

APPENDIX 1 – HARROW COUNCIL CORPORATE RISK REGISTER AS AT QUARTER 1 FINANCIAL YEAR 2024/25

No.	Risk	Q4 23/24	Q1 24/25	RM
1	Failure to fulfil the Council’s Health & Safety (H&S) duties	D2	C2	↑
2	Major cybersecurity incident affecting the Council or an external supplier results in Service failure and significant breach of the Data Protection Act (Re-worded Risk)	C3	C2	↑
3	Housing do not deliver on health and safety statutory duties and regulatory requirements	C2	C2	↔
4	The Adult Social Care budget is significantly overspent	B2	C3	↓
5	Systemic issues of inequality and disproportionality experienced by staff with protected characteristics are not recognised and addressed by the Council [Staff Dimension]	C3	C3	↔
6	Failure to prevent and/or detect significant fraud at the Council	C3	C3	↔
7	Inability to deliver the Council’s approved MTFs over the next 3 years	D2	D2	↔
8	The Council’s new payroll system is not fully implemented by 31.12.24	D2	D2	↔
9	There is insufficient financial and organisational commitment and capacity to implement the Council’s climate and nature strategy (Re-drawn Risk)	D2	D2	↔
10	Failure to adequately deliver a statutory service/duty at Children’s Services leading to a harmful event for an individual (s) for which the Council is responsible (Separated Risk)	D2	D2	↔
11	Failure to adequately deliver a statutory service/duty at Adults and Public Health leading to a harmful event for an individual (s) for which the Council is responsible (Separated Risk)	D2	D2	↔
12	Lack of robust Business Continuity and Emergency Planning	D2	D2	↔
13	Failure to deliver the Council-led Regeneration Programme through the Harrow Strategic Development Partnership (HSDP)	D2	D2	↔
14	Failure to successfully defend against a significant legal challenge to the Council’s formal decision making processes	D2	D2	↔
15	Lack of Strategic Leadership Capacity	D2	D2	↔
16	Industrial relations climate impacts delivery of services and transformation	D3	D3	↔

L I K E L I H O O D	A Very High (>80%)				
	B High (51-80%)				
	C Medium (25-50%)		4,5,6	1,2,3	
	D Low (10-24%)		16	7,8,9,10,11 12,13,14,15	
	E Very Low (3-9%)				
	F Almost Impossible (0-2%)				
		4 Negligible Impact / Benefit	3 Moderate Impact / Moderate Benefit	2 Critical Impact / Major Benefit	1 Catastrophic Impact / Exceptional Benefit
IMPACT (on Council)					

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KEY TO LIKELIHOOD

- A Very high - almost certainly will occur (>80%)
- B High – more likely than not (51-80%)
- C Medium – fairly likely to occur (25-50%)
- D Low – could occur (10-24%)
- E Very low – extremely unlikely (3-9%)
- F Almost impossible (0-2%)

KEY TO IMPACT

1. Catastrophic – Multiple mandatory and corporate objective s would not be achieved/multiple services could not be delivered/S114 Order likely
2. Critical – Serious impact on achievement of mandatory and corporate objectives /serious disruption to services/significant detrimental impact on finances
3. Moderate - Some effect on achievement of mandatory and corporate objective s /some effect on services/some detrimental impact on finances
4. Negligible – Insignificant effect on mandatory and corporate objective s /insignificant effect on services/insignificant financial impact

KEY TO RISK MOVEMENT (RM)

- ↑ Increased
- ↓ Decreased
- ↔ Remained the same

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No.	Mandatory Objective/ Corporate Objective 24/25	Risk Description	Inherent Risk Rating	Key Measures in place to Manage Risk (Key Controls)	Residual Risk Rating		Further Action /Implementation Date	Risk owner/ Manager Responsible	Update & Date
					Q4 23/24	Q1 24/25			
1.	<p style="text-align: center;">Manage</p> <p>Completion of Mandatory Training, within the total agreed net budget A Council that Puts Residents First A Borough that is Clean and Safe A Place where those in Need are Supported</p>	<p>Risk: Failure to fulfil the Council’s Health & Safety (H&S) duties leading to a harmful event for an individual(s) for which the Council is responsible leading to litigation</p> <p>Causes</p> <ul style="list-style-type: none"> Lack of suitable and sufficient risk assessments Lack of oversight of accident & incident data Lack of managerial responsibility Lack of H&S training across the organisation Lack of leadership governance <p>Consequences</p> <ul style="list-style-type: none"> Lack of regard for health and safety across the organisation Increased potential for harm to persons (both our employees and non-employees) and property Increased potential for litigation Adverse detrimental impact on colleagues’ morale 	A2	<ul style="list-style-type: none"> Corporate Health and Safety Board Staff Safety Circles meetings Enhanced engagement on H&S across all areas of the Council Focus on accountability Challenge to managers on H&S topics and culture On-line H&S management system in place (SHE ASSURE) 	D2	C2	<ul style="list-style-type: none"> Relaunch/retrain of risk assessment system to address short-fall in these (Q2-3 2024/25 /On-going) Focus on managers’ self-audit processes (Q2-3 2024/25) Continuation of policy and procedures reviews and re-engagement (FY 2024/25) Continuing and active support to managers on the positive dimensions on H&S within the workplace (FY 2024/25) Initiating Health and Safety Leading Safely courses for Level 1 and 2 managers and Safety Board Members (Dec 24) 	<p>Director of HR & OD / (Human Resources and Organisational Development/ Corporate Directors</p>	<p>Q1 2024/25 Interim Health and Safety Manager 17.06.24 Director of HR & OD 27.06.24</p> <p>As at Q1 we have identified gaps in our H&S governance arrangements and have put in place a plan to close the gaps. This process initiates with training of the leadership of the Council as a top- down approach to setting a positive health and safety culture.</p> <p>As at Q1 a RED C2 rating is appropriate but it is likely this will reduce to an AMBER D2 rating in the next quarter.</p>

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No.	Mandatory Objective/ Corporate Objective 23/24	Risk Description	Inherent Risk Rating	Key Measures in place to Manage Risk (Key Controls)	Residual Risk Rating		Further Action /Implementation Date	Risk Owner/ Manager Responsible	Update & Date
					Q4 23/24	Q1 24/25			
3.	<p>Manage within</p> <p>Completion of Mandatory Training, the total agreed net budget A Council that Puts Residents First A Borough that is Clean and Safe A Place where those in Need are Supported</p>	<p>Risk: Major cybersecurity incident affecting the Council or an external supplier results in Service failure and significant breach of the Data Protection Act (Re-worded Risk)</p> <p>Causes</p> <ul style="list-style-type: none"> • Cyber-attack, ransomware or malware attack on the Council or a supplier • Inadequate contractual protections • Insufficient user IG awareness and training • Staff/suppliers fail to notify data breaches • Failure of a cloud service provider (e.g. Microsoft 365 (Azure)) • Ineffective firewall/protection • Internal staff sabotage <p>Consequences</p> <ul style="list-style-type: none"> • Reputational damage • Loss of service delivery • Harm to service users arising from data breach • ICO (Information Commissioner’s Office) enforcement 	B1	<ul style="list-style-type: none"> • Corporate Information Governance (IGB) and Information Security Board (ISB) governance and reporting • Data breach handling process • Mandatory Staff Information Governance (IG) and security training (target 90% further to Regulator best practice) • Regular staff awareness campaigns • Contractual data security and backup arrangements with third parties • Regular updates to systems and software, and regular Penetration (PEN) Tests to achieve compliance standards 	C3	C2	<ul style="list-style-type: none"> • On-going security improvement project (FY 2024/25) • Continuous learning and development on staff obligations regarding data and information security including phishing simulation (On-going) • New (LOTI) minimum security standards for procurement and management of third party suppliers (Q3 24/25) • Adoption of new (LOTI) data breach handling processes, and desktop exercise with Social Care (Q4 24/25) 	Managing Director	<p style="text-align: center;">Q1 2024/25 Cyber Security Manager & Information Governance Manager/Data Protection Officer 12.06.24 & Director of IT 21.06.24</p> <p>As discussed with the Leader at the Q4 Performance Board continued increases in the number and impact of external supply chain breaches affecting Harrow has increased our assessment of the likely impact.</p> <p>Risk has been reworded from its previous wording in the last quarter of “There is a significant breach of the Data Protection Act and a catastrophic IT Failure” to reflect this.</p>

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No.	Mandatory Objective/ Corporate Objective 24/25	Risk Description	Inherent Risk Rating	Key Measures in place to Manage Risk (Key Controls)	Residual Risk Rating		Further Action /Implementation Date	Risk Owner/ Manager Responsible	Update & Date
					Q4 23/24	Q1 24/25			
3.	Manage within the total agreed net budget for their service, A Council that Puts Residents First A Borough that is Clean and Safe A Place where those in Need are Supported	<p>Risk: Housing do not deliver health and safety statutory duties and regulatory requirements</p> <p>Causes</p> <ul style="list-style-type: none"> Health and Safety compliance across the six key areas (fire, gas, electrical, lifts, asbestos and legionella) not being to the required level of performance. New legislative and regulatory requirements Placement of families into unsuitable temporary or emergency accommodation. Insufficient technical requirements/skills in the market Insufficient budgets/funding Supply chain issues/shortages <p>Consequences</p> <ul style="list-style-type: none"> Failure to carry out our statutory responsibilities (building safety, all compliance responsibilities, safeguarding) Increase in homelessness and related pressures Intervention from the Regulator Increase in repair claims and legal actions 	A2	<ul style="list-style-type: none"> Performance score card reflects six areas of H&S compliance & this is reported to DMT (Directorate Management Team), Portfolio Holder (PH) and Corporate Leadership Team (CLT) Monthly Homelessness rpts.to CLT Recruitment of additional staff Additional strategic work (e.g. stock condition, business plan) taken place to aid in prioritisation and decision-making Strong progress made on water risk assessments compliance (100% compliance across 448 blocks) H&S Compliance part of the Corporate Improvement Plan (CIP) Monitoring visit with the Regulator Cabinet approved contracts Oct 23. Permanent Building Safety Manager recruited and in place 	C2	C2	<ul style="list-style-type: none"> On-going electrical safety checks and certificates are being completed currently 72% complete) (June 24) Procurement for the long term new contractor now imminent nearing completion (July 24) 	Corporate Director of Place	<p style="text-align: center;">Q1 2023/24 Director of Housing 14.06.24</p> <p>As at Q1 we are nearing the point on our electrical testing progress where the likelihood element of the risk will decrease the risk to AMBER in Q2.</p>

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					Q4 23/24	Q1 24/25			
4.	Completion of Mandatory Training, Manage within the total agreed net budget A Council that Puts Residents First A Borough that is Clean and Safe A Place where those in Need are Supported	<p>Risk: The Adult Social Care budget is significantly overspent</p> <p>Causes</p> <ul style="list-style-type: none"> • Demand from community pressures • Demand from increased hospital discharges • More children with critical needs moving into adulthood • Lack of government funding and rising prices in the social care market <p>Consequences</p> <ul style="list-style-type: none"> • Increased financial pressure • Increased waiting times • Adverse health impacts • Potential failure to disgorge statutory obligations 	A1	<ul style="list-style-type: none"> • Resource Allocation Panel • Robust financial monitoring system • Strengths-based approaches to individuals and increasing independence • Part of ADASS (Association of Directors of Adult Social Services) national body lobbying government for more funding. • Working closely with Integrated Care Board (ICB) to improve Better Care Funding (BCF) • New Business Partner in place • Debt provision is now a key MTFS priority 	B2	C3	<ul style="list-style-type: none"> • Developing a bedded care strategy (FY 24/25) • Very close management of the MTFS incl. financial assessments and reduction of placement costs (FY 24/25) 	Corporate Leadership Team (CLT)	<p style="text-align: center;">Q1 2024/25 Int. Director of Adult Services 19.06.24</p> <p>As at Q1 we are in much stronger position as we have received growth last year, there is a new Business Partner in place, there is effective leadership and our budget is being tightly managed. Additionally we have received new money from Health.</p> <p>This makes an AMBER C3 rating appropriate in Q1.</p>

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No.	Mandatory Objective/ Corporate Objective 24/25	Risk Description	Inherent Risk Rating	Key Measures in place to Manage Risk (Key Controls)	Residual Risk Rating		Further Action Planned & Underway & Implementation Date	Risk Owner/ Manager Responsible	Update & Date
					Q4 23/24	Q1 24/25			
5.	Completion of all Mandatory Staff Training, Managing Within Total Agreed Net Budget, 1. A Council that Puts Residents First 2. A Borough that is Clean and Safe 3. A Place where those in Need are Supported	<p>Risk: Systemic issues of inequality and disproportionality experienced by staff with protected characteristics are not recognised and addressed by the Council [Staff Dimension]</p> <p>Causes</p> <ul style="list-style-type: none"> • Lack of clear of direction and vision in this area from senior management • Historic weaknesses in data analysis in relation to diversity, leading to weak Equality Impact Assessments (EQIAs) and ineffective policy decisions that affect staff • Historic lack of alignment around policies procedures, capacity and communication <p>Consequences</p> <ul style="list-style-type: none"> • Continuing issues of inequality for staff, leading to increased staff dissatisfaction and potential conflict resulting in costly interventions. • Failure to attract diverse talent which is representative of the community that we serve. 	A3	<ul style="list-style-type: none"> • Strategies in place including the Equalities, Diversity and Inclusion (EDI) Strategic Framework, Race Equality Action Plan, and EDI has been integrated into the Workforce Strategy. • Annual production of the Workforce Profile • Staff networks established with direct line to Managing Director • Refreshed training and development, including EDI mandatory training, Dignity and Respect at Work, and EQIAs • Clear governance process via the EDI Board and Disability Confident Task Group • New Dignity at Work completed and delivered to managers • Share Not Declare campaign completed and delivered to managers • Completion of the Annual Workforce Profile • Review of recruitment policy and procedure 	C3	C3	<ul style="list-style-type: none"> • Pulse Survey to take place (Q2 2024/25) 	Managing Director	<p>2024/25 Q1 Interim Asst. Director Corporate Strategy 17.06.24</p> <p>As at Q1 some of the actions have been undertaken and completed as indicated and the team is going through a restructure</p>

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					Q4 23/24	Q1 24/25			
6.	<p>Manage within the total</p> <p>Completion of Mandatory Training, agreed net budget</p> <p>Council that Puts Residents First</p> <p>A Borough that is Clean and Safe</p> <p>A Place where those in Need are Supported</p>	<p>Risk: Failure to prevent and/or detect significant fraud resulting in financial loss and reputational damage to the Council and reduction of funds available for services</p> <p>Causes</p> <ul style="list-style-type: none"> • Failure of Corporate Governance • Lack of management oversight • Breakdowns of the internal control systems <p>Consequences</p> <ul style="list-style-type: none"> • Financial Loss • Reputational damage • Adverse impact on service delivery due to avoidable drain on resources • Reduced/damaged staff morale 	B2	<ul style="list-style-type: none"> • Robust policy framework • Counter Fraud Culture led from the top (e.g. Zero Tolerance, Whistleblowing arrangements) • Risk-based Internal Audit & Fraud Annual Plans • Mandatory Fraud Awareness Training • Adequately resourced and skilled Internal Audit and Counter-Fraud Service • Governance, Audit, Risk Management & Standards (GARMS) Committee oversight 	C3	C3	<ul style="list-style-type: none"> • Regular review of the Constitution and corporate policies (Ongoing) • Regular communication to all staff to raise awareness of Council's governance arrangements (e.g. Whistleblowing, Gifts & Hospitality, Declaration of Interest, Schemes of Delegation, Fin Reg's, Procurement Rules, etc) (June 2024 then Annually) • Support for Internal Audit and the Corporate Anti-Fraud Team (Ongoing) • Actions to improve fraud risk resilience to comply with the new 'failure to prevent' legislation (On-Going) 	Manging Director & Corporate Directors	<p>Q1 2023/24 Interim Head of Internal Audit & Corporate Anti-Fraud, Corporate Anti-Fraud Team Manager 11.06.24</p> <p>Directorate risk registers now include fraud risk. The updated Anti-Fraud & Corruption Strategy was approved by GARMS on 19 March 2024. It will be incorporated into the next update of the Constitution. Communication on this and the updated Declaration of Interest (All Staff) Policy still need to be published. The Gifts & Hospitality Policy also needs to be reviewed.</p>

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No.	Mandatory Objective/ Corporate Objective 24/25	Risk Description	Inherent Risk Rating	Key Measures in place to Manage Risk (Key Controls)	Residual Risk Rating		Further Action /Implementation Date	Risk Owner/ Manager Responsible	Update & Date
					Q4 23/24	Q1 24/25			
7.	Manage Completion of Mandatory Training, within the total agreed net budget A Council that Puts Residents First A Borough that is Clean and Safe A Place where those in Need are Supported	<p>Risk: Inability to deliver the Council's approved MTFs (Medium Term Financial Strategy) over the next 3 years leading to an inability to set a balanced budget and provide core services</p> <p>Causes</p> <ul style="list-style-type: none"> • Non-delivery of saving • Increase in demand pressures, e.g. Adult Services • Economic climate and linked inflationary pressures <p>Consequences</p> <ul style="list-style-type: none"> • Non-delivery of services or need to stop services • Need to draw down on limited reserves 	A2	<ul style="list-style-type: none"> • Savings Tracker in place across the Council • Monthly budget monitoring reported to Corporate Leadership Team (CLT) • Quarterly budget monitoring reported to Cabinet • First budget challenge sessions have taken place (Feb 24) • Budget contingency of £1.2 M in place for 23/24 but increased to £2.2M for 24/25 • Close liaison with Finance Business Partners (FBPs) • Close monitoring of key budget savings proposals as part of corporate improvement programme 	D2	D2	<ul style="list-style-type: none"> • Use of MyForecast tool across all directorates (FY 2024/25) • Further budget challenge sessions continuing and underway (June & Sept 24) • More targeted budget challenge sessions, eg on Parling and Temporary Accommodation (June/Bi-Monthly) • Capital Programme/Strategy meeting (July 24) 	Director Finance and Assurance	<p style="text-align: center;">Q1 2023/24 Strategic Director of Finance 19.06.24</p> <p>The 2023/24 accounts are in the process of being closed and it is estimated that there is likely to be a small underspend which will contribute to reserves - still subject to final audit.</p> <p>The position for 25/26 and 26/27 is that there is a budget gap across the two years of around £15M. However, work has taken place and is on-going to reduce the budget gap.</p> <p>Over the 3-year timespan an AMBER D2 rating feels appropriate.</p>

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No.	Mandatory Objective/ Corporate Objective 24/25	Risk Description	Inherent Risk Rating	Key Measures in place to Manage Risk (Key Controls)	Residual Risk Rating		Further Action /Implementation Date	Risk Owner/ Manager Responsible	Update & Date
					Q4 23/24	Q1 24/25			
8.	Completion of Mandatory Training, Manage within the total agreed net budget A Council that Puts Residents First A Borough that is Clean and Safe A Place where those in Need are Supported	<p>Risk: The Council's new payroll system is not fully implemented by 31.12.24</p> <p>Causes</p> <ul style="list-style-type: none"> • Very tight timescales to complete a project of this size • Lack of available resources on both the Council and the supplier side <p>Consequences</p> <ul style="list-style-type: none"> • Salaries, wages and allowances not fully or correctly paid to staff on time • Charges incurred by staff for late payment required to be covered by the Council • Additional costs incurred for correcting payroll errors incl. pensions and HMRC • Adverse organisational/reputational impact and perception of the Council 	B3	<ul style="list-style-type: none"> • Robust project governance and oversight in place • New payroll contractor in place and transition underway • As contingency the previous payroll levels would be run and paid should there be any issue with the new system so as to ensure staff are paid promptly • Additional/backfill resources put in place 	D2	D2	<ul style="list-style-type: none"> • Tight project monitoring, oversight and reporting as the project progresses (On-going) • At end June the Project Board will decide whether to invoke contingency options for payroll interface: HRI Batch or extended use of LOKI (Q1/2 24/25) 	Director of IT/ Director of HR and OD	<p>Q1 2024/25 Director of IT 21.06.24 Director of HR and OD 27.06.24</p> <p>As at Q1 the overall project is AMBER, reflecting very tight timescales for completing and signing off the interface between D365 and Zellis payroll.</p>

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No.	Mandatory Objective/ Corporate Objective 24/25	New Risk Description	Inherent Risk Rating	Key Measures in place to Manage Risk (Key Controls)	Residual Risk Rating		Further Action /Implementation Date	Risk owner/ Manager Responsible	Update & Date
					Q4 23/24	Q1 24/25			
9.	Completion of Mandatory Training, Manage within the total agreed net budget A Council that Puts Residents First A Borough that is Clean and Safe A Place where those in Need are Supported	<p>Risk: There is insufficient financial and organisational commitment and capacity to implement the Council's climate and nature strategy</p> <p>Causes</p> <ul style="list-style-type: none"> Continuing the current business as usual approach to emissions, including those from heat and electricity, fossil fuel vehicles, new development (embodied carbon and operational energy), purchase of good and services (consumption emissions) Low level awareness and failure to take comprehensive action <p>Consequences</p> <ul style="list-style-type: none"> Increased extreme weather events including flooding, heatwaves and drought Increased adverse impact on people, well-being and property Risks to global natural capital essential for the functioning of society, including ecosystems, soils and biodiversity Migration pressures, economic contraction and instability Increase in fuel and other types of poverty for residents 	A2	<ul style="list-style-type: none"> Declaration of climate emergency and establishing 2030 target Annually reviewed Council Climate and Nature Strategy (2023-30) in place Climate and Sustainability Board established Organisational Carbon Baseline established Low Carbon Procurement Policy agreed On-going cabinet approval of electric vehicle charging 	D2	D2	<ul style="list-style-type: none"> Climate Action Tracker to be developed with input from all service teams (On-going - FY 2024-25) Introduce climate and nature assessment as part of cabinet decisions (FY 2024-25) Develop core competency training for all staff and members (FY 2024-25) Develop a financial and implementation strategy for decarbonisation of our school and corporate estate, and operational fleet (FY 2024-25) Staff engagement on the strategy via the Managers' Forum, CLT and the Sustainability Champions' network (FY24/25) 	CLT/ Corporate Director of Place	<p style="text-align: center;">Q1 2024/25</p> <p>Corporate Director of Place & Asst. Director, Climate Change and Natural Resources 25.06.24</p> <p>In Q1 the risk has been re-drawn to focus on the key issues that need to be addressed at this point in time in order to advance implementation of the climate and nature strategy. As at Q1 an AMBER D2 (Low-Likelihood- Critical Impact) assessment still remains appropriate</p>

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No.	Mandatory Objectives/ Corporate Objectives 24/25	Risk Description	Inherent Risk Rating	Key Measures in place to Manage Risk (Key Controls)	Residual Risk Rating		Further Action /Implementation Date	Risk owner/ Manager Responsible	Update & Date
					Q4 23/24	Q1 24/25			
10.	<p>Completion of Mandatory Training. Manage within the total agreed net budget A Council that Puts Residents First A Borough that is Clean and Safe A Place where those in Need are Supported</p>	<p>Risk: Failure to adequately deliver a statutory service/duty at Children's Services leading to a harmful event for an individual(s) for which the Council is responsible</p> <p>Causes</p> <ul style="list-style-type: none"> • Workforce shortages • Shortage of resources in the community and of providers for specialist care • National shortage of safeguarding social workers • Workforce instability • Ineffective performance management <p>Consequences</p> <ul style="list-style-type: none"> • Over-reliance on costly interim and agency staff • High turnover of staff • Adverse inspection risk • Reputational damage 	A2	<ul style="list-style-type: none"> • Local Safeguarding Children's Board • Strategic Safeguarding Partnership • QA (Quality Assurance) in place including internal and external processes • Weekly performance meetings • Consistent approach to performance management • International recruitment of permanent social workers • Effective leadership in place • Strengthening quality assurance • Children's Transformation now live 	D2	D2	<ul style="list-style-type: none"> • Recruitment and retention programme in Children's Services to overcome challenges in recruitment particularly across experienced roles (FY 2024/25) • Managing rising safeguarding demand (Q1-Q2 2024/25) • Further work needed required to implement Working Together 2023 (Q1-Q2 2024/25) <p><u>Note</u> Children's risk on safeguarding here now separated from the Adults risk in this area as the risk profiles are different and being monitored now by separated DMTs/departments.</p>	CLT/ Director of Children Services	<p>Q1 Director of Children's Services 17.06.24</p> <p>As at Q1 the risk is still at an AMBER D2 level. Children's Services is requiring improvement and this is being monitored at the Children's Services Improvement Board.</p>

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					Q4 23/24	Q1 24/25			
11.	<p>Completion of Mandatory Training, Manage within the total agreed net budget A Council that Puts Residents First A Borough that is Clean and Safe A Place where those in Need are Supported</p>	<p>Risk: Failure to adequately deliver a statutory service/duty at Adults and Public Health leading to a harmful event for an individual(s) for which the Council is responsible</p> <p>Causes</p> <ul style="list-style-type: none"> • Workforce shortages • Shortage of resources in the community and of providers for specialist care • National shortage of safeguarding social workers • Workforce instability • Ineffective performance management <p>Consequences</p> <ul style="list-style-type: none"> • Over-reliance on costly interim and agency staff • High turnover of staff • Adverse inspection risk • Reputational damage 	A2	<ul style="list-style-type: none"> • Quarterly Safeguarding DASS (Director Adult Social Services) Briefing to Leader, Portfolio Holder and Managing Director • Local Safeguarding Adults Board • Strategic Safeguarding Partnership • QA (Quality Assurance) in place including internal and external processes • Weekly performance meetings • Consistent approach to performance management • International recruitment of permanent social workers • Effective leadership in place • Strengthening quality assurance • Adult services neighbourhood hubs in place • New Service Manager and Team Manger in place 	D2	D2	<ul style="list-style-type: none"> • Implementing action plan from review of Adult Safeguarding Board (FY 2024/25) • Increasing Adult Services pay to be more in line with Children's Services (FY 2024/25) • Recruitment and retention programme in Adults (FY 2024/25) • Working with Partners on multi-agency demand (FY 2024/25) • Remodelling safeguarding operating model and team (Oct 24) 	<p>CLT/ Interim Director of Social Services (DASS)</p>	<p>Q1 2023/24 Int. Director of Adult Services 19.06.24</p> <p>As at Q1 we have now got a permanent Service Manager and Team Manger in place which has created stability.</p>

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No.	Mandatory Objective/ Corporate Objective 24/25	Risk Description	Inherent Risk Rating	Key Measures in place to Manage Risk (Key Controls)	Residual Risk Rating		Further Action /Implementation Date	Risk Owner/ Manager Responsible	Update & Date
					Q4 23/24	Q1 24/25			
12.	Completion of Mandatory Training, Manage within the total agreed net budget A Council that Puts Residents First A Borough that is Clean and Safe A Place where those in Need are Supported	<p>Risk: Lack of robust Business Continuity and Emergency Planning arrangements leads to an inadequate response and recovery to an emergency or business system failure resulting in detrimental impact on the community, vulnerable clients, damage to reputation and additional costs to the Council</p> <p>Causes</p> <ul style="list-style-type: none"> • Lack of up-to-directorate plans • Lack of up-to-date training with key service leads and directors • Lack of engagement between key service leads <p>Consequences</p> <ul style="list-style-type: none"> • Inability to respond to a major incident in the borough • Inadequate response to a regional or national catastrophic incident 	B2	<ul style="list-style-type: none"> • Quarterly preparedness reviews with multi-agency partners (Borough Resilience Forum) • Regular reviews of directorate plans • Regular testing of plans with West London Resilience Programme Board • Scheduled programme of training at Bronze, Silver and Gold levels • Pan-London Exercise completed • Joint rest centre exercise with the Royal Borough of Kensington and Chelsea completed 	D2	D2	<ul style="list-style-type: none"> • Review of EP (Emergency Planning) currently underway and BC (Business Continuity) plans also currently being reviewed (Q1-2 2024/25) 	Corporate Leadership Team	<p>Q1 2023/24 Asst Dir. Corporate Strategy 17.06.24</p> <p>As at Q1 we are experiencing a high level of staff sickness absence in the section. Interim cover is currently being recruited to cover this gap.</p>

APPENDIX 1 – HARROW COUNCIL CORPORATE RISK REGISTER AS AT QUARTER 1 FINANCIAL YEAR 2024/25

No.	Mandatory Objective/ Corporate Objective 24/25	New Risk Description	Inherent Risk Rating	Key Measures in place to Manage Risk (Key Controls)	Residual Risk Rating		Further Action /Implementation Date	Risk Owner/ Manager Responsible	Update & Date
					Q4 23/24	Q1 24/25			
13.	Completion of Mandatory Training, Manage within the total agreed net budget A Council that Puts Residents First A Borough that is Clean and Safe A Place where those in Need are Supported	<p>Risk: Failure to deliver the Council-led Regeneration Programme through the Harrow Strategic Development Partnership (HSDP)</p> <p>Causes</p> <ul style="list-style-type: none"> Greater London Authority (GLA) funding is potentially withdrawn Viability reduces Cost claim Development Management (DM) failure Contract dispute <p>Consequences</p> <ul style="list-style-type: none"> Failure to deliver housing Reputational damage Significant financial risk to the Council Empty and landlocked sites 	A2	<ul style="list-style-type: none"> HSDP Strategic Board On-going meetings with GLA on funding Contract review of DM function & associated activities Up to date business plans and viability reviews completed and on-going Improved internal governance for the HSDP with the new regeneration development board 	D2	D2	<ul style="list-style-type: none"> Implementing the actions of the independent review of the HSDP incl. the financial model (On-going) The Council are in receipt of £3.78m of Housing Zone (HZ) grant, the HZ period has now lapsed and therefore, officers are in negotiation with the GLA to re-provide this funding via an alternative funding route (Dec 24) Reaching an agreed position on the cost claim from Wates (Aug 24) 	Corporate Director of Place	<p style="text-align: center;">Q1 2023/24 Interim Director of Regeneration Programme 18.06.24</p> <p>As at Q1 the risk remains at an AMBER D2 level as the business plans have been agreed by Members and governance has improved.</p> <p>Work is on-going and working relationships are improving and that will continue to de-risk the project.</p>

APPENDIX 1 – HARROW COUNCIL CORPORATE RISK REGISTER AS AT QUARTER 1 FINANCIAL YEAR 2024/25

No.	Mandatory Objective/ Corporate Objective 24/25	Risk Description	Inherent Risk Rating	Key Measures in place to Manage Risk (Key Controls)	Residual Risk Rating		Further Action /Implementation Date	Risk Owner/ Manager Responsible	Update & Date
					Q4 23/24	Q1 24/25			
14.	Completion of Mandatory Training, Manage within the total agreed net budget A Council that Puts Residents First A Borough that is Clean and Safe A Place where those in Need are Supported	<p>Risk: Failure to successfully defend against a significant legal challenge to the Council's formal decision making processes</p> <p>Causes</p> <ul style="list-style-type: none"> • Failure to involve legal at an early stage in the activity/process • Lack of awareness and understanding • Inadequate processes and procedures <p>Consequences</p> <ul style="list-style-type: none"> • Council fails to achieve its Priorities • Costly decisions against the Council • Council fails to achieve its objectives • Judicial Review 	B2	<ul style="list-style-type: none"> • Legal input into all major projects and significant decision-making • Offer to contribute to review of equality impact assessments on all protected characteristics • Professional staff. • Professional staff with effective supervision • File reviews. • Training and Continuing Professional Development (CPD) for staff • Legal clearance of Member reports. • Legal input to major project groups. • Management Development Programme • Members Induction Programme 	D2		<ul style="list-style-type: none"> • On-going clearance of reports as they arise during the year (FY 2024/25) 	Director of Legal Services & Monitoring Officer	<p>2024/25 Q1 Director of Legal Services & Monitoring Officer 25.06.24</p> <p>As at Q1 the risk of a successful legal challenge to a significant decision of the Council is AMBER D2 as generally reports are given sufficient time for any risk areas to be picked up.</p>

APPENDIX 1 – HARROW COUNCIL CORPORATE RISK REGISTER AS AT QUARTER 1 FINANCIAL YEAR 2024/25

No.	Mandatory Objective/ Corporate Objective 24/25	Risk Description	Inherent Risk Rating	Key Measures in place to Manage Risk (Key Controls)	Residual Risk Rating		Further Action /Implementation Date	Risk Owner/ Manager Responsible	Update & Date
					Q4 23/24	Q1 24/25			
15.	Completion of Mandatory Training, Manage within the total agreed net budget A Council that Puts Residents First A Borough that is Clean and Safe A Place where those in Need are Supported	<p>Risk: Lack of Strategic Leadership Capacity</p> <p>Causes</p> <ul style="list-style-type: none"> • Unplanned changes in the senior management Team • Resignation or absence <p>Consequences</p> <ul style="list-style-type: none"> • Lack of capability • Challenging recruitment timescales 	B2	<ul style="list-style-type: none"> • Recruitment • Internal cover arrangements 	D2	D2	<ul style="list-style-type: none"> • Reviewing succession planning as part of the workforce strategy (2023-26) 	Corporate Leadership Team (CLT) Director of HR & OD (Human Resources & Organisational Development)	<p style="text-align: center;">Q1 2024/25 Director of HR & OD 27.06.24</p> <p>As at Q1 appropriate planning and recruitment is being progressed where appropriate.</p>

APPENDIX 1 – HARROW COUNCIL CORPORATE RISK REGISTER AS AT QUARTER 1 FINANCIAL YEAR 2024/25

No.	Mandatory Objective/ Corporate Objective 24/25	Risk Description	Inherent Risk Rating	Key Measures in place to Manage Risk (Key Controls)	Residual Risk Rating		Further Action /Implementation Date	Risk owner/ Manager Responsible	Update & Date
					Q4 23/24	Q1 24/25			
16.	Completion of all Mandatory Staff Training, Managing Within Total Agreed Net Budget, A Council that Puts Residents First A Borough that is Clean and Safe A Place where those in Need are Supported	<p>Risk: Industrial relations (IR) climate impacts delivery of services and transformation</p> <p>Causes:</p> <ul style="list-style-type: none"> National Pay review Service changes Restructuring Budget cuts Staff reductions Unison & GMB Relationships <p>Consequences:</p> <ul style="list-style-type: none"> Reputational damage Disruption to delivery of services and projects 	B2	<ul style="list-style-type: none"> Directorate Joint Committees, Corporate Joint Committee (CJC) and Employee Consultative Forum (ECF) meetings regularly happening Regular briefings to Leader and Portfolio Holder (PH) on IR Open channels of communication with TUs to raise things outside of formal processes to seek resolution on specific issues Agreement and roll-out of 22/23 pay award Additional capacity in HR Organisational Design Authority in place to bring structure and consistency to directorate changes 	D3	D3	<ul style="list-style-type: none"> Continuation of open dialogue with TUs to ensure there are positive and constructive industrial relations (On-going) 	Managing Director	2024/25 Q1 2023/24 Director of HR & OD 27.06.24 The new pay claim for 23/24 has been submitted. Agreement has not been reached. The risk is at GREEN D3 level as at this point of time.

MANDATORY & CORPORATE OBJECTIVES

Mandatory Objectives 2024/25

- **ALL staff:** Completion of all mandatory training
- **Budget managers:** Manage within the total agreed net budget for their service, taking corrective action to address over & under spends. Reporting anticipated overspends to the relevant director and corporate director as soon as they are identified and seeking authority prior to any overspend taking place

Corporate Objectives 2024/25

A Council that
Puts Residents
First

A Borough that is
Clean and Safe

A Place where
those in Need are
Supported