

# SHARED SERVICES RISK REGISTER DASHBOARD

Review date 07/05/2015

Ref	RISK			Assigned To	Residual risk assessment: Quarter 1				DOT	Residual risk assessment: Quarter 2				DOT	Reducing the risk		
	Risk cause and context				Likelihood	Impact	Overall	Likelihood		Impact	Overall	Management comments on measures.	Management control measures, planned action(s)		Date / in place		
<b>Strategic risks</b>																	
h&f	RBKC	WCC		OFFICER(S)	3	4	12	↑	4	4	16	↓					
<b>1</b>	<b>Managing budgets, finance risks and systems.</b>				<b>Management controls</b>					<b>Comments</b>							
	Managing reductions in local, regional and national (capital and revenue) income streams. Impact of the movement away from sovereign Finance systems to the Managed Service for accounts payable, accounts receivable, management of the chart of accounts, management reporting and auditing.			Nicholas Holgate, Town Clerk, The Royal Borough of Kensington and Chelsea. Hitesh Jolapara, Bi-borough Director for Finances.	Budget proposals (growth and reductions). Capital and Revenue monitoring. Managed Services Programme Team, communications, incident reporting and resolution, contingencies, sanctions and escalations with the service provider.								Move to Managed Services for financial transactional services, stabilisation period then handover to Intelligent Client Function.	June - July 2015			
h&f	RBKC	WCC		OFFICER(S)	5	4	20	↑	3	4	12	↑					
<b>2</b>	<b>Loss of Government grant.</b>				<b>Management controls</b>					<b>Comments</b>							
	Increase in difficulty to respond to reductions in grants allocated by central government, in particular to specific grants affecting residents and stakeholders.			Nicholas Holgate, Town Clerk, The Royal Borough of Kensington and Chelsea. Hitesh Jolapara, Bi-borough Director for Finances.	Business and financial planning. Medium term financial strategy.								New proposals for h&f strategic procurement.	July-August 2015			

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h&f	RBKC	WCC		OFFICER(S)	3	4	12	↑	3	4	12	⇒					
<b>3</b>	<b>Management of the Better Care fund.</b>				<b>Management controls</b>					<b>Comments</b>							
	Compliance with the Care Act legislation underpinning the BCF; <ul style="list-style-type: none"> <li>• the accountability arrangements and flows of funding;</li> <li>• the reporting and monitoring requirements for 15-16;</li> <li>• arrangements for the operation of the payment for performance framework;</li> <li>• how progress against plans will be managed and what the escalation process will look like; and</li> <li>• the role of the BCF Task Force / Better Care Support Team going forward.</li> </ul>			Liz Bruce, Executive Director of Adult Social Care	The Care Act implementation programme. Governance arrangements to implement the Care Act reforms have been in place since April 2014. Workstream leads regularly report progress to the Care Act Implementation Board, chaired by Liz Bruce. Risks are regularly monitored by the programme and major risks logged on a risk register.					The process for managing personal budgets has been outlined in a new set of Adult Social Care (ASC) standard operating procedures, which all ASC staff will adopt. Demand and Financial Modelling - the Care Act is expected to result in a significant increase in the requirement for assessments for carers, prison population and self-funders with needs for care and support. Work has been undertaken to predict the level of demand, and interim workforce capacity will be put in place to respond to increased demand. Implementation of new safeguarding duties – the London Association of Directors of Adult Social Services (ADASS) is developing a Care Act			April 2015				

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h&f	4	RBKC	WCC		OFFICER(S)	4	3	12	↑	3	4	12	⇒			
<b>4</b>	<b>Market testing risks.</b>			<b>Management controls</b>				<b>Comments</b>								
	Delivering high quality commissioned services at the best cost to the taxpayer. Not achieving Social Value through procurement. Contract performance management.			Nicholas Holgate, Town Clerk, The Royal Borough of Kensington and Chelsea. Lyn Carpenter, Executive Director of Environment, Leisure and Resident Services.		A Shared Services Contracts Approval Board has been established. Adult Social Care and Childrens Services Departments have established contract and commissioning boards. Procurement Strategy Board (h&f). Contract registers are now managed through the CapitalESourcing e-procurement system hosted by Westminster City Council. Contract Standing Orders for h&f Council. Procurement regulations for the Royal Borough of Kensington and Chelsea.										
h&f	5	RBKC	WCC		OFFICER(S)	3	4	12	↑	3	4	12	⇒			
<b>5</b>	<b>Failure to manage Public Health Service risks.</b>			<b>Management controls</b>				<b>Comments</b>								
				Meradin Peachey, Director of Public Health		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; The Royal Borough of Kensington and Chelsea 2015/16 budget proposals. Shared Services Joint Strategic Needs Assessments.										
h&f	6	RBKC	WCC		OFFICER(S)	4	3	12	↑	3	4	12	⇒			
<b>6</b>	<b>Business resilience.</b>			<b>Management controls</b>				<b>Comments</b>								
	Systems, processes and resources are not joined up in the event of a Royal Borough of Kensington and Chelsea and London Borough of Hammersmith and Fulham incident.			Lyn Carpenter, Executive Director of Environment, Leisure and Residents Services. Tony Redpath, Director of Strategy and Local Services, the Royal Borough of Kensington and Chelsea.		Corporate Incident Management procedures have been reviewed and updated. The Royal Borough of Kensington and Chelsea, Westminster City Council and h&f Council use Creditsafe for the assessment of credit and liquidity risks. Contractors are required to confirm their business continuity arrangements as part of the tendering process. Terrorism insurance cover.				Re-procurement of the Royal Borough's and WCC's Short Breaks for People with Learning Disabilities contract due to contractor performance.			The Royal Borough's Business Impact Analysis system is becoming obsolete. A decision on h&f Council and the Royal Borough using the Westminster City council system has been made. Resources are to be identified to undertake a data transfer exercise.	July-August 2015		

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<b>7</b>	<b>Information management and digital continuity.</b>				<b>Management controls</b>					<b>Comments</b>							
	Risks associated with the management, availability and security of information. Breach of the Data Protection or Freedom of Information Acts.			Ed Garcez, Chief Information Officer, Shared Services. Barry Holloway, Head of Information System, The Royal Borough of Kensington and Chelsea. Ben Goward, Interim Chief Information Officer, Westminster City Council.	<p>Shared Services Information Management Strategy.</p> <p>Shared Services Information sharing register.</p> <p>Shared Services Information management work programme.</p> <p>Shared Services Privacy Impact Assessment process.</p> <p>Sovereign security incident management protocols and reporting.</p> <p>Caldicott Guardians for Adult Social Care and Childrens Services.</p> <p>Sovereign Senior Risk Information Officers.</p> <p>Netconsent software used at the Royal Borough of Kensington and Chelsea to train and inform I.T. users.</p> <p>h&amp;f staff are required to complete and provide a certificate confirming they have passed training known as the Personal Commitment Statement.</p> <p>Potential breaches of policy can be treated as a potential disciplinary matter and referred to Human Resources or the Corporate Fraud team for investigation.</p>					<p>Data breach currently under investigation.</p> <p>Lower levels of compliance with Personal Commitment Statement than desirable in Children's Services = 53% complete; Adult Social Care = 68%</p>				Development of; Shared Services Information Management policies; Learning and development programme; Governance; Communications strategy and creation of an Information Asset Register.	March 2016		

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<b>8</b>	<b>Managing statutory duties.</b>				<u>Management controls</u>					<u>Comments</u>							
	Non-compliance with laws and regulations. Breach of a duty of care. Equalities and Human Rights.			Nigel Pallace, Chief Executive, h&f Council. Nicholas Holgate, Town Clerk, The Royal Borough of Kensington and Chelsea. Charlie Parker, Chief Executive, Westminster City Council.	Local Codes of Corporate Governance, consituitions and schemes of delegation. Officers codes of conduct. Shared Health and Safety Service between the Royal Borough of Kensington and Chelsea and h&f Council. Shared Services Incident reporting on-line software. Shared Services training software, Workrite. Legislative changes are adopted and reflected in amendments to the Councils constituitions and budgets allocated through a unified business and financial planning process. Amey now manage a number of statutory and regulatory procedural and record management processes. Statutory returns to, for example, the Food Standards Agency, Health and Safety												

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9	<b>Standards and delivery of care.</b>				<b>Management controls</b>				<b>Management controls</b>				<b>Comments</b>		
	Breach in the standard of delivery of care, caring services and care homes.			Liz Bruce, Executive Director of Adult Social Care Andrew Christie, Executive Director of Childrens Services	Insurance cover in place in the event of a claim for a breach of duty of care. Legislative changes are adopted and reflected in the Councils constitutions. Budget allocation is made through a unified business and financial planning process.										
h&f	RBKC	WCC		OFFICER(S)	4	3	12	↑	3	4	12	⇒			
10	<b>Failure of partnerships and major contracts.</b>				<b>Management controls</b>				<b>Management controls</b>				<b>Comments</b>		
	Nigel Pallace Interim Chief Executive, h&f Council Charlie Parker, Chief Executive, Westminster City Council Nicholas Holgate, Town Clerk, The Royal Borough of Kensington and Chelsea.				The Link Intelligent Client Function (ICF) manages the AMEY Total Facilities Management contract. Contractor liquidity checking through Credisafe. Procurement and commissioning is undertaken through CapitalEsourcing software acting as a repository for contract information and providing a workflow for the procurement process. Section 113 agreements under the Local Government Act 1972 for Shared Services.									Intelligent Client Function (ICF) for Managed Services. Review of Shared Services Section 113 agreements. New proposals for h&f Strategic Procurement.	May-June 2015
h&f	RBKC	WCC		OFFICER(S)	4	3	12	↑	3	4	12	⇒			
11	<b>Increase in complexity of working with partners.</b>				<b>Management controls</b>				<b>Management controls</b>				<b>Comments</b>		
	Working with the National Health Services, Clinical Commissioning Groups, Police, G.P.'s., 3BM and Epic CIC Public Service mutuals.			Nigel Pallace Interim Chief Executive, h&f Council Charlie Parker, Chief Executive, Westminster City Council Nicholas Holgate, Town Clerk, The Royal Borough of Kensington and Chelsea.	Information sharing protocols and agreements. Members scrutiny of partners risk management is undertaken by the Scrutiny Committees at the Royal Borough of Kensington and Chelsea and Policy and Accountability Committees at h&f.										

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12	<b>Decision making and maintaining reputation and service standards.</b> Pre-determination of policies or contract reviews. Breach of Officer or Member code of conduct. Breach of Information Security or Governance or Confidentiality. Poor quality data internally or from third parties.				Nigel Pallace Interim Chief Executive, h&f Council Steve Mair, City Treasurer, Westminster City Council Nicholas Holgate, Town Clerk, The Royal Borough of Kensington and Chelsea.	<b>Management controls</b> Feasibility studies and options appraisals. Members induction programme. Capacity building of I.T. and Staff. Business planning and performance management and information. Complaints and compliments reviews reported to Committees.				<b>Comments</b>							
h&f	■	RBKC	■	WCC		4	3	12	↑	3	4	12	⇒				
13	<b>Failure to identify and address internal and external fraud.</b>				Hitesh Jolapara Bi-borough Director of Finance, h&f Council Steve Mair, City Treasurer, Westminster City Council Nicholas Holgate, Town Clerk, The Royal Borough of Kensington and Chelsea.	<b>Management controls</b> Shared Services Corporate Fraud function. Risk assessment used to assist in targeting fraud and for workload prioritisation. Whistleblowing policy, Bribery policy, Officer Codes of Conduct. Procurement teams have attended Counter Fraud training.				<b>Comments</b>							

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h&f		RBKC		WCC		4	3	12	↑	3	4	12	→					
14	<b>Change in management of schools.</b>					<u>Management controls</u>						<u>Comments</u>						
	Relationship and accountabilities of academies. Managing the potential of Fraud in schools. Managing statutory responsibilities. Safeguarding responsibilities.					AMEY/Link now provide some statutory compliance services for schools.												