April 2021	April 2021 - The Benefits and Housing Needs Service has formally discharged the Councils housing duty by securing tenancies for 156 households into the private rented sector for 2021/22. The joining of Capital Letters as a pan london provider of PRS properties in the last year has enabled this figure to increase and therefore containing the cost of temporary accommodation. As part of the cyber recovery work needed for the service, resources should be freed up and redistributed into the housing supply area to increase the number of properties that can be accepted from Capital Letters by the end of the financial year.
SRCR 0030c 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	April 2021	Control ongoing April 2021. Reports issued quarterly to pan london Homeless group for monitoring purposes. Business as usual.

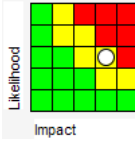| Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
SRCR 0036 – Universal Credit *EXTERNAL RISK FUTURE & FUTURE RISK*	The main corporate risks which have been identified are that: **Financial**: Universal Credit places the responsibility on the claimant to manage their claim and pay their rent from a one monthly payment. The five-week delay in first payment and monthly payment can lead to increased rent arrears for council tenants and make it more difficult for the council to recover other debts. Since the pandemic there has been an increase in the number of tenants not paying rent and canceling direct debits (e.g. council tax). The impact of the Cyber Attack compounds these issues. **Strategic**: An increasing number of vulnerable residents struggling with their finances will put pressure on other public services. For example, employment and skills services as well as the health and care system. The five-week wait for a first payment remains and the use of an advanced payment reduces future income. **Reputational**: There is an expectation that the Council helps those who face barriers to making and maintaining a claim and those struggling to manage their finances. The Council's position as a large social landlord creates further pressure on the organisation to balance its approach between collecting payments and supporting residents who may be struggling financially. This is made even more the case by the impacts of the Cyber Attack and the approach the Council takes to debt recovery.	Finance & Corporate Resources		May 2021, DWP responded well to the surge in claims at the start of the pandemic. The challenge for DWP is responding to the high number of claimants at a time when the economy is yet to recover and unemployment continues to rise. DWP has undertaken a considerable recruitment drive locally. For example, 150 work coaches have been recruited. It is hoped that the opening up of the economy will provide opportunities for people to find work but the scale of the recovery is uncertain. The end of the £20 weekly increase in September 2021 will see many claimants experience a drop in income. The five-week wait for payment, the challenge of managing a monthly benefit and other structural issues with the benefit remains. Universal Credit is the main welfare benefit for working age adults who are unemployed or on lower incomes and it is administered by the Department for Work and Pensions. Universal Credit combined six separate benefits into one: Housing benefit, income-related employment and support allowance (ESA), income-based Jobseeker's Allowance (JSA), child tax credit, working tax credit and income support. Universal Credit was introduced in Hackney from March 2016 for job-seeking singles only. Hackney was one of the last boroughs to move onto Universal Credit because of the numbers who would be affected. Universal Credit began for all new claimants in October 2018. Currently, those people making a new claim and those people on the legacy benefits who experience a change of circumstances will be moved onto Universal Credit. So far, actively moving claimants from the previous benefits system to UC has been very limited in Hackney. According to figures from DWP in March 2021 there are around 35,000 people claiming Universal Credit in Hackney. At the start of the pandemic in March 2020 this was just over 13,700. The largest monthly increase happened between April and May 2020 increasing by 9000 people. In recent months the increase has been smaller but is still growing at roughly 500 claimants each month. There is a five week wait between a person making a Universal Credit claim and receipt of payment. This delay can cause significant financial hardship. An advanced payment can be awarded but this amount is then deducted from

| | | | | | subsequent payments reducing overall awards. Universal Credit is paid on a monthly basis directly to the claimant. As a result, the claimant is responsible for monthly budgeting and paying housing costs directly to the landlord. This can create challenges for claimants who struggle to manage this kind of budget and can increase the risk of falling behind on rent. The standard award for Universal Credit was increased in April 2020 by £20 a week and the Local Housing Allowance was increased to the 30th percentile of local market rates. The Government has announced plans to stop the £20 increase from September 2021 meaning the standard award will decrease. It is expected that as the economy reopens and pandemic support ends for businesses and the furlough scheme ends in September 2021 unemployment could continue to rise with more people moving onto UC. The end of the eviction ban in May 2021 is another policy change which may negatively affect people on Universal Credit. |
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
FR RV Impact of Universal Credit	A partnership involving DWP JCP, several Council services and external partners maintains a partnership plan which identifies and addresses key risks under review. Main actions include: Close partnership working with DWP, communications with Hackney tenants, resident sustainment activity, partnership working to ensure that claimants can access the DWP funded Help to Claim service delivered by the Citizens Advice Bureau, funding the advice sector and working closely with them to meet demand	Ian Williams	Sonia Khan	30-Sept-2021	May 20201- The Partnership now meets on a monthly basis. We alternate between a Complex Needs Forums focussed on particular issues experienced by claimants and a Strategic Discussion based on system issues relating to the effective delivery of Universal Credit. The latest Complex Needs Forum in April 2021 focussed on mental health needs. Through partnership working we are able to support DWP and maintain good working relationships between JCP and the wider system of support.

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

				Reviewed May 2021 - the likelihood of this risk remains high, although has slightly reduced given improved year-end data supplied over recent years. Significant problems with the payroll data being provided by the Council in the past has meant that the quality of membership data had deteriorated, particularly since the introduction of the 2014 CARE scheme. The complexity of the scheme has increased significantly and the Council's payroll provider has previously 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. A major project aimed at producing single source interface file for the current financial year has made significant progress with full test files having now been produced. These are currently being reconciled ahead of test runs into the pensions administration system.
SRCR 0033 Pensions – Poor Membership Data Inaccurate or Late Pay Information Supplied to Hackney Pension Fund (LGPS)/Local Pensions Partnership (LGPS)/Teachers Pensions ***INTERNAL RISK*** ***CURRENT RISK***	Inaccurate payroll data supplied to the Hackney Pension Fund results in poor membership data. This poor administration could result in inaccurate data giving rise to financial and reputational risks. Without the correct figures and information, actuaries 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 mislead member decision making. Inaccurate benefits released to members based upon inaccurate pensions records. Potential enforcement action against the Council by the Pensions Regulator for breaches of regulations.	Finance & Corporate Resources		

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control – Latest Note
FRTP 0043 A Monitoring of membership data	Annual monitoring of membership records, valuation checks, external data validations	Jackie Moylan	Michael Honeysett; Jacqueline King	Nov 2021	Ongoing May 2021
FRTP 0043 B Contributions monitoring	Monthly monitoring of contributions to ensure that employers paying across correct contributions along with membership data being supplied	Jackie Moylan; Stuart Thorn	Michael Honeysett; Jacqueline King	Nov 2021	Reviewed May 2021 - Continued communication with payroll, as accurate data is very important.
FRTP 0043 C Performance Monitoring	Service Level Agreement with external administrator and monthly monitoring of contract. Monitoring of employers and Pensions Administration Strategy	Jackie Moylan	Michael Honeysett	Nov 2021	Reviewed May 2021 - enhanced monitoring etc

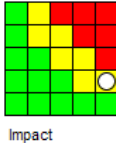|	which enables Fund to recoup additional administration costs for sub-standard performance.				with implementation of new contract
FRTP 0043 D Support & Payroll development	Provision of employer support to ensure employers have the knowledge and understanding necessary to provide correct information. Ongoing work with the Council's payroll team to assist in developing Business As Usual processes for iTrent (payroll system) which are then 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.	Jackie Moylan; Stuart Thorn	Michael Honeysett; Lucy Patchell	Nov 2021	May 2021 - development of the employer portal continues with intention of being rolled out to all employees. Team is also liaising with Hackney payroll team to roll out a new contribution monitoring report. Also ensuring that Equiniti roll out the employer strategy in line with the contract.
FRTP 0043 E Payroll Data Service	Ongoing project to develop single source interface from Midland Itrent payroll to the pensions system. All stakeholders for part of the project team with oversight/project management from governance and benefits advisers, Aon	Jackie Moylan; Stuart Thorn	Michael Honeysett; Lucy Patchell	Nov 2021	May 2021 - the final spec for the interface was agreed at end March 2021 and files now produced for testing which is currently in progress.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
SRCR 0035 – Setting up Council owned companies ***INTERNAL RISK FUTURE RISK***	The Council has been 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. 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.	Chief Executive's; Children and Education; Adults, Health and Integration; Finance & Corporate Resources; Neighbourhoods & Housing		**June 2021** - 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
SRCR 0035a- 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; Helen Woodland		31 Dec - 2021	June 2021 – 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
SRCR 0036 Insourcing *INTERNAL RISK FUTURE RISK*	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. 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'.	Chief Executive's; Children and Education; Adults, Health and Integration; Finance & Corporate Resources; Neighbourhoods & Housing		June 2021 - Contracts have been brought back in house in the past and in recent years in areas like Housing Benefit, Waste, Internal Audit and Payroll. The latest example is the parking enforcement contract which is being brought in-house when the current (outsourced) contract expires in March 2022. Also some internal cleaning contracts. There is a clear emphasis on this being a leading objective for the Council - to "reclaim" services worth close to £12 million a yar from private firms. Between January 2020 and March 2022, five services worth £11.6m will have been insourced under the policy, including: School caretaking and cleaning services, worth £2.5m, with 116 staff brought back in-house to the council and schools in January 2020. Gully and winter cleansing service, worth £300,000, brought back in-house in September 2020. Office cleaning service, worth £1.8m, with 110 staff brought back in-house in January 2021 Fleet maintenance service, worth £1.4m, with 10 staff due to be brought back in-house in April 2021 and a long-term commitment to bring close to 400 staff back into direct council employment overall Parking enforcement, worth £5.6m, with 132 staff due to be brought back in-house in March 2022. 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 2020, and distributed to all relevant parties.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
SRCR 0036a Insourcing – approach.	The Council has produced 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; Helen Woodland	Rotimi Ajilore	31 Aug - 2021	May 2021 - this was newly escalated to the Corporate register in January 2020. The guidance paper has been reviewed. Plans for such projects are also committed to including extensive consultation with staff and trade unions. Cllr Rennison has added: "This delivers on our 2018 manifesto to look at how we step up our commitment to insourcing here in Hackney. We have been clear from the start that we did not want this to be a flippant or quick easy win, and have put in the work over the past couple of years to develop a framework and structure that means we can take forward insourcing in a really committed way here in Hackney. "For anyone who has ever worked in insourcing, it is not as simple as drag and drop, and that is quite a dangerous attitude to take. It often involves service redesign, relocating services across different parts of the council, and taking quite a different approach to service delivery than we might have done in the past. "Coronavirus has shown the importance of flexibility and being able to turn services round rapidly. When you deliver them directly yourselves, you are able to do that. It is also fantastic in terms of the offer we are able to make to our staff. Bringing those staff back in on Hackney terms and conditions once they have moved over and the opportunities we are able to offer with that.

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

SRCR 0039 Climate Change / Climate Emergency *EXTERNAL RISK CURRENT & FUTURE RISK*	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. With the likelihood of even more ambitious targets set by the Environment Bill 2021, this risk will continue to grow and increase in importance.	Neighbourhoods & Housing leading (but applying to all Directorates)		June 2021 - 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.Ambitious initiatives have been ongoing with regards to making streets more cycle friendly and dissuade people from driving unnecessarily (eg school streets). 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. In early December 2020, the Council released a draft version of an action plan to improve air quality in the borough. The government is currently finalising the Environment Bill 2021 (which will redraw environmental rules following the UK's withdrawal from the EU)and is likely to mean increasingly ambitious targets are adopted as Britain tries to lead the way in tackling climate change and a positive approach to it.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
SRCR 0039a Councillors have approved motion committing to a series of actions	Council commitment: - To tell the truth about the climate emergency we face, and pursue its declaration of a climate emergency with the utmost seriousness and urgency. - 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. - Call on the UK Government to provide powers and resources to make the 2030 and 2040 targets possible. - 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. - 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	Tim Shields; Ian Williams; Ajman Ali; Anne Canning; Helen Woodland		Ongoing	June 2021 - 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.

	extending sustainable accessible and integrated public transport, retrofitting housing stock, energy democracy, heating and cooling from renewable energy and eco build, food and waste. - 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. - 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. - Work with other local governments (both within the UK and internationally) to determine and implement best practice methods to limit Global Warming to less			
SRCR 0039b Hackney Light and Power.	Hackney Light and Power has been created to support the Council to meet declared target and become zero-net carbon borough by 2040. To maximise carbon emission reduction the company will: deliver the Green Homes Program – the first borough wide thermal efficiency housing program in London support the installation of innovating renewable heating measure support the rolling out of electric vehicle charging points supply the grid with green energy reduce fuel poverty improve residents' health and well being promote an inclusive economy and contribute to the nationwide green agenda help make Hackney a sustainable, green borough	Corporate Directors	Ongoing	Hackney Light and Power was officially unveiled as a publicly-owned energy services company on November 1st (2019). 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: " 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. "
SRCR 0039c Communication	Communication is key, with the Council getting the correct message out both internally and externally	Comms		June 2021 - 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.
SRCR 0039d	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	Needs to be cascaded down from HMT to	Ongoing	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.

| Cross Council involvement at all levels | 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. | become normal practice. | | | |