

SERVICES RISK REGISTER DASHBOARD

APPENDIX 2

Review date 26/04/2016

Ref	RISK					Assigned To	Inherent risk assessment:			Residual risk assessment: Quarter 4			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	3	4	12	↑	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.	Senior Leadership Team to review in May 2016 following a review of the risk management process. 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.	March 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>						
	<p>The Care Act began to be implemented from April 2015. There was a comprehensive programme in place 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.</p>					Jerome Douglas Senior Business Analyst	<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 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.</p>						<p>Review Board is the Care Act Board.</p>			<p>Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department. 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>	March 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>						
	<p>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.</p>					David Evans Principal Strategy & Performance Officer	<p>Developing a communications strategy and plan which informs residents of changes in the approach to health and social care services locally.</p> <ul style="list-style-type: none"> - 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. 						<p>Review Board is the Adult's Leadership Team.</p>			<p>Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department</p>	March 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.			Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department	March 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			Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department	March 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.			Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department	March 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.			Senior Leadership Team to review in May 2016 following a review of the risk management process.	March 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.						Management controls						Comments						
	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.			Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department	March 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.						Management controls						Comments						
	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.			Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department	March 2016		
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	5	5	25	2	4	8	→	1	1	1			
10	Safeguarding risks						Management controls						Comments						
	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.			Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department	March 2016		

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LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	4	4	16	→	3	3	9			
11	<p>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.</p>					<p><u>Management controls</u></p>						<p><u>Comments</u></p>							
	<p>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.</p>				<p>Mary Dalton Head of Complex Needs Commissioning and Paul Rackham Head of Community Commissioning</p>		<p>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.</p>						<p>Review Board is the Contracts and Commissioning Board.</p>			<p>Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department</p>		<p>March 2016</p>	
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	2	4	8	→	1	1	1			
12	<p>Failure to deliver an effective Adult Social Care service model to meet requirements of the Care Act</p>					<p><u>Management controls</u></p>						<p><u>Comments</u></p>							
	<p>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 effectively deliver the future state through a controlled approach.</p>				<p>Jerome Douglas Senior Business Analyst</p>		<p>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.</p>						<p>Review Board is the Care Act Board.</p>			<p>Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department</p>		<p>March 2016</p>	

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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.			Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department 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.	March 2016			
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					<u>Management controls</u>						<u>Comments</u>							
	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.			Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department Further liaison with Clinical Commissioning Groups to improve co-ordination.	March 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.					Management controls						Comments							
	<p>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.</p> <p>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.</p>					Chris Neal, Whole Systems Lead	<p>Ensure positive engagement with Whole Systems Early Adopters design processes by operational Heads of Service.</p> <p>Adult Social Care Common Induction Standards, Hospital discharge and long term social work teams all part of Customer Journey redesign.</p> <p>New Whole Systems Adult Social Care Director now appointed to improve co-ordination.</p> <p>New Head of Whole Systems appointed</p>						<p>Review Board is the Adult's Leadership Team.</p>			Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department	March 2016		

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16	<p>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.</p>					<p><u>Management controls</u></p>						<p><u>Comments</u></p>							
	<p>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.</p>					<p>Sherifah Scott Procurement</p>	<p>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.</p>						<p>Review Board is the Contracts and Commissioning Board.</p>			<p>Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department 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.</p>			<p>March 2016</p>
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	4	4	16	4	4	16	→	1	1	1			
17	<p>Deprivation of Liberty Safeguards applications continue to rise and the resources to process them remain fixed</p>					<p><u>Management controls</u></p>						<p><u>Comments</u></p>							
	<p>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.</p>					<p>Helen Banham Strategic Lead Professional Standards and Safeguarding</p>	<p>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.</p>						<p>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.</p>			<p>Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department</p>			<p>March 2016</p>

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18	Operational services do not achieve the level of change to head count, and changes to methods of working and behaviour or is insufficient.					<u>Management controls</u>						<u>Comments</u>							
	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			Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department	March 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.					<u>Management controls</u>						<u>Comments</u>							
	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			Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department	March 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.					<u>Management controls</u>						<u>Comments</u>							
	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			Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department	March 2016			

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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.					<u>Management controls</u>						<u>Comments</u>									
	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.					Brian Vallis, Head of Business Services			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.						Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department						March 2016

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LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	2	4	8	2	4	8	→	1	1	1			
22	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.					Management controls						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).									Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department		March 2016	
LBHF	✓	RBKC	✓	WCC	✓	OFFICER(S)	3	5	15	3	5	15	→	1	1	1			
23	I.T. Collaboration Tools to support three borough working and partnerships with the National Health Service					Management controls						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.			Senior Leadership Team to review risk in May 2016 following an Internal review of the risk management process in the department		March 2016	

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CHILDRENS SERVICES

LBHF	✓	RBKC	✓	WCC		4	5	20	3	4	12	→	3	3	9						
1	<p>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.</p> <p><u>Management controls</u></p>															<p><u>Comments</u></p>					
	<p>Potential injury to a client. Reputational harm.</p>				<p>Clare Chamberlain, Director of Family Services for Royal Borough of Kensington and Chelsea, Steve Miley Director of Family Services for London Borough of Hammersmith & Fulham Debbie Raymond/Angela Flahive Head of Combined Safeguarding, Review and Quality Assurance Service</p>			<p>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 Disclosure Barring Service checks. Ongoing Safety, Reliability and Quality Assurance and Local Safeguarding Childrens Board activities to ensure quality assurance. Review lessons learnt from cases and ensure appropriate local safeguarding training is given to staff. Co-ordinated responses in an event of an incident (inc. with corporate teams such as media and comms) eg. managing media and public exposure</p>											<p>Reviewed by the Senior Leadership Team 03 March 2016.</p>		<p>March 2016</p>

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LBHF	✓	RBKC	✓	WCC		3	4	12	3	4	12	→	3	3	9				
2	<p>If Looked after Children numbers start to rise, due to increase in Unaccompanied Asylum Seekers (UASC)</p>					<p>Management controls</p>						<p>Comments</p>							
	<p>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</p>				<p>Clare Chamberlain, Director of Family Services for Royal Borough of Kensington and Chelsea, Steve Miley Director of Family Services for London Borough of Hammersmith & Fulham</p>	<p>The Assistant Director of Tri-borough Looked After Children/ Care Leavers will drive forward work within the Tri-borough Service. Review of current Unaccompanied Asylum Seekers costs for all three councils including breakdown of how these costs are made up (care, care leavers etc) A Looked after Children tracker and financial placements models in place to monitor numbers, need and cost. Looked after Children numbers are monitored against national trend. Launch of Focus on Practice</p>						<p>Reviewed by the Senior Leadership Team 03 March 2016.</p>						<p>March 2016</p>	
LBHF	✓	RBKC	✓	WCC		3	4	12	3	4	12	→	3	3	9				
3	<p>If staff morale is low, then this may impact on service delivery and people leaving.</p>					<p>Management controls</p>						<p>Comments</p>							
	<p>Failure to meet the needs and expectations of our customers and politicians Failure to meet the needs of the service- Staff may leave</p>				<p>Andrew Christie, Executive Director Childrens Services and Senior Leadership team.</p>	<p>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.</p>						<p>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.</p>						<p>Reviewed by the Senior Leadership Team 03 March 2016.</p>	<p>March 2016</p>

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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.							Reviewed by the Senior Leadership Team 03 March 2016.			March 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.							Reviewed by the Senior Leadership Team 03 March 2016.			March 2016		
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.							Reviewed by the Senior Leadership Team 03 March 2016.			March 2016		

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LBHF	✓	RBKC	✓	WCC		5	5	25	3	4	12	→	3	3	9			
7	<p>If current improvements in the delivery of Passenger Transport Contracts, Travel Care and Support are not sustained, then this will impact on service users.</p>					<p><u>Management controls</u></p>							<p><u>Comments</u></p>					
	<p>Service failure – Children not transported safely Failure to meet the needs and expectations of our customers and politicians. Savings not realised</p>				<p>Rachel Wright-Turner Tri-borough Director of Commissioning (Childrens Services)</p>	<p>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.</p>							<p>Reviewed by the Senior Leadership Team 03 March 2016.</p>			<p>March 2016</p>		
LBHF	✓	RBKC	✓	WCC		5	4	20	4	4	16	→	3	3	9			
8	<p>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.</p>					<p><u>Management controls</u></p>							<p><u>Comments</u></p>					
	<p>Failure to deliver service as suppliers/customers not paid Failure to deliver a statutory service Reputational harm</p>				<p>Andrew Christie, Executive Director Childrens Services and Senior Leadership team.</p>	<p>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.</p>							<p>Reviewed by the Senior Leadership Team 03 March 2016.</p>			<p>March 2016</p>		

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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.							Reviewed by the Senior Leadership Team 03 March 2016.			March 2016		
LBHF	✓	RBKC	✓	WCC			5	4	20	3	4	12	↓	3	3	9			
10	The Director of Children's Services has announced his retirement.						<u>Management controls</u>							<u>Comments</u>					
	Loss of strategic knowledge and relationships Reputational Harm					Andrew Christie, Executive Director Childrens Services and Senior Leadership team.	The three Councils have confirmed arrangements. The post was advertised in January 2016. A recruitment process is underway. Interregnum arrangements will be put in place for the departure of Andrew Christie and before the start date of the new Director of Children's Services.							New risk Reviewed by the Senior Leadership Team 03 March 2016.			March 2016		
LBHF	✓	RBKC	✓	WCC			3	4	12	3	4	12	↓	3	3	9			
11	Commissioning capacity pressures						<u>Management controls</u>							<u>Comments</u>					
	Recruitment timescales expected to require six to nine months to reach service establishment, vacant posts in key commissioning roles; funding variations between boroughs resulting in variable capacity and demand pressures arising from additional transformation projects and programmes.					Rachel Wright-Turner Tri-borough Director of Commissioning (Childrens Services)	Failure to meet the needs of the service Reputational harm							New risk Reviewed by the Senior Leadership Team 03 March 2016.			March 2016		

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CHILDRENS SERVICES PROJECTS																		
LBHF	✓	RBKC	✓	WCC		5	4	20	3	4	12	↑	3	3	9			
12	Negative impact on each authority if the changes required from the new Children and Families Act are not adequately delivered.					Management controls						Comments						
	Recruitment timescales expected to require six to nine months to reach service establishment, vacant posts in key commissioning roles; funding variations between boroughs resulting in variable capacity and demand pressures arising from additional transformation projects and programmes.				Ian Heggs, Director of Schools, Quality and Standards	Children's and Families Act Executive Board and programme governance in place. Board actively manages high level risks. Multi- Agency resource allocation panel in place to support and moderate decision making/give oversight to high cost placements and joint commissioning. Working with parents via the Parents Reference Group. Full communications and workforce development plan being rolled out across agencies. Key risk remains the capacity to deliver assessments to the 20 week timescale.						New risk			Reviewed by the Senior Leadership Team 03 March 2016.	March 2016		
LBHF	✓	RBKC	✓	WCC		4	4	16	3	4	12	→	3	3	9			
13	If the delivery of a single Information and Community Services Solution is not feasible or is significantly delayed then this will have a significant impact on several projects and services.					Management controls						Comments						
	Failure to meet the needs of the service Failure to deliver projects on time No savings realised				Rachel Wright-Turner Tri-borough Director of Commissioning (Childrens Services)	The Senior Leadership Team have agreed to a requirements capture approach, target for sign off in early 2016. A representative from Corporate Information and Communications Technology attend Strategy Board. The project is monitored through Portfolio Board on a monthly basis.						New risk			Reviewed by the Senior Leadership Team 03 March 2016.	March 2016		
LBHF	✓	RBKC	✓	WCC		3	4	12	3	4	12	→	3	3	9			
14	If Academy conversions processes are not completed on time then this will be a negative impact on each authority.					Management controls						Comments						
	Failure to deliver improvements and/or changes on time.				Ian Heggs, Director of Schools, Quality and Standards	Monitoring report to each Local Authority's Schools Capital Programme Board to highlight risks as necessary.						New risk			Reviewed by the Senior Leadership Team 03 March 2016.	March 2016		

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LBHF	✓	RBKC	✓	WCC			3	4	12	3	4	12	→	3	3	9			
15	Two year old offer. Failure in statutory duty to provide sufficient places to meet local need, or to support target parents to take up places.					Management controls						Comments							
	Each Council could fail in its forthcoming statutory duty to provide sufficient places. Harm to the reputation of the service.				Rachel Wright-Turner Tri-borough Director of Commissioning (Childrens Services)	Capital funding for further expansion is being focused on the schools sector. Steering Group is in place. Three Working Groups oversee the workstreams.						New risk			Reviewed by the Senior Leadership Team 03 March 2016.	March 2016			
LBHF	✓	RBKC		WCC			3	4	12	3	4	12	→	3	3	9			
16	LBHF Transformation proposals for targeted and universal services (Level 1 to 3). Inability to re-shape services to meet community expectations within available resources.					Management controls						Comments							
	Lack of buy-in from stakeholders and partners. Reputational harm . Savings not realised.				Rachel Wright-Turner Tri-borough Director of Commissioning (Childrens Services)	Communication and engagement plan in place. Consultation to take place. Senior Management oversight when project reported monthly by exception to Senior Leadership Team. Councillor oversight through Scrutiny Committee. Engagement with Public Health and Clinical Commissioning Groups in co-design and joint commissioning.						New risk			Reviewed by the Senior Leadership Team 03 March 2016.	March 2016			

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LBHF	✓	RBKC	✓	WCC		3	5	15	3	5	15	→	3	3	9			
17	Focus on Practice Programme - The Programme fails to deliver the planned benefits including the Looked After Children numbers and those on Child Protection Plans.					<u>Management controls</u>						<u>Comments</u>						
	Programme does not deliver on its objectives. Reputational harm. Reduction in referrals, Looked After Children numbers.				Clare Chamberlain, Director of Family Services for Royal Borough of Kensington and Chelsea, Steve Miley Director of Family Services for London Borough of Hammersmith & Fulham	Focus on Practice Programme Board actively managing risks and monthly report by exception to Childrens Senior Leadership Team via the Portfolio Board. Focus on Practice Programme Board working group across all aspects of the project. Engaging members, service users, staff and other stakeholders. Cost delivery and benefits realisation plans being developed.						New risk			Reviewed by the Senior Leadership Team 03 March 2016.		March 2016	
LBHF	✓	RBKC	✓	WCC		4	5	20	3	4	12	↓	3	3	9			
18	School Meals Mobilisation, managing the staggered mobilisation of the new school meals contracts across the three authorities and ensuring the project delivers effective, quality and value for money.					<u>Management controls</u>						<u>Comments</u>						
	Loss of school confidence Failure to deliver quality school meals Reputational harm Savings not realised within the Dedicated Schools Grant and General Fund funding.				Rachel Wright-Turner Tri-borough Director of Commissioning (Childrens Services)	Mobilisation in the Royal Borough took place on 22 January 2016, mobilisation for Westminster City Council will be on 11 April 2016 and for LBHF 6 June 2016. Project Boards (operational and strategic) are actively managing risks. There is active engagement with schools, including opportunities to shape the procurement process. Engagement with wider stakeholder groups (pupils, elected members, existing providers and tenderers) Detailed project delivery plans are in place and regularly monitored.						Modified and restated risk.			Reviewed by the Senior Leadership Team 03 March 2016.		March 2016	

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ENVIRONMENTAL SERVICES (Formerly ELRS and TTS)																		
LBHF	✓	RBKC	✓	WCC			4	4	16	3	4	12	↓	3	3	9		
1	Managing budgets, finance risks and systems.					Management controls										Comments		
	Adverse budget variances and key financial risks.				Mark Jones, Director for Finance and Resources	Regular finance and trading accounts monitoring Work with Planning to secure Community Infrastructure Levy (CIL) and section 106 funds Medium Term Financial Strategy (MTFS) planning process. Parking Control Board. Recruitment approval process. Review adverse variances and report action plan to Departmental Management Team. Planning meetings - monthly workload Programme of audits to combat fraud and theft.										Risk is to be reviewed in July 2016. Quarterly Management Team Review.		March 2016
LBHF	✓	RBKC	✓	WCC			4	5	20	3	4	12	↑	3	3	9		
2	Health and Safety breaches affecting staff and others.					Management controls										Comments		
	Systems, processes and resources are not joined up in the event of a Royal Borough of Kensington and Chelsea and London Borough of Hammersmith and Fulham incident.				Nick Austin, Bi-borough Director for Environmental Health.	Safety audits, Contractors are managed, Construction, Design and Management controls in place, Maintenance and Inspection schemes underpin the engineering response to risk, Monthly compliance reports from the Link, International Standards Organisation Certified Quality Assurance, Learning and Development Plans, Ongoing training programme, Established Health and Safety Committee, Departmental Policy, Divisional Risk Assessments, Statutory responsibilities Audit, Guidance issued with respect to cross borough working and duty of care for both sets of employers. Corporate Health and Safety arrangements currently under review in the Bi-borough programme and protocol signed. Business Continuity Plan in place, regular Service Resilience Group attended.										Risk is to be reviewed in July 2016. Quarterly Management Team Review..		March 2016
LBHF	✓	RBKC		WCC			3	4	12	3	4	12	→	3	3	9	Comments	
3	Phoenix Leisure Centre project not delivered on time.					Management controls										Comments		
	Savings of £279k not met				David Page, Bi-borough Director, Safer Neighbourhoods	Regular finance monitoring. Medium Term Financial Strategy planning process Review adverse variances and report action plan to the Departmental Management Team										Risk is to be reviewed in July 2016. Quarterly Management Team Review.		March 2016

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LBHF	✓	RBKC	✓	WCC		4	4	16	3	4	12	→	3	3	9	<u>Comments</u>				
4	De-stabilisation following the Managed Services Programme					<u>Management controls</u>														
	Disruption to services, Failure to reach income targets, loss of key personnel data.				Mark Jones, Director for Finance and Resources	Departmental ambassadors Developing work-arounds Regular agenda item at the Department Management Team Operational Meetings. Representation at the Shared Services Board. Representation at the Finance Integration Board.												Progress the project,Risk is to be reviewed in July 2016. Quarterly Management Team Review.		March 2016
LBHF	✓	RBKC		WCC		3	5	15	3	4	12	→	3	3	9	<u>Comments</u>				
5	Advertising Hoarding income falls					<u>Management controls</u>														
	Income budgets not achieved.				Maureen McDonald Khan , Director for Building and Property Management	Regular finance monitoring Medium Term Financial Strategy planning process Review adverse variances and report action plan to Departmental Management Team												Risk is to be reviewed in July 2016 Monitor adverse variances, develop action plans to address if required. Consider what we do at the end of the contract in 2017. Quarterly Department Management Team Review.		March 2016
LBHF	✓	RBKC		WCC		5	4	20	4	4	16	→	3	3	9	<u>Comments</u>				
6	People Portfolio savings target not met.					<u>Management controls</u>														
	Budget risk of £249k				Nigel Pallace, Chief Executive but collective responsibility to meet this risk across Directors	Regular finance monitoring Medium Term Financial Strategy planning process Review adverse variances and report action plan to Departmental Management Team												Risk is to be reviewed in July 2016 Maximise the use of graduates and unpaid leave etc. Some reserves have been set aside. Quarterly Department Management Team Review.		March 2016

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LBHF	✓	RBKC		WCC		4	5	20	5	3	15	→	3	3	9	<u>Comments</u>		
7	Business rates agreement with Greenwich Leisure cannot be renegotiated.					<u>Management controls</u>												
	Budget risk of £250k				David Page, Bi-borough Director, Safer Neighbourhoods	Regular finance monitoring Medium Term Financial Strategy planning process Review adverse variances and report action plan to Departmental Management Team							Risk is to be reviewed in July 2016 Appeal against rates variation. Renegotiate with Greenwich Leisure Limited. Quarterly Department Management Team Review.			March 2016		
LBHF	✓	RBKC	✓	WCC		4	5	20	5	3	15	→	3	3	9	<u>Comments</u>		
8	Parking suspension income falls as a result of a drop in economic activity.					<u>Management controls</u>												
	Income budgets not achieved. (Budget is £2.424m for Hammersmith and Fulham Council and £6.742m for the Royal Borough of Kensington and Chelsea.)				Mahmood Siddiqi, Bi-Borough Director of Transport & Highways	Regular finance monitoring Medium Term Financial Strategy planning process Parking Control Board Review adverse variances and report action plan to Departmental Management Team							Risk is to be reviewed in July 2016 Understand adverse budget variance, develop action plans if required. Quarterly Department Management Team Review.			March 2016		
LBHF	✓	RBKC		WCC		3	5	15	3	5	15	→	3	3	9	<u>Comments</u>		
9	Earls Court Regeneration, Planning Permission and vacant possession not achieved.					<u>Management controls</u>												
	Unable to provide 750 new homes and project not completed or delayed. £10m damages if Compulsory Purchase Order is not secured.				Juliemma McLoughlin, Director of Planning, Regeneration and Growth	Planning colleagues provide updates via bi-weekly internal project board meetings. Weekly team meetings. Bi-weekly joint working group meeting with CAPCO. Monthly joint project delivery group meeting with CAPCO. Quarterly joint Senior Management and Leader meeting with CAPCO.							Risk is to be reviewed in July 2016. Quarterly Management Team Review. Planning Officers to continue with Earls Court team and CAPCO and report to Leader and Senior Management.			March 2016		

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LBHF	✓	RBKC		WCC			3	5	15	3	5	15	→	3	3	9	<u>Comments</u>			
10	Fulham Court/Barclay Close investment plan not agreed with residents and management agreement for Tudor House community centre not in place.						<u>Management controls</u>													
	May not proceed with project and the Council to retain the management of the community centre with financial impact and reduced effectiveness of the facility.					Juliemma McLoughlin, Director of Planning, Regeneration and Growth	Regular communications meetings. Estate newsletters and events. Regular meetings with Housing Services							Risk is to be reviewed in July 2016. Quarterly Management Team Review. Resident steering group established. Dedicated staff resource to explore alternative options.			March 2016			
LBHF	✓	RBKC		WCC			4	5	20	3	4	12	→	3	3	9	<u>Comments</u>			
11	Shepherds Bush Market. Developer not assembling remaining land interest for regeneration scheme.						<u>Management controls</u>													
	Project not completed or delayed.					Juliemma McLoughlin, Director of Planning, Regeneration and Growth	Landowners meetings Project Boards.							Risk is to be reviewed in July 2016. Quarterly Management Team Review. Feedback from facilitated workshops.			March 2016			
LBHF	✓	RBKC		WCC			4	5	20	3	4	12	→	3	3	9	<u>Comments</u>			
12	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 expected timescales. Reputational risk to the council due to poor service received by residents,					Alistair Ayres, Head of Emergency Services	Monitored closely.							Complaints regarding the service have reduced. Calls are being answered and the backlog is reducing. Judicial Conduct Investigations Office complaint now with the investigating judge who will interview all parties. Risk is to be reviewed in July 2016. Quarterly Management Team Review.			March 2016			

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	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	5	20	3	4	12	→	3	3	9	<u>Comments</u>		
13	Risk that there is growth in competition in the leisure market.					<u>Management controls</u>												
	Impact on the Medium Term Financial Strategy				Ullash Karia, Head of Leisure	Regular contract meetings Close monitoring, Reduction in monthly membership figures. Working closely with Greenwich Leisure Limited. Monitoring in place regarding recent growth in budget gyms. Investing in facilities. Membership seems to have bounced and are at pre budget gym opening levels									Risk is to be reviewed in July 2016. Quarterly Management Team Review.		March 2016	

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LBHF	✓	RBKC		WCC		3	4	12	3	4	12	→	3	3	9	<u>Comments</u>		
14	Funding from Public Health is lost and the leisure centre is not refurbished because the school does not wish to proceed. This would also result in no reduction to the current subsidy in the region of £380k					<u>Management controls</u>												
	Impact on the Medium Term Financial Strategy				Ullash Karia, Head of Leisure	Close monitoring							Directors meeting with schools to understand the position and rationale for not pursuing with capital development utilising Public Health funds. Noting that if the new development does not take place there be a major impact on Medium Term Financial Strategy Savings (circa £380k). Risk is to be reviewed in July 2016. Quarterly Management Team Review.			March 2016		
LBHF	✓	RBKC		WCC		4	4	16	4	4	16	→	3	3	9	<u>Comments</u>		
15	The risk of levels of reported crime (TNO's) increasing, and not meeting targets set out by the Mayor's Office for Policing and Crime - MOPAC embedded in the Strategic Assessment					<u>Management controls</u>												
	Increasing levels of reported crime.				Claire Rai, Head of Service, Community Safety	Monthly meetings identify trends and put actions in place as soon as crimes increase. The Crime and Disorder Reduction Partnership also meets on a three monthly basis to review crime levels as does the Safer Neighbourhood Board. Five of the seven Mayor's Office targets are currently being met.							Risk is to be reviewed in July 2016. Quarterly Management Team Review.			March 2016		

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LBHF	✓	RBKC		WCC		5	4	20	4	4	16	→	3	3	9	<u>Comments</u>		
16	Risk of Transport overspend by £120k this year and ongoing into next financial year.					<u>Management controls</u>												
	Overspend needs to be covered from other budgets, which has an adverse impact on those services.				Alistair Ayres, Head of Emergency Services	Monitor closely.							£100k growth bid in place but no confirmation will receive the money. Plan to close the workshop to be completed and consultation to begin as soon as possible.			Risk is to be reviewed in July 2016. Quarterly Management Team Review.	March 2016	
LBHF	✓	RBKC		WCC		3	5	15	3	5	15	→	3	3	9	<u>Comments</u>		
17	Serco Ltd. Become less financially stable and are unable to pay fuel debts due to the Council and carry out their waste contract responsibilities.					<u>Management controls</u>												
	Increased bad debt and potential for disruption and/or non delivery of a key service.				Kathy May, Head of Waste Management, Markets and Enforcement	Monitor Creditsafe reports. Monitor fuel debt levels and take appropriate debt recovery action. Net off and significant debts from the monthly waste contract invoice paid to Serco (the contract provides for this). The Council will endeavour to pay the e monthly waste and street cleansing contract invoices on time to not adversely affect Serco's cashflow.										Keep under review and brief senior officers and Members. Risk is to be reviewed in July 2016. Quarterly Management Team Review.	March 2016	

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LBHF	✓	RBKC		WCC		5	4	20	4	4	16	→	3	3	9	<u>Comments</u>			
18	Medium Term Financial Strategy £163k for cessation of Serco night-time clear-all dependent on reduction in night-time dumped waste, especially unpaid-for commercial waste.					<u>Management controls</u>													
	Savings not achieved.				Kathy May, Head of Waste Management, Markets and Enforcement	No night-time enforcement service to check for unpaid-for commercial waste.												External enforcement resource being recruited on a trial basis for night-time work from January 2016 following agreement with the cabinet Member. Risk is to be reviewed in July 2016. Quarterly Management Team Review.	March 2016

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Risk number 19 is a sovereign RBKC risk																			
LBHF	✓	RBKC		WCC		4	4	16	4	4	16	→	3	3	9				
20	Risk that recruitment drive will not attract enough multi skilled staff to undertake notices/undertake duties.				<u>Management controls</u>			<u>Comments</u>											
	Income not achieved, risk of not delivering on budget.				Mary Byrne, Customer Experience/Performance Reporting Manager	Trying to multi-skill existing Officers but severe staff shortages so not always easy to factor into rota.											Risk is to be reviewed in July 2016. Quarterly Management Team Review. March 2016, Waiting on BT to implement structures on Agresso. BT need to notify the service that it is ok to place adverts.	March 2016	
LBHF	✓	RBKC		WCC		5	5	25	5	5	25	→	3	3	9				
21	Risk that income targets for the duct asset contract are not achieved due to Council not agreeing to sign the wayleave agreement.				<u>Management controls</u>			<u>Comments</u>											
	Income not achieved.				Mary Byrne, Customer Experience/Performance Reporting Manager	Monitor and feedback from Finance Director											The duct asset concession agreement remains at risk until the Council has reached agreement with ITS.	Risk is to be reviewed in July 2016. Quarterly Management Team Review. March 2016 Councillors still in discussion with ITS Technology, no further updates or progress. October 2015 ITS meeting with councillors Fennimore and Vincent to consider the Council's response to ITS's proposal for free broadband access.	March 2016

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LBHF	✓	RBKC		WCC		3	4	12	3	4	12	→	3	3	9			
22	Commercial Waste Target not achieved.					<u>Management controls</u>						<u>Comments</u>						
	Income not achieved.				Mary Byrne, Customer Experience/Performance Reporting Manager	Working closely with sales officers and back office to ensure all leads followed up and contracts sent out timely to all new customers.						March 2016 Team continue to bring in additional contracts but difficulty in tracking income and debt duty to Agresso.			Risk is to be reviewed in July 2016. Quarterly Management Team Review.	March 2016		
LBHF	✓	RBKC	✓	WCC		3	4	12	3	4	12	→	3	3	9			
23	IT Changes (powersuite and managed services) which may result in disruption to systems and thereby have an impact on income.					<u>Management controls</u>						<u>Comments</u>						
	Income not achieved.				Mary Byrne, Customer Experience/Performance Reporting Manager	Working closely with Information and Communications Technology, powersuite and internal Customer Access team to ensure a smooth transition. Regular project team meetings and progress tracking take place. Phased approach has been adopted. Phase 1 testing and form building to be followed by a reactive phase.						Ongoing monitoring			Risk is to be reviewed in July 2016. Quarterly Management Team Review. March 2016 Testing will start in May 2016 and go-live in October 2016. Once testing has started (we will use the User Acceptance Testing that the Royal Borough have in place) we will know by July if the Powersuite is functioning properly.	March 2016		

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LBHF	✓	RBKC		WCC			3	4	12	3	4	12	→	3	3	9			
24	Risk of the Bin Stock running out due to budget shortage.					<u>Management controls</u>						<u>Comments</u>							
	Income not achieved.				Mary Byrne, Customer Experience/Performance Reporting Manager	Monthly review of bins, budget spend and pending contracts and sales.						March 2016 budget not sufficient currently to offer services to customers. Current budget £10k (needs approximately £25-30k per annum). However the stock will run out and there will be shortages.			Risk is to be reviewed in July 2016. Quarterly Management Team Review. Closely monitor when signing up new contracts.	March 2016			
LBHF	✓	RBKC		WCC			4	4	16	4	4	16	→	3	3	9			
25	Risk that debt in Commercial Waste continues to increase.					<u>Management controls</u>						<u>Comments</u>							
	Increased debt.				Mary Byrne, Customer Experience/Performance Reporting Manager	Debt officer ringing customers to chase daily.						March 2016 Debt being robustly monitored by team as best they can due to Agresso issues.			Risk is to be reviewed in July 2016. Quarterly Management Team Review. Waiting on year end accounts to try and get a true picture.	March 2016			

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LBHF	✓	RBKC		WCC		4	4	16	4	4	16	→	3	3	9			
26	Internal Housing are planning to purchase their own bins and stop their hire agreements with Commercial Waste.					<u>Management controls</u>						<u>Comments</u>						
	Commercial Waste will lose £150k of income.				Mary Byrne, Customer Experience/Performance Reporting Manager	Weekly monitoring at the project team meetings for both.									Risk is to be reviewed in July 2016. Quarterly Management Team Review. March 2016 Awaiting approval from finance for £40k per annum over three years to improve current housing bin stock as part of the proposal to be sent to housing.	March 2016		

* Risk 27 is a sovereign RBKC risk

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FINANCIAL CORPORATE SERVICES (Corporate Finance, H&F Direct and ICM)																			
LBHF	✓	RBKC		WCC			4	5	20	3	4	12	NEW	1	1	1			
1	Budget monitoring					Management controls						Comments							
	The on-going issues regarding Agresso implementation have meant limited assurance can be placed on actual expenditure data from the Agresso system.				Andy Lord, Head of Finance, Budget Planning and Monitoring	Monthly monitors have been produced based on discussions with service managers and use of other systems, such as Framework-I. Departments also developed work-around procedures for use of data from Agresso. The focus has been on high risk areas. There is a Pilot project in Children's Services using the Agresso budget monitoring system, there are concerns around the data and particular issues on payroll data.						Managed Services stabilisation plan is in place. This includes data cleansing and correction.			There are ongoing discussions on how to resolve monitoring issues for 2016/17	March 2016			
LBHF	✓	RBKC		WCC			5	5	25	4	5	20	NEW	1	1	1			
2	V.A.T. and the Construction Industry Scheme					Management controls						Comments							
	Risk of incorrect VAT and Construction Industry Scheme returns to Her Majesty's Revenue and Customs. Risk of fines for late or incorrect submissions. Risk of Her Majesty's Revenue and Customs risk rating for the authority increasing and Her Majesty's Revenue and Customs audit uncovering errors and omissions and resultant penalties. Risk of breaching the V.A.T. Partial Exemption threshold if tax on exempt supplies exceed 5% of overall input tax (estimated cost £2-3million in a year of breach)				Managed Services Programme - Chris Harris, Head of Corporate Accountancy and Capital	Returns are wholly dependent on system generated reports. Mitigation is available to manage partial exemption position but has to be agreed with Her Majesty's Revenue and Customs and is not guaranteed.						Estimated returns are having to be made. The ability to do these is of limited duration and will raise concerns within Her Majesty's Revenue and Customs on Council's ability to accurately make returns and payments.			Her Majesty's Revenue and Customs representatives were briefed in March 2016 and there was a constructive discussion but a residual risk remains.	March 2016			

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LBHF	✓	RBKC		WCC			5	5	25	3	4	12	NEW	1	1	1			
3	Orders and Payments						Management controls						Comments						
	Lack of information on what is being sent to suppliers and how. Risk that orders may not be generated, sent to wrong address (including email), with the wrong order details.					Managed Services Programme - Chris Harris, Head of Corporate Accountancy and Capital	Products on Agresso should be selected where possible to mitigate risk of ordering the wrong thing.						Currently unable to view orders on Agresso to allow officers to correctly liaise with suppliers. Product list is unwieldy and officers are finding it difficult to select the correct items.			This is a council wide issue but continues to improve with training. A review of the product list is underway but not yet complete.		March 2016	
LBHF	✓	RBKC		WCC			5	5	25	3	4	12	NEW	1	1	1			
4	Access and Authorisations						Management controls						Comments						
	Financial risk because staff are coding orders etc. to cost centres they have access to rather than where things should go - e.g., loss of specific grant, potential risk of fraud etc.					Managed Services Programme - Chris Harris, Head of Corporate Accountancy and Capital	Asking for additional access but rigid application of rules is sometimes delaying this being granted.						This has improved through the organisational structure review.					March 2016	
LBHF	✓	RBKC		WCC			4	5	20	3	4	12	NEW	1	1	1			
5	Invoices						Management controls						Comments						
	Risk that invoices are not being captured for processing on the system. Anecdotal evidence that invoices forwarded to Intelligent Capture are not turning up for subsequent processing despite being sent numerous times.					Managed Services Programme - Chris Harris, Head of Corporate Accountancy and Capital	Even allowing for the known issue of only one invoice per email to Intelligent Capture, there appear to be a number of occasions where invoices don't seem to be coming through.											March 2016	

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LBHF	✓	RBKC		WCC		4	5	20	4	4	16	NEW	1	1	1			
6	Bank Charges					Management controls						Comments						
	Financial risk of increased bank charges. If the council is in an overdrawn position, each night, then there is an overdraft charge of 1.5% interest.				Managed Services Programme - Chris Harris, Head of Corporate Accountancy and Capital	This is now stabilising but for the year to January 2016, due to the problems that have been encountered in processing payments, a far larger number of faster and CHAPS payments have gone through than normal.						Upto February 2016, the council was overdrawn 67 times requiring an average of £150k. In each case the way BT process the payments means there is an additional Swift charge of £1 per payment. This resulting in monthly bank charges at present many times higher than pre-Managed Services.				March 2016		
LBHF	✓	RBKC		WCC		4	4	16	3	5	15	NEW	1	1	1			
7	BT Support					Management controls						Comments						
	Probably an issue as much as a risk. Poor answer times on telephone. Little or no follow up from BT on queries and issues raised. Risk that issues get forgotten.				Managed Services Programme - Chris Harris, Head of Corporate Accountancy and Capital	Performance monitoring of the Managed Services Contract.						Waiting times for telephone response is high. Staff are not bothering to call so likely that this is being under-reported.				March 2016		

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LBHF	✓	RBKC		WCC		5	5	25	4	4	16	NEW	1	1	1			
8	Interface Processing					Management controls							Comments					
	Risk of feeder systems being incorrectly updated by Agresso				Managed Services Programme - Chris Harris, Head of Corporate Accountancy and Capital	Files are transitionally monitored and supported by a Transitional Interface team led by the Hammersmith and Fulham Bridge Partnership.							There are still examples of files into and out of Agresso not being correctly processed. Receipts, payments, refunds, suspense, BACS etc.			This will be picked up at contract monitoring with BT.	March 2016	
LBHF	✓	RBKC		WCC		5	5	25	4	4	16	NEW	1	1	1			
9	Non Achievement of Savings					Management controls							Comments					
	Risk that posts that have been deleted as part of the Managed Services Programme implementation will need to be recreated and recruited to because processing has not reduced by the amount anticipated.				Managed Services Programme - Chris Harris, Head of Corporate Accountancy and Capital	Implementation costs reviewed. Significant extra funding approved. Regular monitoring and review of costs in place.							Regular monitoring and review of costs in place.			March 2016		
LBHF	✓	RBKC		WCC		5	4	20	3	4	12	NEW	1	1	1			
10	Final Accounts and Government Returns					Management controls							Comments					
	Current operating difficulties may expose the Accounts to risk of qualification. External Audit may increase their risk profile of the authority leading to more extensive testing and challenges etc. Government returns will take longer to prepare and be at risk of challenge				Managed Services Programme - Chris Harris, Head of Corporate Accountancy and Capital	The Corporate Finance Team have undertaken significant work to assemble additional assurance as part of the Closing of Accounts. This has necessitated taking on a number of extra staff and will inevitably come at a cost.							Audit requirements and notes to the accounts require input from BT staff to ensure complete and accurate information is available from Agresso.			Corporate Finance team to work with BT to ensure control account reconciliations and notes are fit for audit by specifying clear requirements and challenging information given and that relevant information is available to compile the notes to the accounts.	March 2016	

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LBHF	✓	RBKC		WCC		4	5	20	3	5	15	NEW	1	1	1			
11	Payment of suppliers - Payment errors					<u>Management controls</u>						<u>Comments</u>						
	Risk that duplicate payments may be made, or payments may be made to the wrong supplier. Whilst there are processes in place to identify duplicate payments, use of manual payment forms and the introduction of multiple suppliers has increased the risk of this occurring. The limited budget monitoring information means that those that have been made may not be picked up. If this is not identified, it may result in financial loss to the Council.				Managed Services Programme - Chris Harris, Head of Corporate Accountancy and Capital	There are a number of duplicate payment procedures in place, both in-built in the system and through the transitional process.						A duplicate payment review should be scheduled once we transition into business as usual. This should include a review of duplicate supplier set ups and accuracy of supplier set ups.						March 2016

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LBHF	✓	RBKC		WCC			5	5	25	3	5	15	NEW	1	1	1			
12	Contact Centres Procurement					Management controls						Comments							
	Unsuccessful procurement and mobilisation of both contact centres by 31/10/2016				John Cordani, Head of Customer Services	Business Board did not approve paper proposing that following an unsuccessful tender that the service should be transferred back internally. Investigation into possibility of extending the existing contract whilst investigating longer term objectives for a corporate contact centre.						If there is not an acceptable quote from a framework other options will need to be considered such as bring back the Day Time contact centre in-house and calling off the framework from General Dynamics Information Technology framework for the Out of Hours service.							
LBHF	✓	RBKC		WCC			5	3	15	5	3	15	NEW	1	1	1			
13	My Account - Business as Usual					Management controls						Comments							
	Procurement of My Account by the end of the Hammersmith and Fulham Bridge Partnership term on 31/10/16				John Cordani, Head of Customer Services	Legal have confirmed there is no contact between the council and Hammersmith and Fulham Bridge Partnership or Agilisys Digital.						If there is no contract between the council and Hammersmith and Fulham Bridge Partnership of Agilisys Digital a procurement for a new portal or a contract for maintenance only on the current portal will need to be in position by 31/10/16 so that there is no impact to residents.							

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PUBLIC HEALTH																							
LBHF	✓	RBKC	✓	WCC	✓		4	5	20	3	4	12	↑	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 Health 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.						A task and finish group has been set up to review current and future years potential grant allocation and budget commitments in reducing grant context, with a view to aligning spend to the Public Health vision for the Councils.			Review of commissioning, contracts and procurement programmes to identify where efficiencies can be achieved for future year. Senior Leadership Team to review the risk in the next Quarter.			April 2016
LBHF	✓	RBKC	✓	WCC	✓		3	5	15	3	4	12	→	3	3	9							
2	Consequences of reprourement 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.			Senior Leadership Team to review the risk in the next Quarter.	April 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.			Senior Leadership Team to review the risk in the next Quarter.	April 2016		

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LBHF	✓	RBKC	✓	WCC	✓		3	4	12	3	3	9	NEW	3	3	9				
4	Public Health Restructure						Management controls						Comments							
	The uncertainty about the direction of Public Health and the instability in Public Health Teams affects the delivery of key outputs.					Radhike Dube, Head of Operations, Public Health	The Public Health operating model is currently being reviewed by the Director of Public Health, with a view to a revised model being announced in July. Team events have been planned to engage staff and take them through the next steps for the service. Preliminary consultation with staff; Managers are attending Leadership workshops; one to one discussions with staff as part of annual appraisal.						Previous risk, recruitment and retention deleted and replaced with this new risk.			Senior Leadership Team to review the risk in the next Quarter.	April 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.						Management controls						Comments							
	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 17th March 2016				March 2016			

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	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	✓		5	4	20	3	4	12	→	3	3	9			
2	Denial of service vulnerability as networks converge.						Management controls						Comments						
	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 17th March 2016			March 2016			
LBHF	✓	RBKC	✓	WCC	✓		5	4	20	4	4	16	→	2	4	8			
3	Failure to manage Information following outsourcing and assurance from service providers to maintain effective records management and control.						Management controls						Comments						
						Ed Garcez, Tri-borough Chief Information Officer	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. Information Management is represented on the Procurement and Risk Advisory Group and assisting in the creation of guidance and training for contract managers from business case to contract management. Also in the development of disaster recovery/business continuity plans. Privacy Impact Assessments are mandatory for all new procurement and re-procurement activity - this provides a checklist for the business to put in place with regard to the sharing and handling of personal data once the contract is in place, eg information sharing agreements that list information types and the means by which information is shared. A shared information management strategy is in place with a programme of work overseen by the Head of Information Management Since the Head of Information Management has been appointed, there is greater co-ordination across the three councils' sovereign Information Management teams, including information security and Local Land and Property Gazetteer. The Head of Information Management sits on the Caldicott Guardian Information Governance Group and works closely with the newly appointed Adult Social Care and Childrens Services' Information Governance Officer. The newly created division of Business Partnering alongside Information Management will assist Information and Communication Technology Services to manage contracts in compliance with statutory, regulatory and best practice requirements.						Reviewed by Department Leadership Team 17th March 2016 A Shared Services Head of Information Management has now been appointed.			March 2016			

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	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	✓		5	4	20	3	4	12	↑	3	3	9			
4	Information Technology functions across the 3 Councils are not operating as a single entity.						<u>Management controls</u>			<u>Comments</u>									
						Ed Garcez, Tri-borough Chief Information Officer	<p>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</p> <p>The Information and Communications Technology phase 1 restructure has now been completed, with all staff in post in January 2016.</p> <p>A single set of standards for all of the 3 authorities is expected to be drafted and agreed by the Head of Strategy</p> <p>This will be reviewed again in July when, subject to approval, the service is expected to be defined. A full population of the structure will be subject to recruitment timescales</p> <p>A cohesive governance structure for Information and Communications Technology is currently being established, including the Strategy & Portfolio Board for business managers and the Digital Board for Management and Member Information and Communications Technology Leadership.</p>			<p>Reviewed by Department Leadership Team 17th March 2016</p> <p>Strategy and Portfolio Board and the Digital Board have overview.</p>				Phase 2 and in parallel Phase 3 reorganisations are in motion.	March 2016				
LBHF	✓	RBKC	✓	WCC	✓		5	4	20	4	4	16	→	3	3	9			
5	Inability to enable the business and corporate Information and Communications Technology programmes and projects in managing their information assets in compliance with their information management statutory and regulatory requirements as a result of staffing incapacity across the Information Management Team.						<u>Management controls</u>			<u>Comments</u>									
						Ed Garcez, Tri-borough Chief Information Officer	<p>Information Management Target Operating Model to be implemented as part of Phase 2 of the Shared Services Information and Communications Technology services re-organisation.</p> <p>In the interim employ the following temps to cover current vacancies:</p> <p>Senior Information Management Officer in the London Borough of Hammersmith and Fulham</p> <p>Information Officer to be recruited in Westminster City Council</p> <p>Information Management / Office 365 expert to be recruited</p>			<p>Reviewed by Department Leadership Team 17th March 2016, Business Board and Shared Services Board</p>				Phase 2 and in parallel Phase 3 reorganisations are in motion.	March 2016				

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LBHF	✓	RBKC	✓	WCC	✓		5	4	20	4	4	16	→	2	4	8						
6	Inability to deliver the three workstreams and roadmap of the Tri-borough Information Management Strategy					<u>Management controls</u>							<u>Comments</u>									
	Ed Garcez, Tri-borough Chief Information Officer					<p>A new Information Management Strategy Programme Manager has been selected within the team and due to start in April/May.</p> <p>Information asset workstream is underway led by Westminster City Council (Fatima Zohra) when time permits.</p> <p>Learning and Development workstream is underway led by the London Borough of Hammersmith and Fulham Council with a dedicated Programme Manager and delivery contractor in place. (Dave Sifleet).</p> <p>Governance workstream lead has changed from the Royal Borough of Kensington and Chelsea to the London Borough of Hammersmith and Fulham Senior Information Management Officer and due to start in April/May.</p> <p>The Communications Plan has a dedicated Information Management Lead from the Royal Borough of Kensington and Chelsea (Rebecca Parades)</p>							Reviewed by Department Leadership Team 17th March 2016				March 2016					
LBHF	✓	RBKC	✓	WCC	✓		5	4	20	4	4	16	→	2	4	8						
7	Threat of Cyber Attacks					<u>Management controls</u>							<u>Comments</u>									
	There have been a number of instances of local authorities being targeted by attacks					Ed Garcez, Tri-borough Chief Information Officer					<p>Specific controls in place. Cybersecurity audit undertaken for the Royal Borough of Kensington and Chelsea recently, with three medium priority recommendations for the Head of Information Management and the Royal Borough of Kensington and Chelsea Information Security Manager. In addition, a Cyber Security paper was produced for Members. After a series of attacks primarily aimed at the Royal Borough of Kensington and Chelsea but also affecting the London Borough of Hammersmith and Fulham and Westminster City Council, a series of mitigations were put in place including a reminder to staff not to click on downloads or links from unknown email addresses.</p>							Reviewed by Department Leadership Team 17th March 2016				March 2016

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	Risk cause and context					Likelihood	Impact	Overall	Likelihood	Impact	Overall		Likelihood	Impact	Overall	Management comments on measures.	Planned action(s)	Date / in place

HOUSING

LBHF	✓	RBKC	WCC			4	4	16	4	4	16	→	3	3	9	Comments		
1	Welfare Reform /Local Housing Allowance Changes																	
	Management controls																	
	Increased demand & decreased supply. Changes in the welfare benefit system. Impact on Homelessness acceptances, Temporary accommodation expenditure and the Housing Revenue Account bad debt cost and void levels.				Mike England / Kathleen Corbett, Director for Finance and Resources		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 Direct Debit forms to every tenant with the rent increase letter, improved direct debit set up on i-world, implementing the ability to set up Direct Debits over the phone, Direct Debit campaign, Housing management under occupation focus regarding spare room subsidy and the bedroom tax.						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 however we are seeing increasing pressure on the General Fund Budgets and, unlike previous years, do not expect to report an underspend this year. Reduction of the Overall Benefit Cap from April 2016 and 4 year freezing of working age benefits, including Local Housing Allowance will add further pressure on our ability to procure temporary accommodation			Development of procurement strategy. Report to Cabinet in June 2015 on approaches to Lots1 & 2. Lot 2 involves an agreement with third party suppliers offering to buy property for use as temporary accommodation. Tendering exercise to be reported to Cabinet in April or May 2016. 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. The restriction of housing benefit payments to single people under 35 living in social housing to the shared accommodation rate, announcement by the Government as part of the Comprehensive Spending Review on 25th Nov 2015, is likely to impact on some of our Council tenants, work is currently underway to assess how many and to develop an approach to help residents maintain their tenancies.		February 2016

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LBHF	✓	RBKC		WCC		4	5	20	4	5	20	→	3	3	9	<u>Comments</u>		
2	Delivery of Medium Term Financial Strategy savings					Management controls												
	Future MTFS savings not delivered or that in 2021 rents continue to be enforced by statute and that the council is unable to return to the rent policy agreed last year with tenants of CPI plus 1% plus £1. In the Housing Revenue Account this would lead to further reductions in planned repairs over the next ten to fifteen years or that fixed term tenancies are imposed by government impacting void rates				Kathleen Corbett, Director for Finance and Resources	As a strategic management team continue to seek ways to reduce costs and generate additional income, focus on opportunities for increasing advertising income and on ensuring we are spending money on communal and planned repairs effectively and efficiently, embed Head of Financial Investment and Strategy into planned works budget monitoring meetings to look for efficiencies, work with residents to look for efficiencies						See existing controls which have just been put in place and now need to be strengthened so seeking efficiencies while improving service becomes cultural and ensure this sits alongside our customer service improvement programme.				February 2016		

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LBHF	✓	RBKC		WCC			3	4	12	3	4	12	→	3	3	9	<u>Comments</u>		
3	Proposals for the future of the Councils Housing Stock.					Management controls													
	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 terms of transfer.						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

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LBHF	✓	RBKC		WCC		5	5	25	5	5	25	→	3	3	9	<u>Comments</u>			
4	Earls Court Regeneration				<u>Management controls</u>														
	<p>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</p>				<p>Kathleen Corbett, Director for Finance and Resources, Juliemma McLoughlin Director for Planning</p>	<p>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.</p>						<p>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.</p>			<p>Continue to monitor and review. As part of business plan modelling repeat the sensitivities run this year</p>	<p>February 2016</p>			
LBHF	✓	RBKC		WCC		4	5	20	4	5	20	→	3	3	9	<u>Comments</u>			
5	Investing and maintaining our Council Homes				<u>Management controls</u>														
	<p>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</p>				<p>Stephen Kirrage, Director for Asset Management & Property Services</p>	<p>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</p>									<p>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</p>	<p>February 2016</p>			

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LBHF	✓	RBKC		WCC		5	5	25	3	5	15	→	3	3	9	<u>Comments</u>			
6	Consulting with our residents					Management controls													
	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	<u>Comments</u>					
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 as 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 Mccloughlin 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 rephrase the planned repairs programme for 2016/17. Continue to review legislative position on the sale of high 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	<u>Comments</u>				
8	Delivering Quality Housing Service - Managed Services Impact					<u>Management controls</u>														
	<p>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</p>				<p>Kathleen Corbett, Director for Finance and Resources, Hitesh Jolapara, Strategic Director for Financial Corporate Services</p>	<p>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</p>													<p>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</p>	<p>February 2016</p>

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SHARED SERVICES LIBRARIES																					
LBHF	✓	RBKC	✓	WCC	✓		4	4	16	4	4	16	→	1	1	1	<u>Comments</u>				
1	Failure to agree shared 3B shared approach to medium term financial challenge and continued development of 3B services						<u>Management controls</u>														
	(Libraries delivery models programme), 3B arrangements do not develop or are terminated					Mike Clarke Tri-borough Director of Libraries and Archives	Developing change proposals in an iterative and consulted way; programme management arrangements to be reviewed/support garnered; Member engagement							Review by Programme Board, Officer Steering Group			Monthly monitoring at Project Board.	April 2016			
LBHF	✓	RBKC	✓	WCC	✓		4	5	20	3	4	12	→	1	1	1	<u>Comments</u>				
2	Failure to deliver three year savings programmes						<u>Management controls</u>														
	Budgets not balanced, services overspend or under-achieve income					Mike Clarke Tri-borough Director of Libraries and Archives, Jonathan Ross, Finance Manager	Medium term planning through corporate processes and Senior Management Team. Monthly monitoring by service and finance							Monthly forecasting and management of pressures			Approval of proposals for yearly reductions; development of alternative models	April 2016			
LBHF	✓	RBKC	✓	WCC	✓		4	3	12	3	3	9	↑	2	2	4	<u>Comments</u>				
3	Increased risk to library staff from increasing Anti Social Behaviour issues in libraries						<u>Management controls</u>														
	Public order, customer and staff safety, risk to Council property					Mike Clarke Tri-borough Director of Libraries and Archives	Weekly updates at Senior Management Team. Additional security where required. On-line reporting facility for incidents (Workrite) notifying managers of recorded incidents, health and safety policies and workplace risk.										Enhanced liaison with police and community safety	April 2016			

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LBHF	✓	RBKC		WCC			4	5	20	3	4	12	→	2	2	4	<u>Comments</u>			
4	Roof leaks at Hammersmith library damaging refurbished interior and stock						<u>Management controls</u>													
	Reputational risk, operational costs					Tony Rice Tri-borough Operations Manager, Customer Services	Hammersmith library refurbishment project. Funding for roof works being sought through capital programme . Monitoring by Building and Property Services. Planning application submitted. Costed.						Programme to be agreed to remedy defects and carry out additional exterior works			Monthly monitoring at Senior Management Team.	April 2016			
* Risk 5 is a Sovereign RBKC risk																				
LBHF	✓	RBKC	✓	WCC	✓		4	4	16	4	4	16	→	2	2	4	<u>Comments</u>			
6	Manage income generating decline (libraries)						<u>Management controls</u>													
	Financial risk					Mike Clarke Tri-borough Director of Libraries and Archives, Jonathan Ross, Finance Manager	Careful management of resources including recruitment drag, supplies and services efficiencies etc. However this remains a major concern with no 'magic bullet' solution						Monthly forecasting and medium term financial planning			Explore other sources of income. Rightsize as part of alternative models of delivery	April 2016			
LBHF		RBKC	✓	WCC			3	4	12	3	4	12	→	2	2	4	<u>Comments</u>			
7	Planned North Kensington library becomes challenging/contested						<u>Management controls</u>													
	(Isaac Newton programme)					Chris Lloyd, Community Development Manager	Working with Property Services and keeping Cabinet Member informed. Robust engagement programme to be developed with Communications.						Monthly at policy board. Quarterly at corporate property programme board			Ensure community and Ward Member briefings and engagement are timely and appropriate	April 2016			

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LBHF	✓	RBKC		WCC			3	4	12	3	4	12	➔	2	2	4	<u>Comments</u>			
8	Access to catalogue will fall over (Computer Aided Library Management not supported or upgraded)						<u>Management controls</u>													
	Access to catalogue will fall over (Mary Enright, Tri-borough Reference, Information and Archives Manager, Libraries & Culture Director's Office	Data exported to Excel April14							Explore Sirsi potential			April 2016			
LBHF	✓	RBKC	✓	WCC	✓		4	4	16	3	4	12	➔	2	2	4	<u>Comments</u>			
9	Lack of reliable financial information due to the implementation of Agresso leads to risk of inaccurate decision making an poor financial performance						<u>Management controls</u>													
	Financial risk					Kim Marshall, Strategic Finance Manager - Tri-borough Libraries, Jonathan Ross, Finance Manager	Financial monitoring and review							Monthly financial monitoring			Analysis of areas not effectively covered by current financial processes	April 2016		
*Risk 10 is a WCC Sovereign risk																				

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LBHF	✓	RBKC		WCC		4	4	16			0	→	2	2	4	<u>Comments</u>		
11	Failure to deliver solution for borough archives storage					<u>Management controls</u>												
	Reputational risk, and operational costs.				Mary Enright, Tri-borough Reference, Information and Archives Manager.	Position reviewed monthly at Policy Board.						Gain agreement for proposed solution with Cabinet Member. Keep consultative group informed and involved			Further work on proposed solution to ensure successful delivery		April 2016	

* Risks 12 - 14 are WCC Sovereign risks

Key to Risk Rating		
Score	16-25	RED - High risk - immediate management action required.
Score	11-15	AMBER - Medium risk, review controls.
Score	1-10	GREEN- Low risk, monitor and if the risk escalates check controls.