

Appendix 1

Risk No	Risk Description	Likelihood	Impact	Overall Risk Rating	Owner	Consequence if risk is realised	Mitigation/action points
1	Finance: contract envelope proves insufficient to support the full delivery within each year .	High	High	9	GB	Only able to deliver the essential requirements. HWCOL will not be able operate and deliver the full range of contracted obligations resulting in a Poor Performance Notice and loss of contract. HWCOL may not be able to undertake reviews of service lapses identified by users and provide the scrutiny required . May be in breach of statutory obligations and may be dissolved. Trustees may be in breach of their obligations and sustain personal or professional impact. People of City of London do not get adequate service due to inability to respond to all requests for participation in consultations , events and meetings. Poor monthly cash flow making it difficult to make down payments on items and services for delivery purposes or attend to any unanticipated expense putting operational activities at risk.	Ensure that good financial controls are in place, creation of Finance Sub Committee to develop annual budget and over see and monitor financial position. Produce quarterly management accounts and annual unaudited accounts report in accordance with SORP. Work closely with CoL to develop annual budget and advise when the financial envelope cannot meet demands or, when requested activities exceed financial envelope. Create joint understanding with CoL on expectations; prioritising areas of work that meet contractual agreements and enable HWCOL to scrutinise services as required and requested by users. Ensure the HWCOL team only commits to activities that can be delivered within the known financial envelope. With CoL undertake an annual review of objectives and KPIs to create a deliverable plan. Work with CoL identify risk of loss of continued accommodation in kind. Finance Sub-Committee will (1) review Financial Policies and Procedures and recommend amendments to the Board where necessary to ensure that they are workable in practice and consistent with the Committee's Terms of Reference and (2) monitor both day to day compliance and regulatory compliance. A formal escalation process put in place for early advice to Board and CoL where remedies are required. Implement Performance Framework using HWE Quality Framework as per the agreement with commissioner to enable monitoring of performance and provide evidence. Develop business plan and work plan that gives oversight of the obligations and requirements to the board and identifies when activities exceed capacity; agree plan with CoL. Review requirements and prioritise statutory work. Work closely with other agencies and partners to sustain City voice, joining efforts and resources to maximise impact . Ensure that there is close working with other local Healthwatches to maximise resources and staff time. In partnership with the CoL and HWE regularly review the ability to deliver the contract within current resources and timeframes. Create close working relationship with CoL and HWE to enable prioritisation of activities. Ensure performance regime is deliverable and that KPIs are deliverable within financial envelope and timeframes. Ensure staff and volunteers are
2	Contractual obligations: are too onerous for staff and Trustees to deliver within the current capacity and timeframes.	High	High	9	GB	Unable to deliver objectives or meet plan within contracted timeframes, which may reduce the voice of people of city of London and impact on participation and influence as well as credibility as trusted organisation. May result in loss of staff .	Permanent base for 3 days a week has been secured for a year from which to deliver contract. First year free from CoL but only provides for three days a week. Explore longer term solution with CoL , focusing on the Aldgate development . Tap into new CoL VCSE network for further accommodation solutions. Review peripatetic working solution if accommodation 'in kind' provision is reviewed. Explore accepting BEO office offer . Ensure close working with CoL to keep abreast of developments and changes and across the Portsoken estate including the 'Guinness' development plans. Develop a strategy that reaches out to where people are and not bring people into the centre.
3	Lack of access to long term suitable and accessible accommodation impacts on the ability to deliver the contract. Accommodation changes and delays due to redevelopment of Portsoken site put further pressure on the organisation .	High	High	9	AL	Lack of clarity on the post September 2020 solution may impact negatively on the organisation's ability to function, forecast and to use resources prudently. It may result in lack of organisational cohesion, with no visible base for users. Portsoken location may deter engagement with residents in the North and West of the City. Resources and access may not be sufficient to deliver the contract e.g. access to WIFI. Additional accommodation charges, business rates and utility bills could impact negatively on finances and reduce the contract deliverables.	Regularly review organisational objectives and contracted activities. Develop recruitment plan to meet target number of Trustees and increase ABMs to ensure workload can be more evenly distributed across volunteers. Recruitment of additional volunteers to help support the organisation using a strong and focused plan. Develop strategy for recruitment of Trustees and volunteers, that reflects the local population and seldom heard groups. Use of time credits to encourage recruitment and volunteering. Ensure volunteers are clear on roles and requirements and feel they are making a difference. Ensure adequate training and support is in place for Trustees and volunteers. Bespoke recruitment for discreet pieces of work, and further development of ABM role. Work with partner organisations to maximise time of volunteers. Clarity on prioritisation of activities and the support and training given.
4	Trustee and Volunteer Recruitment and Retention: Inability to recruit Trustees to meet requirements of constitution , reflect the local population and meet the contractual requirements .	High	High	8	LS	CIO may become inquorate and not able to comply with the rules laid down in the constitution. Lack of volunteers may result inability to demonstrate local engagement and participate in all the required activities. Trustees and ABMs may be required to undertake additional work as result of lack of staff or competing priorities and must dos. May lead to loss of Trustees and volunteers due to overwork or an inability to commit the time required to achieve all objectives and obligations. The organisation will lose direction and strategic impact. Organisation's delivery becomes unsustainable due to the lack of resources to recruit and manage adequately volunteers. Volunteer numbers is a KPI and lack of recruitment could impact on delivery of the contract. Note that additional volunteers requires additional commitment to ongoing support which can	Use of Trustees and volunteers as an interim solution. Review roles and salaries depending on volume and standard of applications. Implement volunteer strategy and widen use of the volunteers Will require supervision from trustees during induction of new salaried staff and may need to consider how this is remunerated given constitution. Consider interim paid positions. Consider their role of the new admin assistant to support other work during transition.
6	Inability to recruit new staff: Roles are not attractive enough or sufficiently remunerated to attract high quality staff to deliver the contract.			8	GB	Will impact on ability to deliver contractual obligations. Potential loss of contract. Loss of Trustees as workload becomes too onerous. Volunteers appear unsupported and over burdened. Unable to meet contractual obligations	
7	Data Security: e.g. General Data Protection Regulations non-compliance: risk of breaches and data is compromised or lost by an external attack.	High	High	9	AL	Personal data belonging to individuals (including staff and volunteers) may be shared or changed without their consent. Information Commissioner's Office (ICO) and individual owners of the personal data must be informed unless the breach is unlikely to result in a risk to rights and freedoms. Data is lost in an outage. Transfer of Data is proving difficult - if CoL contacts membership database is non GDPR compliant. Losing previous membership will have an impact on the organisation's ability to relaunch and pursue engagement. Private consultant providing DPO services straining resources on small organisation.	Staff and volunteers to be trained adequately to ensure compliance of GDPR. Information Governance Policy in place, including Privacy policy and Retention policy. Ensure robust policies and procedures in place that are regularly reviewed by the board. Ensure Data Processor Agreements (DPA) with 3rd party providers is put in place. Source DPO and work in partnership with other Healthwatch to share DPO services to share expertise and reduce costs. Use a trainer experienced in delivering to the NHS, CCG or local provider or other local Healthwatch organisations, undertake a data mapping exercise and identify the critical points of failure and how these points can be mitigated. IT infrastructure, systems and work processes of the organisation to be regularly reviewed and updated when necessary to ensure compliance. Invest in IT systems that are secure. NB City of London Corporation is the data controller under GDPR. Ensure robust escalation processes are in place to inform the board /HWE/CoL immediately of any breach.
8	Breach of Statutory Duties: unable to comply with all it statutory functions as a CIO , Healthwatch and Commissioner.	Med	High	6	Board	May lose our CIO status, and Healthwatch contract, may be sued by future employee. Trustees put at risk and liable.	Ensure all Trustees are trained sufficiently to operate and oversee a CIO; includes roles and responsibilities, obligations and requirements form the Charity Commission and CoL. Ensure that the Decision Making Policy is adhered to and that all other necessary policies and procedures are in place, and are adhered to. KPI logs and risk logs must be kept up to date and reviewed at board meetings. Review training needs annually and identify any skills gaps on the board; recruit or train as necessary. Escalation process in place to report breaches. Explore partnering with other Healthwatches to share DPO services.
9	Safeguarding: insufficient compliance and identification of safeguarding issues.	Low	High	3	AL	DBS checks may not be in place for all appropriate workers leading to risk to vulnerable contacts. Lack of risk assessment may lead to increased risk of injury to workers or the public. Potential of being sued.	Safeguarding policies, DBS checks and Risk Assessments to be reviewed annually by board. General Manager to ensure they are agenda items at board meetings. Ensure sufficient budget is allocated for DBS checks. Ensure up-to-date training is provided both for Safeguarding Adults and C&YP and Enter & View, which if followed properly ensures Safeguarding compliance.

Note 1 The following is a useful risk checklist against which activities/projects should be considered and risks identified

> The issue is likely to seriously prejudice or prevent achievement of a principal objective

> The issue is likely to result in a need to seek additional funding to allow it to be resolved or result in significant diversion of resources from another aspect of the organisation

- > The issue will lead to a material impact on the accounts
- > The Treasurer has flagged it as an area for concern and/or significant and needs action
- > The issue will attract significant public interest, or may seriously damage the reputation of the organisation
- > The issue will result in a formal action being taken by an external body

Note 2 Overall risk factor is produced by assigning ratings for likelihood and impact of the risk occurring

Likelihood - High, medium, low

Impact - High, Med, Low

Overall risk rating - Red, Amber, Green

Risk Factor Look-up Table			
IMPACT ↓			
High	6	8	9
Medium	4	5	7
Low	1	2	3
PROBABILITY	Low	Medium	High

Note 3 All 'Red' and 'Amber' rated risks need to have mitigating actions. 'Green' risks just need to be monitored and reviewed

Issues Log

Issue No	Issue Description	Impact	Impact rating	Owner	Impact	Actions
1	Loss of Staff: Current staff will have left by the end of March with no replacements identified	High	<div></div>	GB	Inability to deliver the contract at the speed required . We will need to recruited and train new staff at a critical period of time just as set up is completed. May cause CoL and HWE to lose confidence in our ability to deliver the contract . Lack of visibility at meetings as volunteers cover	Recruit new staff with relevant skills and understanding . Ensure induction is focused and concise building on previois work . Chair and Trustees to cover both workload and complete outstanding set up tasks. Trustees to cover three days work per week until mid April. Increase hours of administrative assistant to cover some key tasks. Interview