

SHARED SERVICES RISK REGISTER DASHBOARD

APPENDIX 1
Review date 05/08/2015

Ref	RISK				Assigned To	Residual risk assessment: Quarter 1				Residual risk assessment: Quarter 2				Target risk:				Reducing the risk										
	Risk cause and context					Likelihood	Impact	Overall	DOT	Likelihood	Impact	Overall	DOT	Likelihood	Impact	Overall	DOT	Management comments on measures.	Management control measures, planned action(s)	Date / in place								
Strategic risks																												
h&f	✓	RBKC	✓	WCC		OFFICER(S)	3	4	12	↑	4	4	16	↓	3	3	9	↑										
1	Managing budgets, finance risks and systems.					Management controls										Comments												
	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, Strategic Director of Financial Corporate Services.					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.										Service perspective risk assessments commissioned by the Interim Executive Director of Shared Corporate Services and results shared with the Programme Management Office.					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	↑	3	3	9	↑										
2	Loss of Government grant.					Management controls										Comments												
	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, Strategic Director of Financial Corporate Services.					Business and financial planning. Medium term financial strategy.															New proposals for h&f strategic procurement.		July-August 2015

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3	Management of the Better Care fund.					Management controls								Comments						
	Compliance with the Care Act legislation underpinning the BCF; • the accountability arrangements and flows of funding; • the reporting and monitoring requirements for 15-16; • arrangements for the operation of the payment for performance framework; • how progress against plans will be managed and what the escalation process will look like; and • the role of the BCF Task Force / Better Care Support Team going forward.				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.								Measures to monitor impact of Care Act implementation built into new routine KPI monitoring to Senior Managers and members. This covers expected increases in demand and new duties and responsibilities under the Act. Demand and benefits model developed and being implemented for Community Independence Service as part of BCF.					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 compliant set of protocols for safeguarding that will be rolled out to all London local authorities by April 2015.	April 2015

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4	Market testing risks.					Management controls								Comments						
	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.	<p>Management controls</p> 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. Training provided on new Contract Procurement Regulations 2015. Gateway review process in place.								<p>Comments</p> The H&F Contract Standing Orders will be amended to accommodate agreed recommendations made by the Procurement and Social Value Task Force. Proposals in place for establishing a (RBKC/WCC) Shared Services Strategic & Commercial Procurement team. Proposals to appoint an h&f Commercial Director (Autumn) Proposed restructuring of ASC and CHS procurement and commissioning teams.						
														A new Contract Management Framework which is designed to improve contract management and provide a consistent approach across the council is in preparation and is planned to be rolled out across departments shortly. The framework is split into two sections. The first section deals with housekeeping issues and provides an overview of the Contract Management Framework, the second section outlines 6 areas of focus namely Specification, Governance and Organisation, Performance, Commercial, Risk and Legal. The framework includes a Contractual Obligation Tracker to ensure that the supplier is aware of their own obligations and any breach of the contract will be addressed through formal contract breach management procedures.						

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5	Failure to manage Public Health Service risks.				Management controls				Comments											
	Stuart Lines, Deputy DPH; Ike Anya, Deputy DPH; Eva Hrobonova, Deputy DPH; Andrew Burnett, interim Deputy DPH; Gaynor Driscoll, Head of Substances Misuse Services				Public Health strategic business plan and associated aims, deliverables and risks. The Public Health Outcomes framework, PHOF. (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. The Public Health grant is ring-fenced and must be spent in line with clear grant conditions. Grant conditions are clearly set out in six prescribed functions.				The business plans are currently in development and align to the recently agreed Public Health Strategy The PHOF enables the focus and monitoring of performance against a range of indicators that span all council functions. These will be taken to for overview. Appropriate governance arrangements need to be put in place. Several of the Strategy priorities are relevant to PHOF indicators. The strategic direction is also now derived from the Public Health Strategy. Use of the Public Health Grant is reported on and assured with Public Health England annually.				Ongoing							
6	Business resilience.				Management controls				Comments											
	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.				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.				There has been a re-procurement of the Royal Borough's and WCC's Short Breaks for People with Learning Disabilities contract due to contractor performance. A Shared Services Procurement Risk Advisory Group has been established to provide support on areas such as Supply Chain Risk Management and Information Management resilience.				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.							

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h&f	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	3	12	↑	4	4	16	↓	3	3	9	↑									
7	Information management and digital continuity.					Management controls												Comments									
	Risks associated with the management, availability and security of information Insufficient staff resources, both corporately and departmentally, to manage information efficiently, effectively and compliantly Breach of information rights legislation resulting in a monetary penalty of £500,000, eg the Data Protection Act 1998, Freedom of Information Act 2000, Environmental Information Regulations 2004 and the Protection of Freedom Act 2012.					Ed Garcez, Chief Information Officer, Shared Services. Ciara Shimidizu, Interim Head of Information Management Howell Huws, Head of ICT Operations					<p>Shared Services Information Management Board. Shared Services Information Management Strategy. Shared Services Information Sharing Register. Shared Services Information Management work programme. Shared Services Information Management Toolkit, eg Information Governance Checklist, Information Sharing Protocol template, Information Sharing Agreement template, Confidentiality Agreement template and PCS template (H&F and WCC only). Shared Services Privacy Impact Assessment process. Offsite Records Storage Service Framework Agreement for three boroughs and their partners (currently H&F and WCC only) Sovereign information management and security policies, risk logs, incident management and reporting protocols. All three boroughs have access to the same regularly updated retention schedule Caldicott Guardians for Adult Social Care and Children's Services. Sovereign Senior Information Risk Owners (SIRO's) NETConsent software used at the RBKC to train and inform I.T. users. and provides for high level of user acceptance. LBHF and WCC staff are required to complete and provide a certificate confirming they have passed training known as the Personal Commitment Statement with quarterly monitoring and feedback to H&F departmental management teams. 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>Heightened awareness across the public and staff of information rights. Higher demands from public enquiries and reduced capacity across three councils limiting progress on delivery of key aspects IM strategy programme as compliance has to be prioritised. Higher demands from sovereign and shared services for IM input, training, advice and guidance. Success of the Shared Services IM work programme and toolkit has raised IM profile across the boroughs. Period of transition with re-organisation of ICT functions after protracted negotiations. Reduced staff size of IM teams across the three boroughs (2 posts deleted during reorganisation). Number of historic and current data breaches currently under investigation and reported to the ICO. Unacceptable levels of compliance with Personal Commitment Statement, eg Children's Services = 53% complete and Adult Social Care = 68%. Limited understanding of information governance across the 3 boroughs. Limited understanding of information assets across 3 boroughs with highly inconsistent levels of records management practices, including application of retention periods across shared services.</p>			<p>Development of Shared Services Information Management policies and supporting governance framework; Learning and development programme; Information Asset Audit and creation of an Information Asset Register; Introduction of new Information Security Policy and development/implementation of policy acceptance software across the 3 boroughs along with new cohesive user and corporate statements; Communications strategy; Appointment of new post of Head of Information Management.</p>	<p>March 2016 - March 2018</p>

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8	Managing statutory duties.					Management controls										Comments					
	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, constitutions 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 constitutions 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 Executive.										Internal Audit of Organisational Health and Safety undertaken. Internal Audit of h&f gas safety arrangements undertaken. Corporate Safety Team business plan and audit programme established. Departmental and statutory Corporate Safety committee established and meeting regularly. Regular Health and Safety performance reports to the Executive Management Team. Shared Service Building Compliance Board established.			May 2016		

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9	Standards and delivery of care.					Management controls											Comments								
	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.											In addition to these arrangements, the Commissioning Directorate and the Safeguarding & Quality Assurance team monitors the quality and performance of care providers to diminish the likelihood of such events occurring. New Provider Failure & Service Interruption Framework in place in June 2015. New ASC Strategic Provider and Contract Monitoring Framework now in place enables early identification of risk to quality of service.			Ongoing
h&f	✓	RBKC	✓	WCC		OFFICER(S)	4	3	12	↑	3	4	12	→	3	3	9	↑							
10	Failure of partnerships and major contracts.					Management controls											Comments								
	Nigel Pallace 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 Creditsafe. 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.											LBHF approval of a new Business Resilience Strategy in June 2015. A work programme has been drafted to ensure the objectives are delivered. LBHF have served notice to terminate the agreement with the Link for the management of the TFM contract.			Review of Shared Services Section 113 agreements. New proposals for h&f Strategic Procurement.	August 2015				

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11	Increase in complexity of working with partners.					Management controls												Comments		
	Working with the National Health Services, Clinical Commissioning Groups, Police, G.P.'s., 3BM and Epic CIC Public Service mutuals.				Nigel Pallace 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.												The h&f Policy Team are working on developing thematic meetings which will include local external partner agencies to work more inclusively on shared priorities.		

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	h&f	✓	RBKC	✓																	WCC
12	Decision making and maintaining reputation and service standards. 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 Chief Executive, h&f Council Steve Mair, City Treasurer, Westminster City Council Nicholas Holgate, Town Clerk, The Royal Borough of Kensington and Chelsea.	Management controls 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.												Comments August 2015			
13	Failure to identify and address internal and external fraud.				Hitesh Jolapara Strategic Director of Financial Corporate Services , h&f Council Steve Mair, City Treasurer, Westminster City Council Nicholas Holgate, Town Clerk, The Royal Borough of Kensington and Chelsea.	Management controls 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.												Comments The Shared Services Corporate Anti-Fraud Service (CAFS) implements a counter fraud and corruption strategy which is supported by a policy framework. Plans and operations are aligned to the strategy and contribute to the overall goal of maintaining resilience to fraud and corruption. CAFS employ a mixture of reactive and pro-active techniques to combat fraud, including subscription to national initiatives such as the National Fraud Initiative and the National Anti Fraud Network. The service reports regularly to Audit Committees on performance against the counter fraud strategy and the effectiveness of the strategy.			Ongoing

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14	Change in management of schools.					Management controls										Comments				
	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.										Safeguarding in all schools is the subject of a great deal of attention by the Children's Services Department and overseen by the Local Safeguarding Board. They in turn are inspected by Ofsted.				Ongoing

Note 1. All key risks have been extracted from(but not limited to) a number of sources for analysis by the Royal Brought of Kensington and Chelsea Management Board and Hammersmith & Fulham Business Board . The sources include;

- i. Previous models of the Corporate Risk & Assurance Registers.
- ii. Directors Assurance Statements.
- iii. Information identified from Tri Borough Programme, Departmental Risk & Assurance Registers.
- iv. Officers Knowledge and experience.
- v. Shared Services & H&F Portfolio, Programme and Projects summary reports.
- vi. Procurement exercises.
- vii. Significant Weaknesses established from the Annual Assurance process.
- viii. Audit & Fraud Reports.
- ix. Knowledge and experience of public sector risks from the Shared Services Risk Manager.
- x. Data Quality, Integrity and Information Governance issues.
- xi. Cabinet, Scrutiny and public domain reports.

Score	Key	Description
16-25	[Red Box]	RED - High and very high risk - immediate management action required
11-15	[Amber Box]	AMBER - Medium risk - review of controls
6-10	[Green Box]	GREEN - Low risk - monitor and if escalates quickly check controls
1-5	[Yellow Box]	YELLOW - Very low risk - monitor periodically