

SHARED SERVICES RISK REGISTER DASHBOARD

APPENDIX 1

Review date 06/10/2015

Ref	RISK				Assigned To	Residual risk assessment: Quarter 3			DOT	Target risk:			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
Strategic risks															
h&f	✓	RBKC	✓	WCC	OFFICER(S)	4	4	16	→	3	3	9			
1	Financial Management in year budget 2015/ 2016 and Medium Term Planning.												<u>Comments</u>		
	<p>The ongoing challenge of reshaping and delivering council services, within significantly reduced funding levels and increased demand pressures, remains a significant risk. This is both an in year risk and one going forwards over the medium term. As such, a priority within our financial plan is to review different funding models for different services (referencing zero based budgets), and to focus not just on the short-term but on service transformation over a longer time-frame.</p>				<p>Nicholas Holgate, Town Clerk, The Royal Borough of Kensington and Chelsea. Hitesh Jolapara, Strategic Director of Financial Corporate Services.</p>	<p>The council manages its financial risks through a range of controls including budget preparation, budget setting and a Budget Accountability Framework which updated the roles and responsibilities for managing, monitoring and forecasting income and expenditure against approved budgets. The level of reserves and balances are also regularly reviewed to ensure that account is taken of any financial risk. Regular in-year monitoring, review of future financial plans and assessment of financial risks and reserves are undertaken to ensure the financial plans are delivered.</p>								October 2015	

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h&f	✓	RBKC	✓	WCC	OFFICER(S)	3	4	12	→	3	3	9			
3	Management of the Better Care fund.												Comments		
	<p>Compliance with the Care Act legislation underpinning the BCF;</p> <ul style="list-style-type: none"> 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	<p>The Care Act implementation programme was successfully completed. 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.</p> <p>Demand and benefits model developed and being implemented for Community Independence Service as part of BCF.</p> <p>Routine reporting of impact of new service reported to senior managers and members as part of regular reporting.</p> <p>Multi agency BCF steering group receives progress reports and reports upwards to the Joint Executive Team and BCF Board which includes members and senior managers from ASC, CCGs etc.</p> <p>Shared governance with Imperial around change programme for CIS.</p> <p>Redesign of reablement part of Customer Journey programme.</p> <p>Risks are regularly monitored by the programme and major risks logged on a risk register.</p>				<p>The Care Act implementation has been completed. External agency (Deloitte) undertaking an independent evaluation of increase in home care demand as result of whole systems. Expected to result in an increase in the requirement for assessments for carers and prison population. Nationally phase two of the implementation of the Care Act has now been put back to 2020; this will reduce the risk of increases in requests for assessments from self funders as the implementation of the 'care cap' has been delayed. The model estimating expected future demand has been refined and is reported frequently to senior managers as part of routine monitoring. New London wide Care Act compliant set of safeguarding protocols from April 2015.</p> <p>Demand and benefits model developed and being implemented for Community Independence Service as part of BCF.</p>			Continued regular monitoring through performance and joint governance arrangements	October 2015	

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h&f	✓	RBKC	✓	WCC	OFFICER(S)	3	4	12	→	3	3	9			
4	Market testing risks.												Comments		
	<p>Failure to deliver high quality commissioned services at the best cost to the taxpayer. Inadequate forward planning risks (commissioning and procurement). Failure to comply with public procurement regulations, potential legal action, and lack of robust Member oversight. Not achieving Social Value through procurement. Contract performance management.</p>				<p>Nicholas Holgate, Town Clerk, The Royal Borough of Kensington and Chelsea. John Francis and Alan Parry, Joint Interim Heads of Procurement h&f Chief Executives Department</p>	<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>				<p>Amendments to H&F Contract Standing Orders are being drafted to: i) include recommendations made by the Member-led Procurement and Social Value Task Force; ii) facilitate earlier Cabinet visibility and approval of commissioning and procurement strategies before competitive tendering exercises commence. The Cabinet Member for Commercial Revenue and Resident Satisfaction has also requested regular Cabinet Member monitoring of all departments 3-year forward commissioning and procurement plans.</p> <p>Proposals in place for establishing a (RBKC/WCC) Shared Services Strategic & Commercial Procurement team.</p> <p>Proposals to appoint an h&f Commercial Director (Autumn)</p> <p>Proposed restructuring of ASC and CHS procurement and commissioning teams.</p>			<p>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. Training will be rolled out to contract managers and performance on contracts captured through the contract management module on the Council's eSourcing system.</p>	<p>October 2015</p>	

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h&f	✓	RBKC	✓	WCC	OFFICER(S)	3	4	12	↓	1	1	1			
5	In-year 2015-16 Reduction to Public Health Budgets												Comments		
	<p>With the proposed reductions to the Public Health 2015-16 budgets, coupled with possible removal of the ring-fence and potential changes to the Public Health grant conditions; there is a serious risk of in-year disruption to Public Health projects and/or cessation of PH commissioned services before year-end and PH's capability to deliver against the three Councils' medium term plans.</p>				<p>Stuart Lines, Deputy DPH; Ike Anya, Deputy DPH; Eva Hrobonova, Deputy DPH; Andrew Burnett, interim Deputy DPH; Gaynor Driscoll, Head of Substances Misuse Services</p>	<p>PH Finance has modelled various budgetary scenarios and are currently preparing various budget savings proposals, pending the outcome of a national consultation process which was initiated by PHE at end of July on the four possible options proposed for the budget reductions. PH's response to the consultation proposals was agreed by SMT and members and submitted to PHE before the end of August. The Public Health grant will be ring-fenced for remainder of 2015-16 and must be spent in line with clear grant conditions. Grant conditions are clearly set out in six prescribed functions.</p>				<p>Although still to be confirmed by PHE, it is anticipated that there will be a 6.2% across the board reduction for PH depts in all local authorities in England. On this basis, revised Public Health budgets plans and initiatives are being taken to lead member briefings and cabinet member steering groups for overview. Whatever reduction is eventually confirmed by PHE, use of the Public Health Grant will continue to be reported on and assured with Public Health England annually.</p>			<p>PH budgets are monitored and reported on monthly to SMT by PH Finance. This rigorous monitoring will remain in place and be strengthened after the budget reduction is confirmed by PHE. Use of the Public Health Grant is reported on and assured with Public Health England annually. Contract performance monitoring (including financial and quality performance) is also in place and being reported on to the monthly performance SMT.</p>		<p>October 2015</p>

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h&f	✓	RBKC	✓	WCC	OFFICER(S)	3	4	12	→	3	3	9			
6	Business resilience.												Comments		
	<p>1). Limited joined up systems, processes and resources in the event of a Royal Borough of Kensington and Chelsea and London Borough of Hammersmith and Fulham Business Continuity internal / external incident.</p> <p>2). Managed Services Programme - potential supplier withdraws a service due to invoices not being paid.</p> <p>3). Risks associated with the end of HFBP contract (Novation of contracts to in-house, new contracts and extensions).</p> <p>4) Non-availability of IT systems, cyber attacks.</p> <p>5). Ensuring continuity of services during a potential Housing Stock Options transfer.</p> <p>6). Loss of significant Contractor (LBHF Serco novation)</p>				<p>Dave Page, Bi-borough Director for Safer Neighbourhoods</p> <p>Tony Redpath, Director of Strategy and Local Services, the Royal Borough of Kensington and Chelsea.</p>	<p>1). Corporate Business Continuity Policies and Strategies have been agreed at both Business Boards, and updated accordingly, ensuring commonality for incident management. h&f Council use Creditsafe for the assessment of contractor credit and liquidity risks, with The Royal Borough of Kensington and Chelsea, Westminster City Council to follow shortly. Contractors are required to confirm their business continuity arrangements as part of the tendering process, plus a 2 day mandatory Contract Managers Training work shop will be delivered by WCC. Both WCC / RBKC & h&F Business Continuity Managers are developing additional training to ensure resilience of contracts is maintained throughout its term, and to be delivered in the 2 day work shops.</p> <p>2) An emergency payments system is in place in the event of a significant delay or missed payment to a supplier.</p> <p>3) Tri Borough ICT Programme Manager Andy Orr maintains a separate risk register for the transfer.</p> <p>4). Owners of Priority 1 and Priority 2 classified services have been requested to ensure a their service continuity plans have a strategy in place to cater for the loss of the supplier.</p> <p>5). Risks will be managed through the Programme Management Team and reported periodically to the Shared Service Risk Manager.</p> <p>6). Counsels' advice has been received and discussions are ongoing with Serco in connection with a novation to a subsidiary company, Serco environmental.</p>			<p>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.</p> <p>GOLD training has been provided to senior management in both boroughs, to enhance the ability to deal with serious incidents, plus additional Emergency Planning training delivered in h&f.</p>	<p>1 - 2). The Royal Borough's Business Impact Analysis system is obsolete, plus the h&f BIA is non existent. Direction to continue between both boroughs is now required.</p> <p>3). h&f Business Continuity Manager needs to review the Programme Risk Register for actions that the business / services may need to implement prior to implementation.</p> <p>5). h&f Business Continuity Manager needs to review the Housing Programme to review Service Risks.</p>	<p>October 2015</p>				

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h&f	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	→	3	3	9			
7	Information management and digital continuity.													Comments		
	<p>Risks associated with the management, availability and security of information</p> <p>Insufficient staff resources, both corporately and departmentally, to manage information efficiently, effectively and compliantly</p> <p>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.</p>				<p>Ed Garcez, Chief Information Officer, Shared Services.</p> <p>Ciara Shimidzu, Interim Head of Information Management</p>	<p>Shared Services Information Management Board.</p> <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 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).</p> <p>Shared Services Privacy Impact Assessment process.</p> <p>Offsite Records Storage Service Framework Agreement for three boroughs and their partners (currently H&F and WCC only)</p> <p>Sovereign information management and security policies, risk logs, incident management and reporting protocols.</p> <p>All three boroughs have access to the same regularly updated retention schedule</p> <p>Caldicott Guardians for Adult Social Care and Children's Services.</p> <p>Sovereign Senior Information Risk Owners (SIRO's)</p> <p>NETConsent software used at the RBKC to train and inform I.T. users. and provides for high level of user acceptance.</p> <p>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.</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>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.</p> <p>Success of the Shared Services IM work programme and toolkit has raised IM profile across the boroughs.</p> <p>Period of transition with re-organisation of ICT functions after protracted negotiations.</p> <p>Reduced staff size of IM teams across the three boroughs (2 posts deleted during reorganisation).</p> <p>Number of historic and current data breaches currently under investigation and reported to the ICO.</p> <p>Unacceptable levels of compliance with Personal Commitment Statement, eg Children's Services = 53% complete and Adult Social Care = 68%.</p> <p>Limited understanding of information governance across the 3 boroughs.</p> <p>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;</p> <p>Learning and development programme;</p> <p>Information Asset Audit and creation of an Information Asset Register;</p> <p>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;</p> <p>Communications strategy;</p> <p>Appointment of new post of Head of Information Management.</p>	<p>October 2015</p>							

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h&f	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	↓	3	3	9			
8	Managing statutory duties.													<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, 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.					October 2015	

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h&f	✓	RBKC	✓	WCC	✓	OFFICER(S)	3	3	9	↑	3	3	9			
9	Standards and delivery of care.													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. Contract monitoring includes assessment of quality of standards of care. Regular SIPS meetings brings together commissioners, operational, safeguarding and CQC staff to discuss and detect breaches in quality of care. Budget allocation is made through a unified business and financial planning process.	In addition to these arrangements, the Commissioning Directorate and the Safeguarding team monitors the quality and performance of care providers to diminish the likelihood of such events occurring. New Provider Failure & Service Interruption Framework was put 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.	Following the Peer Review, ASC is implementing a more holistic service wide approach to quality assurance, through a new Quality Assurance Board. The Board has now commenced meeting.	October 2015							
h&f	✓	RBKC	✓	WCC		OFFICER(S)	3	4	12	⇒	3	3	9			
10	Failure of partnerships and major contracts.													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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h&f	✓	RBKC	✓	WCC	OFFICER(S)	3	4	12 →		3	3	9			
11	Increase in complexity of working with partners.												<u>Comments</u>		
	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.				August 2015	

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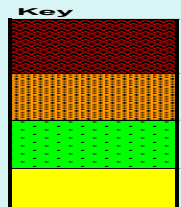
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12	Decision making and maintaining reputation and service standards.												<u>Comments</u>			
	Pre-determination of policies or contract reviews. Breach of Officer or Member code of conduct. Breach of Information Security or Governance or Confidentiality. 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.	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.										August 2015
h&f	✓	RBKC	✓	WCC		4	4	16	↓	3	3	9				
13	Failure to identify and address internal and external fraud.												<u>Comments</u>			
	Potential exploitation of Managed Services Agresso systems during implementation and towards business as usual delivery.				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.	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.							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.		October 2015	

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14	Change in management of schools.												<u>Comments</u>		
	Relationship and accountabilities of academies. Managing the potential of Fraud in schools. Managing statutory responsibilities. Safeguarding responsibilities.				Ian Heggs	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
h&f	✓	RBKC	✓	WCC		4	4	16	→	3	3	9			
15	Managed Services Programme												<u>Comments</u>		
	Service impact risk assessments were conducted during June and extending to July and August 2015. These assessments captured the services perspectives of risks, 27 risk assessment invitations to participate were issued, 27 received.				Maria Benbow, Westminster City Council Programme Director	Managed Services Programme Management Office Designated Finance and Human Resources Workstream Leads Regular meetings with the Managed Services Provider Managed Services Sponsors meeting track progress against targets. Sponsors issues are regularly identified and discussed.				313 risks have been identified by services 117 risks or 37% have been rated high 138 risks or 44% have been rated medium 58 risks have or 19% have been rated low The highest number of risks, 44, concerned payments to contractors and suppliers The next highest 31 each, concerned service from the supplier and around invoicing and receipting The fourth highest was in connection with budgets 27 risks.			An Internal Audit report to Audit Committees has been prepared for the September 2015 cycle of meetings on Managed Services Risks from departments perspective.	August 2015	
													<p>Score</p> <p>16-25</p> <p>11-15</p> <p>6-10</p> <p>1-5</p>	<p>Key</p>  <p>RED - High and very high risk - immediate management action required</p> <p>AMBER - Medium risk - review of controls</p> <p>GREEN - Low risk - monitor and if escalates quickly check controls</p> <p>YELLOW - Very low risk - monitor periodically</p>	

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ADULT SOCIAL CARE															
h&f	✓	RBKC	✓	WCC	Rachel Wigley	4	4	16	→	3	3	9			
1	Reducing resources to support people with care needs and increasing demand due to demographic pressures												Comments		
	In the financial year there is a funding hole nationally for adult social care of £3bn. Through the MTFS LBH&F have already made efficiencies and savings in recent years as the resources available for social care have significantly reduced. There is a risk that further savings which will be required will make it very difficult to meet the needs of the increasing numbers of disabled and older people. As a result of demographic changes the Council is already supporting greater numbers of adults with care needs an increasing proportion of this group have very complex needs who would previously have been supported more by health services				Rachel Wigley	Further change our service model to put a greater focus on short term, re-abling, interventions to help people regain skills and look after themselves for longer delaying the need for social and health care; through both the Customer Journey programme where we are refining our approach to reablement as part of the integrated Community Independence Service and Pursue opportunities to develop more integrated and closer working with health colleagues, through initiatives such as the Better Care Fund and 'whole systems' programme. This includes the use of some health resources to fund some of the additional demand for home care as a result of these programmes. Develop a new Commissioning Strategy which is exploring different mechanisms to resource and commission services in the future using 'care pathways', and different procurement models. Develop an approach to prevention which focuses on reducing demand for social care and utilises some Public Health and wider Council resources to help achieve this. Manage resource planning through the Department of Health, ADASS network and LGA in relation to the Care Act.								August 2015	

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2	Responding to changing legislation														
	<p>The Care Act began to be implemented from April 2015. There was a comprehensive programme in place in LBH&F to ensure that ASC was compliant with the new requirements. Although implementation of some parts of the Act (e.g. the 'care cap') have been delayed until 2020 by the Government; ASC are left with delivering new responsibilities such as for self funders, carers and the wider health and well being, without additional resources. There continues to be a lack of clarity from Government about available funding to support additional demands for services.</p>				Jerome Douglas	<p>Further change our service model to put a greater focus on short term, re-abling, interventions to help people regain skills and look after themselves for longer delaying the need for social and health care; through both the Customer Journey programme where we are refining our approach to reablement as part of the integrated Community Independence Service and</p> <p>Pursue opportunities to develop more integrated and closer working with health colleagues, through initiatives such as the Better Care Fund and 'whole systems' programme. This includes the use of some health resources to fund some of the additional demand for home care as a result of these programmes.</p> <p>Develop a new Commissioning Strategy which is exploring different mechanisms to resource and commission services in the future using 'care pathways', and different procurement models.</p> <p>Develop an approach to prevention which focuses on reducing demand for social care and utilises some Public Health and wider Council resources to help achieve this.</p> <p>Manage resource planning through the Department of Health, ADASS network and LGA in relation to the Care Act.</p>							August 2015		

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Ref	RISK				Assigned To	Residual risk assessment: Quarter 3			DOT	Target risk:			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
h&f	✓	RBKC	✓	WCC		4	4	16	⇒	3	3	9	Comments		
11	Operational services do not achieve the level of change to head count, and changes to methods of working and behaviour or is insufficient.														
	Insufficient change in practice risks the efficiency savings not being realised and targets missed. Associated risk that ICT changes aren't delivered in time to support the practice changes.				Matthew Castle	Staff changes are factored into the Customer Journey programme at all stages with clear staff engagement and expression of what the future will look like. Dedicated IT workstream established in Customer Journey programme									August 2015
h&f	✓	RBKC	✓	WCC		3	5	15	⇒	3	3	9	Comments		
12	IT collaboration tools to support three borough working and partnerships with NHS														
					Brian Vallis	Actively lobbying corporate IT. Piloting system solutions (e.g. SYSONE) to support joint operational working with NHS. Exploring greater use of mobile technology. Engaged with NWL CCGs in developing NWL data warehouse to provide strategic capability and support development of whole systems working and evaluation.							It is challenging working across 3 boroughs despite there being a number of freely available pieces of software to share calendars, files and information (for example Huddle, Media fire, Doodle). We are also working very closely with Health Partners in delivering the Better Care Fund there are currently no workable file sharing applications which we can use to facilitate this work. This will effect staff and customers. Ultimately the inability to keep up with technology will reflect on the services we provide. From both an operational and strategic perspective the use of multi case management systems across the NHS and social care creates particular risks.		August 2015

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CHILDRENS SERVICES															
h&f	✓	RBKC	✓	WCC		3	4	12 →	3	3	9	Comments			
1	If serious harm comes to a child or young person to whom we have a duty of care for, then the Council and/ or partner agencies could be seen to be at fault.														
	Potential injury to a client. Reputational harm.				CC/MC/IH/SM	Family Services Directors manage the risk within their departments and ensure controls are in place so that no serious harm comes to a child or young person. Employees have enhanced DBS checks. Ongoing SRQA and LSCB activities to ensure quality assurance.								August 2015	
h&f	✓	RBKC	✓	WCC		3	4	12 →	3	3	9	Comments			
2	If Looked after Children numbers start to rise, due to increase in Unaccompanied Asylum Seekers (UASC)														
	There will be an increasing demand for placements. In addition, even without a rise in overall numbers, ongoing or even increased demand for high cost placements, particularly for adolescents, will put pressure on placements budget. Financial overspend				CC/MC/SM	The Assistant Director of Tri-borough LAC/ Care Leavers will drive forward work within the Tri-borough Service. Review of current UASC costs for all three LA's including breakdown of how these costs are made up (care, care leavers etc) A LAC tracker and financial placements models in place to monitor numbers, need and cost. LAC numbers are monitored against national trend.								August 2015	

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CLEANER, GREENER, CULTURAL SERVICES															
h&f	✓	RBKC	✓	WCC		4	4	16	→	3	3	9	Comments		
1	There is a risk that we are unable to manage residents' expectations in a time of pressure on service delivery of waste collections leading to damage to the Council's reputation.														
	Additional risk anticipated, especially to street cleansing, if further savings needed. Damage to council's reputation and poor resident satisfaction				Sue Harris	Aug 2015 - Continue to monitor customer satisfaction through surveys, complaint and praise, and general feedback. Action planning in place following on from customer survey feedback. A refreshed communications plan has been drafted. Discuss what citizens can do at September PAC.								August 2015	
CLEANER, GREENER, CULTURAL SERVICES															
h&f	✓	RBKC	✓	WCC		4	4	16	→	3	3	9	Comments		
2	Risk that recycling rate will continue to reduce														
	Financial Impact				Kathy May								Aug 2015 - Proactive campaigns being prepared; DCLG bid in H&F for recycling reward scheme successful. Two Waste Action Officers recruited July / Aug 2015. Communications plans being developed with Corporate Comms teams. Golden Ticket plans well developed. Explore opportunities for enforcement with LWaRB	August 2015	

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SAFER NEIGHBOURHOODS															
h&f	✓	RBKC	✓	WCC		4	4	16	→	3	3	9	Comments		
1	Risk that the Fulham Coroners Office is not delivering to service KPI's and customers expectations.														
	Impact to the Mortuary process of delivering bodies to funeral parlours within expected timescales. Reputational risk to the council due to poor service received by residents,				Alistair Ayres								News story in Mail on Sunday related to the Senior Coroner losing documents related to Alice Gross Inquest fortunately did not reflect poorly on LA but did put service in the spotlight. Liaising with Comms team re any future press interest.	October 2015	
h&f	✓	RBKC	✓	WCC		4	4	16	→	3	3	9	Comments		
2	Risk that Hammersmith Park Sports Facility is not successfully delivered.														
	Impact to the Mortuary process of delivering bodies to funeral parlours within expected timescales. Reputational risk to the council due to poor service received by residents.				Ullash Karia								Project Board meet regularly. Consultation taking place May/June involving councillors.	October 2015	
CUSTOMER AND BUSINESS DEVELOPMENT															
h&f	✓	RBKC	✓	WCC		4	4	16	→	3	3	9	Comments		
1	Risk that income targets for registrars is not achieved due to staff shortages and HR issues. Not enough Registrars taking Notices due to HR issues therefore risk of not delivering on budget.														
					Mary Byrne								Sept 15 - income monitored monthly though difficult due to Agresso issues. HR issues still difficulty in running a service and completing training needs for officers.	October 2015	

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h&f	✓	RBKC		WCC		4	4	16	⇒	3	3	9	Comments		
2	Risk that income targets for the duct asset contract are not achieved														
					Mary Byrne	Sept 15 - meeting scheduled with Cllr and ITS for Sept 15 July 2015 - MB - Waiting on feedback from Members, wayleave still needs to be signed in order to start ducting works. In discussion with legal colleagues on next steps.									August 2015
PUBLIC HEALTH															
h&f	✓	RBKC		WCC		4	5	20	⇒	3	3	9	Comments		
1	IN-YEAR 2015-16 CUT TO PUBLIC HEALTH BUDGETS If information on proposed reductions are not confirmed asap by Public Health England.														
	There could be a serious risk to disruption to PH projects and /or cessation of PH commissioned services before year-end and PH's ability to deliver against the Councils' medium term plans				Jon Laker	PH Finance Business partners currently undertaking scenario planning and preparing various provisional budget proposals, pending the outcome of a national consultation process initiated by PHE at end of July on the four possible options proposed for the budget cuts. A response to the consultation proposals is being prepared for SMT sign-off									August 2015
h&f	✓	RBKC		WCC		4	4	16	⇒	3	3	9	Comments		
2	MSP SYSTEM IMPLEMENTATION/ HR Continued functional failures with the new MSP HR modules.														
	Likely to result in significant staff administration and recruitment problems and delays, including sick leave monitoring and reporting line.				Dr Mike Robinson, Director of Public Health	1. PH staff working with Finance and HR Business Partners to implement correct line management and organizational structures 2. PH SMT is taking internal steps to deal with this risk. However PH SMT is not in a position to deal directly with the MSP functional problems that have given rise to this risk.							Likely to result in significant staff administration and recruitment problems and delays, including sick leave monitoring and reporting lines		August 2015

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INFORMATION MANAGEMENT AND TECHNOLOGY															
h&f	✓	RBKC	✓	WCC	✓		4	4	16	→	3	3	9	Comments	
1	Co-ordination and control of IT procurement across the three Councils.														
	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.					Ed Garcez, Tri-borough Chief Information Officer	We are now tightly aligned across RBKC and WCC (and where procuring through the shared ICT service in H&F too). The recent Office 365 procurement demonstrates this alignment. It is inevitable that HF&P will adopt their own procurement approach. This will not change before the contract ends in October 2016. The risk is noted and will as best possible be mitigated by the establishment of the shared ICT service which is now progressing well.							August 2015	
h&f	✓	RBKC	✓	WCC	✓		4	4	16	→	3	3	9	Comments	
2	Denial of service vulnerability as networks converge.														
	Unmitigated. Risk has been recognised and is under consideration.					Ed Garcez, Tri-borough Chief Information Officer	A report on Cyber threats was prepared and taken to h&f Audit, Pensions and Standards Committee for consideration. This has not yet materialised. Currently waiting on PSN CoCo approval. Review in December 2015.							August 2015	
h&f	✓	RBKC	✓	WCC	✓		4	4	16	→	3	3	9	Comments	
3	Failure to manage Information following outsourcing. Assurance from service providers.														
						Ed Garcez, Tri-borough Chief Information Officer	Information sharing agreements are in place however compliance checking is not effectively undertaken. Guidance has been prepared for the Procurement Working Group (led by RBKC Cabinet Members). This will be introduced for all procurements. To review in March 2016.							August 2015	

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h&f	✓	RBKC	✓	WCC	✓	4	4	16	→	3	3	9	Comments		
4	Records management and control.				Ed Garcez, Tri-borough Chief Information Officer	Engagement with the Information Commissioners Office and other boroughs. Shared Services Information Management Board. Shared Services Information Management Strategy is now approved. A work programme is in place and initiatives developed and allocated to Officers. Greater co-ordination with the three Information Management teams and Adult Social Care and Childrens Services Departments.				A Shared Services Head of Information Management has now been appointed.				August 2015	
h&f	✓	RBKC	✓	WCC	✓	4	4	16	→	3	3	9	Comments		
5	IT functions across the 3 Councils are not operating as a single entity.				Ed Garcez, Tri-borough Chief Information Officer	Appointment made of a Tri-borough Chief Information Officer. Shared Services now have IT relationship managers and a problem manager in place to assist departments Corporate Services programme proposes to establish a new organisational structure following a target operating model that has been agreed by the Royal Borough and h&f councils. This is now resolved, and ICT are a single entity. Status unchanged for now, to review in March 2016 when service fully populated.				A Shared Services Head of Information Management has now been appointed.				August 2015	

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HOUSING															
h&f	✓	RBKC		WCC		4	4	16	→	3	3	9	Comments		
1	Welfare Reform /Local Housing Allowance Changes				Mike England / Kathleen Corbett	HB Assist linked with new prevention strategy, Incentive package for private landlords is in place. Housing Options have strengthened front of house to provide more tailored advice, assistance and homelessness prevention services, full membership of a West London Procurement framework with a panel of third party providers providing accommodation inside and outside London 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 in to specifically address this risk				Increase in demand currently being managed. New Welfare Reform Project Board has now been created to manage the approach to the Overall Benefit Cap and the rollout of Universal Credit.			Development of procurement strategy. Report to Cabinet in June 2015 on approaches to Lots1 & 2, including the approach to the redevelopment of Lavender Court where there is a potential for a number of units as an alternative to B&B. Lot 2 involves an agreement with third party suppliers offering to buy property for use as temporary accommodation. Partnership with RP's engaged in a proactive asset management strategy may yield additional units, increase the number of nominations made available to the Council to vacancies in stock owned by Registered Providers.	August 2015	

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h&f	✓	RBKC		WCC		4	5	20	⇒	3	3	9	Comments		
2	Earls Court Regeneration				Juliemma Mcloughlin / Kath Corbett	HRD Project Management Team meets fortnightly, quarterly monitoring report to HFBB and Members, original scheme project risk register held by project manager (TK). CAPCO paid a fee of £15m on entering into the exclusivity agreement. Governance Structure included in the CLSA £10m is refundable only in restricted circumstances and £5m is not refundable under any circumstances. Sensitivity modelling has been done on the HRA business plan for this and the other CFR risks (the JV review) and to date some rephasing of realisable receipts has been contained. There is however a significant risk if no receipts are received or if there is further rephasing required that this would render the HRA business plan unviable without either income from sales or significant cuts in the capital programme, scenario modelling on this was shared with the Cabinet member for Finance as part of the preparation of the HRA business plan agreed by Cabinet on 5th Jan 2015 and will be shared again as part of this round of HRA business planning. Nos. seen / shared with Cabinet since as part of quarterly reporting.				The scheme is currently under review following the change of Administration, this may lead to either the loss of receipts or to receipts being received as realisable capital receipts later than currently predicted in the HRA business plan. Receipts in the HRA business plan have been reprofiled to reflect the lower expected initial realisable receipt based on recent phasing information and the remainder of the receipts have been pushed out to later years, however there remains a significant risk of a reduced or delayed receipt until negotiations conclude and the recently received S34A application is concluded			Continue to monitor and review. As part of business plan modelling repeat the sensitivities run this year	August 2015	
h&f	✓	RBKC		WCC		4	5	20	⇒	3	3	9	Comments		
3	Investing and maintaining our Council Homes				Stephen Kirrage / Kathleen Corbett	To continue to undertake a review of the existing Asset Management Strategy & long term financial investment plan - stock condition survey update has recently been completed and options are being assessed in detail								Stock condition survey includes a specific sample of properties that had decent homes works, we are waiting the results of the detailed structural surveys of a number of blocks, the HRA business plan will then need to be reviewed again	August 2015

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h&f	✓	RBKC		WCC		4	4	16	→	3	3	9	Comments		
4	Delivering new homes														
	There is also a risk that the recent Government Announcements regarding high value vacant social housing may mean we end up having to sell immediately after development				Kathleen Corbett / Juliemma Mcloughlin	Sensitivity modelling done on the HRA business plan, quarterly briefing report to Officer Briefing Board highlights the risk. If Government announcement on selling vacant high value social rented homes put the programme at risk we could revert to shared ownership							Review of Joint Venture opportunity Sites with a view to delivering the Affordable homes as Social Housing rather than Low Cost Home Ownership. The current proposal is that this would be achieved by making the replacement for Edith Summerskill House into social housing and funding this using the land receipt from Watermeadow Court (which would be 100% private sale). This will result in the loss of a £12.75m receipt currently included in the HRA business plan with a consequent increase in the HRA CFR. It will also result in the loss of the £7.5 m receipt currently assumed in the General Fund capital Programme from Watermeadow Court, the general fund capital programme would therefore also require revision	August 2015	

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h&f	✓	RBKC		WCC		4	5	20	⇒	3	3	9	Comments		
5	Delivering a quality Housing service (includes repairs and caretaking etc)														
	Managed services implementation continues to impact significantly on both our service delivery to residents and on our ability to collect both rents and leaseholder service charges.				Hitesh Jolapara / Kathleen Corbett	Project is managed by a team based in Westminster who have implemented the system across LBHF, RBKC and Westminster. Arrears letters for tenants are now reinstated as the missing payment files was believed be resolved however it has continued to reoccur. The arrears chasing letters mean we lose goodwill but do at least mean we pick up on the missing files. For Leaseholder Service Charges we will need to carry out a similar exercise. We continue to feedback our payment, recruitment and other issues to the Westminster team.				We have had on-going issues with missing rent payments which makes it hard for us to firmly chase debt and take cases to court, it also makes it hard for our tenants to keep control of their finances. We have been unable to properly chase service charge arrears since March 2015 (and only very recently have been able to see balances on screen), we do not know the accuracy of the service charge balances but it is very possible that there are issues with payments similar to those we have had with rents. There is a very significant risk that bad debts will increase and a significant risk of pressure on PSL costs as we have lost landlords directly as a result of payment delays caused by Agresso. There is also a significant risk attached to staff recruitment as the new processes are causing significant delays and there is a risk that good candidates will be lost and agency staff costs incurred as posts remain vacant longer			Continue with arrears letters for tenants and pushing Westminster project team to resolve the issues. For Leaseholders we will need to carry out a similar calling around exercise before the first Dunning letters are sent. For all other issues we need to continue to push and feedback to BT and the project team	August 2015	
SHARED SERVICES LIBRARIES															
h&f	✓	RBKC		WCC		3	4	12	⇒	2	2	4	Comments		
1	Access to librariescatalogue will fall over (CALM not supported or upgraded)														
					Mary Enright	Data exported to Excel April14							Explore Sirsi potential	October 2015	

