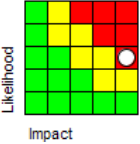# Chief Executive's Directorate Risks October 2022

Report Type: Risks Report
Generated on: October 2022
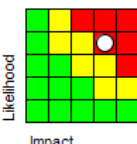
Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note

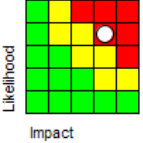|				
CE PSD 003 A range of key external factors that have the potential to undermine our ability to deliver against the priorities of our Community Strategy 2018-2028.	Due to the complexity of the wider environment, there are external factors which can 'blow off course' the delivery of the Community Strategy 2018-2028. The main external factors are: Ongoing impacts of the pandemic, population churn and change, economic uncertainty (particularly with the current cost of living crisis), growing and entrenching poverty and inequality, housing affordability, increased complexity of need in communities and eroded trust and confidence. There are a growing number of refugees and asylum seekers, including through planned schemes. This becomes more difficult, however, when reacting to growing demands and pressures and a growing budget gap to our core revenue grant and housing revenue. This is before we factor in inflation, fuel costs and a recession on the horizon. This cost of living crisis and recession will impact the Council and partners' ability to deliver services as well as their staff, and will put some organisations at risk. Nationally the policy environment is likely to lead to a continued move of resources away from London directly and indirectly.	Policy and Strategic Delivery		Risk matrix updated September 2022–Risk of impact high due to external context and continuing uncertainty around ongoing Cost of Living Crisis and capacity. Likelihood high without mitigation. Risk description updated in line with latest analysis in draft strategic plan 2022-26.
Control Title	**Control Description**	**Responsible Officer**	**Service Manager**	**Due Date**	**Control - Latest Note**

| CE PSD 003a Analysis and proactive forward planning to support the management of the increased complexity of the external environment. | Adopt a suite of frameworks and strategies, and the corporate planning and delivery infrastructure needed to respond to uncertainty and complexity - helping us focus on long term goals, and maximising the benefits and mitigating the impacts as they arise.

The Community Strategy was developed with extensive external and internal dialogue, and was approved by Council in 2018 along with a Single Equality Scheme.

We continue to clearly articulate what is within local authority control and what we can deliver and what is outside our control and what we need to influence.

We maintain an overview of community impacts and continue to progress our single equality scheme which sets out how we will tackle key equality and cohesion issues.

We have also adopted a poverty reduction framework which is now in place.

We are taking actions to shape a more inclusive economy as set out in our strategy adopted in November 2019.

A new strategic plan will be presented to Cabinet in November 2022 which sets out the key risks to the community strategy vision and sets out priorities for the Council and partners for the next four years. This is based on refreshed analysis of data and impacts (including the latest Census and residents' survey data), takes account of the financial context and the political commitments of this administration. | Mark Carroll | Sonia Khan | March 2023 | Control description updated in September 2022 to reflect:

Community Impact Assessment to identify direct and indirect impacts of pandemic- refreshed in Jan 2022 and now an underpinning tool to support new strategic plan.

Poverty reduction framework developed and in use.

New strategic plan to be adopted in November 2022 takes on board key risks outlined in this register. |

CE PSD 003b Focus of CE support to manage the impact and opportunities associated with reduced resources.	The directorate capacity is closely aligned to supporting CLT to identify and deliver solutions to manage the impact of reduced funding. The establishment of Strategic Business Managers (SBM) within the Policy and Strategic Delivery Service has increased the capability of the Directorate to influence strategic programmes across the organisation. There is also an established CE directorate management team to corporately manage and monitor impacts and opportunities.	Mark Carroll	Sonia Khan	March 2023	Updated September 2022 Control amended to reflect change of team. SBMs continue to be in place, are working with Directorates across the Council as well as providing corporate support to CLT and have played a key role in supporting the pandemic, cost of living and cyber attack related governance.

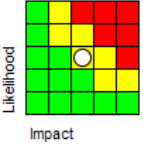| Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE PSD 004 Key LB Hackney partners' strategies and implementation plans diverge from the overall vision and	LB Hackney partners' strategies and implementation plans diverge from the agreed approaches leading to: ● a failure to deliver new cross cutting priorities in the Community Strategy that address the strategic risks and opportunities in Hackney	Policy and Strategic Delivery		

strategy for Hackney - as articulated in the Community Strategy 2018-2028, undermining the cross cutting priorities which require partners to work collectively rather than institutionally.	- an ineffective or misdirected use of resources, with individual partners approaching issues in a piecemeal or siloed way. - short termism and a lack of join up around long term preventative strategies - the value of Hackney's Voluntary and Community Sector (VCS) and their potential to leverage in external resources is not maximised - Risk of partners not being able to progress with longer-term aspirations due to increased demands and costs etc. Potential closure of VCS orgs.			Updated September 2022 - Risk has risen with an increased likelihood due to the likely closure of VCS organisations. The Council cannot fully mitigate in these situations or have a rescue package each time an impactful organisation struggles. This is still a risk because of capacity -the pandemic has highlighted the importance of long term goals that promote fairness, equality and cohesion. Having a strategy and partnership in place has demonstrated that Hackney had a level of preparedness to respond to the pandemic and to develop our strategic response. Partners are therefore valuing this infrastructure and engaging with it, as a way to focus on cross cutting priorities, which ultimately will help us address the immediate demands on services and inequalities in communities.
Control Title	**Control Description**	**Responsible Officer**	**Service Manager**	**Due Date**	**Control - Latest Note**
CE PSD 004a Strategic partners own and drive cross cutting priorities identified in the Community Strategy.	Strategic Partnership working is under review and new arrangements will be in place early in 2023, in line with the Council's Strategic Plan and informed by partner plans and aspirations for partnership working.	Mark Carroll	Sonia Khan	March 2023	Updated September 2022 The Community Strategy Partnership set four priorities in February 2019. Since then they have met on average twice a year to focus on: inclusive leadership and workforce diversity anchor institutions local employment Control description updated to reflect review underway .
CE PSD 004b The Council's partnership with the voluntary and community sector is underpinned by a shared strategy that defines how we will work together and our shared priorities, framed by the Community Strategy	The Voluntary and Community Sector Strategy sets out actions we will take over the next three years to support effective partnership working with the sector.	Mark Carroll	Sonia Khan	March 2023	Updated September 2022 Voluntary Sector Strategy was adopted in March 2019 and is providing the frame for priorities which are now being progressed on: ways of working together investment property volunteering and community action This work has been accelerated by the pandemic, confirming that it was the right area to focus on.

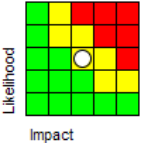|					We are now using the work to embed into longer term approaches to volunteering and community action and developing a new grants programme, lettings policy. Strategy should remain in place for next four years as the framework to inform partnership working.
CE PSD 004c The Council's investment and support of the voluntary and community sector is framed by the current institutional and external contexts and ultimately supports the long term goals in the Community Strategy.	A review of grants and other investment in the voluntary and community sector has taken place. The key issues were identified in the Voluntary and Community Sector Strategy. The outcome of the review is informing future investment.	Mark Carroll	Sonia Khan	March 2023	Updated September 2022: Review complete and informing investment from 2023 with new grants supporting community infrastructure, an increase proportion of grants going to advice, and a more detailed review of specialist grants underway. Changes to the way we invest and the processes used have also been implemented and have satisfied internal audit. .

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE PSD 005 Cost of Living.	The current cost of living crisis continues to present risks which could impact on the Directorate in multiple ways, whether from the perspective of residents, services, businesses or partners. All of these will ultimately affect the overall cohesion and stability of the Borough. There is a risk of residents in private accommodation being unable to pay bills or keep up rent/mortgage payments as well as the most vulnerable households. This poverty could result in social problems and even civil unrest. Internally, staff experiencing poverty could impact on attendance levels (with possible increased sickness, or staff not able to afford travel) or result in potential industrial action	Policy and Strategic Delivery		September 2022 - There is an overarching Corporate risk on this, but this version focuses specifically on the challenges concerning the Chief Executive's Directorate with regards to this. The themes here are particularly building on existing work on Poverty Reduction

	Increased poverty is likely to increase demand on advice, food banks and other voluntary sector partner services.With increased costs for VCS partners - could lead to cutting of services and/or staff (could lead to job losses for local residents). Increased competition for council funding as well as funding generally. All of this would impact severely on overall service delivery.				
Control Title	**Control Description**	**Responsible Officer**	**Service Manager**	**Due Date**	**Control - Latest Note**
CE PSD 005	Most vulnerable residents are already under the scope of Poverty Reduction Framework: Responding to the cost of living crisis and worsening levels of poverty in Hackney. This will continue to be applied Cost of Living Resident Leaflet are going to be issued to those affected. Winter Fuel Poverty Action Plan is being developed Communications campaign to destigmatize benefits and explain how the council is in the best position to help residents maximise their benefits. Livestream with Senior leaders. Signposting to advice via internal comms channels Promote wellbeing offer, Employee Assistance Programme and hub of tools for staff to deal with crisis.	Mark Carroll	Assorted CEx Directors	March 2023	September 2022 These are a new range of controls being developed to tackle this assortment of financial problems. Responsibility for these lies amongst the various divisions of the Chief Executive Directorate. Clearly this risk spreads across the whole Council, but these actions focus on what lies under the CEx's control.

ENGAGEMENT, CULTURE, AND ORGANISATIONAL DEVELOPMENT

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE CC 0004 Involvement: uncertainty regarding residents feeling involved in Council key projects and view on achieving the goals of the community strategy.	Consultation and community engagement activity not providing relevant information and/or not reaching or getting feedback from a wide and diverse range of people in Hackney. People do not feel listened to and cannot relate their views, priorities and interests to work being delivered to deliver the goals of the community strategy and do not feel that the local growth and change in the borough is benefiting them. The Covid pandemic has exacerbated this risk as many people find it difficult to participate in digital engagement, but face to face participation opportunities are still limited. The events of the past 2 years have strengthened communities in some ways but have also served to create a number of divisive narratives which have led to some people feeling further excluded from participation and decision making. If the Council fails here, an inclusive approach will not have been achieved, and without proper community engagement, the credibility of work undertaken is adversely affected. The organisation's reputation would also be damaged.	ENGAGEMENT, CULTURE, AND ORGANISATIONAL DEVELOPMENT		 Updated September 2022 – Risk is stable This risk is ongoing.

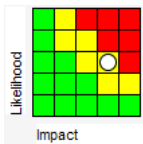| Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CECC 0004 Consultation and community engagement strategy and individual consultation and engagement plans	Community Engagement is a key driver of the Communications Strategy alongside Council Corporate Plan; all consultation adheres to the standards of the Council's consultation charter and community engagement plans align with corporate priorities. Communications strategy is informed by a community insight gathering and engagement, which considers the priorities and interests of Hackney's diverse communities. This includes regular surveys and engagement work by the Council and with partners. Our resident's survey has been a major exercise to engage with local people about the key benefits and opportunities arising from growth and how these can be maximised. This exercise provides the basis for the council's long term engagement strategy. The Council had not carried out a full residents survey for more than two years. Covid had affected both the timing and the funding for this. A survey was carried out in Summer 2022 and results are now being analysed.	Mark Carroll	Polly Cziok	March 2023	Updated September 2022

	The Council continues to develop and implement an insight and engagement led approach to communications and to work across the Council to ensure that residents are given the chance to influence the decisions that most affect them. Matrix management has been established to strengthen links between the Tenant Participation Service in Housing, and the corporate team, to ensure we are effectively reaching and engaging residents in social housing.				

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
CE CC 0005: Organisational Development: risks to the workforce strategy aims of an engaged, motivated workforce, and inclusive workplace.	The next phase of the Covid pandemic, and the implementation of future workplace programmes could lead to staff feeling disengaged and unsupported, lack of cohesion within hybrid teams, disproportionate impacts on some groups of staff, and growing perceived disparities between fieldbased and office/home based staff. Staff working remotely for the majority of their time could feel excluded from development opportunities. The consequence of this could be a seriously negative impact to the Council's overall delivery of Services.	ENGAGEMENT, CULTURE, AND ORGANISATIONAL DEVELOPMENT		Updated September 2022 – Risk is stable This risk is ongoing.	

| Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CECC 0005a Ongoing programme of staff engagement and insight, OD board focusing on emerging needs of workforce	The Council is piloting training for all managers with home/office staff to help them gain the skills to effectively manage a hybrid workforce. 65 took part in the pilot in Sept/Oct 21 with the aim to use their feedback to further adapt and tailor the course content for Hackney and deliver organisation wide. An organisation wide staff survey has been completed to test staff engagement/morale/infomed levels. Data has been provided at directorate and dept level and support provided for Directors to shape action plans. Regular staff insight work was carried out throughout the pandemic and has shaped the organisational response and future workforce plans. The workforce strategy has been updated in the light of the pandemic.	Mark Carroll	Polly Cziok	March 2023	Updated September 2022

LEGAL & GOVERNANCE SERVICES

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

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE LS 0016 No Legal Advice Sought or Given	Governance training for Legal Services and Directorates. Decision making procedure note prepared and provided to clients and staff; regular advice provided to clients on governance and decision making; close management and monitoring of decision making requests on urgent items. Consider and review team training, including reporting and authority limits and accuracy checks on high risk activities and briefings of arrangements to other directorates. Training on procurement procedures to mitigate the risk of service departments following the incorrect procedure. Also ensure effective communication is carried out between teams, and effective templates are distributed by Legal Services.	Mark Carroll	Dawn Carter-McDonald	March 2023	The Governance Service has carried out, and continues to offer, training on the role of the Service and decision-making generally. The Excellence in Governance Group now has representation from each Directorate across the Council and carries out thematic reviews of service areas / topics.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE LS 0019 Legal and Governance compliance	Failure of Lawyers and Governance Team to identify in a timely manner Legal and Governance Risks that arise in case management and non-compliance with Governance procedures, this also includes providing legal advice and governance support on matters instructed upon by clients and directorates. This would present legislative, reputational and financial risks to the Council.	Legal & Governance Services		Risk remains static, albeit that in some areas, such as childcare, litigation, procurement and housing there has been an increase in the volume of instruction in a non-timely manner.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE LS 0019 Legal and Governance compliance	Ensuring that appropriate authority for the legal action proposed is sought at the outset of instructions. Lawyers to review cases at commencement to identify potential risk. Matters and areas of concern relating to identified risks are escalated. Regular review of the Legal Risk Register by all lawyers and senior management. Monitor the submission timetable for reports in advance of the due dates. Monitor late submission to identify trends and escalate where necessary.	Mark Carroll	Dawn Carter-McDonald	March 2023	Workloads and cases are monitored closely by line managers via supervisions / check-ins / team meetings. Concerns are escalated to SMT where appropriate. The internal Legal Risk Register is carefully monitored

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

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE LS 0020a Meetings	Regular meetings between ICT, Facilities and Governance Services to identify issues and solutions.\n\nContinued support for staff and Councillors for virtual/hybrid settings.	Mark Carroll	Dawn Carter-McDonald	December 2023	Procurement of a permanent ICT solution is in progress.

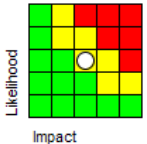| Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE LS 0021 Risk to Resources	Demand for Legal Services is greater than the service can deliver due to lack of sufficient resources (i.e. legal staff), leading to decrease in staff morale, higher workplace stress levels and associated risk of absence due to ill-health. Alternative service provision via external lawyers would place increased financial pressure upon the Council at a time when its budget is constrained.	Legal & Governance Services		Updated September 2022 – Risk is stable This risk is ongoing.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE LS 0021a Risk to Resources	Early engagement with Legal Services should be encouraged to enable matters to be more effectively managed throughout and to enable advice to be provided which could obviate difficulties arising later on, such as avoidable legal proceedings.	Mark Carroll	Dawn Carter-McDonald	December 2022	Added September 2022

	Where pressures have been identified, business cases will be presented to client services where more resources are required.				

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CE LS 0022 Case Management System	Following the cyber attack in October 2020, the Legal case management system became unavailable. An alternative system was in process of being implemented which had to be accelerated even though the system was not fully functional. Some 10 months later, the system remains 'in development' and is not fit for purpose. Impact on staff morale and productivity with having a system which is not fully functional. Risk of loss of Lexcel (Law Society) accreditation due to non-compliance with the Lexcel standards.	Legal & Governance Services		Updated September 2022 – Risk is stable This risk is ongoing.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE LS 0022a Case Management System	Discussions are underway with ICT about an alternative case management system, but we are hampered by the Council being a G-Suite authority as there are insufficient suppliers within the marketplace who have systems which integrate fully with G-Suite. A significantly greater number of options would be available if the Legal Service was permitted to utilise Windows / MS products. This continues to be a priority for the Legal Service.	Mark Carroll	Dawn Carter-McDonald	December 2022	Risk ongoing- controls in place

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

CE LS 023 Breach of Statutory Requirements on Elections / Electoral Registration	Non-compliance with the Statutory Requirements for Elections may lead to invalid processes resulting in legal action and the need to re-hold elections incurring additional costs and reputational damage.	Chief Executive's		Reviewed September 2022 - Any breaches or problems will impact severely on the authority and Returning Officer. Risk score remains static.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
CE LS 23 A Breach of Statutory Requirements on Elections and Electoral Registration	Electoral Services to monitor and maintain procedures for all Electoral Requirements to ensure compliance with new and existing processes using appropriate advice and guidance. Regular review of systems and infrastructure particularly with future legislative electoral changes in the next 3 years, particularly in relation to the annual canvass	Mark Carroll	Bruce Devile	March 2023	Reviewed September 2022 The latest proposed Government Elections Bill is being closely monitored for implications
CE EPNH 009b Breach of Statutory Requirements on Elections / Electoral Registration	Regular review of systems and infrastructure for both electoral registration and elections	Mark Carroll	Bruce Devile	March 2023	Reviewed September 2022
CE EPNH 009c Breach of Statutory Requirements on Elections and Electoral Registration	Continue to review team resources to ensure continued accurate and consistent delivery of priorities.	Mark Carroll	Bruce Devile	March 2023	The team successfully delivered elections in recent years, including the local elections in May 2022 which required additional Covid-19 requirements (although less than those in 2021). The team structure will continue to be monitored. Additional staff will be brought in at election times.