

| Score | Key | Action |
|-------|-------|--------------------------------------------------------------------|
| 16-25 | Red | High risk, immediate management action is required. |
| 11-15 | Amber | Medium risk, review controls for appropriateness and effectiveness |
| 1-10 | Green | Low risk, monitor and if escalates quickly check controls |

LBHF RISK REGISTER CORPORATE LEVEL

APPENDIX 4

Review date 13/09/17

| Ref | RISK | | | | Assigned To | Residual risk assessment: Quarter 4 16/17 | | | | DOT | Residual risk assessment: Quarter 1 17/18 | | | DOT | Target risk: | | | Reducing the risk | | | | | |
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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 | OFFICER(S) | 3 | 4 | 12 | ⇒ | 4 | 4 | 16 | ↓ | 3 | 3 | 9 | Updated 12/07/17 | | | July 2017 | | | |
| 1 | Financial Management in year budget 2017/2018 and Medium Term Planning | | | | | Management controls | | | | | | | Comments | | | Actions | | | | | | | |
| | <p>The ongoing challenge of reshaping and delivering council services, within significantly reduced funding levels and increased demand pressures, remains a significant risk. This is both an in year risk and one going forwards over the medium term. As such, our approach to identifying savings includes undertaking specific service reviews, identifying and delivering savings through transformation portfolios and identifying other savings and income opportunities.</p> <p>In addition to gaps in revenue funding there are also some significant risks to funding the capital programme with reduced capital receipts and uncertainties on significant projects.</p> <p>Specific risks that will need to be reflected in the medium term financial strategy include continued additional costs of the Managed Services Provider and costs of the transition from the current Managed Services Provider for Finance and Human Resources to a new provider.</p> <p>In addition any financial implications Moving On from our shared services arrangements will also impact on the medium term financial strategy.</p> | | | | | <p>Hitesh Jolapara, Strategic Finance Director, London Borough of Hammersmith and Fulham.</p> | | | | | <p>The council manages its financial risks through a range of controls including budget preparation, budget setting and a Budget Accountability Framework which updated the roles and responsibilities for managing, monitoring and forecasting income and expenditure against approved budgets. The level of reserves and balances are also regularly reviewed to ensure that account is taken of any financial risk.</p> <p>Financial Regulations and Financial Scheme of Delegation are in place.</p> <p>Regular in-year monitoring and reporting, review of future financial plans and assessment of financial risks and reserves are undertaken to ensure the financial plans are delivered. Corporate Revenue Monitoring Reports with identified risks reported to Cabinet, overspending departments prepare action plans with responsible Directors identified.</p> <p>2017/18 Budget and Capital Programme agreed by Full Council in February 2017. Medium Term Financial Strategy reported to Finance and Delivery, Policy and Accountability Committee February 2017 detailing savings, growth, and risks.</p> <p>Mid-Year Treasury Report for 2016/17 presented to Finance and Delivery, Policy and Accountability Committee November 2016 in accordance with the Council's Treasury Management Practices.</p> <p>Challenge meetings to challenge 2018/19 budget process scheduled take place in July and September 2017.</p> | | | | | | | <p>The wider ramifications of the decision to leave the European Union are yet to be fully realised and felt in the national and local economy. Whilst there will be some opportunities there is also uncertainty that may affect areas of the economy, financial markets, interest and exchange rates, construction, grants from the EU, investment and other non-financial aspects such as staffing of Council services.</p> <p>The election and government focus on Brexit has also had implications for government policy in relation to local government finance, specifically the devolution of business rates and there is significant uncertainty whether/ when this will occur.</p> <p>All of this is set in the context of continuing reductions in public funding and increased demand.</p> | | | <p>Challenge meetings to include Transformation portfolio savings (July 2017 and September 2017).</p> <p>SLT to consider broader Council investment strategy Sept 2017.</p> <p>SLT to consider EY cross cutting savings proposals Sept 2017.</p> <p>Cabinet to consider financial implication of Management Services report September 2017.</p> | | |

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| LBHF | ✓ | RBKC | ✓ | WCC | | OFFICER(S) | 3 | 4 | 12 | ⇒ | 3 | 4 | 12 | ⇒ | 3 | 3 | 9 | Sent to Sue Redmond and Rachel Wigley for July update | | February 2017 | | | | | |
| 3 | Management of the Better Care fund. | | | | | Management controls | | | | | | | | | | Comments | | | Actions | | | | | | |
| | Compliance with the Care Act legislation underpinning the Better Care Fund; <ul style="list-style-type: none"> • the accountability arrangements and flows of funding; • the reporting and monitoring requirements for 16-17; • arrangements for the operation of the payment for performance framework; • how progress against plans will be managed and what the escalation process will look like; and • the role of the Better Care Fund Task Force / Better Care Support Team going forward. | | | | | Lisa Redfern, Director of Adult Social Care | | | | | NHS England require regular updates against original Better Care Fund submission on benefits and performance reported to the Health and Wellbeing Board. Review of Adults Social Care financial position at Finance and Delivery, Policy and Accountability Committee. The Care Act implementation programme was successfully completed. Measures to monitor impact of Care Act implementation built into new routine Key Performance Indicator monitoring to Senior Managers and members. This covers expected increases in demand and new duties and responsibilities under the Act. Demand and benefits model developed and being implemented for Community Independence Service as part of Better Care Fund. Routine reporting of impact of new service reported to senior managers and members as part of regular reporting. Multi agency Better Care Fund steering group receives progress reports and reports upwards to the Joint Executive Team and Better Care Fund Board which includes members and senior managers from Adult Social Care, Clinical Commissioning Groups etc. Shared governance with Imperial around change programme for the Community Independence Service. Redesign of reablement part of Customer Journey programme. Risks are regularly monitored by the programme and major risks logged on a risk register. | | | | | | | | | | A report outlining issues associated with the Better Care Fund was considered by the Hammersmith and Fulham Finance, Policy and Accountability Committee in November 2016. There is a £2m MTFS efficiency measure that has been built into the 2016/17 base budget following discussions with health over the second year of the Better Care Fund. There are several efficiency targets attached to delivering this £2m saving. At this stage of the year, the Department is projecting the delivery of £1.379m of this target, this leaves a shortfall of £621,000 from of the £2m target efficiency. | | | Review at Business Delivery Team, London Borough of Hammersmith and Fulham. Continued regular monitoring through performance and joint governance arrangements | |

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| LBHF | ✓ | RBKC | ✓ | WCC | | OFFICER(S) | 4 | 4 | 16 | ⇒ | 4 | 4 | 16 | ⇒ | 3 | 3 | 9 | | | August 2017 | |
| 4 | Market testing risks. | | | | | | Management controls | | | | | Comments | | | Actions | | | | | | |
| | <p>1. Failure to deliver high quality commissioned services at the best cost to the taxpayer. Inadequate forward planning risks (commissioning and procurement).</p> <p>2. Failure to comply with public procurement regulations, potential legal action, and lack of robust Member oversight.</p> <p>3. Not achieving Social Value through procurement.</p> <p>4. Contract performance management.</p> | | | | <p>Michael Hainge Commercial Director Chief Executives Department</p> <p>Barry Quirk, Chief Executive, The Royal Borough of Kensington and Chelsea.</p> | <p>Adult Social Care and Childrens Services Departments have established contract and commissioning boards.</p> <p>A Shared Services Contracts Approval Board had been established but will now only be used for Westminster City Council sovereign procurement decisions.</p> <p>Contract registers are now managed through the CapitalESourcing e-procurement system hosted by Westminster City Council and have recently been audited.</p> <p>Training is being provided on Contract Management across the Shared Services.</p> <p>Hammersmith & Fulham</p> <p>Annual Governance Statement Action Plan monitoring. (See Actions)</p> <p>Business Delivery Team have corporate oversight on procurement.</p> <p>Maintain a watching brief on the financial and commercial stability of major contractors.</p> <p>In addition to all decision reports going through at H&F they are subject to 2 additional key controls: Cabinet Member Briefing Boards, Cabinet (via Cabinet Briefing)</p> <p>Revised Contract Standing Orders for LBHF took effect on 1 July 2016 for all procurements advertised on or after this date. This ensured that Cabinet see forward Commissioning Plans and a Procurement Strategy on each procurement.</p> <p>Commercially led Significant Contract reviews.</p> <p>Update of the Commercial Director to Finance and Delivery, Policy and Accountability Committee.</p> <p>The Royal Borough of Kensington & Chelsea.</p> <p>Procurement regulations for the Royal Borough of Kensington and Chelsea.</p> <p>Procurement Review conducted by the Procurement Scrutiny Working Group, Cabinet and Corporate Services Scrutiny Committee. Report from the Working Group issued to Cabinet.</p> <p>A presentation of the reports findings has been made to the Senior Managers in the Council.</p> <p>Councillor Warrick is responsible for procurement policy, including monitoring and oversight of the letting of Council contracts.</p> | | | | <p>Appointment of Head of Commercial Management to look at the approach and skills for both contracts and procurement.</p> <p>Undertaking a review of significant contracts across the Council contracts register to identify improvement opportunities and any other potential contract savings. Make available commercial management qualifications to those involved in commercial activity as part of their day to day roles. Identified the need to reduce direct awards and Standing Order waivers to ensure effective procurements and contract management is undertaken and removing the risk of challenge further down the line.</p> | | | <p>Undertaking a review of strategic contracts in order to identify potential contact improvements, establish contract standards and identify any further contract savings. Implemented improvement plans on a number of resident facing service contracts to ensure service delivery to contract standards. Renegotiation of contracts that were procured on a tri borough basis. This main contract is with Amey and will be soon on a sovereign basis within H&F. Introduced a gateway approach for cabinet, CMD and procurement strategy sign off. This ensures there is a checking of commercial activity across the departments and start challenging a culture of direct awards seen in some departments.</p> | | | | | | | | |

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| | LBHF | ✓ | RBKC | ✓ | | WCC | OFFICER(S) | 4 | | 4 | 16 | ⇒ | | 4 | 4 | 16 | ⇒ | 1 | 1 |
| 5 | Public Health Budgets | | | | | Management controls | | | | | | Comments | | | Actions | | | | |
| | Going forward, if the Shared Services Councils are to achieve significant improvements in population health outcomes in the current economic climate, choices need to be made about how best to allocate Public Health resources to specific programmes or work/ services. In order to support these decisions, the Public Health team is in the process of developing and testing a prioritisation framework tool. | | | | Dr Mike Robinson, Director of Public Health | For 2016-17 the public health ring-fence remains in place, with any underspends in the year being carried forward as a receipt in advance, or any overspends matched with a draw-down from prior years' receipts in advance as appropriate. The Public Health team are continually working to improve Public Health services through performance monitoring, service improvements and re-tendering. 2017 2018 Public Health Priorities and the Public Health Prioritisation Framework. | | | | | | The Director of Public Health is in the process of reviewing the Public Health team's operating model, structure and plans in order to ensure the Public Health function can work to maximise the impact on population health within available resources. A key milestone is to have an effective staff structure in place in time for the next financial year. A staff consultation on the proposed Public Health re-structure is taking place during November 2016. | | | Going forward, the Public Health team will focus on Leading cross cutting programmes of work to tackle priority health outcomes, System leadership across the local health system, Prioritising Public Health resources (staff and finance) Understanding population health trends, Identifying gaps in service provision Using evidence and analysis to re-design services, Contribute Public Health funding to achieve greatest impact on population health, Contribute specific skills in health economics, forecasting, epidemiology (the study of diseases) and statistics and evidence reviews to the commissioning process. | | | | |

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| LBHF | ✓ | RBKC | ✓ | WCC | | OFFICER(S) | 3 | 4 | 12 | ⇒ | 4 | 4 | 16 | ↓ | 2 | 3 | 6 | Updated by Ian Cairns | | | July 2017 |
| 6 | Business resilience. | | | | Nick Austin, Borough Director for Environmental Health, London Borough of Hammersmith and Fulham | | Management controls | | | | | | | | | Comments | | | Actions | | |
| <p>1). Limited joined up systems, processes and resources in the event of a Royal Borough of Kensington and Chelsea and London Borough of Hammersmith and Fulham Business Continuity internal / external incident.</p> <p>2) Non-availability of I.T. systems, cyber attacks.</p> <p>3) Significant accommodation moves.</p> <p>4) Increase threat of Cyber risks</p> | | | | <p>Corporate Business Continuity Policies and Strategies have been agreed at the former Business Board at Hammersmith and Fulham and Management Board at the Royal Borough of Kensington and Chelsea, and updated accordingly, ensuring commonality for incident management.</p> <p>London Borough of Hammersmith and Fulham use Creditsafe for the assessment of contractor credit and liquidity risks, with The Royal Borough of Kensington and Chelsea, Westminster City Council utilising Creditsafe via CapitalEsourcing.</p> <p>Owners of Priority 1 and Priority 2 classified services have been requested to ensure a their service continuity plans have a strategy in place to cater for the loss of service and critical suppliers, are self-tested and authorised by Directors.</p> <p>Risks are being identified and managed through the Service Resilience Group at Hammersmith and Fulham and via a themed Business Continuity Register including horizon scanning.</p> <p>London Borough of Hammersmith and Fulham Business Continuity Manager is liaising with the ICT Transformation Manager on IT Change risks, including on Data Migration and Telephony.</p> <p>Given the fragility of the care market we are beginning to make contingency plans for a sudden collapse of a provider – in reality the only viable option would be for the Councils to step in and to manage the service – the Care Act provides step in rights.</p> <p>Housing Emergency Planning Internal Audit review 2016 2017, satisfactory assurance attained.</p> <p>GOLD training has been provided to senior management in both boroughs, to enhance the ability to deal with serious incidents, plus additional Emergency Planning training delivered in London Borough of Hammersmith and Fulham.</p> | | | | | | | | | <p>There have been a number of events in the last reporting period; Westminster Bridge 22/03/17. NHS Cyber ransomware attack 12/05/17 Manchester Arena Terrorism incident 22/05/17 London Bridge and Borough Market Terrorism 06/06/17 Grenfell Road response to fire. 14/06/17 Finsbury Park Mosque 21/06/17. Petya Cyber ransomware attack 27/06/17</p> | | | <p>Reviewed at July Strategic Leadership Team at the London Borough of Hammersmith and Fulham. Disaster Recovery Plan review for IT Services</p> <p>A review of Continuity2 software has been arranged to assess if their system would enhance the Council's Service Resilience Planning and Response arrangements.</p> <p>Next scheduled meeting of the LBHF Service Resilience Group Sep 17. Service Continuity Plans reviewed and to be approved by 25 July 17. SRG Terms of reference being reviewed and re-articulated following the multiple recent incidents by 01 August 2017</p> <p>Identify all key Officers suitable for crisis management training and agree a format and delivery vehicle for their training</p> | | | | | |

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| LBHF | ✓ | RBKC | ✓ | WCC | ✓ | OFFICER(S) | 3 | 4 | 12 | ⇒ | 3 | 4 | 12 | ⇒ | 3 | 3 | 9 | To send to Veronica Barella for July update | | | July 2017 | | | | |
| 7 | Information management and digital continuity. | | | | | Management controls | | | | | | | | | | Comments | | | Actions | | | | | | |
| | <p>a) Information created, accessed, handled, stored, protected and destroyed by the service areas and departments across the three partner councils is not managed in compliance with information rights legislation or local policies, e.g. the Data Protection Act 1998, Freedom of Information Act 2000, Environmental Information Regulations 2004 and the Protection of Freedom Act 2011;</p> <p>b) The service areas and departments do not fully understand or manage the risks such non-compliance involves therefore not making informed, risk based decisions;</p> <p>c) Insufficient staff resources, both corporately and departmentally, to mitigate the above risks;</p> <p>d) Potential breach of information rights legislation resulting in a monetary penalty of up to £500,000 plus costs of the staff/ICT resources to remedy the breach and reputational damage to the three partner councils (estimates based on average ICO fines in last 12 months and cost of H&F ICO Undertaking, £100,000 (fine) and £270,000 (staff/ICT resources @ £90,000 per council).</p> | | | | | <p>Veronica Barella, Interim Director of Information and Communications Technology, London Borough of Hammersmith and Fulham</p> <p>Ben Goward Interim Director of Information and Communications Technology, The Royal Borough of Kensington and Chelsea and Westminster City Council</p> | | | | | <ul style="list-style-type: none"> * Shared Services Information Management Board. * Shared Services Information Management Strategy * Shared Services Information Sharing Register * Shared Services Information Management work programme, including the following workstreams: Governance, Information Asset Management, Learning and Development * Shared Services Information Management Toolkit, e.g. Information Governance Checklist, Information Sharing Protocol template, Information Sharing Agreement template, Confidentiality Agreement template * Shared Services Privacy Impact Assessment process. * Shared Services Information Security Policy Framework and Personal Commitment Statement * NET Consent software used by all three boroughs to communicate Information Security Policy Framework to all Information Technology users and capture user acceptance of the Shared Services Personal Commitment Statement. * Offsite Records Storage Service Framework Agreement for three boroughs and their partners (currently H&F and WCC only) * Onsite records storage - records management function delivered by the Corporate Information Governance Team * Sovereign information management and security risk logs, compliance monitoring, incident management and reporting protocols * All three boroughs use the same local authority Retention Schedule * Caldicott Guardians for Adult Social Care and Children's Services * Sovereign Senior Information Risk Owners (SIRO's) * Potential breaches of policy can be treated as a potential disciplinary matter and referred to Human Resources or the Corporate Fraud team for investigation * Head of Information, Strategy & Projects role established in the H&F Information and Communications Technology Service. | | | | | | | | | | <p>* Organizational changes to the delivery of Information and Communications Technology services to the three boroughs occurred in late October/early November 2016. The H&F Information and Communications Technology Service is bedding down as a new sovereign service and future risk reporting arrangements are in the process of being established.</p> <p>* Regular contract monitoring of H&F Information & Communications Technology contracts identified one supplier with potential liquidity concerns. A meeting has been held with the supplier and a plan has been put in place to monitor the situation.</p> <p>* A Working group was established in preparation for the voluntary Information Commissioner's Office Audit of H&F, undertaken in February 2017, now completed and awaiting the results of the Audit.</p> | | | <p>* Shared Services Information Management work programme to be progressed to deliver the Shared Information Management Strategy across the three boroughs.</p> <p>An Internal Audit review of ITC risk management is being undertaken in Q4.</p> | |

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| LBHF | ✓ | RBKC | | WCC | | | | 0 | ↑ | 3 | 4 | 12 | New | 3 | 3 | 9 | To send to Veronica Barella for July update | | | July 2017 | |
| 7 | Information management and digital continuity (continued) | | | | | Management controls | | | | | | | Comments | | | Actions | | | | | |
| | Introduction of the General Data Protection Regulations Fines increasing from up to £500,000 to 10-20m Euros of 2-4% of global turnover, enforced by the Information Commissioners Office on behalf of the European Union | | | | | Project Group has been set up and an Office 365 area designation for driving through the Project. Corporate information Management Board have been alert to this piece of legislation and policies are under review. Project now has a designated Senior Responsible Officer Individual Management Controls have been rolled out previously (see above) these are in place but are actively being reviewed. | | | | | | | Project group covers Risk Management, IT Services and Information Management, Legal, and business areas. IT Services assessing London CIO proposal to engage a third party to drive more efficient working across London councils thereby delivering better VFM. | | | Gap Analysis requested through Internal Audit London CIOs council have commissioned Global Data to develop a package of support and tools for London Councils costing £5,000, LBHF to decide on value of joining Briefing note to BDT Review Privacy Impact Assessment to apply a weighting to the results | | | | | |
| LBHF | ✓ | RBKC | ✓ | WCC | ✓ | | 4 | 4 | 16 | ⇒ | 4 | 4 | 16 | ⇒ | 3 | 3 | 9 | Strategic Leadership Team to review | | | July 2017 |
| 8 | Managing statutory duties. | | | | | Management controls | | | | | | | Comments | | | Actions | | | | | |
| | Non-compliance with laws and regulations. Breach of a duty of care. Non-compliance with Health and Safety at Work. Equalities and Human Rights. Integrated Transport for London Programme (Funding Highways Improvements). | | | | Kim Dero, Interim Chief Executive, London Borough of Hammersmith and Fulham Council. | Capital Programme. Local Codes of Corporate Governance, constitutions and schemes of delegation. Officers codes of conduct. Shared Health and Safety Service between the Royal Borough of Kensington and Chelsea and London Borough of Hammersmith and Fulham Council. Shared Services Incident reporting on-line software. Shared Services training software, Workrite. A separate Health and Safety service is provided in the Housing Service. Legislative changes are adopted and reflected in amendments to the Councils constitutions and budgets allocated through a unified business and financial planning process. Amey now manage a number of statutory and regulatory procedural and record management processes. Statutory returns to, for example, the Food Standards Agency, Health and Safety Executive. | | | | | | | Internal Audit of Organisational Health and Safety undertaken. Internal Audit of LBHF gas safety arrangements undertaken. Corporate Safety Team business plan and audit programme established. Departmental and statutory Corporate Safety committee established and meeting regularly. Regular Health and Safety performance reports to the Management Team. Shared Service Building Compliance Board established. | | | Reviewed at February 2017 Business Delivery Team and Senior Leadership Team, London Borough of Hammersmith and Fulham Capital Programme 2016-2017 to 2018 2019 An Internal Audit review of Housing risk management is being undertaken in Q4. | | | | | |

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| | LBHF | ✓ | RBKC | ✓ | | WCC | ✓ | OFFICER(S) | 3 | | 3 | 9 | ⇒ | 3 | | 3 | 9 | ⇒ | 3 | 3 | 9 | Sent to Sue Redmond and Rachel Wigley for July update | | February 2017 | | | |
| 9 | Standards and delivery of care. | | | | | Management controls | | | | | | | | | | Comments | Actions | | | | | | | | | | |
| | <p>Breach in the standard of delivery of care, caring services and care homes.</p> <p>The Care Act 2014</p> <p>The legal duties and responsibilities of the Local Authority in respect to the protection of children are set out in the Children Act (1989).</p> <p>Child Protection (CP) involves the identification and multi-agency assessment of the care provided to children and young people who may be at risk of harm from their parents or carers, together with the development of a plan to reduce the risk of harm to those children by the coordination and provision of services. Child protection also requires the continuous monitoring of the effectiveness of this plan, and prompt action to seek legal advice to consider the removal of children via the application for a court order in those circumstances where the level of risk cannot be satisfactorily mitigated.</p> | | | | | <p>Lisa Redfern Director of Adult Social Care</p> <p>Steve Miley Director of Childrens Services</p> | | | | | <p>Safeguarding Adults Executive Board Annual Report to Committees. Adults Safeguarding Strategy 2016- 2019</p> <p>Multi-Agency-Safeguarding-Hub (MASH), The purpose of a Multi-Agency Safeguarding Hub (MASH) is to gather information from various professionals in order to make a brief assessment of a child and/or a family, or an adult, who is at risk of harm, to ensure their immediate safety and meet their welfare, or care and support needs.</p> <p>Local Safeguarding Children Board (LSCB) Annual Report The publication of such a report is a requirement following statutory guidance.</p> <p>Child Protection Report of the Director of Family Services. Royal Borough of Kensington and Chelsea.</p> <p>Insurance cover in place in the event of a claim for a breach of duty of care. Legislative changes are adopted and reflected in the Councils constitutions. Contract monitoring includes assessment of quality of standards of care. Regular Chartered Institute of Purchasing and Supply meetings brings together commissioners, operational, safeguarding and Care Quality Commission staff to discuss and detect breaches in quality of care. Budget allocation is made through a unified business and financial planning process.</p> | | | | | | | | | | <p>The Safeguarding Adults Executive Board is operating under Schedule 2 of the Care Act 2014, and overseeing the statutory duties of conducting Safeguarding Adult Enquiries (Section 42) and Safeguarding Adults Reviews (Section 44). The Board is required to report on progress on its strategic priorities, and particularly, on the work it has carried out reviewing deaths and serious harm, of people with care and support needs, as a result of abuse and neglect, and where agencies may have worked better together to prevent harm or death.</p> <p>There have been 22 safeguarding alerts raised related to home care provision in RBKC since August 2016; 11 against MiHomecare and another 11 against Mears.</p> | | | <p>LBHF Service Improvements following Ofsted Inspection of Services for Children in need of help and protection, children in care and care leavers. Report of the Director of Family Services. Ofsted's overall conclusion was that Children's Services in Hammersmith & Fulham are good.</p> | | | |

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| LBHF | ✓ | RBKC | ✓ | WCC | | OFFICER(S) | 3 | 4 | 12 | ⇒ | 3 | 4 | 12 | ⇒ | 3 | 3 | 9 | Strategic Leadership Team to review | | February 2017 | | | | | |
| 10 | Failure of partnerships and major contracts. | | | | | Management controls | | | | | | | | | | Comments | | | Actions | | | | | | |
| | Loss of grant, non-delivery of objectives, service continuity to the client is of primary importance in these cases. | | | | | Kim Dero, Interim Chief Executive, London Borough of Hammersmith and Fulham Council. Barry Quirk Managing Director, The Royal Borough of Kensington and Chelsea. Charlie Parker, Chief Executive, Westminster City Council. | | | | | Contract Standing Orders, Regulations and Financial Procedure rules. Directors are responsible for ensuring a contractor's financial viability. Significant Tenderers are to be asked to provide copies of their latest audited accounts or other evidence of their financial standing. For the Royal Borough these should be forwarded to Brookes Bates with an order for the standard report requesting a statement on the tenderer's risk of financial failure, its financial strength and an assessment of whether the candidate is suitable to be awarded the contract. For Hammersmith and Fulham Council the Corporate Finance Team provide this service. All reports should be stored on capitalEsourcing. Contractor liquidity checking through Creditsafe. The Royal Borough have an Organisations in Difficulties Procedure should a Grant aided organisation encounter financial or other pressures. Shared Services Board. The Link Intelligent Client Function (ICF) manages the AMEY Total Facilities Management contract but a London Borough of Hammersmith and Fulham Risk and Compliance Manager has been seconded to review FM functions. Procurement and commissioning is undertaken through CapitalEsourcing software, to hold contract information and provide a workflow for the procurement process. | | | | | | | | | | LBHF undertake periodic checking of contractors liquidity. Credit safe is now embedded in capitalEsourcing thus enabling the Royal Borough access to credit checking along with WCC. LBHF have served notice to terminate the agreement with the Link for the management of the TFM contract. LBHF Joint Venture for ICT formerly the HF Bridge Partnership has successfully transferred back into Council ownership. | | | Reviewed at February 2017 Business Delivery Team and Senior Leadership Team, London Borough of Hammersmith and Fulham | |

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| | | | | | | | | | | | | | | | | | | | | |
| LBHF | ✓ | RBKC | ✓ | WCC | | 3 | 4 | 12 | ⇒ | 3 | 4 | 12 | ⇒ | 3 | 3 | 9 | Strategic Leadership Team to review | | | |
| 11 | Increase in complexity of working with partners. | | | | Management controls | | | | | | | | | Comments | | | Actions | February 2017 | | |
| | Working with the National Health Services, Clinical Commissioning Groups, Police, General Practitioners., 3BM and Epic CIC Public Service mutuals. | | | | <p>Information sharing protocols and agreements. Members scrutiny of partners risk management is undertaken by the Scrutiny Committees at the Royal Borough of Kensington and Chelsea and Policy and Accountability Committees at LBHF.</p> <p>London Borough of Hammersmith and Fulham Joint Health and Wellbeing Strategy 2016-21</p> <p>North West London Sustainability and Transformation Plan. Sustainability and transformation plans (STPs) were announced in the NHS planning guidance published in December 2015 as a vehicle to support the delivery of the Five Year Forward View. The NHS and local authorities across North West London have agreed to work together to deliver a better health and care system. Patient groups and other stakeholders have been involved in developing the plan. The North West London Plan describes the shared ambition of partners across health and local government to create an integrated health and care system that enables people to live well and be well.</p> | | | | | | | | | At its meeting in March, the King's Fund Chief Executive Chris Ham facilitated a discussion with the Health and Wellbeing Board about place-based systems of care and the solution they offer to the challenges facing the local health and care system. At that meeting the Health and Wellbeing Board considered the progress made by Health and Wellbeing Boards to date nationally, the changing needs of the Hammersmith & Fulham population and a suggested framework and timeline for refreshing the Joint Health and Wellbeing Strategy in 2016. The Health and Wellbeing Board approved the framework and timeline for a new 5-year strategy. | | | | | | |
| | <p>Kim Dero, Interim Chief Executive, LBH&F.</p> <p>Lisa Redfern, Director of Integrated Care, LBH&F.</p> <p>Barry Quirk Managing Director, The Royal Borough of Kensington and Chelsea.</p> <p>Charlie Parker, Chief Executive, Westminster City</p> | | | | | | | | | | | | | | | | | | | |
| LBHF | ✓ | RBKC | | WCC | | 3 | 4 | 12 | ⇒ | 3 | 4 | 12 | ⇒ | 3 | 3 | 9 | Strategic Leadership Team to review | | | |
| 12 | Decision making and maintaining reputation and service standards. | | | | Management controls | | | | | | | | | Comments | | | Actions | July 2017 | | |
| | <p>Corporate Governance of the Council(s);</p> <p>- insufficient notice to Officers providing input on implications (Legal, Financial, Procurement, Risk , IT) in Committee reports from report writers.</p> <p>- Pre-determination of policies or contract reviews.</p> <p>- Breach of Officer or Member code of conduct.</p> <p>- Breach of Information Security or Governance or Confidentiality leading to Information Commissioner review.</p> <p>- Ombudsman, Ofsted, External Audit, The Care Quality Commission reviews and reports.</p> <p>- Poor quality data internally or from third parties.</p> | | | | <p>The Constitution of the Council(s). Annual Governance Statement. Executive and Director's Management Assurance Statements. Risk Management arrangements in Services. Feasibility studies and options appraisals. Members induction programme. Capacity building of I.T. and Staff. Business planning and performance management and information. Complaints and compliments reviews reported to Committees. Reports of the Council's Monitoring Officer.</p> | | | | | | | | | <p>A review of this years evidence for the Annual Governance Statement 2016 2017 has yet to consider the Head of Internal Audit Statements that is normally produced after year end.</p> <p>Corporate Risk Management compliance has been reviewed by Internal Audit in January 2017 and was assessed as satisfactory.</p> <p>Executive Directors and Directors Management Assurance Statements have been issued and all returns considered for the 2016 2017 Annual Governance</p> | | | <p>Review at July Business Strategic Leadership Team, London Borough of Hammersmith and Fulham.</p> <p>Corporate Governance reviews undertaken by Internal Audit are awaited to contribute to the Council's Annual Governance Statement self-assessment.</p> | | | |
| | <p>Kim Dero, Interim Chief Executive, London Borough of Hammersmith and Fulham Council</p> | | | | | | | | | | | | | | | | | | | |

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| LBHF | ✓ | RBKC | | WCC | | 4 | 4 | 16 | ⇒ | 4 | 4 | 16 | ⇒ | 3 | 3 | 9 | Updated by Andy Hyatt for July update | | | July 2017 | |
| 13 | Failure to identify and address internal and external fraud. | | | | | Management controls | | | | | Comments | | | | Actions | | | | | | |
| | <p>Potential exploitation of Managed Services Agresso systems during implementation and towards business as usual delivery.</p> <p>(Links to risk number 7, perceived threats and vulnerabilities in association with Cyber-crime activities)</p> <p>Employee related Tenancy and Housing (incl Right to Buy) Benefits (Legacy cases) Concessionary travel and Blue Badge Parking fraud Theft of assets (incl cash theft) Bribery, Contract/Procurement</p> | | | | <p>Hitesh Jolapara, Strategic Finance Director, London Borough of Hammersmith and Fulham.</p> <p>Steve Mair, City Treasurer, Westminster City Council</p> <p>Kevin Bartle, Director of Finance, The Royal Borough of Kensington and Chelsea.</p> | <p>The Council's Anti-Fraud and Corruption Strategy is aligned to the national strategy, Fighting Fraud and Corruption Locally. Shared Services Corporate Fraud function. Risk assessment is used to assist in targeting fraud and for workload prioritisation.</p> <p>Fraud Resilience Action Plan 2017/2018 which includes the Fraud Resilience Triangle: Fraud Risk Register, Pro-active work programme and Reactive referrals to increase the likelihood of identifying fraud. Review of Corporate Anti-Fraud Performance at Management Team meetings. Data Analytics – the service have begun to conduct regular reviews of data using data analytic tools, including Benford's Law trend analysis, to identify areas of potential risk. Participating in the National Fraud Initiative, as well as offering counter fraud tools to frontline services to prevent fraud entering the system. Whistleblowing policy, Bribery policy, Officer Codes of Conduct. Procurement teams have attended Counter Fraud training.</p> <p>Internal Audit review 2016-2017 of the Shared Corporate Anti-Fraud Service was assessed as satisfactory.</p> <p>E-Learning suite of fraud awareness training modules has been completed and publicised via the Corporate Anti-Fraud Service quarterly newsletter Fraud In Brief.</p> | | | | <p>The Shared Services Corporate Anti-Fraud Service (CAFS) implements a counter fraud and corruption strategy which is supported by a policy framework.</p> <p>Plans and operations are aligned to the strategy and contribute to the overall goal of maintaining resilience to fraud and corruption. The service employ a mixture of reactive and pro-active techniques to combat fraud, including subscription to national initiatives such as the National Fraud Initiative and the National Anti Fraud Network.</p> <p>The service reports regularly to Audit Committees on performance against the counter fraud strategy and the effectiveness of the strategy.</p> | | | | <p>The Fraud Resilience Plan 17/18 places greater emphasis on the pro-active work programme and focus on the completion of this programme remains on track. There was some slippage in Q1 due to resources but this should be recovered by the end of Q2.</p> | | | | | | | |

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| LBHF | ✓ | RBKC | | WCC | | 4 | 4 | 16 | ⇒ | 4 | 4 | 16 | ⇒ | 3 | 3 | 9 | Updated information Via Moira Mackie, George Lepine and John Quinn | | | July 2017 |
| 15 | Managed Services | | | | | Management controls | | | | | | Comments | | | Actions | | | | | |
| | Financial and Human Resources Managed Services Systems | | | | Senior Responsible Officer Kim Dero, Interim Chief Executive Sponsors Hitesh Jolapara, Strategic Finance Director, Mark Grimley Director of Human Resources. London Borough of Hammersmith and Fulham | London Borough of Hammersmith and Fulham, Update reports have been provided to the Finance & Delivery Policy & Accountability Committee and Audit, Pensions and Standards Committee. Programme Stabilisation Plan. Intelligent Client Function. | | | | | | Entry made on 2016 2017 Annual Governance Statement | | | Planned Internal Audit Programme of Key Financial Systems to take place in 2017 2018. HR – Recruitment & Selection HR: Absence Management MS: Intelligent Client Function MS: Budgetary Control and Financial Management MS: General Ledger MS: Income Management MS: Benefits Management MS: Payroll MS: Accounts Payable MS: Accounts Receivable VAT IT Audit -: MS Systems Development Lifecycle (IT) MS: Organisational Structure MS: Manual payments MS: Journals | | | | | |

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| LBHF | ✓ | RBKC | | WCC | | | | 0 | ⇒ | 4 | 5 | 20 | New | 1 | 3 | 3 | RISK RAISED by Chief Executive June 2017 | | | June 2017 |
| New | Compliance with Statutory Assessments (Housing and non-Housing Property) | | | | Management controls | | | | | | | | | | Comments | | | Actions | | |
| | <p>The council has been undertaking extensive reviews of health and safety risk assessment processes given the added impetus of the fire at Grenfell Tower. These reviews have highlighted weaknesses in record keeping and in providing assurance that the council is meeting its statutory requirements covering risk assessments.</p> <p>Current regulatory requirements are not, in themselves, adequate in ensuring the highest fire safety standards are met and that more detailed assessments are required beyond the statutory minimum.</p> <p>The Council and responsible persons will be liable to prosecution if inadequate arrangements are in place (relating to risk assessments for fire, asbestos, water/ legionella, electrical, gas and plant equipment across the range of buildings it owns, leases and commissions services from) and people are placed at risk of death or injury. Equally any one carrying out statutory assessments for the responsible person has the same liability. The legal responsibility for the ensuring appropriate arrangements and assessments are in place cannot be delegated.</p> | | | | <p>Kim Dero, Interim Chief Executive and SLT members including: Jo Rowlands Lead Director of Regeneration, Planning and Housing Services Jane Martin Director for Property Services (Housing) Maureen McDonald Khan Director for Building and Property Management (Corporate Property) Nick Austin Bi-Borough Director for Environmental Health (Health and Safety)</p> | | | | | | | | | | <p>The Task Force is ensuring the right policies, practices and contracts are in place to meet the council's ambition to go beyond the duties required of us, for our residents, businesses that occupy commercial premises, providers of services to the Council and our staff.</p> <p>The Task Force provides monthly reports to the Strategic Leadership Team on progress to ensure appropriate action is being taken and quarterly reports will be provided to the Audit Pensions and Standards Committee.</p> | | | <p>The Task Force continues to review the actions being implemented to ensure that improvement areas identified are addressed and reporting on compliance is embedded across the Council, giving assurance to SLT and Members.</p> | | |

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| LBHF | ✓ | RBKC | | WCC | | | | 0 | ⇒ | 4 | 5 | 20 | New | 1 | 3 | 3 | RISK RAISED by Chief Executive June 2017 | | June 2017 | | |
| New | Co-ordination and response to calls on the Council for Mutual Aid in a crisis | | | | | Management controls | | | | | Comments | | | | | Actions | | | | | |
| | The Council did not have a set of themed response plans that provided guidance on assessing and then handling impacts of delivering support to a neighbouring area. | | | | Alistair Ayres, Head of Emergency Services | We have a Service Level Agreement with London Local Authority Control that should it be deemed necessary that the Council can request mutual aid. Mutual aid will be; Resources (Unique skilled Officers), equipment and direction. There is a protocol in place that determines a responsible person for example the Chief Executive to activate a call for mutual aid. | | | | | Areas that were in the need of review identified by the Service Resilience Group were; Accepting, processing and storing gifts and donations. Procedures for the accepting, processing and secure storage of cash donations. | | | | | Review of lessons learned following recent multiple incidents in London being undertaken by Emergency Services Team. Service resilience group meeting in September will have the multiple incidents as an agenda item for corporate discussion. | | | | | |
| LBHF | ✓ | RBKC | | WCC | OFFICER(S) | | | 0 | ↑ | 4 | 4 | 16 | New | 2 | 3 | 6 | | | July 2017 | | |
| New | Change Readiness | | | | | Management controls | | | | | Comments | | | | | Actions | | | | | |
| | As the Council designs and implements new ways of working in relation to Moving On and Smarter Working 2 there is a risk that the organisation is not ready for change or resistant to change delaying the benefits realisation of the change required. | | | | Mark Grimley, Director of Human Resources & Organisational Development | Programmes should undertake an assessment of readiness and build in communications and engagement streams. the use of staff surveys, consultation and engagement events and post-implementation learning to be fed back to corporate boards. | | | | | This is a new risk for July 2017. | | | | | Consistant Change Management Methodology to include change methods and engagement / stakeholder maangement approaches | | | | | |

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| LBHF | ✓ | RBKC | | WCC | | | 0 | ↑ | 4 | 4 | 16 | New | 2 | 3 | 6 | | | | October 2017 and then March 2018 | | |
| New | Recruitment and retention | | | | | Management controls | | | | | Comments | | | Actions | | | | | | | |
| | Recruitment and retention of the best staff becomes a challenge resulting in higher agency costs, lower productivity and higher turnover of staff, in turn resulting in lower performance in delivery. | | | | Mark Grimley, Director of Human Resources & Organisational Development | Management of Moving On resourcing requirements with improved candidate experience to quickly cover gaps identified in new structures. People Strategy to cover longer-term approach to the recruitment and retention of staff, including creating attractive workplaces, smarter working 2, and developing our own. | | | | | This is a new risk for July 2017. | | | Development of short-term Moving On R&R approach / Development of longer-term people strategy | | | | | | | |
| LBHF | ✓ | RBKC | | WCC | | | 0 | → | 2 | 4 | 8 | New | 1 | 1 | 1 | | | | July 2017 | | |
| New | Moving on Programme | | | | | Management controls | | | | | Comments | | | Actions | | | | | | | |
| | Failure to deliver objectives of "Moving On" programme to meet organisational priorities and ensure continuity in service to residents and stakeholders. | | | | Sarah Thomas, Interim Director of Delivery and Value | Corporate governance arrangements, including refreshed Change Board, being tasked with oversight. Regular internal comms, including email updates from Kim Dero. | | | | | New Strategic Leadership Team Members announced: 28 July 2017 Steve Miley, Director of Children's Services Lisa Redfern, Director of Adult Social Care Rachel Wright-Turner, Director of Public Services reform •Mark Grimley, Director of Human Resources | | | | | | | | | | |
| Further items are covered in the exempt appendix | | | | | | | | | | | | | | | | | | | | | |