

SERVICES RISK REGISTER DASHBOARD

APPENDIX 2

Review date 09/02/2016

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		
ADULT SOCIAL CARE Leadership Team Risks																					
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	4	4	16	➡	3	3	9					
1	Reducing resources to support people with care needs and increasing demand due to demographic pressures					<u>Management controls</u>										<u>Comments</u>					
	In the financial year there is a funding gap nationally for adult social care of £3bn. Through the Medium Term Financial Strategy efficiencies and savings have already made 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 Deputy Executive Director & Director of Finance and Resources	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 Manage resource planning through the Department of Health, Association of Directors of Adult Social Services network and Local Government Association in relation to the Care Act.										Review Board is the Adult's Leadership Team.			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.	January 2016

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LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	4	4	16	➡	3	3	9			
2	Responding to changing legislation						<u>Management controls</u>									<u>Comments</u>			
	The Care Act began to be implemented from April 2015. There was a comprehensive programme in place i to ensure that Adult Social Care 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; Adult Social Care 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.					Jerome Douglas Senior Business Analyst	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 Manage resource planning through the Department of Health, Adult Social Services network and Local Government Association network and Local Government Association in relation to the Care Act.							Review Board is the Care Act Board.		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.		January 2016	
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	4	4	16	➡	3	3	9			
3	Reducing customer and carer satisfaction and reducing self reported ‘outcomes’.						<u>Management controls</u>									<u>Comments</u>			
	Scale of change around frontline and provider services and greater emphasis on time limited interventions and reablement, may lead to reduced satisfaction of some customers, especially those who have been supported for some time. This could lead to poorer outcomes for customers and reputational risk to the Council. There is an increasing risk that customer and carer satisfaction and outcomes will reduce.					David Evans Principal Strategy & Performance Officer	Developing a communications strategy and plan which informs residents of changes in the approach to health and social care services locally. - Closely analysing all customer and carer feedback, including that through complaints and the statutory user and carer surveys and using this to help inform our planning. - Redesigning frontline social work services in the customer Journey project, based on the ‘customer voice’ research which identified what was important to people who use our services. - Exploring more, new opportunities for co-production and design of new services with customers and carers to ensure their needs and ideas are central to our approach.							Review Board is the Adult's Leadership Team.				January 2016	

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LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	4	4	16	➡	3	3	9			
4	Workforce risks around morale, change fatigue, recruitment and retention and complexity of three borough working.						Management controls										Comments		
	The recent Adult Social Care Peer Review highlighted a significant recruitment and retention risk across London for social care staff. Locally there is a risk that this is exacerbated as terms and conditions are not as competitive as some authorities elsewhere. Additionally there is significant change fatigue across the ASC shared service and the added complexity of working across three boroughs. The consequences could be increasing recruitment problems and difficulty holding onto the most able staff at a time of service change.					Felicity Thomas Learning and Development Coordinator	Established a Workforce Board which is overseeing an Adult Social Care Workforce Plan Exploring alternative ways to reward staff, for example through tailored development programmes. Improved internal staff communications from the senior management team by the use of blogs, team meetings and through the TriAngles staff newsletter. Using the results of the Your Voice survey to address service, team and staff concerns. Key change programmes have dedicated learning and development plans attached to them, i.e. Customer Journey, Commissioning Review and home care implementation.										Review Board is the Workforce Board.		January 2016
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	4	4	16	➡	3	3	9			
5	Market unable to provide services required						Management controls										Comments		
	The Adult Social Care market is fragile and there is a risk that it is not able to develop in the ways we will require in the future to meet local need; there is significant risk of market failure. This could result in significant unmet needs and higher dependency levels of customers making it more difficult to achieve savings. In the event of provider failure the Council will need to contingency plans in order to meet the needs vulnerable residents in the in a timely and safe manner.					Paul Rackham Head of Community Commissioning and Mary Dalton Head of complex Need Commissioning	Developed an updated Market Position Statement setting out our future commissioning intentions and direction of travel. Engaging with providers and undertaking more market warming exercises in particular through London Care and Support and other forums. Help providers to plan better by publishing forward plans for tenders etc. Developed a Provider Failure and Service Interruption Policy.										Review Board is the Contracts and Commissioning Board		January 2016

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LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	4	4	16	➡	3	3	9			
6	Risks arising from the Managed Services Programme implementation.						Management controls										Comments		
	Significant strategic risk due to continuing problems presented by the implementation of the Managed Services Programme Agresso system which have not been fully resolved. Serious risk of interruption or cessation to a number of contracted services. Some suppliers have gone without payment for services provided since the system was introduced in April and the smaller, more vulnerable suppliers will have difficulty continuing in this vein for much longer.					David Evans Principal Strategy & Performance Officer	Adult Social Care and Public Health finance and commissioning managers have been arranging for ad-hoc emergency payments to be made to the smaller and more vulnerable providers and suppliers. Lobbying corporate for more training and support as well as technical solutions.										Review Board is the Adult's Leadership Team.		January 2016
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	3	4	12	➡	3	3	9			
7	Complexity of change programmes in Adult Social Care and National Health Service						Management controls										Comments		
	The change programme in Adult Services and in whole systems with the National Health Service is very complex and there are risks arising from interdependencies, misalignment of projects and double counting of benefits. There are also risks of slippage due to need for significant leadership, management capacity and additional programme resources to deliver. There are also risks of delays in decision making due to complex bureaucracy					Rachel Wigley Deputy Executive Director & Director of Finance and Resources	New Adult Social Care leadership team now in place. Customer Journey will align operational services. Commissioning Review to deliver new commissioning structure. Robust programme management approach and shared governance arrangements with National Health Service. Adult Social Care new whole systems lead to ensure consistent approach to working with Clinical Commissioning Groups. Business case for additional resources costs have been signed off and recruitment commenced to some posts.										Review Board is the Adult's Leadership Team.		January 2016

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LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	3	4	12	➡	3	3	9			
8	Risk of exposure to judicial challenge resulting from the Care Act reforms and lack of clarity in the regulations and guidance.						<u>Management controls</u>										<u>Comments</u>		
	Lack of clarity in the regulations and guidance, potentially impact on local decisions about service users, self funders, and carers.					Kevin Beale Head of Social Care and Litigation	Lobby the Department of Health through regional Association of Directors of Adult Social Services network about any concerns issues resulting from the final publication of care act regulations and guidance in October. Learn from Case Law, as it arises nationally post April 2015. Our legal team are working with the London Lawyers Group to monitor specific issues related to the Care Act Guidance. There are some parts of the guidance that are ambiguous and therefore require close contact with the Department of Health if any related Judicial Reviews are upheld.										Review Board is the Care Act Board.		January 2016
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	4	4	16	➡	3	3	9			
9	Better Care Fund benefits could be less than expected.						<u>Management controls</u>										<u>Comments</u>		
	Risk that Better Care Fund benefits/savings could be lower than expected re: - Integrated Operational Services and - Integrated contracting and commissioning of residential and nursing care. Benefits could be delayed or reduced and overlap with other contract efficiency savings - and risk achievement of savings targets. Particular risk that Community Independence Service does not achieve the required volumes / throughput to achieve benefits.					Martin Calleja Head of Transformation	Benefits Tracker developed across the programme. External evaluation taking place of increased demand for social care, from health. Group A savings contingent on Community Independence Service: regular data collection and review in progress via Lead Providers Oversight Group (LPOG) meeting. Savings gaps flagged at Joint Finance Oversight Group (JFOG), Joint Executive Team (JET) and Better Care Fund Board. Workshop in Autumn to consider other opportunities. Heads of Finance agree composite picture for savings and investment. Monitor spending against projection regularly and report any deviations as priority.										Review Board is the Portfolio Delivery Board.		January 2016
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	5	5	25	2	4	8	➡	1	1	1			
10	Safeguarding risks						<u>Management controls</u>										<u>Comments</u>		
	Risk of serious safeguarding incident, death or serious injury of vulnerable residents					Helen Banham Strategic Lead Professional Standards and Safeguarding	Robust safeguarding processes in place in operational and provider services and partner organisations. Regular auditing and Quality Assessment of processes and measuring effectiveness reporting to Safeguarding Adults Board. Chartered Institute of Purchasing and Suppliers meeting includes Care Quality Commission and regular discussions about quality and safety of providers.										Review Board is the Adult's Leadership Team.		January 2016

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LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	4	4	16	➡	3	3	9			
11	Reduction in Adult Social Care expenditure and Commissioning budget leading to services being commissioned that are not 'good' quality and not able to deliver outcomes.						<u>Management controls</u>										<u>Comments</u>		
	Since 2009 Officers have continually sought ways to drive efficiencies in contracted services whilst striving to improve service quality. As need to find efficiencies has increased there is a real risk that we are not able to guarantee the quality of our service provision.					Mary Dalton Head of Complex Needs Commissioning and Paul Rackham Head of Community Commissioning	Commissioning Strategy being developed to explore new approaches to commissioning services in the context of reducing resources including enterprise, outsourcing and new purchasing and community agencies.										Review Board is the Contracts and Commissioning Board		January 2016
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	2	4	8	➡	1	1	1			
12	Failure to deliver an effective Adult Social Care service model to meet requirements of the Care Act						<u>Management controls</u>										<u>Comments</u>		
	Operational services and commissioning delivering the Care Act requirements at a time of significant other transformation. Target operating model requirements not clearly defined given the complexity of Transformation Portfolio Delivery with all its projects and programme interdependencies and / or inability to effective deliver the future state through a controlled approach.					Jerome Douglas Senior Business Analyst	Interdependencies between projects and programmes was mapped. and compile benefits plan to track successful delivery. Follow national programme office tools and guidance across Department of Health, Local Government Association and Association of Directors of Adult Social Services which supports local authorities to implement the Care Act. A set of standard operating procedures have been rolled out to the Adult Social Care teams to enable staff to follow Care Act compliant processes. Staff have opportunity through various channels to feedback if any of the Standard Operating Procedures are unworkable or misleading so that any corrections can be made immediately.										Review Board is the Care Act Board.		January 2016
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	3	4	12	➡	1	1	1			
13	Effective management of contracts due to limited resources						<u>Management controls</u>										<u>Comments</u>		
	The procurement team are responsible for managing 250 contracts. Alongside that they are scheduled to carry out a large number of procurements. This means there is a risk that some high value contracts are not being monitored effectively and some contracts are not being monitored at all.					Sherifah Scott Procurement	A Managing Supplier Performance Framework has been developed which sets a framework for the amount of contract monitoring resource to be allocated to each contract, thus ensuring that the highest risk/highest value/lowest performing contracts are monitored appropriately.										Review Board is the Contracts and Commissioning Board	Commissioning Review will better combine contract management with service development and commissioning enabling a more holistic approach and address capacity issues. Commissioning Plan will look at new models of procurement to reduce the amount of contracts directly required monitoring etc.	January 2016

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LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	3	5	15	3	4	12	➡	1	1	1			
14	Lack of integrated and coherent partnership approach to mental health commissioning						Management controls										Comments		
	A risk that joint commissioning priorities will be lost or subjected to the wider National Health Service agenda. This might impact on the ability to deliver an integrated offer to individuals with mental health needs resulting in an increased pressure on social care, housing, employment and benefit agencies.					Paul Rackham Head of Community Commissioning and Pauline Mason Service Development Project Manager	Executive management oversight of mental health priorities through Whole Systems Review process Senior management ownership of mental health priorities through the mental health Integrated Plan and mental health Programme Board. Clear identification of work areas and clarification about which organisation will lead following transition. The Adult Social Care mental health commissioner now in place to provide capacity around day services.										Review Board is the Contracts and Commissioning Board	Further liaison with Clinical Commissioning Groups to improve co-ordination.	January 2016

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LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	3	5	15	3	4	12	➡	2	2	4				
15	Inconsistent Multi Disciplinary Team service designs in local Clinical Commissioning Groups.						<u>Management controls</u>										<u>Comments</u>			
	There is a risk that because the Central London Clinical Commissioning Groups Whole Systems model of geographic ‘villages’ is not consistent with the Better Care Fund proposals in West London and Hammersmith and Fulham, there will be a negative impact on the potential to develop single models of service (e.g. Common Induction Standards, Long Term Social Work service, Home Care) across the Adult Social Care shared service. Risk that social care included in x3 Clinical Commissioning Group Multi Disciplinary Team models differently; inconsistent involvement and influence of Adult Social Care in design of Multi Disciplinary Teams.					Chris Neal, Whole Systems Lead	Ensure positive engagement with Whole Systems Early Adopters design processes by operational Heads of Service. Adult Social Care Common Induction Standards, Hospital discharge and long term social work teams all part of Customer Journey redesign. New Whole Systems Adult Social Care Director now appointed to improve co-ordination. New Head of Whole Systems appointed							Review Board is the Adult’s Leadership Team.			January 2016			

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LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	3	5	15	3	4	12	➡	1	1	1				
16	There is a risk of poor quality service provision in care homes where the Council has spot purchased beds which could result in poor care outcomes for individuals.																<u>Management controls</u>	<u>Comments</u>		
	At present there is significant spend with a number of residential/nursing care providers with no block contract in place, only individual contracts relating to the care for the customer. As a result we are not able to impact the quality of the overall home due to no formal contractual relationship being in place.					Sherifah Scott Procurement	The Placement Review function is now situated within the placement and brokerage team and the review process has been redesigned so that Officers also pick up information about the home which is then fed back to the brokerage and review team. A regular Chartered Institute of Purchasing and Supply meeting involves the Care Quality Commission and focuses on homes where there are quality and safety concerns.							Review Board is the Contracts and Commissioning Board	There are a number of homes identified to be moved onto a block contract based on the number of customers. The Commissioning Review will create more resources to focus on this area. Placement Board to be re-established to identify and resolve issues as they arise.	January 2016				
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	4	4	16	➡	1	1	1				
17	Deprivation of Liberty Safeguards applications continue to rise and the resources to process them remain fixed																<u>Management controls</u>	<u>Comments</u>		
	As a result of the Care Act, in Quarter 1 14/15, 99 Deprivation of Liberty Safeguards applications received; Quarter 1 15/16 264. At the end of Quarter 1 15/16 151 applications have been assessed (57% applications received). A risk of legal challenge for unauthorised detentions remains. Community Deprivation of Liberty Safeguards are being scoped & applications to the codes of practice made.					Helen Banham Strategic Lead Professional Standards and Safeguarding	Priorities for assessment (e.g. urgent referrals where the person may be objecting) are determined using Association of Directors of Adult Social Services guidelines. A system to ensure deaths in Deprivation of Liberty Safeguards are notified to the Coroners is in place. Community Deprivation of Liberty Safeguards requiring authorisation in the Deprivation of Liberty Safeguards are being scoped and applications made.							The risk of legal challenge is low for Shared Services Adult Social Care as all local authorities in the same situation. Shared Services Adult Social Care are making submissions to the Law Commission Review of Deprivation of Liberty Safeguards .		January 2016				

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LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	4	4	16	➡	3	3	9			
18	Operational services do not achieve the level of change to head count, and changes to methods of working and behaviour or is insufficient.						Management controls										Comments		
	Insufficient change in practice risks the efficiency savings not being realised and targets missed. Associated risk that Information and Communication Technology changes aren't delivered in time to support the practice changes.					Matthew Castle Portfolio Manager	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 Information Technology workstream established in Customer Journey programme.							Reviewed as part of the Customer Journey Programme			January 2016		
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	3	4	12	➡	1	1	1			
19	Fundamental change to the way that home care providers deliver services.						Management controls										Comments		
	New model of home care has personal support planning and re enabling elements. These are key to achieving efficiencies and improved outcomes.					Christian Markandu Commissioning Manager	Partnership working between local authority and new providers. Support training and development of care workers Learning & Organisational Development supporting this.							Reviewed as part of Home Care			January 2016		
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	3	4	12	3	4	12	➡	3	3	9			
20	There is a risk that new providers are not able to mobilise a team to pick-up existing packages.						Management controls										Comments		
	If this risk materialises, then this will slow down transfer of customers on new contract					Christian Markandu Commissioning Manager	Robust implementation plan including built-in contingency plan and risk rating of new providers.							Reviewed as part of Home Care			January 2016		
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	3	5	15	3	5	15	➡	1	1	1			
21	Dual I.T. systems in Mental Health Services / no interoperability/ poor I.T. hardware / systems access and IT support for the specific needs of Mental Health services.						Management controls										Comments		
	Significant challenges with I.T. systems within Mental Health partnerships with two different I.T. systems being used. Difficult to get whole picture, difficult to get accurate management information, impact on practitioners efficiency having to use two different systems for accessing and recording information. Wide group of stakeholders key group being staff and customers. Particularly difficult re: West London Mental Health Trust.					Social Worker Lead / Trust managers	Define minimum core mental health dataset for social care system (Frameworki) to support Managed Services Programme, operational and strategic information needs. Negotiate with West London Mental Health Trust around provision of data and achieving improvements in data quality. Support for use of Agresso to ensure providers receive payment.										January 2016		

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LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	2	4	8	2	4	8	➡	1	1	1			
22	<div> <div> Risk to quality and continuity of provided services as a result of a failure of a major Third Party/Partner supplier relationships to provide facilities management and infrastructure. </div> <div> Management controls </div> </div>																Comments		
	Risk that provided services do not meet quality standards adversely affecting customers satisfaction and personal outcomes and risking reputation.					Kevin Williamson Head of Housing with Care Services	Effective monitoring of the contracts at every level. Effective contract / including Service Level Agreements specified from the outset, with partners and third parties properly understanding the service need. Robust plans and partnership arrangements. All stakeholders working to ensure effective relationships built and maintained (inc. internal partners such as Assessment teams).									January 2016			
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	3	5	15	3	5	15	➡	1	1	1			
23	<div> <div> I.T. Collaboration Tools to support three borough working and partnerships with the National Health Service </div> <div> Management controls </div> </div>																Comments		
	From an operational and strategic perspective the use of multi case management systems across the National Health Service and social care creates particular risks.					Brian Vallis Head of Business Services	Actively lobbying corporate I.T.. Piloting system solutions (eg. SYSONE) to support joint operational working with the National Health Service. Exploring with North West London Clinical Commissioning Groups in developing North West London 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.			January 2016		

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3	If staff morale is low, then this may impact on service delivery and people leaving.						<u>Management controls</u>										<u>Comments</u>				
	Failure to meet the needs and expectations of our customers and politicians Failure to meet the needs of the service- Staff may leave					Andrew Christie, Executive Director Childrens Services and Senior Leadership team.	There is no single corporate solution however, there are opportunities to look at this at individual directorate/ service level. On-going staff engagement and consultation should take place and suitable handover and knowledge sharing opportunities should take place before exit. Workforce Strategy in place.										Specific areas: 1. If pay, terms and conditions are not comparable for staff from different boroughs completing equivalent roles, then this may have negative impact 2. If workforce anxiety about on-going changes to services, people may leave 3. If workforce is reduced, then this reduces capacity/ capability to deliver change.				January 2016
LBHF	✓	RBKC	✓	WCC			3	4	12	3	4	12	→	3	3	9					
4	Failure to align public health priorities to support improved outcomes for children and their families						<u>Management controls</u>										<u>Comments</u>				
	We may not be able to exploit the benefits of public health investment which may impact on delivering services. Failure to meet the needs and expectations of our customers and politicians					Rachel Wright-Turner Tri-borough Director of Commissioning (Children's Services)	Ensure regular engagement takes place between colleagues in health services and colleagues across the department.														January 2016
LBHF	✓	RBKC	✓	WCC			4	4	16	3	4	12	→	3	3	9					
5	The changing relationship with schools; we need to ensure effective financial standards and processes are in place in all schools.						<u>Management controls</u>										<u>Comments</u>				
	Failure to meet the needs of the school, Reputational harm					Dave McNamara Tri-borough Director of Finance and Resources	Review and develop the Scheme for Financing Schools across the tri borough to incorporate the funding, procurement and legislative changes. Review the findings of Audit reports to develop and target training at areas of concern and weaknesses in the operation of financial processes within schools.														January 2016

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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			4	4	16	3	4	12	➡	3	3	9			
6	Commissioning and Procurement approach						<u>Management controls</u>										<u>Comments</u>		
	If we do not carry out processes properly (including ensure 'sovereignty' implications) then there is a risk of challenge. Business as Usual but also in projects across the Children's Department. Reputational harm Financial					Rachel Wright-Turner Tri-borough Director of Commissioning (Children's Services)	Ensure that we understand the complexity and timescales of the procurement process and that sufficient time is planned in to undertake the procurement process with robust governance. Where required, inclusion of appropriate 'Sovereign' legal advice. Appropriate level of customer engagement.												January 2016
LBHF	✓	RBKC	✓	WCC			5	5	25	3	4	12	➡	3	3	9			
7	If current improvements in the delivery of Passenger Transport Contracts, Travel Care and Support are not sustained, then this will impact on service users.						<u>Management controls</u>										<u>Comments</u>		
	Service failure – Children not transported safely Failure to meet the needs and expectations of our customers and politicians. Savings not realised					Rachel Wright-Turner Tri-borough Director of Commissioning (Children's Services)	Clear performance monitoring and contract management in place. Robust remedial action taken when required. Clear governance arrangements in place. Report by exception to Senior Leadership Team and other governance boards when required. Specific risk log to be implemented. Specific implementation of service development and improvement plan.												January 2016
LBHF	✓	RBKC	✓	WCC			5	4	20	4	4	16	➡	3	3	9			
8	If Managed Services/Agresso is unable to provide Human Resources and Finance services (e.g. Starters and Leavers, payment to suppliers, etc) then the ability for the department to deliver an effective service will be reduced.						<u>Management controls</u>										<u>Comments</u>		
	Failure to deliver service as suppliers/customers not paid Failure to deliver a statutory service Reputational harm					Andrew Christie, Executive Director Childrens Services and Senior Leadership team.	Human Resource / Finance issues reported to BT. Escalation process in place for issues reported to BT and not resolved. Escalate Human Resource issues to Stephen Wood. Escalate Finance issues to Alex Pygram and Caroline Baxter. Work to ensure organisation structure accurate underway with delivery expected by end of August (Retained Finance and Human Resources joint working to deliver) A Service Impact Risk Assessment carried out.												January 2016

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LBHF	✓	RBKC	✓	WCC			4	4	16	3	4	12	➡	3	3	9			
9	The delivery of further Financial Savings may distract from core business activities, with the risk of service failure.						<u>Management controls</u>										<u>Comments</u>		
	Failure to meet the needs and expectations of our customers and politicians Failure to deliver a statutory service					Andrew Christie, Executive Director Childrens Services and Senior Leadership team.	Use of financial planning process to identify risks associated with any savings proposals and to ensure that they are achievable Ensure full Impact Assessment of any savings proposals. Effective planning for the delivery of savings.												January 2016
COMMERCIAL AND PROCUREMENT																			
LBHF	✓	RBKC		WCC			4	5	20	3	4	12	➡	3	3	9			
1	Impact on the Commissioning and Procurement of Services and Contract with the introduction of the National Living Wage in April 2016.						<u>Management controls</u>										<u>Comments</u>		
	Potential increases in cost of delivering services, smaller firms may lose staff impacting on quality and performance.					John Francis and Alan Parry	Report on the implications of National Living Wage going to 22nd March Audit, Pensions and Standards Committee.										Adult Social Care is likely to be the most affected department given the call upon agency staff in certain areas to ensure service continuity. Adult Social Care and Childrens Services Commissioning and Procurement teams currently assessing impact, and liaising, to ensure a joined-up approach and report. National Living Wage will have little or no impact on outsourced services as previous in-house staff would have TUPE'd over on the higher H&F Minimum Earnings Guarantee. National Living Wage however, could impact on H&F policy objective of involving more local Small and Medium Enterprises s	To be identified as part of the Adult Social Care/Childrens Services/corporate procurement review and reported to Audit Committee.	January 2016

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LBHF	✓	RBKC		WCC			4	5	20	4	4	16	➡	2	2	4			
4	Management and control of Contractor's Health and Safety						Management controls										Comments		
	Potential breach of the Health and Safety Act and criminal prosecution. Death or Injury due to a poorly managed or specified contract.					John Francis and Alan Parry	The Shared Services arrangements require departments to use the Contractors' Health & Safety (CHAS) Scheme (or equivalent) as the standard for all works & service contracts, as a condition of contract. The CHAS Scheme carries out a regular assessment of contractors or service providers to ensure that they comply with statutory requirements.										Once the contract has been awarded the Corporate Procurement Team no longer is responsible for monitoring the awarded contract. This becomes the responsibility of the client department and the contract manager, who must as part of the regularly monitoring arrangements ensure that the annual assessment is carried out by the CHAS Scheme Service.		January 2016

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LBHF	✓	RBKC	✓	WCC			4	5	20	4	4	16	➡	3	3	9				
2	Risk that recycling rate will continue to reduce						<u>Management controls</u>										<u>Comments</u>			
	Financial Impact					Kathy May, Head of Waste Management Markets & Enforcement, Waste Management, Markets and Enforcement	October 2015 - New recruits now well established and action plan is under way. Golden ticket success rate so far below other boroughs for RBKC, draw details and publicity arrangements being rolled out. Further funding bid submitted in October. Behavioural change bids evaluated and award to be made.													January 2016
LBHF	✓	RBKC	✓	WCC			5	3	15	5	3	15	⬆	3	3	9	<u>Comments</u>			
3	Risk that effective joint working with LBHF/Carbon reduction remains limited for schools only						<u>Management controls</u>													
	Financial Impact on MTFS and reputation					Mathieu Mazenod Climate Change Programme Manager	The Team is going to undertake a visioning exercise involving Westminster City Council and London Borough of Hammersmith and Fulham. The Team will retain close working with London Borough of Hammersmith and Fulham.													January 2016
CUSTOMER AND BUSINESS DEVELOPMENT (No high risks present at this time)																				
SAFER NEIGHBOURHOODS																				
LBHF	✓	RBKC		WCC			5	5	25	4	4	16	➡	3	3	9	<u>Comments</u>			
1	Risk that the Fulham Coroners Office is not delivering to service KPI's and customers expectations.						<u>Management controls</u>													
	Impact to the Mortuary process of delivering bodies to funeral parlours within excepted timescales. Reputational risk to the council due to poor service received by residents,					Alistair Ayres, Head of Emergency Services											News story in Mail on Sunday related to the Senior Coroner losing documents related to A PERSON Inquest fortunately did not reflect poorly on LA but did put service in the spotlight. Liaising with Communications team re any future press interest.			January 2016

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PUBLIC HEALTH																			
LBHF	✓	RBKC	✓	WCC			4	5	20	4	4	16	→	3	3	9			
1	Public Health Grant reductions and removal of the ring-fence.																		
	<u>Management controls</u>															<u>Comments</u>			
	Health outcomes will be impaired by the reduction of the Public Health Grant reductions and Public Health's ability to deliver against the Councils medium term plans.					Dr Mike Robinson, Director of Public Health	PH Finance Business partners continue to undertake scenario planning and prepare various budget proposals about future reductions that the Public Heath Grant will be subject to an average 3.0% reduction (in real terms) over the next 5 years. The announced in-year reduction to the grant of 6.2% has been met.								Review of commissioning, contracts and procurement programmes to identify where efficiencies can be achieved for future year		January 2016		
LBHF	✓	RBKC	✓	WCC			3	5	15	3	4	12	↑	3	3	9			
2	Consequences of reprocurement and the procurement process.																		
	<u>Management controls</u>															<u>Comments</u>			
						Dr Mike Robinson, Director of Public Health	Stimulate the market through stakeholder and market development events. Develop service contingency plans. Horizon scanning.							Could destabilise service delivery. This has wider implications to across the Councils and wider unrelated services.		January 2016			
LBHF	✓	RBKC	✓	WCC			3	5	15	3	4	12	→	3	3	9			
3	Clinical Governance																		
	<u>Management controls</u>															<u>Comments</u>			
	Adequate assurances are required of our providers and their clinical governance processes.					Ike Anya, Deputy Director, Consultant in Public Health Medicine	Clinical Governance Policies to be developed. Staff to be provided with clinical governance guidelines. Monitoring mechanisms to be put in place.							A consequence of this risk is that there could be a lack of focus on clinical safety and quality.		January 2016			

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LBHF	✓	RBKC	✓	WCC			3	5	15	3	4	12	→	3	3	9				
4	Recruitment and retention						<u>Management controls</u>										<u>Comments</u>			
	Not being able to attract and retain staff with the right experience, skills and abilities, to advertised roles.					Dr Mike Robinson, Director of Public Health	Key vacancies are being advertised to fill vacant posts and increase capacity of the department. Workshops are being undertaken to involve and engage staff with updates and changes to the department. Recruitment of wider team function (Community Champions and its health checks) is being undertaken within existing resources.										Could result in the department not being able to provide a core service or meeting agreed targets for 2015/16. This could increase workloads and impact on the health and wellbeing of staff in situ.			January 2016
INFORMATION MANAGEMENT AND TECHNOLOGY																				
LBHF	✓	RBKC	✓	WCC	✓		5	4	20	3	4	12	↑	3	3	9				
1	Co-ordination and control of IT procurement across the three Councils.						<u>Management controls</u>										<u>Comments</u>			
	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 Hammersmith and Fulham Bridge Partnership.					Ed Garcez, Tri-borough Chief Information Officer	It is inevitable that the Hammersmith and Fulham Bridge Partnership will adopt their own procurement approach, and this approach 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 Information and Communications Technology service which is now progressing well. There is a dependence on Capital eSourcing now across the three councils, and a formulation of Information and Communications Technology strategic controls being inserted into all procurements. In addition, the use of in house data centres will be costed.										Reviewed by Department Leadership Team			January 2016
INFORMATION MANAGEMENT AND TECHNOLOGY																				
LBHF	✓	RBKC	✓	WCC	✓		5	4	20	3	4	12	↑	3	3	9				
2	Denial of service vulnerability as networks converge.						<u>Management controls</u>										<u>Comments</u>			
	Unmitigated. Risk has been recognised and is under consideration.					Ed Garcez, Tri-borough Chief Information Officer	In order to manage an external threat, defences have been deployed, including Public Services Network CoCo and perimeter PenTest. In addition, a Social engineering exercise is planned for this quarter in order to highlight potential areas of concern. ICO have undertaken a review in H&F, and this is extending across the other 2 councils. The ICT Convergence project is being treated appropriately as a proper change initiative, rather than just an ICT project. In addition, there is a move to Re-establish the Programme group										Reviewed by Department Leadership Team			January 2016
INFORMATION MANAGEMENT AND TECHNOLOGY																				

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LBHF	✓	RBKC		WCC			3	4	12	3	4	12	↑	3	3	9	Comments					
3	Proposals for the future of the Councils Housing Stock.						<u>Management controls</u>															
	The programme is not delivered and money is spent with no firm outputs.					Mike England Director for Housing Options Skills & Economic Development	Programme Team established November 2014, Residents Commission on Council Housing established in March 2015 to oversee the Options Appraisal. Commission reported in November 2015. Cabinet approved recommendation to pursue Housing Stock Transfer on 7 December 2015, including budgets for pre-ballot expenditure to June 2016.													Continue to monitor via Programme Board. Programme now having to take account of important changes in the Summer Budget around reductions in social rents to 2020, the forced sale of Council homes and reductions in welfare benefits. Workstreams now in place to produce recommendations about the creation of the new landlord, increase the breadth of resident consultation and engagement, build up an "offer" for residents, and opening discussions with the Department of the Communities and Local Government about the	Discussions with the Government Department for Communities and Local Government have now commenced. Next milestones are in March 2016, when members will review progress against expenditure and June 2016, when it is hoped to be in a position to decide whether to go to ballot.	February 2016
LBHF	✓	RBKC		WCC			5	5	25	5	5	25	↓	3	3	9	Comments					
4	Earls Court Regeneration						<u>Management controls</u>															
	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 Housing Revenue Account 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. The Housing Revenue Account business plan is very sensitive to movements on this project					Kathleen Corbett, Director for Finance and Resources, Juliemma McLoughlin Director for Planning	Project Management Team meets fortnightly, quarterly monitoring report to Hammersmith and Fulham Business Board 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 Conditional Land Sale Agreement £10m is refundable only in restricted circumstances and £5m is not refundable under any circumstances. Sensitivity modelling has been done on the Housing Revenue Account 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 Housing Revenue Account 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 Housing Revenue Account business plan agreed by Cabinet on 5th Jan 2015 and risk has continued to be highlighted in subsequent reports.													Project currently under review and subject to discussions with Capco. All existing controls, assurances and proposed actions will be subject to future review if current scheme changes.	Continue to monitor and review. As part of business plan modelling repeat the sensitivities run this year	February 2016

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LBHF	✓	RBKC		WCC			4	5	20	4	5	20	➡	3	3	9	Comments			
5	Investing and maintaining our Council Homes					<u>Management controls</u>														
	Insufficient funds available to invest in existing stock & properties to ensure maintained to provided safe and well maintained homes. Risk now heightened by Earls court / JV Housing Revenue Account CFR risks and recent Government Announcements imposing a 1% rent decrease for the next 4 years and by recent Government Announcements on Welfare reform					Stephen Kirrage, Director for Asset Management & Property Services	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 business plan updated, controls under risk 2 above need to be considered in conjunction with this												Embed finance more into the budget monitoring side of the planned repairs team, embed a Value For Money culture more into the repairs team. Work with residents on this to ensure we deliver both our statutory requirements, keep the fabric of the buildings in good condition, comply with Health and Safety requirements and deliver the service residents want based on what we can afford	February 2016
LBHF	✓	RBKC		WCC			5	5	25	3	5	15	⬆	3	3	9	Comments			
6	Consulting with our residents					<u>Management controls</u>														
	Consultation errors limiting income to £100 per leaseholder maximum for the duration of any contracts in excess of 12 months. Too many single point failures in the production of Service Charges.					Kathleen Corbett, Director for Finance and Resources	Check lists drafted for clients to complete and final sign off by Head of Service. Review each dispute on its own merit and a decision reached on a case by case basis regarding a response to the challenge. All change of names and addresses to be updated once a week to ensure all leaseholders are consulted at their preferred address. Instruct Bridge as and when necessary. Section 20 notice and letter have been redrafted to make them easier to understand (checked by legal) and a new improved version is now in use. Working group is being set up with leaseholders to improve the quality of estimates provided as part of the S20 process.											Counsel's opinion may be needed on any specific challenge to any notices issued prior to 2011. Increase resilience from within the business. Continue to work with Residents to increase clarity of current notices to reduce likelihood of future challenge by working in more customer focused approach with all our stakeholders and more continue to make all correspondence and estimates more user friendly		February 2016

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LBHF	✓	RBKC		WCC			5	5	25	3	4	12	↑	3	3	9	Comments		
7	Delivering new homes																		
	<u>Management controls</u>																		
	Review of Joint Venture opportunity Sites with a view to delivering the Affordable homes as Social Housing in asd far as possible rather than Low Cost Home Ownership. The current proposal is that this would be achieved by making the replacement for Edith Summerskill House into 80:20 social :affordable rented 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 Housing Revenue Account business plan with a consequent increase in the Housing Revenue Account 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. 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 and a risk that the scheme may again need reviewing as a result of the government proposals on starter homes					Kathleen Corbett, Director for Finance and Resources, Juliemma Mcloughlin Director for Planning	Housing Revenue Account business plan now does not include the receipt for Edith Summerskill House. If Government announcement on selling vacant high value social rented homes put the programme at risk we could revert to shared ownership and need to watch the risk re starter homes								Continue to monitor and review. Model next years Housing Revenue Account business plan without this receipt, need to have certainty by Winter 2015 otherwise may need to rephase the planned repairs programme for 2016/17. Continue to review legislative position on the sale of hgh value voids, ensure homes design can be used for either social rented or shared ownership			February 2016	

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LBHF	✓	RBKC		WCC			5	5	25	4	5	20	➡	3	3	9	Comments		
8	Delivering Quality Housing Service - Managed Services Impact						Management controls												
	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. 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 and raise invoices), 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					Kathleen Corbett, Director for Finance and Resources, Hitesh Jolapara, Strategic Director for Financial Corporate Services	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. We are now replicating monitoring that BT should be doing to pick up and chasing missing payment files to ensure we can send out accurate arrears letters. We now have access to suspense account on Agresso and have found that there are a large number of bounced rent payments on it which we are working through resolving. 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 and to seek local solutions as well as learning from each other											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	February 2016

