	London Borough of Hammersmith & Fulham AUDIT PENSIONS AND STANDARDS COMMITTEE (September 2014)
COMBINED RISK MANAGEMENT HIGHLIGHT REPORT	
Report of the Executive Director of Finance and Corporate Governance	
Open Report	
For Review & Comment	
Key Decision: No	
Wards Affected: None	
Accountable Executive Director: Jane West, Executive Director of Finance and Corporate Governance	
Report Author: Michael Sloniowski, Bi-borough Risk Manager	Contact Details: Tel: 020 8753 2587 E-mail: michael.sloniowski@lbhf.gov.uk

1. EXECUTIVE SUMMARY

The Audit Pensions and Standards Committee is responsible for reviewing the arrangements in place for identifying and managing key risks. Following the move towards the delivery of both Bi-borough and Tri-borough services this has necessitated the development of a Tri-borough risk register to enable the information to be shared across all three Councils. Good risk management enables the Council to pursue its vision effectively.

2. RECOMMENDATIONS

- 2.1. The committee consider the current Tri and Bi-borough Departmental Strategic, Change and Operational risks as outlined in the report and note the Councils arrangements to mitigate these.

3. REASONS FOR DECISION

- 3.1. The risk management arrangements continue to be integral to the overall internal control arrangements of the Council and contribute to the Annual Governance Statement. The Audit Pensions and Standards Committee's

role is to provide an oversight of the authority's processes to facilitate the identification and management of key risks. By ensuring that effective management of risk is undertaken services can benefit by reducing their significance; either by reducing the level of impact or likelihood.

4. INTRODUCTION AND BACKGROUND

- 4.1. Local government has been undergoing significant change and the environment in which it works is increasing in complexity. In addition to the continuing economic and financial challenge, the Localism Act and other key legislation has brought new roles, opportunities and greater flexibility for authorities.
- 4.2. Regulation 4 of the Accounts and Audit Regulations 2011 sets out the Council's responsibility for ensuring that its financial management is adequate and effective and that it has a sound system of internal control which facilitates the effective exercise of the Council's functions, and which includes arrangements for the management of risk.
- 4.3. **Appendix 3** illustrates the key steps to risk management.
- 4.4. **Risk management challenges.**
- 4.5. Local authorities are changing the way in which they operate and undertake service provision. Public services are delivered directly, through partnerships, collaboration and through commissioning. Shared services and partnership boards have come into existence. The introduction of new structures and ways of working provide challenges for managing risk, ensuring transparency and demonstrating accountability.
- 4.6. Good governance enables an authority to pursue its vision effectively as well as underpinning that vision with control and the management of risk.

5. PROPOSAL AND ISSUES

- 5.1. The council has a number of significant corporate and strategic risks that it is managing. Should any of these risks materialise there would be an associated financial burden for the council, therefore there is an onus for all council staff and members to ensure that risk management becomes a proactive tool and that mitigating actions are identified, managed, monitored and delivered to ensure that risks do not impact on services.
- 5.2. Improved management of council risks could result in financial savings across the council by reducing the number of incidents that occur through unmanaged risks and help us to achieve objectives through managed (opportunity) risks.
- 5.3. **Strategic Tri-borough risk register**

- 5.4. A strategic risk register records risks that are considered significant for the council and includes risks that are likely to affect more than one department. It is a key part of the business and financial planning process and can include, for example:
- Major safety risks that could result in fatalities to customers or staff
 - Major financial risks for the council
 - Risks that could prevent the council from meeting its strategic objectives
 - Major risks to the council's reputation e.g. adverse media coverage
 - Risks relating to overriding issues of corporate concern.
- 5.5. The councils highest level risk register, the Strategic Tri-borough risk register holds a variety of business risks focussing on the strategic objectives set for the organisation. The risk register also includes significant operational risks affecting teams but excludes low level operational activities.
- 5.6. The Strategic Tri-borough risk register has been significantly revised and updated following the review of Tri-borough, Bi-borough and departmental submissions and is attached as reviewed by the Hammersmith and Fulham Business Board.
- 5.7. Risk management is not just about anticipating problems. The risks need to be recorded, evaluated, managed and monitored. The register remains an indicator of 'Corporate Preparedness' and illustrative of good governance. The full version accompanies this paper for Members information attached at **Appendix 1**.
- 5.8. **Managing risks at a team or project level**
- 5.9. The framework for managing risk is dependent on individual teams identifying the risks being faced in delivering services and implementing projects. These risks should be identified as part of the team and project planning process and are not covered in detail in the report. It remains important that risks are systematically identified and that the assessment covers all of the team's principal activities and projects it is responsible for.
- 5.10. **Department specific risk register**
- 5.11. Changes now include entries of the more significant Tri-borough Adult Social Care risks identified directly by the department from their risk registers, significant programme, project and Information Technology and governance risks. Additionally the latest iteration of the h&f Housing and Regeneration Department risk registers were made available and those significant risks present in the registers have been replicated here for Members information, **Appendix 2**. There were a number of high risks relating to Information Technology (IT) and progress has been made to manage and mitigate these risks.

6. OPTIONS AND ANALYSIS OF OPTIONS

- 6.1. *Not applicable as the report is a representation of the business risks and opportunities to H&F council.*

7. CONSULTATION

- 7.1. *Not applicable as the report addresses the business risks to H&F council.*

8. EQUALITY IMPLICATIONS

- 8.1. *The responsibility to complete Equality Impact Assessment in relation to policy decisions is the responsibility of the appropriate departmental officer. The report highlights some of the risks and consequences of risk taking over a broad landscape and as such specific Equality and Diversity issues are referred to in the councils Bi-borough Risk and Assurance Register.*

9. LEGAL IMPLICATIONS

- 9.1. *Failure to manage risk effectively may give risk to increased exposure to litigation, claims and complaints. As such the report contributes to the effective Corporate Governance of the council.*

10. FINANCIAL AND RESOURCES IMPLICATIONS

- 10.1. *Exposure to unplanned risk could be detrimental to the ongoing financial and reputational standing of the Council. Failure to innovate and take positive risks may result in loss of opportunity and reduced Value for Money. There are no direct financial implications with the report content.*

11. RISK MANAGEMENT

- 11.1. *It is the responsibility of management to mitigate risk to an acceptable level. Appropriate and proportionate mitigating actions to known risks are expressed in the Bi-borough Risk and Assurance Register and subject to review as part of planned Audit work and the Annual Governance Statement.*

- 11.2. Implications verified/completed by: Michael Sloniowski, Principal Consultant Risk Management. 020 8753 2587

12. PROCUREMENT AND IT STRATEGY IMPLICATIONS

- 12.1. *Failure to address risk in procurement may lead to a reduction in the expected benefits (Value for Money, Efficiency, Resilience, Quality of Service) and leave the council exposed to potential fraud and collusion as identified in the Bribery Act.*

LOCAL GOVERNMENT ACT 2000
LIST OF BACKGROUND PAPERS USED IN PREPARING THIS REPORT

No.	Description of Background Papers	Name/Ext of holder of file/copy	Department/ Location
1.	Association of Local Authority Risk Managers & Institute of Risk Management, 2002, A Risk Management Standard	Michael Sloniowski 2587	Tri-borough Internal Audit, Town Hall, Kensington
2.	The Orange Book, Management of Risk Principles & Concepts – HM Treasury	Michael Sloniowski 2587	Tri-borough Internal Audit, Town Hall, Kensington
3.	Departmental Risk Registers, Tri borough Portfolio risk logs	Michael Sloniowski 2587	Tri-borough Internal Audit, Town Hall, Kensington
4.	Tri-borough Programme report updates	Michael Sloniowski 2587	TriBnet
5.	BS 31100 Code of Practice for risk management	Michael Sloniowski 2587	Tri-borough Internal Audit, Town Hall, Kensington

LIST OF APPENDICES:

Appendix 1
Strategic Tri-borough risk and assurance register





Appendix 2
Tri-borough departmental specific risk and assurance register

Appendix 3
Key steps to risk management

Appendix 1

Strategic, Tri-borough Risk Register

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
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1	<p>Managing budgets, finance risks. Managing significant future reductions in local, regional and national (capital and revenue) income streams; in particular to specific grants effecting residents and stakeholders, and loss of capacity as a result of restructures.</p> <p>h&f change of political administration and re-evaluation of priorities including in-flight projects.</p>	<ul style="list-style-type: none"> Budget proposals, growth and reductions are projected and monitored. Central contingency for in-year budget risks and earmarked reserves. Tri-borough Business and Financial Planning. Medium Term Financial Strategy. Monthly corporate revenue and capital monitoring. Move to Managed Services for financial transactional services. The h&f political administration has commissioned a review of Tri-borough services. 	3	4	<p>Medium</p> <p></p> <p>12</p> <p></p>	<ul style="list-style-type: none"> Nicholas Holgate, Bi-borough Interim Chief Executive Jane West, Executive Director of Finance and Corporate Governance (The London Borough of Hammersmith and Fulham) 	August 2014
2	<p>Market Testing risks Failure to deliver high quality commissioned services at the best cost to the taxpayer.</p> <p>Tri-borough or Bi-borough procurement risk appetite may vary and procurement procedures may become unclear across Tri-borough.</p>	<ul style="list-style-type: none"> A Tri-borough procurement code has been established. A Tri-borough contracts approval board has been established. A Tri-borough forward plan of procurement has been produced. Tri-borough Adult Social Care and Childrens Services departments have established contract and commissioning boards. 	4	3	<p>Medium</p> <p></p> <p>12</p> <p></p>	<p>All Executive Directors</p> <p>Bi-borough Procurement Strategy Board</p>	August 2014

Appendix 1



Strategic, Tri-borough Risk Register

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
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	<p>Contracts management records</p> <p>Social value in procurement</p>	<ul style="list-style-type: none"> • A review of the three boroughs Procurement service provision has been conducted as part of the Corporate Services Programme. • Harmonising of the Royal Borough Contract Regulations and Hammersmith and Fulham Contract Standing Orders and simplification of Governance processes as an outcome of the review of Procurement. • Internal review of the three boroughs contracts registers is underway to support CapitalESourcing. • h&f have established a member led procurement and social value taskforce. The aim is to develop a strategic, "social value" policy for how the Council spends its money to ensure that, while keeping down costs and working within EU rules, greater value is derived for local residents and more of the economic benefits remain within the local economy. • A Tri-borough Procurement Risk Advisory Group, PRAG, has been established to identify and improve risks in the procurement process. 					
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

Appendix 1

Strategic, Tri-borough Risk Register

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
3	Failure to manage Public Health Service risks and NHS Provision	<ul style="list-style-type: none"> • Tri-borough Public Health strategic business plan and associated aims, deliverables and risks. • The Public Health Outcomes framework (The three boroughs will be measured against public health outcomes. • Strategic direction is derived from a number of sources including: • h&f 2012/15 Corporate Plan, Community Strategy, Improving Health and Wellbeing Strategy • RBKC 2014/15 Budget proposals, six ambitions for the Council, Live life Locally. • Tri-borough Joint Strategic Needs Assessments • The Public Health grant is ring-fenced and must be spent in line with clear grant conditions. <p>Grant conditions set out 6 prescribed functions;</p> <p>Sexual Health STI and treatment, contraception, NHS health check programme, health protection, public health advice, national child measurement programme</p>	3	4	<p>Medium</p>  <p>12</p> 	<p>Nicholas Holgate, Bi-borough Interim Chief Executive</p> <p>Meradin Peachey, Director of Public Health</p>	August 2014

Appendix 1



Strategic, Tri-borough Risk Register

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
4	<p>Business Resilience</p> <p>Sub-risks Systems that are not joined up and connected in the event of a H&F, Royal Borough or Tri-Bi Borough event.</p> <p>Failure of Information Governance during the development of major programmes.</p> <p>Supply chain resilience</p>	<ul style="list-style-type: none"> • A Service Review of H&F and the Royal Borough Business Continuity Planning and Emergency Services is underway. • The Councils' generic Business Impact Analysis (RBKC only) and Contingency/Business Continuity Plans are designed to be 'scalable' in response to any size of incident, and linkages with neighbouring local authorities ensure that central government and local government mutual aid assistance will be forthcoming in the event of a large-scale incident. (H&F do not have a BIA). • Corporate Incident Management Procedures incorporate Business Continuity. • Corporate Finance (H&F Creditsafe Financial checks) and Departmental (RBKC Brookes Bates) credit checking. • Contractor Business Continuity Planning. • Pension fund performance bond (H&F). • Terrorism insurance cover. • Tri-borough Councils are working together to prevent terrorism offering free interactive workshops to raise awareness of the Prevent Strategy. • Prevent aims to stop people from becoming terrorists or supporting terrorism by focusing on supporting and protecting those who might be vulnerable to radicalisation. 	4	3	<p>Medium</p>  <p>12</p> 	<p>Lyn Carpenter (Corporate Business Continuity) Bi-borough Director for Environment, Leisure and Resident Services with the Royal Borough of Kensington and Chelsea.</p> <p>Jane West, Executive Director of Finance and Corporate Governance (The London Borough of Hammersmith and Fulham) for HFBP.</p>	August 2014

Appendix 1

Strategic, Tri-borough Risk Register



Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
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5	<p>Managing statutory duty</p> <p>Non-compliance with laws and regulations.</p> <p>Breach of duty of care.</p> <p>Equalities (public sector equality duty or 'PSED') and Human Rights.</p>	<ul style="list-style-type: none"> • The Royal Borough Stock Conditions Surveys. • Capital Programme. • A Bi-borough Health and Safety Service commenced in January 2014 and Bi-borough Officers appointed to posts commencing September 2014. • Pro-active Health, Safety and Welfare culture across the Councils. • Tri-borough - The Total FM contractor AMEY now manages a number of statutory and regulatory Health and Safety procedural, record and management processes. • Legislative changes are adopted and reflected in amendment to the Councils' constitutions, budgets are allocated through a unified business and financial planning process. • EIA's and Equality Statements address Human Rights where applicable 	4	3	<p>Medium</p>  <p>12</p> 	<p>Nicholas Holgate, Bi-borough Interim Chief Executive</p> <p>Nigel Pallace Bi-borough Executive Director, Transport and Technical Services</p> <p>All Executive Directors</p>	August 2014
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Appendix 1



Strategic, Tri-borough Risk Register

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
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6	<p>Standards and delivery of care</p> <ul style="list-style-type: none"> Breach in standard and delivery of care – caring and care homes. A breach of information security protocols in relation to an individual. Corporate Parenting. 	<ul style="list-style-type: none"> The ASC Department is going through its key governance boards, assigning risks to them and working through with them how they should review each risk on the basis of the new Tri-borough approach. Where new risks are being identified they are prompted to consider including them on the risk register. The Leadership team have had a discussion on and agreed the process for implementing the new policy, but they have not yet signed off a final, updated register. Insurance cover is in place in the event of a claim for a breach of duty of care and in respect of financial claims. Legislative changes are adopted and reflected in amendment to the Councils' constitutions. Budget allocation are made through a unified Tri-borough business and financial planning process. All child protection cases have remained allocated to a social worker despite the high demand. A detailed action plan has been implemented in response to the increased numbers of children with child protection plans, to safely manage the demand and reduce activity in line with that of our statistical neighbours. The number of qualified social workers delivering a child protection service has increased by two over the past year. 	4	3	<p>Medium</p> <p></p> <p>12</p> <p></p>	Liz Bruce Tri-borough Executive Director of Adult Social Care	Review August 2014
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Appendix 1



Strategic, Tri-borough Risk Register

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
7	<p>Failure of successful partnerships and Major Contracts</p>	<ul style="list-style-type: none"> • The Link is an Intelligent Client function (ICF) that manages the AMEY Total Facilities Management (TFM) contract for Tri-borough. The LINK is a team of Council employees formed to manage the performance of services and govern the TFM contract. They will work with AMEY to ensure services are kept to a high standard. The team is hosted by the Royal Borough of Kensington and Chelsea. They are responsible for: <ul style="list-style-type: none"> • monitoring and auditing of Amey's performance. • general service improvement and innovation. • long term facilities management strategy. • ICT Programme Board. • Setting up of an ICT Intelligent Client Function. • The key provisions of the Tri-Borough working agreement are based on a 'high trust model' and the key principle underpinning the agreement is the sharing of staff using s.113 of the Local Government Act 1972. 	4	3	<p>Medium</p>  <p>12</p> 	<p>Nicholas Holgate, Bi-borough Interim Chief Executive</p> <p>Charlie Parker Chief Executive WCC</p>	August 2014

Appendix 1



Strategic, Tri-borough Risk Register

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
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8	<p>Maintaining reputation and service standards</p> <ul style="list-style-type: none"> • Breach of Officer or Member code of conduct • Information Management and Governance • Inappropriate Data released • Poor data quality internally or from third parties, breaches of information protocols, information erroneously sent to third parties. 	<ul style="list-style-type: none"> • The Annual Residents Survey. • A review of the corporate governance arrangements has been conducted by Internal Audit. • Directors Assurance Statements are completed as part of the Annual Governance Statement process • Annual Complaints review report produced to Committee. • Combined Tri-borough Finance and Service Planning processes. • Standards issues now covered under the Audit and Transparency Committee at the Royal Borough and Audit Pensions and Standards Committee at h&f. • Information governance forms part of the Tri-borough ICT Programme. 	4	3	<p>Medium</p>  <p>12</p> 	<p>Jane West, Executive Director of Finance and Corporate Governance (The London Borough of Hammersmith and Fulham)</p> <p>Nicholas Holgate, Bi-borough Interim Chief Executive</p>	August 2014
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





Strategic, Tri-borough Risk Register

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
9	<p>Failure to identify and address internal and external fraud.</p> <p>Introduction of a single fraud investigation service (SFIS) by the Department of Work and Pensions</p>	<ul style="list-style-type: none"> An adaptable Tri-Borough corporate fraud function now exists which responds through a single professional and effective team to the challenging and changing range of fraud, both internally and externally executed. CAFS teams use a risk assessment to assist in targeting and workload prioritisation. A review of the whistleblowing policy is being undertaken. SFIS will operate to a single set of policies and procedures and will provide a nationally flexible service to tackle all welfare benefit fraud. It brings together welfare benefit fraud investigations currently undertaken by DWP, local authorities and HMRC. 	4	3	<p>Medium</p>  <p>12</p> 	<p>Jane West, Executive Director of Finance and Corporate Governance (The London Borough of Hammersmith and Fulham)</p> <p>Nicholas Holgate, Bi-borough Interim Chief Executive</p> <p>All Executive Directors</p> <p>Tri-borough Director of Internal Audit, Risk, Fraud and Insurance</p>	August 2014

DEPARTMENT SPECIFIC

Appendix 2

Tri-borough Adult Social Care





Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
1	Reduction in funding available for Adult Social Care. There may be reduced Government grant or reduced allocation within a borough.	<ul style="list-style-type: none"> Careful planning of Better Care Fund and Care Bill grants Portfolio delivery Board are the review board. 	4	4	High  16 	Rachel Wigley	August 2014
2	Savings expectations attached to contract efficiencies are very high but the team is currently under-resourced to produce these savings.	<ul style="list-style-type: none"> Requests are being made at the Adult Social Care Leadership Team – Tri-borough (ALTT) for more resources Portfolio delivery Board are the review board. 	4	4	High  16 	Martin Waddington	August 2014
3	Resource requirements of appropriate capability are not recruited in time to ensure plans are delivered on schedule.	<ul style="list-style-type: none"> Resource plan produced and reviewed. Portfolio delivery Board are the review board. 	4	5	High  20 	Rachel Wigley	August 2014

DEPARTMENT SPECIFIC

Appendix 2

Tri-borough Adult Social Care







Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
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4	Decreased income from client contributions when the Care Act comes into effect.	<ul style="list-style-type: none"> Care Act Board, charging workstream set up 	5	4	High  20 	Rachel Wigley	August 2014
5	Ability and capacity to effectively manage the complexity and number of procurements in ASC	<ul style="list-style-type: none"> Project to focus resources onto high value , high risk and low performing contracts. Reducing the overall number of contracts Commissioning review will better combine contract management with service development and commissioning enabling a more holistic approach. 	4	4	High  16 	Martin Waddington	August 2014

DEPARTMENT SPECIFIC

Appendix 2





Tri-borough Adult Social Care

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
6	Poor quality case level, strategic and performance information due to dual IT systems, no interoperability, poor IT hardware, access and IT support the specific needs of mental health.	<ul style="list-style-type: none"> • Work with trust and call the IT helpdesk to understand how services work to ensure issues do not fall into gaps between services. • Develop and drive a forward business case to improve systems, enhance software and improve procedural notes. • Effective IT support services that are cost effective to utilise. 	4	4	High  16 	Stella Baillie	August 2014
7	Poor IT systems access and IT support. Internet access, limited and challenging IT usage for staffing group. Obtaining key information at appropriate times.	<ul style="list-style-type: none"> • Effective IT infrastructure from the offset. • Central investment in IT resources. • Effective IT resources that are cost effective to utilise. • Staff are properly trained and supported to utilise the equipment in place. • Provided services Board. 	5	3	Medium  15 	Stella Baillie	August 2014
8	Poor audit or inspections (Health and Safety, Care Quality Commission, Environmental Health)	<ul style="list-style-type: none"> • Effective service plan and systems that are appropriate and implemented • Effective levels of resources (budgets / staffing / building base) • Effective Quality Assurance and Audit activity, effective staff development and robust Human Resource processes 	3	5	Medium  15 	Cath Atlee	August 2014

DEPARTMENT SPECIFIC

Appendix 2







Tri-borough Adult Social Care

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
9	Failure of West London Mental Health Team Partnership to deliver services effectively.	<ul style="list-style-type: none"> • Effective monitoring of the partnership agreement through regular meetings. • Effective partners agreement from the outset with partners understanding their requirements, arrangements and responsibilities. • Effective forum for challenges and issues. Ensuring a whole system solution is in place that no fixes are undertaken in one area to detriment of another. • Strong communication and engagement, constant commitment of embedding a partnership ethos in work with mutual respect, problem solving together. • Mental Health management team meeting. 	4	4	High  16 	Stella Baillie	August 2014
10	Reducing customer satisfaction due to scale of change around frontline and provider services and greater emphasis to time limited interventions and reablement.	<ul style="list-style-type: none"> • Undertake ASC user and carer surveys regarding quality of life and satisfaction. • Developing user communications strategy to reinforce the role and purpose of ASC and community health services and shift towards independence, self-reliance and reablement. 	4	3	Medium  12 	Liz Bruce	August 2014

DEPARTMENT SPECIFIC

Appendix 2







Tri-borough Adult Social Care

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
11	Low staff morale, staff survey shows low morale and concerns in key areas.	<ul style="list-style-type: none"> Staff engagement plan in response to Your Voice survey results. Promote the achievements of Tri-borough ASC. Adult Social Care Leadership Team – Tri-borough (ALTT). 	4	3	Medium  12 	Liz Bruce	August 2014
12	Work programmes not properly defined and benefits quantified. This largely affects programmes that involve health partners, the Better Care Fund and Whole System Integrated Care.	<ul style="list-style-type: none"> Financial modelling. Clarification of minimum return on investment the Adult Social Care Leadership Team – Tri-borough (ALTT) would be happy with. Produce Project Initiation Documents, PIDS for all. Portfolio delivery Board 	4	3	Medium  12 	Rachel Wigley	August 2014
13	Savings in the Adult Social Care Portfolio could be double counted in Better Care Fund projects.	<ul style="list-style-type: none"> Better Care Fund cost benefit workshops taking place. Tracking arrangements will be developed. Portfolio delivery Board 	4	3	Medium  12 	Cath Atlee	August 2014

DEPARTMENT SPECIFIC

Appendix 2







Tri-borough Adult Social Care

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
14	Political change of administration (h&f)	<ul style="list-style-type: none"> • Leadership meeting with new Cabinet members individually. • Presenting cost necessities of continuing as planned. • Clearly defined business case endorsed by Cabinet. • Portfolio delivery Board. 	4	3	Medium  12 	Rachel Wigley	August 2014
15	Increasing demand for social care services. Out of hospital strategies, Impact of the Care Bill and assessment and review of self-funders, Impact of care costs.	<ul style="list-style-type: none"> • Modelling of future demand. • Preventative opportunities for Public Health funded schemes. • Alignment of Public Health with ASC health requirements. • Better Care Fund schemes re: enablement (new care at home model) • Care Bill Board. 	4	3	Medium  12 	Liz Bruce	August 2014
16	Delivery of Medium Term Financial Strategy savings. Scale of savings in particular h&f WCC. Complexity of schemes and projects to deliver these present a risk.	<ul style="list-style-type: none"> • Detailed business cases prepared for each savings proposal. • Clarity about how each proposal links to change projects and assumptions around each. • Portfolio Delivery Board. 	3	4	Medium  12 	Rachel Wigley	August 2014

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Appendix 2







Tri-borough Adult Social Care

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
17	Resources required to fully meet service demand following Care Act implementation. Clarity of available funding from Government to support additional demands for services from self-funders and carers.	<ul style="list-style-type: none"> Manage resource planning through the Department of Health and Local Government Association linked to programme delivery. Care Bill Board. 	3	4	Medium  12 	Rachel Wigley	August 2014
18	Delivery of an effective ASC service model to meet the requirements of the Care Act.	<ul style="list-style-type: none"> Head of Transformation Portfolio Delivery and Programme Managers to map interdependencies between projects and programmes. Follow national programme office tools and guidance across the Department of Health which supports local authority implementation. Care Bill Board. 	3	4	Medium  12 	Liz Bruce	August 2014
19	Timescales too tight to deliver the requirement of the Care Act.	<ul style="list-style-type: none"> Compile a detailed project plan and programme brief. Introduce controls to effectively monitor delivery. 	3	4	Medium  12 	Liz Bruce	August 2014

DEPARTMENT SPECIFIC

Appendix 2







Tri-borough Adult Social Care

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
20	Reputational damage and potential fine from the Information Commissioners Office as a result of being judged to have inadequate Information Governance arrangements in place following a data breach.	<ul style="list-style-type: none"> Information Governance board and workstream established. 	3	4	Medium  12 	Cath Atlee	August 2014
21	Poor practice in use of IT systems leads to data quality and impaired management of service and planning.	<ul style="list-style-type: none"> Data quality action plan in place and under review by the board. Framework team established a change management process. Framework team established self-service operational reports. Operations Board. 	4	3	Medium  12 	James Cuthbert	August 2014
22	Inconsistent practices	<ul style="list-style-type: none"> Customer Journey project. CIS project. 	4	3	Medium  12 	James Cuthbert	August 2014

DEPARTMENT SPECIFIC

Appendix 2



Tri-borough Adult Social Care

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
23	Not developing effective commissioning with CCGs	<ul style="list-style-type: none"> Commissioning review. Adult Social Care Leadership Team – Tri-borough (ALTT) restructure. Better Care Fund Integrated commissioning projects. ASC Commissioning and Contracts Board. 	3	4	Medium  12 	Martin Waddington	August 2014
24	Risk of limiting the ASC market to medium and large providers. Corporate financial thresholds are challenging for social care providers with the possible impact on the market management strategy.	<ul style="list-style-type: none"> Work with colleagues in corporate finance to develop and implement checks and thresholds that are appropriate to the ASC market. ASC Commissioning and Contracts Board. 	4	3	Medium  12 	Martin Waddington	August 2014
25	Inability to provide 'whole system' intelligence and analysis across health, public health and social care. Not being able to demonstrate clear shifts in demand or interventions from acute to community care.	<ul style="list-style-type: none"> Information Governance and Information System Group established. Data matching requirements being identified. Developing a virtual business analysis team across Public Health, Health and ASC. Information Governance Board 	4	3	Medium  12 	Martin Waddington	August 2014

DEPARTMENT SPECIFIC

Appendix 2



Public Health

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
26	<p>MEDIUM TERM PLANNING</p> <p>If the collaborative process to identify 'Investment to Save,' and it's evaluation, takes longer than the timeline to submit the MTP business case, then the accuracy of the MTP savings plan will be compromised and may not deliver the required targets.</p>	<ul style="list-style-type: none"> The Director and Senior Project Manager to develop a savings plan that details assumptions and amends with factual information as soon as it becomes available. 	3	5	<p>Medium</p>  <p>15 New</p>	Meradin Peachey	August 2014
27	<p>BUSINESS PLANS</p> <p>If there is insufficient consideration of risk in business plans/service delivery plans, then Members may not receive required information on matters that may impact the achievement of agreed objectives.</p>	<ul style="list-style-type: none"> Revised strategic business plan for 14/15 to be prepared for July and include full analysis of risk. 	3	4	<p>Medium</p>  <p>12 New</p>	Meradin Peachey	August 2014

DEPARTMENT SPECIFIC

Appendix 2


Public Health

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
28	<p>SYSTEM CHANGES/ FINANCE</p> <p>If the implementation of the new finance system is not planned well within the department and significant delays in processing transactions occur, then funds may not be allocated correctly or in a timely manner to ensure the financial position is correctly stated</p>	<ul style="list-style-type: none"> • Lead Finance Business Partner to be heavily involved in understanding changes to processes and share information and learning with key staff • Change Champion to work with key staff to ensure good uptake of training • Business Support Manager to be trained as Super User • Business Support Manager to update processes and ensure dissemination of new system instructions. 	3	4	<p>Medium</p>  <p>12 New</p>	Anne Foster	August 2014
29	<p>SYSTEM CHANGES/ HR</p> <p>If the implementation of the new HR system is not planned well and delays in processing HR forms occur, then resources may not be recruited in a timely manner and impact on the achievement of objectives.</p>	<ul style="list-style-type: none"> • Lead HR Business Partner to be heavily involved in understanding changes to processes and share information and learning with key staff • Change Champion to work with key staff to ensure good uptake of training • Business Support Manager to be trained as Super User • Business Support Manager to update processes and ensure dissemination of new system instructions. 	3	4	<p>Medium</p>  <p>12 New</p>	Trudy Thom	August 2014







DEPARTMENT SPECIFIC

Appendix 2

Public Health








Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review Date
30	<p>SYSTEM CHANGES/ WINDOWS 7</p> <p>If the implementation of the Windows 7 is not planned well and access to applications and systems is affected, then our ability to achieve objectives will be compromised and service delivery impacted.</p>	<ul style="list-style-type: none"> • Systems Ambassador to ensure all application information and assets are identified to Programme Team • Change Champion to work with key staff to test new systems and applications • Business Support Manager to ensure good uptake of training 	3	4	<p>Medium</p>  <p>12 New</p>	Gayner Driscoll	August 2014




Appendix 2 Tri-borough Children's Services							
Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date

31	Business as usual risk. If serious harm comes to a child or young person to whom the Council has a duty of care for then the Council could be seen to be at fault.	<ul style="list-style-type: none"> On-going Local Safeguarding Childrens Board activities to ensure quality assurance. Review lessons learnt from cases and ensure appropriate local safeguarding training is given to staff. 	3	5	Medium  15 	Tri-borough Childrens Services SLT (Management Team)	August 2014
32	Business as usual risk. If the Council is unaware of the full implications of changes within Health, then this may impact on delivering services.	<ul style="list-style-type: none"> Ensure engagement takes place between colleagues in health services and colleagues across the directorate. 	3	4	Medium  12 	Tri-borough Childrens Services SLT (Management Team)	August 2014
33	Portfolio risk. On-going partnership and relationships between the 3 Councils Members and Officers following local elections to ensure decisions and actions take place.	<ul style="list-style-type: none"> Regular meetings and updates between Officers and Members 	3	4	Medium  12 	Tri-borough Childrens Services SLT (Management Team)	August 2014

Appendix 2


Tri-borough Children's Services

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
34	Children's Projects list risk. Political drive to Implement the SEN Strategy Phase 2.	<ul style="list-style-type: none"> • SEN Strategy Phase 2 is being run as a project and is engaging with stakeholders, including Cabinet Members. 	3	4	Medium  12 	Tri-borough Childrens Services SLT (Management Team)	August 2014
35	If the school meals re-modelling project does not deliver a consistent approach across each borough by April 2015 then existing contracts will need to be extended at short notice and at high cost.	<ul style="list-style-type: none"> • Project Board is actively managing the risks • School meals working group working across all aspects of the project. • Engaging Members service users, staff and other stakeholders underway. 	3	4	Medium  12 	Tri-borough Childrens Services SLT (Management Team)	March 2014
36	Capital risk. If Academy conversions processes are not completed on time then timescales will not be met.	<ul style="list-style-type: none"> • Monitoring reports to each Council's schools Capital Programme Board to highlight risks as necessary. 	3	4	Medium  12 	Tri-borough Childrens Services SLT (Management Team)	August 2014
37	Business as usual risk. If staff morale is low then this may impact on service delivery and staff leave.	<ul style="list-style-type: none"> • 	3	4	Medium  12	Tri-borough Childrens Services SLT (Management Team)	August 2014

Appendix 2 Tri-borough Children's Services							
Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
					New		
38	Business as usual risk. If looked after children starts to rise there will be an increasing demand for placements, particularly for adolescents resulting in pressure on the placements budget.	<ul style="list-style-type: none"> Looked After Children numbers are starting to rise in the rest of the country. Plans need to be put into place to monitor numbers and need. 	3	4	Medium  12 New	Tri-borough Childrens Services SLT (Management Team)	August 2014
39	Business as usual risk. If change activities in the department are unsuccessful then this may impact on service delivery. IT systems and access is unresolved. Workforce anxiety about the changes to the way staff work.	<ul style="list-style-type: none"> Staff survey to be carried out to measure workforce anxieties. Devise an action plan following the staff survey to support the workforce through changes in work processes, roles, teams and location of work. 	3	4	Medium  12 New	Tri-borough Childrens Services SLT (Management Team)	August 2014
40	Business as usual risk. If changes in operational processes within Early help, Single front door, MASH are not accepted or embraced then this may impact on service delivery.	<ul style="list-style-type: none"> Managers to agree on best practice and set out clear systems of work. On-going staff engagement and consultation should take place. On-going training and support for staff. Ensure to evidence reasons for change. 	3	4	Medium  12 New	Tri-borough Childrens Services SLT (Management Team)	August 2014

Appendix 2





Tri-borough Children's Services

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
41	<p>Schools finance. The changing relationship with schools. We require that effective financial standards and processes are in place in all schools.</p>	<ul style="list-style-type: none"> Review and develop the Scheme for Financing Schools across Tri-borough to incorporate the changing funding, procurement and legislative changes. Review the findings of Audit reports to develop and target training at areas of concern and weaknesses in the operation of financial processes within schools. 	3	4	<p>Medium  12 New</p>	Tri-borough Childrens Services SLT (Management Team)	August 2014

Appendix 2






Bi-borough, Environment, Leisure and Resident Services risks

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
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42	There is a medium risk that increasing financial pressures and uncertainty leads to loss of staff, skills and knowledge, increase in workplace stress, high levels of sickness and ultimately affecting service delivery.	<ul style="list-style-type: none"> • Communications with Tier 4 managers have begun; some reviews are still in progress, a few are at the start of implementation phase. • Workforce Development Working Group and Talent Management Plan in place. 	4	3	Medium  12 	Lyn Carpenter Bi-borough Executive Director Environment, Leisure and Resident Services	August 2014
43	There is a risk that contamination levels to the recycled waste stream continues to increase.	<ul style="list-style-type: none"> • An action plan is in place and close and monitoring of contamination levels is undertaken. • Regular sampling and consequent analysis of a larger dataset provides a more accurate view of performance and possible management. The service will continue to investigate waste contamination issues and take appropriate enforcement action. • Moved to clear sacks and adopted a new educational campaign. Street Scene Enforcement will continue to investigate waste contamination issues and take appropriate action. • Waste Control Authorities will consider market testing for recycle. • A Bi-borough Officer level Waste Innovation Group has been established. 	5	4	High  20 	Kathy May	August 2014





Appendix 2

Bi-borough, Environment, Leisure and Resident Services risks

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
44	There is a risk that carnival operations may be compromised due to a new location base which has not been adequately assessed and not meet all the operational requirements	<ul style="list-style-type: none"> An action plan is in place and close and monitoring of contamination levels is undertaken. The team are liaising with Corporate Services on all possible base locations. 	5	4	High  20 	Kathy May	August 2014
45	There is a Royal Borough of Kensington and Chelsea medium risk that the Opera Holland Park income for 2014 season is not achieved.	<ul style="list-style-type: none"> Regular financial monitoring. 	3	4	Medium  12 New	Ian McNicol	August 2014
46	There is a Royal Borough of Kensington and Chelsea risk of insufficient resilience and workforce planning in the planning process for Notting Hill Carnival	<ul style="list-style-type: none"> Operational manual. Team Leaders at sub-bronze level As part of the Arts and Events Service review enhanced resilience of the team will be considered. Ensure that processes are documented and widely available on TriBnet. 	4	3	Medium  12 	Ian McNicol	March 2014



Appendix 2

Bi-borough, Environment, Leisure and Resident Services risks

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
47	There is a risk that Hammersmith Sports Facility is not successfully delivered.	<ul style="list-style-type: none"> Project Board meets regularly. Awaiting steer from h&f new administration. 	4	4	High  16 	Ullash Karia	August 2014
48	There is a risk that the £56k predicted shortfall in cemeteries income targets will not be met.	<ul style="list-style-type: none"> Regular contract meetings. Working with Quadron to mitigate. 	4	3	Medium  12 	Ullash Karia	August 2014

Appendix 2





Tri-borough, Libraries risks

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
49	There is a medium risk of failure to realise Archives savings and inability to re-provide a service as part of Tri-borough.	<ul style="list-style-type: none"> Regular meetings. Monthly meetings with tri-borough and regular meetings with stake holder groups. 	3	4	Medium  12 	Mike Clarke Donna Pentalow	August 2013

Appendix 2

Bi-borough Transport and Technical Services risks

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
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50	Adverse budget variances and key financial risks.	<ul style="list-style-type: none"> Regular finance & trading accounts monitoring Work with Planning to secure Community Infrastructure Levy (CIL) and section 106 funds Medium Term Financial Strategy (MTFS) planning process Parking Control Board Recruitment approval process Review adverse variances and report action plan to Departmental Management Team (DMT) Planning meetings - monthly workload 	3	4	Medium  12 	Mark Jones	August 2014
51	Health and Safety breaches affecting staff and others	<ul style="list-style-type: none"> Safety audit Contractors managed Construction, Design and Management (CDM) controls in place Maintenance and inspection schemes underpin the engineering response to risk Monthly compliance monitoring reports from The Link ISO Certified Quality Assurance Learning and Development Plans Ongoing training programme Established Bi-borough H&S Committee Departmental Policy Divisional risk assessments Statutory responsibilities audit 	3	4	Medium  12 	T&TS DMT (Management Team), All Managers	August 2014



Appendix 2**Bi-borough Transport and Technical Services risks**

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
		<ul style="list-style-type: none">• Guidance issued with respect to cross borough working and duty of care for both sets of employers• Corporate Health & Safety arrangements currently under review in the Bi-borough programme and protocol signed					

Appendix 2

RBKC Housing



Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
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52	There is a medium risk of pressure on Housing temporary accommodation budgets arising from: a) LHA changes b) Introduction of the benefit cap and, c) Introduction of the Universal Credit.	<ul style="list-style-type: none"> Regular financial reports identifying projected budgetary variances discussed at HSDMT and with Cabinet Member. Close working with the Housing Benefits Team to identify financial implications arising from policy changes. Negotiation of lower rents with landlords. Use of Discretionary Housing Payments. Seek to move households to more affordable housing 	5	3	Medium  15 	Steve Mellor Laura Johnson	August 2013
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Appendix 2

h&f Housing



Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
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53	Changes in the welfare benefit system - impact on the HRA.	<ul style="list-style-type: none"> Sent out DD forms to every tenant with the rent increase letter, improved direct debit set up on i-world, implementing the ability to set up DD's over the phone, DD campaign, Housing management under occupation focus with 2 additional posts added to 13/14 budget to specifically address this risk 	4	4	High  16 New	Kathleen Corbett	August 2014
54	Changes in the welfare benefit system - impact on Temporary Accommodation Expenditure.	<ul style="list-style-type: none"> Adopted freedoms on the Localism Act to discharge the homelessness duty direct to the private sector, Housing Options have strengthened front of house to provide more tailored advice, assistance and homelessness prevention services. The Council has amended the criteria for admittance to the Housing Register to exclude homeless households in long term settled accommodation. Full membership of a West London Procurement framework with a panel of third party providers providing accommodation inside and outside London 	4	4	High  16 New	Kathleen Corbett	August 2014

Appendix 2

h&f Housing



Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
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55	Consultation errors limiting income to £100 per leaseholder maximum for the duration of any contracts in excess of 12 months.	<ul style="list-style-type: none"> Check lists drafted for clients to complete and final sign off by Head of Service. Review each dispute on its own merit and a decision reached on a case by case basis regarding a response to the challenge. All change of names and addresses to be updated once a week to ensure all leaseholders are consulted at their preferred address. 	3	5	Medium  15 New	JdP	August 2014
56	Too many single point failures in the production of Service Charges.	<ul style="list-style-type: none"> Instruct h&f Bridge Partnership as and when necessary 	3	5	Medium  15 New	JdP	August 2014

Appendix 2

h&f Housing



Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
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57	Judicial review on cessation of service or regeneration scheme. Costs associated in supporting or defending a review and timescales in deferring a decision on a change to the service. Change to the council budgetary or decision process.	<ul style="list-style-type: none"> Briefing session by the AD Legal Services and Opportunities Manager held February 2012. Adequacy of working papers and decision making progress, consultation, equalities assessments, MTFS, Budget Planning, Equalities Impact Assessment and Action Plan. 	4	3	Medium  12 New	Kathleen Corbett	August 2014
58	Recruitment and retention problems - Inability to replace staff due to the limited ability to source temps exclusively via Pertemps who does not have the required candidates available.	<ul style="list-style-type: none"> The only recruitment route available is via Pertemps and therefore there are no other option. However HR have been meeting with Pertemps Management to discuss lack of performance in this area. 	4	3	Medium  12 New	Kathleen Corbett	August 2014

Appendix 2

h&f Housing



Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
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59	Welfare Reform /Local Housing Allowance Changes - increased demand.	<ul style="list-style-type: none"> HB Assist and Rehouse UK linked with new prevention strategy. 	4	4	High  16 New	Toby Graves	August 2014
60	Welfare Reform /Local Housing Allowance Changes - decreased supply	<ul style="list-style-type: none"> Agreement for cabinet put incentive package of £750K in place. 	4	4	High  16 New	Glendine Sheperd	August 2014

Appendix 2

h&f Housing




Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
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61	Risk associated to the departure of experienced regeneration staff as a result of the uncertainty of a number of regeneration projects being paused for review.	<ul style="list-style-type: none"> Current controls include ensuring that all key business processes and history are documented. Multiple relationships are established with key external partners, staff are cross-trained where possible (as per personal development plans and succession planning), the retention of other consultants and staff with significant history of experience in these regeneration projects. 	4	3	Medium  12 New	Kathleen Corbett / Stephen KIRRAGE	August 2014
62	Delivery of specific regeneration at Earls Court. Planning consent.	<ul style="list-style-type: none"> Current controls include ensuring that all key business processes and history are documented. Multiple relationships are established with key external partners, staff are cross-trained where possible (as per personal development plans and succession planning), the retention of other consultants and staff with significant history of experience in these regeneration projects. 	3	5	Medium  15 New	Head of Earls Court Regeneration (Subject to planning colleagues managing CAPCO application)	August 2014

Appendix 2







h&f Housing

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
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



63	Strategic - Start on site for Shepherds Bush Market	<ul style="list-style-type: none"> Landowners meetings Project boards. Feedback from LBHF facilitated workgroups. 	4	3	Medium  12 New	Head of Regeneration & Development	August 2014
64	MTFS savings not delivered	<ul style="list-style-type: none"> Set up a programme board to plan how to make savings. Carry out fundamental reviews on temporary accommodation on home buy & economic development learning and skills. 	4	3	Medium  12 New	Mike England	August 2014
65	WDP Legal Challenge	<ul style="list-style-type: none"> Staff fully engaged in legal process. Ongoing regular update meetings 	4	3	Medium  12 New	Stephen Kirrage	August 2014

Tri-borough Information Management and Technology

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
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66	Service Continuity and Disaster Recovery (services are not considering IT in their resilience planning assuming that corporate IT is, and provide, the solution).	<ul style="list-style-type: none"> A refresh of service continuity planning is underway across the three Councils. A strategic rather than a tactical response across the 3 Councils is desired. 	3	4	Medium  12 	Ed Garcez	August 2014
67	Co-ordination and control of IT procurement across the three Councils.	<ul style="list-style-type: none"> The method of procurement varies from Council to Council, this includes the use of the Councils new e-procurement system. CapitalESourcing is used to record procurement activity but not currently for H&F Bridge Partnership. 	4	4	High  16 	Ed Garcez	August 2014
68	Information asset co-ordination across three Councils, Lifecycle (retention, management and disposal).	<ul style="list-style-type: none"> The method of management of Information including the policies and appetite varies across the three Councils. A Tri-borough Information Management Strategy has been proposed by Executive Management and is to be developed. Tri-borough Information Management Board. 	3	5	Medium  15 	Ed Garcez	August 2014

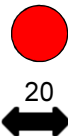
Tri-borough Information Management and Technology

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
69	Variable Information asset risk appetite across three Councils.	<ul style="list-style-type: none"> Information asset including electronic or physical loss of data, inappropriate data sharing and differing risk appetite is managed by separate policies and strategies in the three Councils. Tri-borough Information Management Board. 	3	4	Medium  12 	Ed Garcez	August 2014
70	Information asset risk of statutory, regulatory or local policy non-compliance.	<ul style="list-style-type: none"> Local policies exist for the management and control of information. 	4	4	High  16 	Ed Garcez	August 2014
71	Roles are not linked through the Human Resources systems to manage Starter, Movers and Leavers. It is devolved.	<ul style="list-style-type: none"> A strategy is required to develop role based security for Starters, Movers and Leavers. 	5	5	High  25 	Ed Garcez	August 2014
72	Use of mobile devices risk appetite and tolerance.	<ul style="list-style-type: none"> A strategy is required to develop a harmonised approach to device based security. 	5	5	High  25 	Ed Garcez	August 2014

Tri-borough Information Management and Technology

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
73	Denial of service vulnerability as networks converge.	<ul style="list-style-type: none"> Unmitigated. Risk has been recognised and is under consideration. A report on Cyber threats is being prepared and taken to h&f Audit, Pensions and Standards Committee for consideration. 	4	4	High ● 16 ↔	Ed Garcez	August 2014
74	Failure to manage Information following outsourcing. Assurance from service providers.	<ul style="list-style-type: none"> Information sharing agreements are in place however compliance is not effectively undertaken. 	4	4	High ● 16 ↔	Ed Garcez	August 2014
75	Tri-borough records management and control.	<ul style="list-style-type: none"> Engagement with the Information Commissioners Office and other boroughs. Tri-borough Information Management Board. Tri-borough Information Management Strategy drafted and is to be reviewed by the Tri-borough Chief Information Officer prior to review by JMT and SMT 	5	4	High ● 20 ↔	Ed Garcez	August 2014

Tri-borough Information Management and Technology

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
76	IT functions across the 3 Councils are not operating as a single entity.	<ul style="list-style-type: none"> • Appointment made of a Tri-borough Chief Information Officer. • Corporate Services programme proposes to establish a new organisational structure following a target operating model. 	5	4	High 	Ed Garcez	August 2014

Risk movement.

Tri-borough Information Management and Technology

Ref	Risk	Mitigating Action	Likelihood	Impact	Risk rating /exposure	Officer Group	Review date
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Risk exposure increased since last review.



Risk exposure decreased since last review.



No movement of risk since last review.

Score

Key

16-25		RED - High and very high risk - immediate management action required
11-15		AMBER - Medium risk - review of controls
6-10		GREEN - Low risk - monitor and if escalates quickly check controls
1-5		YELLOW - Very low risk - monitor periodically

Appendix 3

The eight key steps to risk management

1. What are the risks?

Identify the factors that could undermine the successful delivery of the service or project. Involve teams in carrying out this exercise.

2. What is the likelihood?

Determine the likelihood of the risk occurring.

3. What would the impact be?

Assess the effect of the risk occurring and how serious would this be including an assessment of the financial implications.

4. What are the existing controls?

Identify what is already being done to control this risk.

5. What action should we take?

Consider what action can be taken to reduce the likelihood of the risk occurring or minimise the impact.

6. Are senior managers aware of the situation?

Ensure that details of risks identified are fed into the Department and Strategic Risk Register and that the Department Management team is kept informed of any significant risks and the action being taken to manage them.

7. What effect has the action had?

Ensure that the actions agreed are followed through. Monitor whether they have been successful in mitigating the risks and take corrective action as necessary.

8. Have the risks changed?

Keep the position under review. Identify any risks and take appropriate action to deal with them. Keep any risks on the agenda. Inform senior managers of any significant new or emerging risks.