



LONDON BOROUGH OF HAMMERSMITH AND FULHAM SHARED SERVICES RISK REGISTER DASHBOARD																	APPENDIX 1					
																	Review date 02/02/2016					
Ref	RISK					Assigned To	Inherent risk assessment:			Residual risk assessment: Quarter 3			DOT	Target risk:			Reducing the risk					
	Risk cause and context						Likelihood	Impact	Overall	Likelihood	Impact	Overall		Likelihood	Impact	Overall	Management comments on measures.	Planned action(s)	Date / in place			
LBHF	✓	RBKC	✓	WCC		OFFICER(S)	5	4	20	3	4	12	➡		3	3	9			January 2016		
3	Management of the Better Care fund.						Management controls										Comments	Actions				
	Compliance with the Care Act legislation underpinning the Better Care Fund; • 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 Better Care Fund Task Force / Better Care Support Team going forward.					Liz Bruce, Executive Director of Adult Social Care	The Care Act implementation programme was successfully completed. Measures to monitor impact of Care Act implementation built into new routine Key Performance Indicator 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 Better Care Fund. Routine reporting of impact of new service reported to senior managers and members as part of regular reporting. Multi agency Better Care Fund steering group receives progress reports and reports upwards to the Joint Executive Team and Better Care Fund Board which includes members and senior managers from Adult Social Care, Clinical Commissioning Groups etc. Shared governance with Imperial around change programme for the Community Independence Service. Redesign of reablement part of Customer Journey programme. Risks are regularly monitored by the programme and major risks logged on a risk register.										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. Demand and benefits model developed and being implemented for Community Independence Service as part of the Better Care Fund.			Continued regular monitoring through performance and joint governance arrangements		

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4	Market testing risks.						Management controls										Comments	Actions	
	1. Failure to deliver high quality commissioned services at the best cost to the taxpayer. Inadequate forward planning risks (commissioning and procurement). 2. Failure to comply with public procurement regulations, potential legal action, and lack of robust Member oversight. 3. Not achieving Social Value through procurement. 4. Contract performance management.					1. Nicholas Holgate, Town Clerk, The Royal Borough of Kensington and Chelsea.  2. Michael Hainge Commercial Director Chief Executives Department	(1) Adult Social Care and Childrens Services Departments have established contract and commissioning boards. (2) A Shared Services Contracts Approval Board has been established. (3) Contract registers are now managed through the CapitalESourcing e-procurement system hosted by Westminster City Council and have recently been audited (but received a nil assurance) (4) Training is being provided on Contract Management across the Shared Services.  (5) Hammersmith & Fulham only  (5a) Procurement Strategy Board (H&F) - corporate oversight (5b) In addition to all reports going through (1) & (2) above, at H&F they are subject to 3 additional key controls: Cabinet Member Briefing Boards, H&F Business Board and Cabinet (via Cabinet Briefing) (5c) Revised Contract Standing Orders for LBHF will take effect on 1 July 2016 for all procurements advertised on or after this date. This will ensure Cabinet see forward Commissioning Plans and a Procurement Strategy on each procurement  (6) The Royal Borough of Kensington & Chelsea. (6a) Procurement regulations for the Royal Borough of Kensington and Chelsea.										(1). Restructuring of Adult Social Care and Children's Services procurement and commissioning teams is underway with jobs recently  (2) Hammersmith & Fulham (2a). Amendments to Contract Standing Orders have been approved by full Council to facilitate earlier Cabinet visibility and approval of commissioning and procurement strategies before competitive tendering exercises commence. (2b). 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. (2c). LBHF have appointed a Commercial Director who will also lead on procurement. Work is currently being undertaken to review the Contracts Register.  (3) Kensington & Chelsea	1. A new Contract Management Framework which is designed to improve contract management and provide a consistent approach across the council is being rolled out across departments . 2. The framework is split into two sections. [2a] The first section deals with housekeeping issues and provides an overview of the Contract Management Framework; [2b] the second section outlines 6 areas of focus namely (i) Specification, (ii) Governance and Organisation, (iii) Performance, (iv) Commercial, (v) Risk and (vi) Legal. The framework includes a Contractual Obligation Tracker.	

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5	In-year 2015-16 Reduction to Public Health Budgets						Management controls							Comments			Actions			
	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 Public Health commissioned services before year-end and Public Health's capability to deliver against the three Councils' medium term plans.					Dr Mike Robinson, Director of Public Health	Public Health 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 Public Health England at end of July 2015 on the four possible options proposed for the budget reductions. Public Health's response to the consultation proposals was agreed by the Senior Management Team and members and submitted to Public Health England 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.  The outcome of the consultation is now known							Public Health England confirmed an in-year reduction of 6.2% to all local authorities across England, to the Public Health grant (October 2015). This reduction has been met. However, the autumn Spending Review announced reductions to the Public Health grant of approx. 3.9% per annum from 2016/17 for the next 5 years. Use of the Public Health grant will continue to be reported on and assured with Public Health England.			An implementation plan with proposed efficiencies is being adopted, to ensure that we meet the agreed budget commitments for 2016/17. This strategy takes into account the reduction to the grant in 15/16 and the further reduction of 3.9% in 2016/16. A Public Health task and finish is reviewing the grant for 2016/17 and future years, within a reducing grant context. In addition,			

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LBHF	✓	RBKC	✓	WCC		OFFICER(S)	5	5	25	3	4	12	➡		2	3	6			January 2016
6	Business resilience.						Management controls										Comments	Actions		
	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. 2). Managed Services Programme - potential supplier withdraws a service due to invoices not being paid. 3). Risks associated with the end of Hammersmith and Fulham Bridge Partnership contract (Novation of contracts to in-house, new contracts and extensions). 4) Non-availability of I.T. systems, cyber attacks. 5). Ensuring continuity of services during a potential Housing Stock Options transfer at London Borough of Hammersmith and Fulham. 6). Loss of significant Contractor ( London Borough of Hammersmith and Fulham Serco novation, however Serco have recently announced their intention to retain Environmental Service business. )					Dave Page, Bi-borough Director for Safer Neighbourhoods, London Borough of Hammersmith and Fulham Tony Redpath, Director of Strategy and Local Services, the Royal Borough of Kensington and Chelsea.	1). Corporate Business Continuity Policies and Strategies have been agreed at both Business Boards, and updated accordingly, ensuring commonality for incident management. London Borough of Hammersmith and Fulham 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 is being delivered by Westminster City Council. 2) An emergency payments system is in place in the event of a significant delay or missed payment to a supplier. 3) Tri Borough ICT Programme Manager Andy Orr maintains a separate risk register for the transfer and a Transition Team has been set up. 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. 5). Risks are being identified and managed through the Programme Management Team and reported periodically to the Shared Service Risk Manager. 6). Counsels' advice has been received and discussions are ongoing with Serco in connection with a novation to a subsidiary company, Serco environmental.										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. 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 London Borough of Hammersmith and Fulham.	1-2) The Royal Borough's Business Impact Analysis system is obsolete, plus the London Borough of Hammersmith and Fulham Business Impact Analysis is non-existent. A formal review of external software systems, to have been carried out by Bridge, proved too costly. Further work is currently under way to consider development of a system in-house, and also to further consider the funding aspects of an external system. 3). London Borough of Hammersmith and Fulham Business Continuity Manager is liaising with the ICT Transformation Manager reviewing the Programme Risk Register for actions that the business / services may need to implement.		



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7	Information management and digital continuity.						Management controls										Comments	Actions		
	a) Information created, accessed, handled, stored, protected and destroyed by the service areas and departments across the three partner councils is not managed in compliance with information rights legislation or local policies, eg the Data Protection Act 1998, Freedom of Information Act 2000, Environmental Information Regulations 2004 and the Protection of Freedom Act 2011; b) The service areas and departments do not fully understand or manage the risks such non-compliance involves therefore not making informed, risk based decisions; c) Insufficient staff resources, both corporately and departmentally, to mitigate the above risks; d) Potential breach of information rights legislation resulting in a monetary penalty of up to £500,000 plus costs of the staff/ICT resources to remedy the breach and reputational damage to the three partner councils (estimates based on average ICO fines in last 12 months and cost of H&F ICO Undertaking, £100,000 (fine) and £270,000 (staff/ICT resources @ £90,000 per council).					Ed Garcez, Chief Information Officer, Shared Services. Ciara Shimidzu, Head of Information Management	* Shared Services Information Management Board. * Shared Services Information Management Strategy * Shared Services Information Sharing Register * Shared Services Information Management work programme, including the following workstreams: Governance, Information Asset Management, Learning and Development and Information Security policy framework 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) * Onsite records storage - records management function delivered by the Corporate Information Governance Team * Sovereign information management and security policies, risk logs, compliance monitoring, incident management and reporting protocols * All three boroughs use the same local authority 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 Information Technology users and provides for high level of user acceptance. * London Borough of Hammersmith and Fulham and Westminster City Council 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 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										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 of the Information Management strategy programme as compliance has to be prioritised. Higher demands from sovereign and shared services for Information Management input, training, advice and guidance. Success of the Shared Services Information Management work programme and toolkit has raised Information Management profile across the boroughs. Period of transition with re-organisation of ICT functions after protracted negotiations. Reduced staff size of teams across the three boroughs (2 posts deleted during reorganisation). Number of historic and current data breaches currently under investigation and reported to the Information Commissioners Office.		* Development of Shared Services Information Management policies and supporting governance framework Strategy workstream); * Learning and development programme ( Strategy workstream; * Information Asset Audit and creation of an Information Asset Register ( Strategy workstream; * 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; * Creation of a shared ICT service IM team.	

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8	Managing statutory duties.						Management controls										Comments	Actions			
	Non-compliance with laws and regulations. Breach of a duty of care. Non-compliance with Health and Safety at Work. Equalities and Human Rights. Application of Traffic Management Orders in Housing Estates required to managed levels of parked vehicles blocking access to Emergency Vehicles, Ambulatory and Council vehicles.					Nigel Pallace, Chief Executive, LBHF 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 LBHF 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 LBHF 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.				
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	5	5	25	3	3	9	↑		3	3	9			October 2015	
9	Standards and delivery of care.						Management controls										Comments	Actions			
	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 Chartered Institute of Purchasing and Supply meetings brings together commissioners, operational, safeguarding and Care Quality Commission 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.  The new Adult Social Care Strategic Provider and Contract Monitoring Framework now in place enables early identification of risk to quality of service.				Following the Peer Review, Adult Social Care is implementing a more holistic service wide approach to quality assurance, through a new Quality Assurance Board. The Board has now commenced meeting.





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11	Increase in complexity of working with partners.						<u>Management controls</u>										<u>Comments</u>	<u>Actions</u>		
	Working with the National Health Services, Clinical Commissioning Groups, Police, General Practitioners., 3BM and Epic CIC Public Service mutuals.					Nigel Pallace Chief Executive, LBHF 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 LBHF.										The LBHF Policy Team are working on developing thematic meetings which will include local external partner agencies to work more inclusively on shared priorities.			
LBHF	✓	RBKC	✓	WCC			5	5	25	3	4	12	↑		3	3	9			October 2015
12	Decision making and maintaining reputation and service standards.						<u>Management controls</u>										<u>Comments</u>	<u>Actions</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, LBHF Council Steve Mair, City Treasurer, Westminster City Council Nicholas Holgate, Town Clerk, The Royal Borough of Kensington and Chelsea.	Annual Governance Statement Management Assurance Statements Risk Management arrangements in Services 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.										A review of this years evidence for the Annual Governance Statement 2015 2016 has yet to establish if Services have undertaken a business planning process for 2016 2017. This is applicable for the Royal Borough and for LBHF.			



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14	Change in management of schools.						<u>Management controls</u>										<u>Comments</u>	<u>Actions</u>			
	Relationship and accountabilities of academies. Managing the potential of Fraud in schools. Managing statutory responsibilities. Safeguarding responsibilities.					Ian Heggs, Director of Schools, Quality and Standards	AMEY/Link now provide some statutory compliance services for schools. Ofsted inspection is currently taking place covering The Royal Borough, LBHF and WCC.										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.				
LBHF	✓	RBKC	✓	WCC			5	5	25	4	4	16	⇒		3	3	9			January 2016	
15	Managed Services Programme						<u>Management controls</u>										<u>Comments</u>	<u>Actions</u>			
	Although the number of risks rated high has been reduced from 20 to 16 since last November, as at 18th January the programme continued to face a number of significant risks: payroll reconciliation; resources (numbers and quality) both at BT SSC and in system development, system controls and system response times. The risks are being managed and mitigated, but their potential impacts remain serious.					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 through Operational and Strategic Framework Boards Managed Services Sponsors meeting track progress against targets. Sponsors issues are regularly identified and discussed. A comprehensive and regularly reviewed risks and issues register										The proposed resolution for the payroll reconciliation is going through piloting and testing, although this is now significantly behind schedule. BT are recruiting to 35 new roles in the Shared Service centre and have made available additional developer resource. Access and authorisations are being reviewed and BT are tasked with delivering a comprehensive control and environment integrity pack. System response time remains a challenge following the decision to defer upgrade 6. Schools training continues to be rolled out. However 44 schools have now given notice that they intend to exit the Managed services contract.			An Annual Governance Statement action plan setting of the challenges faced by the managed services programme and progress to date was provide to H&F Audit Pension and Standards Committee on 13th January	

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16	Housing Stock Transfer						<u>Management controls</u>										<u>Comments</u>			<u>Actions</u>		
	The Residents' Commission on Council Housing's report was published on Tuesday 3 November 2015 at the Economic Regeneration, Housing and the Arts Policy and Accountability Committee (PAC). Following this, the Cabinet received a report from Officers on Monday 7 December 2015 setting out the Commission's recommendations and setting out the next steps for a transfer of the council's housing stock to a new not-for-profit, resident-led, locally based housing association for the borough constituted on the Community Gateway model. The report was approved in full and Officers have been instructed to develop a business case and Offer for transfer.					Kathleen Corbett, Director for Finance & Resources & Joint Lead Director for Housing	Governance - A Programme Management Office was established for the Strategic Housing Stock Options Appraisal (SHSOA) phase of the Strategic Stock Transfer Programme with a dedicated team. The programme and governance controls utilised during the first phase have been rolled forward and a new Programme Brief was approved by the Programme Board in January 2016. Governance of the appraisal phase received substantial assurance in the November 2015 internal audit. Contracts for the External Advisers have been rolled forward except for the Financial and Funding Consultant who is being re-procured. Budgetary and governance controls for the new phase have commenced. Communications and Consultation Strategy The structure of the Programme Management Office has been expanded to include a Project Manager dedicated to the development and implementation of an expanded Communication and Consultation Strategy. As part of consultation a H&F Residents' Housing Advisory Group (RHAG) with members of the Residents' Commission has been established to develop recommendations relating to the governance structure for the new landlord and the recruitment package for the Shadow Board. Development of the Business Case										Progress against the objectives identified in the Brief, such as the creation of the Business Case for Transfer has already been made, there has been an initial meeting with the Department for Communities and Local Government. Recruitment of dedicated resources has commenced and will be finalised shortly. Work on creating the strategy has also started. The Residents' Housing Advisory Group has commenced its discussions on the new governance structure with the support of the Legal Adviser and their team. Business Board approved the implementation of a detailed Corporate Impact Assessment on 27 February 2016.  A structured review of financing					