

Appendix 1



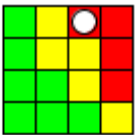
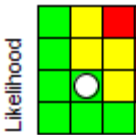
Department of Community and Children's Services Detailed Risk Register

Rows are sorted by Risk Score

Risk no, Title, Creation date, Owner	Risk Description (Cause, Event, Impact)	Current Risk Rating & Score		Risk Update and date of update	Target Risk Rating & Score		Target Date	Current Risk score change indicator
DCCS PE 002 Failure to deliver expansion of Sir John Cass Foundation Primary School to 2 form entry in September 2016 11-Jun-2015 Ade Adetosoye	Cause Expansion not delivered Event Building project not completed Effect Lack of first choice school places for City children		24	Efforts are still ongoing to achieve the expansion but there has been little progress due to difficulties in engaging with all parties. 18 Jan 2016		2	31-Mar-2016	↔ No change

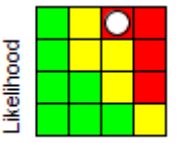
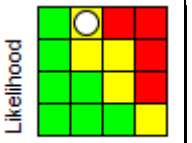
Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS PE 002a Tripartite meetings	Tripartite meetings take place between the Sir John Cass Foundation, Sir John Cass Foundation School Board of Governors and the City of London have taken place but no further meetings have been scheduled.	Tripartite meetings have been held to discuss options for delivering additional school places. These meetings have been suspended due to the non attendance by representatives of the Sir John Cass Foundation.	Chris Pelham	25-Nov-2015	31-Mar-2016
DCCS PE 002b Discussions with Comptroller and City Solicitor	Efforts to engage with parties to the negotiation continue	This issue is still with the Comptroller and City Solicitor and efforts to engage with all parties are continuing. Revised completion date of 31 March 2016	Chris Pelham	18-Jan-2016	31-Mar-2016

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DCCS CP 002 City of London Community Education Centre - site redevelopment 22-Jan-2016 Neal Hounsell	Cause Redevelopment of the site occupied by the City of London Community Education Centre Event Adult and community Learning service have to vacate the site Impact Unless new premises are found adult and community learning delivery may be curtailed	 Likelihood	16	New Risk 25 Jan 2016	 Likelihood	4	31- Dec 2016	New risk

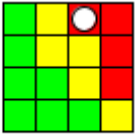
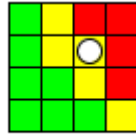
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DCCS CP 002a	The site of the City of London Community Education Centre (COLSCEC) on Golden Lane is likely to be redeveloped. New premises for the delivery of community learning will need to be identified and the service re-located.	The search for new premises has commenced. Initially other education providers will be approached and discussions with the City Library Service will take place.	Neal Hounsell	25-Jan-2016	31-Jan-2017

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DCCS HS 002 Failure to carry out and review effective Fire Risk Assessments for more than 5000 units of residential accommodation and a number of commercial units 14-Jan-2016 Paul Murtagh	Cause Fire Risk Assessments for managed properties not carried out effectively Event Fires do occur from time to time. Effective Assessments reduce the risk and identify if any changes to procedures or maintenance regimes that need to be introduced Effect Fires can lead to significant property damage and potential loss of life	 Likelihood Impact	16	New top X Health and Safety risk 25 Jan 2016	 Likelihood Impact	8	31-Mar-2017	New risk

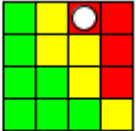
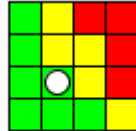
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DCCS HS 002a	Consultant to carry out new fire risk assessments to all managed properties.	Consultant to be appointed and work plan agreed by end of March 2016	Paul Murtagh	22-Jan-2016	31-Mar-2016
DCCS HS 002b	Training to be provided to Housing staff to carry out and review effective fire risk assessments	Training to be provided to staff. This will be carried out by a training provider yet to be identified.	Paul Murtagh	22-Jan-2016	31-Dec-2016

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DCCS HS 003 Lone Working 14-Jan-2016 Paul Murtagh	Cause Staff working on their own in isolated locations or visiting residents or clients homes Event Staff suffer verbal abuse, physical attack or are an accident victim Effect Harm or serious injury to staff	 Likelihood	16	New Top X health and safety risk 25 Jan 2016	 Likelihood	12	31-Mar-2017	New Risk

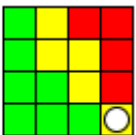




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DCCS HS 003a Sky Guard Review	A review of the current Lone worker protection device is in progress. Some staff report connectivity problems. At the finish of the review a decision will be taken to continue or to investigate a different solution	A review of current devices has commenced. A list of devices in service and their renewal dates is being collated. A survey of users to check if there are any issues with the devices will begin once the information on current devices has been finalised. Depending on the outcome of the review a new solution may have to be identified.	Harshita Bahri	21-Jan-2016	30-Jun-2016
DCCS HS 003b Lone Working Procedures	Not all staff are working in compliance with the departmental lone working procedures. These will be reviewed to check why they are not being implemented by all staff and reviewed if appropriate. Compliance with new procedures will be monitored by managers and the quarterly Health and Safety Committee. It is anticipated that monitoring information will be available from Skyguard or the replacement system.	A review of skyguard has commenced and procedures will be reviewed based on the outcome of the review.	Harshita Bahri	25-Jan-2016	30-Sep-2016

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DCCS PE 003 Early Help - Referrals and completion of Common Assessment Frameworks (CAFs) 26-Jan-2016	<p>Cause Obstacles in place which reduce referrals to the Early Help Service</p> <p>Event Reluctance of partners to refer to Early Help and initiate CAFs</p> <p>Effect Low compliance with agreed Early Help Procedures</p>	 <p>Likelihood</p>	16	<p>Action to be taken to increase awareness of the Early Help Service, to improve referral levels and the numbers of CAFs initiated and overall compliance with Early Help procedures. This will support a shift from crisis intervention to prevention.</p> <p>26 Jan 2016</p>	 <p>Likelihood</p>	4	30 –Apr-2016	New risk

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS PE 003a Consult partners regarding low compliance with Early Help procedures to address low compliance	Consult Partners - workshop to be held with multi agency partners 3 February	Workshop being planned to assess the current obstacles to referring for Early Help and reluctance of partners to complete CAFs	Chris Pelham	26-Jan-2016	29-Feb-2016
DCCS PE 003b Develop simple distance travelled tool	The aim of the tool is to provide clear and easily accessible evidence that demonstrates the difference Eh services have made to children, young people and their families.	Early Help workers have been asked to develop their own tool	Chris Pelham	26-Jan-2016	30-Apr-2016

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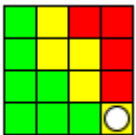
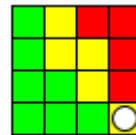

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CR17 Safeguarding 22-Sep-2014 Ade Adetosoye	Cause: Not providing appropriate training to staff, not providing effective management and supervision, poor case management Event: Failure to deliver actions under the City of London' safeguarding policy. Social workers and other staff not taking appropriate action if notified of a safeguarding issue Effect: Physical or mental harm suffered by a child or adult at risk, damage to the City of London's reputation, possible legal action, investigation by CQC and or Ofsted	Likelihood  Impact 	8	Work is still ongoing to raise awareness of safeguarding 18 Jan 2016	Likelihood  Impact 	8	31-Mar-2016	 No change

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
CR17b Work with HR to develop training and programmes to support staff	Develop safeguarding e-learning modules and enable staff to access advice and assistance	The majority of staff have undertaken the e-learning modules. Outstanding training will be completed by end of December to include new staff who have joined the Department. This training has been added to the list of Mandatory training for DCCS staff	Chris Pelham	25-Nov-2015	31-Mar-2016
CR17f Review of City of London Safeguarding Policy	A review of the City of London Safeguarding Policy will be undertaken with the involvement of the Departmental Safeguarding Champions	Completed - revised policy agreed at Safeguarding sub committee and launched at Safeguarding Champions meeting in December	Chris Pelham	18-Jan-2016	31-Dec-2015
CR17g Preparation for Inspection of Children's Services and Ofsted Inspection Framework	Work is ongoing to prepare for an Ofsted Inspection of Children's Services. Concerns have been raised by The Society of Local Authority Chief Executives (SOLACE), Local Government Association (GLA) and Association of Directors of Children's Services (ADCS) about the current Ofsted inspection framework regarding the lack of flexibility and understanding of local demographics and service needs. No Local	An update on the Corporate Safeguarding Policy was presented to the Safeguarding sub-committee on 25 September 2015. New guidance on the Thresholds of Need has been promoted and issued to staff and partners, Training sessions for DCCS staff are on-going.	Chris Pelham	25-Nov-2015	31-Mar-2016

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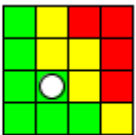
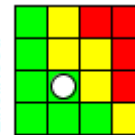

	Authority has been assessed as outstanding since the inspection framework was revised almost 2 years ago.				
CR17h Evaluation of Notice the Signs – awareness raising campaign	Evaluation of Notice the Signs – awareness raising campaign	Completed. An evaluation of the Notice the Signs campaign was presented to the City of London Safeguarding sub-committee of the Community and Children’s Services Committee stating the campaign’s impact has been significant and resulted in increased numbers of safeguarding alerts	Chris Pelham	25-Nov-2015	31-Oct-2015
CR17i New London wide Adults Safeguarding Procedures agreed	Procedures to be formally adapted and training provided	New London wide Adult Safeguarding procedures have been published. These will be formally adopted at the next City and Hackney Adults Safeguarding Board. Training for multi agencies using the new procedures will be delivered in the period January to March 2016-	Chris Pelham	18-Jan-2016	31-Mar-2016
CR17j Promoting role of Local Authority Designated Officer (LADO)	Raising awareness of the LADO role with Members and partners	The LADO investigates allegations made against staff, including volunteers, that call into question their suitability to work with or be in a position of trust with children. In order to raise awareness of the role a LADO report was presented to the Safeguarding sub- committee on 25 September 2015. The report was also presented to the Boards of Governors of the City schools and to other committees with public facing surfaces such as the Culture, Heritage and Libraries committees. Other work the LADO is involved in includes training on safer recruitment which will take place in February and March 2016 and highlighting issues around private fostering. Guidance is being reviewed and reprinted.	Chris Pelham	18-Jan-2016	31-Mar-2016

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DCCS 001 Departmental emergency response 22-Jan-2016 Neal Hounsell	Cause Residents and/ or city workers being unsupported in a major emergency Event A major emergency being declared Effect Evacuated residents or city workers have nowhere to go following an incident, adverse media coverage.	 Likelihood	8	Meeting of the Humanitarian Assistance Working Group continue. A Humanitarian Assistance plan is in draft for approval at the next meeting in March 2016 25 Jan 2016	 Likelihood	8	31-Mar-2016	 No change

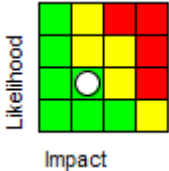
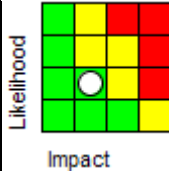

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DCCS 001a Humanitarian Assistance Working Group (HAWG)	The HAWG has representation from DCCS, other departments including Town Clerks and City of London Police. The Group will meet quarterly. The terms of reference for the HAWG were discussed at the July meeting and will be agreed at the September 2015 meeting.	The HWG planned for January 2016 had to be cancelled this has now been rescheduled for March 2016	Sharon McLaughlin	22-Jan-2016	28-Mar-2017
DCCS 001b Chamberlain representation on HAWG	At the July meeting of the HAWG it was agreed that the group needed representation on the group to discuss financial assistance in both local and major emergencies and to discuss access to procurement team out of hours.	The Head of Finance unit 4 will be attending future meetings. First meeting March 2016	Sharon McLaughlin	22-Jan-2016	31-Mar-2016
DCCS 001c Revised Humanitarian Assistance Plan	New Humanitarian Assistance Plan	A draft plan has been provided to the HAWG for comment. Final version to be agreed at March 2016 meeting.	Sharon McLaughlin	25-Jan-2016	11-Mar-2016

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DCCS CP 001 Commissioning & Partnerships 22-Jan-2016 Neal Hounsell	Cause Financial loss Event Internal Audit recommendations not implemented effectively Effect Implications for departmental budget, HR action if staff implicated.	 Likelihood	4	Audit reports continue to be followed up and the implementation of recommendations monitored. Evidence of implementation is now required before recommendations are closed. The Business Support Manager monitors progress 22 Jan 2016	 Likelihood	4	31-Mar-2016	 No change

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS CP 001a Audit reports and recommendations review	Audit reports and recommendations are reviewed at quarterly Departmental Leadership Team meetings	A review of recommendations which are still open on the audit recording system is underway. Evidence of implementation is being provided to the audit team to enable these to be closed. Audits continue as planned and recommendations reviewed and implemented as appropriate.	Sharon McLaughlin	22 January 2016	31-Mar-2016

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DCCS HS 001 Health and Safety procedures 13-Nov-2014 Paul Murtagh	Cause: Failure to meet Health and Safety regulations and City of London procedures within the department and on the properties and estates managed by the Housing Division Event: Accident or fire in property or estates managed DCCS leading to harm / injury to staff member, resident or visitor Effect: Injury to person/s on property or estates managed by DCCS, possible adverse media coverage, external investigation into incident and potential claims for compensation.		4	Work plan for Health and Safety Manager agreed 22 Jan 2016		4	31-Mar-2017	 No change

Action no, Title, Owner	Description	Latest Note	Managed By	Latest Note Date	Due Date
DCCS HS 001c Implement agreed work plan addressing Top X and other risks	Work plan for Health and safety Officer has been agreed and will be reviewed at quarterly departmental health and safety meetings	Work plan agreed and 2 top X health and safety risks identified. Work to address these top X risk - fire safety assessments and lone working has commenced.	Paul Murtagh	22-Jan-2016	31-Mar-2017
HS 001a Appointment of new health and safety manager	An experienced Health and Safety Manager is required.	Completed - New postholder has been appointed..	David Padfield;	20-Aug-2015	14-Aug-2015
HS 001b Priority and work plan for new Health and Safety Manager to be drawn up and agreed	Priority and work plan will identify key tasks for new Health and Safety Manager which will take into consideration the accident record for the department to ensure priority areas are addressed.	Completed - a work plan has been agreed and 2 top x risk assessments (Fire risk assessments and lone working) have been agreed with actions to mitigate the risks agreed. The action plans will be monitored at quarterly Health and Safety meeting	David Padfield	21-Jan-2016	30-Sep-2015