

APPENDIX 1 – MANAGEMENT SUMMARY REPORT FOR THE 2023/24 CORPORATE RISK REGISTER AS AT Q3

No.	Risk	Q1 23/24	Q3 23/24	RM
1	The Adult Social Care budget is overspent	B2	B2	↔
2	Failure to deliver the Council-led Regeneration Programme through the Harrow Strategic Development Partnership (HSDP)	C2	C2	↔
3	Housing do not deliver on health and safety statutory duties and regulatory requirements	C2	C2	↔
4	There is a significant breach of the Data Protection Act or a catastrophic IT Failure	C3	C3	↔
5	Systemic issues of inequality and disproportionality experienced by staff with protected characteristics are not recognised and addressed by the Council [Staff Dimension]	B3	C3	↓
6	Inability to deliver the Council's approved MTFS over the next 3 years	B2	C3	↓
7	Failure to prevent and/or detect significant fraud at the Council	C3	C3	↔
8	Failure to adequately deliver a statutory service/duty leading to a harmful event for an individual (s) for which the Council is responsible	C2	D2	↓
9	The Council is not carbon neutral by 2030	C2	D2	↓
10	Failure to stabilise and optimise the Dynamics Finance and Operations system (Finance and HR/Payroll)	C3	D2	↓
11	Lack of Strategic Leadership Capacity	D2	D2	↔
12	Failure to successfully defend against a significant legal challenge to the Council's formal decision making processes	D2	D2	↔
13	Lack of robust Business Continuity and Emergency Planning	D2	D2	↔
14	Failure to fulfil the Council's Health & Safety Duties	C3	D2	↓
15	Industrial relations climate impacts delivery of services and transformation	C3	D3	↓
16	There is an adverse impact on staff health and wellbeing (Closed Risk)	D3	N/A	↓

L I K E L I H O O D	A Very High (>80%)				
	B High (51-80%)			1	
	C Medium (25-50%)		4,5,6,7	2,3	
	D Low (10-24%)		15	8,9,10,11 12,13,14	
	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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1	The Adult Social Care budget is overspent	B2	B2	↔	Corporate Leadership Team (CLT)	Risk remains at a RED B2 level because of the increased demand from hospital and community settings now being experienced and this also creates follow-on and knock on pressures for services. (28.11.23)
2	Failure to deliver the Council-led Regeneration Programme through the Harrow Strategic Development Partnership (HSDP)	C2	C2	↔	Corporate Director of Place	The risk will remain at C2 level until the business and Phase business plans are signed off. (19.01.24)
3	Housing do not deliver on health and safety statutory duties and regulatory requirements	C2	C2	↔	Corporate Director of Place	The risk is at a RED C2 rating in Q3 and will remain at this level including the further actions being taken due to the number of electrical tests still required to be undertaken an action plan is in place. (03.01.24)
4	There is a significant breach of the Data Protection Act or a catastrophic IT Failure	C3	C3	↔	Managing Director	As at Q3 the risk rating is AMBER C3 due to the need for staff continuous learning and the need for constant and on-going vigilance. (24.11.23)
5	Systemic issues of inequality and disproportionality experienced by staff with protected characteristics are not recognised and addressed by the Council [Staff Dimension]	B3	C3	↓	Managing Director	Current resource pressures in the team may delay delivery of some EDI related programmes (01.12.23)
6	Inability to deliver the Council's approved MTFS over the next 3 years	B2	C3	↓	Acting Director of Finance and Assurance	FY 2023/24 we are in a relatively good position with a £1.4M overspend as at Q2 which has reduced from a £2.3M overspend at Q1. Balanced budget in place for 24/25 to be agreed by the December Cabinet. Budget gaps identified for 2025/26 (circa £12M and 26/27 circa. £7M. (24.11.23)
7	Failure to prevent and/or detect significant fraud at the Council	C3	C3	↔	Managing Director & Corporate Directors	The Council will be in a more resilient position once the Anti-Fraud & Corruption Strategy is re-launched alongside corporate messaging and when the corporate risk filters down into directorates. (06.12.23)

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8	Failure to adequately deliver a statutory service/duty leading to a harmful event for an individual (s) for which the Council is responsible	C2	D2	↓	CLT/ Interim Director of Social Services (DASS) / Director of Children Services	<p>Adults Adult Services perspective is now more amber (AMBER D2) as there has been an increase in staff with likely better pay and conditions which will help retain staff.</p> <p>Children As at Q3 the risk is similarly now at an AMBER D2 level due to the implementation of Transformation resulting in greater stability at leadership level (05.01.24)</p>
9	The Council is not carbon neutral by 2030	C2	D2	↓	CLT/Corporate Director of Place	As at Q3 the risk is at an AMBER D2 level. The climate and nature strategy has been approved by Cabinet and we are now moving into the implementation phase which will require sustained support to from all service teams contributing to implementation. This will be necessary to ensure the risk does not move into RED. (08.01.24)
10	Failure to stabilise and optimise the Dynamics Finance and Operations system (Finance and HR/Payroll)	C3	D2	↓	CLT/ Director of IT	The impact of a failed payroll implementation is high, but the detailed replacement plans in place reduces likelihood to Low. The impact will reduce further in December 2024, following implementation of the new payroll solution. (01.12.23)
11	Lack of Strategic Leadership Capacity	D2	D2	↔	Corporate Leadership Team (CLT) Director of HR & OD (Human Resources & Organisational Development)	Appropriate planning and recruitment is being progressed. (04.12.23)
12	Failure to successfully defend against a significant legal challenge to the Council's formal decision making processes	D2	D2	↔	Director of Legal Services & Monitoring Officer	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. (27.11.23)
13	Lack of robust Business Continuity and Emergency Planning	D2	D2	↔	Corporate Leadership Team	As at Q3 the risk remains stable at an AMBER D2 level. (22.11.23)

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14 Failure to fulfil the Council's Health & Safety Duties	C3	D2	↓	Director of HR & OD / Corporate Directors	As at Q3 we are continuing with our further actions reducing the likelihood element in this analysis but we are nevertheless constantly vigilant on the risk exposure. (20.11.23)
15 Industrial relations climate impacts delivery of services and transformation	C3	D3	↓	Managing Director	The pay offer for 22/23 has been agreed and will be implemented in December 2023. (04.12.23)
16 There is an adverse impact on staff health and wellbeing (Closed Risk)	D3	N/A	↓	Corporate Leadership Team	This risk is now closed in Q3 as it is now very much business-as usual (BAU) at the Council and the circumstances of this risk and its context are largely legacy issues from the pandemic which have now been managed. (04.12.23)

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QUARTER 3 RED RISKS

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
					Q1 23/24	Q3 23/24			
1.	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 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 discharge statutory obligations 	A1	<ul style="list-style-type: none"> • Resource Allocation Panel • Robust Financial monitoring system in place • 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) funding 	B2	B2	<ul style="list-style-type: none"> • Targeted reviews (FY 23/24) • Developing a bedded care strategy (FY 23/24/25) • Task and Finish Group to tackle outstanding debt to adult social care (FY23/24) • Transformation of adult social care to become more lean and efficient (Q4 23/24) 	Corporate Leadership Team (CLT)	Risk remains at a RED B2 level because of the increased demand from hospital and community settings now being experienced and this also creates follow-on and knock on pressures for services. (28.11.23)

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No.	Mandatory Objective/ Corporate Objective 23/24	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
					Q1 23/24	Q3 23/24			
2.	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"> On-going meetings with GLA on funding Pinsent-Masons review of abortive design work cost enquiry HSDP Strategic Board in place Contract review of DM function & associated activities Up to date business plans and viability reviews 	C2	C2	<ul style="list-style-type: none"> On-going independent review of financial model (On-going) Completion of overarching business & Phase business Plans (Jan 24) Additional funding of approx. £3.78M proposed and available for the Programme going forward in FY 2024/25 (Feb 2024) 	Corporate Director of Place	The risk will remain at C2 level until the business and Phase business plans are signed off. (19.01.24)

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No.	Mandatory Objective/ Corporate Objective 22/23	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
					Q1 23/24	Q3 23/24			
3.	<p>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>	<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, PH and 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 (92% compliance across 448 blocks) • New contractor in place delivering circa. 40 certificates a week • Fire Risk Assessor recruited • H&S Compliance part of the Corporate Improvement Plan (CIP) • Water Risk Assessments to be completed on remaining blocks • C365 (Housing Compliance System) training taken place • Monitoring visit with the Regulator • Cabinet approval of contracts for electrical safety and water risk assessments 	C2	C2	<ul style="list-style-type: none"> • Building Safety Structure in place and recruitment underway (Q2-3 23) • On-going electrical safety checks and certificates are being completed (April 25) 	Corporate Director of Place	<p>The risk is at a RED C2 rating in Q3 and will remain at this level including the further actions being taken due to the significant number of electrical tests still required to be undertaken. (03.01.24)</p>