



CORPORATE RISK REGISTER APPENDIX 1


Key Risks (refer to note 1)

| No. | Corporate Priorities | Risk | Consequence | Identified Control | Assurance | Likelihood (L) | Impact (I) | Exposure = L x I | Risk Rating | Responsible Officer – Group | Review |
|-----|--|--|--|---|--|----------------|------------|------------------|---|---|---------------------------------|
| 1. | Delivering high quality, value for money public services | <p>Business Resilience – Sub-risk</p> <p>IT resilience</p> <ul style="list-style-type: none"> • Systems not joined up and connected • Strategic Information technology framework not implemented effectively • Electronic information storage capacity • Lack of top tier response plans • ISP version update to the infrastructure of the internet will have to move over to a new system, IPv6 previous versions not being compatible <p>2012 Olympics delivery risks to H & F</p> | <p>If an event occurs</p> <ul style="list-style-type: none"> • Customers face delays in service provision • Time to recover power and IT Services could be between 6 & 8 weeks • Loss of information • Service interruption • Loss of productivity • Non compliance with statutory duties - indirectly • Increased cost of resurrecting services (only partially insurable) • Threat to life - indirectly • Wasted resources & staff duplication in recovery phase • Cost of additional data storage capacity • Impact on service delivery due to potential of a local outbreak affecting staff and the public • Delays/ interruption to public transport system due to investment programmes in infrastructure • Skills and resource shortage leading to commencement of the games • Potential threat of a terrorist attack | <ul style="list-style-type: none"> • Corporate Incident Management Procedures incorporate Business Continuity • Training has been delivered to local service plan leaders • A corporate service resilience group has been formed and meet periodically • Assistant Directors of Resources have been appointed as Departmental contact leads • Local Service Plans have been compiled, reviewed and refreshed and quality checked by Emergency Services • H & F Bridge Partnership have submitted a Local Service Recovery Plan and has worked with the council to undertake a formal risk assessment, a major incident process has been established by HFBP as part of the Service Desk Manual • Data recovery is insured under the councils corporate insurance package (but limited) • Terrorism insurance cover • A threat assessment has been compiled • Some ITC service has been moved to East London | <p>Business Continuity Audit report 2008/09 (Limited Assurance) in, ICT Disaster recovery provisions Audit report 2009/10 (Nil Assurance)</p> <p>Data storage & back up audit Audit report 2009/10 (Substantial assurance)</p> <p>EMT, Audit and Pension Committee</p> | 3 | 4 | 12 | <p>Medium</p>  | Jane West (Insurance & H F Bridge Partnership contract monitoring) Lyn Carpenter (Corporate Business Continuity) | <p>Review</p> <p>April 2011</p> |


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| | | Terrorist attack | <ul style="list-style-type: none"> Service interruption Property loss or damage Injury or harm | <ul style="list-style-type: none"> The Business Continuity (BC) project involves provision of IT BC for approximately 30 First Order applications as identified by H&F. The data will be replicated from the primary data centre at East London to the secondary site at HTH. Additionally, there will be local network switch resilience within HTH; resilience for the infrastructure elements such as profiles, home folders and printing; plus annual tests of parts of the BC solution. User acceptance testing of the business continuity arrangements will take place over Jan – Feb 2011 <p>NOTE Please refer to BCP Risk Assessment for highlighted risks and controls</p> | | | | | | | |
| 2. | Delivering high quality, value for money public services | <p>Managing projects</p> <p>Sub-risks</p> <ul style="list-style-type: none"> Projects do not consider enough time to mobilise in the event services are awarded to the private sector Project implementation is delayed due to protracted discussions regarding pensions transfer The risk of challenge to contract awards may increase during the harsher economic climate Large scale high risk high return projects are not led by a qualified or experienced project manager. Too many projects are | <ul style="list-style-type: none"> Customers needs and expectations are not fully met when projects are delivered Benefits of investment in creating toolkit not realised Threat of overspend on projects Benefits are not fully realised Delays in mobilisation of services through revised contracts | <ul style="list-style-type: none"> Project Management toolkit Training of Officers has being delivered and is ongoing Transformation Office in Finance & Corporate Services Department acts as a repository for project information and reports to EMT but does not ensure compliance with any toolkit Senior Managers have all been briefed about the Project Toolkit Toolkit is available on desktop PC's Monthly transformation reporting to EMT (dashboard) Competition Board monitor aspects of project | <p>Corporate Programme & project management audited in 2009 draft report issued (Limited Assurance)</p> <p>Competition Board</p> <p>Audit Commission review of selected contract management scheduled 2010</p> | 3 | 3 | 9 | Low  | Jane West lead – All Directors | Review May 2011 |


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| | | undertaken with unrealistic or unachievable targets <ul style="list-style-type: none"> Successful delivery of the World Class Financial Management Programme | | management compliance <ul style="list-style-type: none"> Procedures for TUPE transfer have been included in project management instructions Programme and Portfolio governance arrangements are being formalised Lessons learned report | Internal Audit review of specific contracts under 2009/10 Audit Plan and of Use of Consultants (Nil Assurance) EMT, Pension and Audit Committee | | | | | | |
| 3. | Delivering high quality, value for money public services, Providing a top quality education for all, Tackling crime & anti-social behaviour, A cleaner greener borough, Promoting home ownership. | Managing statutory duty Sub-risks Non-compliance with laws and regulations Breach of duty of care Departmental assurances | <ul style="list-style-type: none"> Non compliance may result in prosecution or a Corporate Manslaughter charge Financial compensation may be claimed Injury or death to a member of the public or employee A breach of information security protocols may result in fines, harm to reputation and personal liability of Directors Inadequate level of service Poor satisfaction with statutory services Potential claims involving failures in Social Care (Stamford House) | <ul style="list-style-type: none"> Nigel Pallace appointed lead Sponsor on EMT for Health & Safety Pro-active Health, Safety and Welfare culture across the council Contractors are managed within CHAS regime Insurance cover is in place in the event of a claim for breach of duty of care and in respect of financial claims Legislative changes are adopted and reflected in amendment to the council's constitution, budget allocation through MTFS (Now unified business & financial planning process) Training and guidance packages Corporate Safety Committee Briefings for Senior Managers on Corporate Manslaughter have been undertaken Health & Safety week promoted the theme of risk | Internal Audit undertook an Audit of this in 2008/09 and a follow up is planned Health & Safety Internal Audit undertaken 2009/10 demonstrated improvements and substantial assurance Annual Assurance process Assurance required that actions are being taken to ensure compliance with the law and | 4 | 4 | 16 | High  | Geoff Alltimes | Review May 2011 |



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| | | Corporate Parenting | | <ul style="list-style-type: none"> assessment Health & Safety guidelines have been reviewed, refreshed and communicated Local Safeguarding Childrens Board, Unannounced Safeguarding Inspection, Ofsted , Local and London Child Protection Procedures | regulations EMT, Audit and Pension Committee | | | | | | |
| 5. | Delivering value for money | Managing budgets Sub-risks <ul style="list-style-type: none"> Austere financial settlement from government is not favourable. The council is seen as a floor authority. Impact of a double dip recession and cascade effect on social budgets * link to revenue forecast Demand led services may occur mid year resulting in unanticipated additional costs HMRC VAT claims regarding partnering activities Grant application is incorrectly calculated Unplanned growth Failure to achieve VFM Accruals & reconciliations Planned savings not implemented Creditworthiness of some contractors may be downgraded as a result of the economic downturn | <ul style="list-style-type: none"> Pressure on the authority to manage overspends Departments have to manage cost pressures Pressure to meet target savings and Administrations commitment to cut Council Tax HMRC recover VAT from the council affecting cash flow Repayment of Grants CEDAR 5.1 will no longer be supported by the product supplier | <ul style="list-style-type: none"> Medium Term Financial Strategy and Business Planning Processes have been combined and is re-modelled MTFS Officer & Member Challenge Efficiency programme management in place identifying statutory v discretionary services Leader's monthly monitoring reports Financial Strategy Board (FSB) periodically evaluates the effectiveness of the financial management arrangements Partnership activity now includes a VAT trace and has been raised at FSB Grant Claims & returns record is tracked at FSB Monthly corporate revenue & capital monitoring to cabinet Reports to the Leader identify where spend levels exceed a | Annual Audit Letter Select Committees are given the opportunity to fully scrutinise budgets during January. Assurance required that complete and accurate accounting records are being maintained * EMT, Audit and Pension Committee | 4 | 4 | 16 | High  | Jane West lead – All Directors | Review April 2011 |



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| | | <ul style="list-style-type: none"> • Increase in social welfare services as a result of the economic downturn may impact on projected spend. • Insufficient budgetary provision and/or budgetary under/overspend * • Incomplete/inaccurate accounting records linked to the World Class Financial Management Programme • Upgrade of CEDAR Financial System to Version 5.3 from 5.1 | | tolerable level during the year <ul style="list-style-type: none"> • Credit check of contractors is being undertaken through the Competition Board • Disposal of Assets • CEDAR Planning and preparation work will begin 7 months before the start of the actual implementation, so as to ensure that there is sufficient time to carry out work thoroughly. This timescale also includes slippage time of two months, in case of unforeseen complications. | Cabinet Members Decision report on CEDAR upgrade | | | | | | |
| 6. | Putting residents first, Setting the framework for a healthy borough | Successful partnerships & Major Contracts Sub-risks <ul style="list-style-type: none"> • Area based grant has been clawed back • Partnering activity with other boroughs and the NHS may blur the lines of responsibility, accountability or liability in the event of service failure • Plans to remodel the PCT's and delivery of health services through GP's as per the White Paper – Liberating the NHS • Re-integration of H & F Homes | <ul style="list-style-type: none"> • Joint objectives are not met • Community expectations are not met • Relationship deteriorates • Threat of overspends and underspend | <ul style="list-style-type: none"> • Governance arrangements are in place • Performance monitoring reports reported to Select Cttee's • Area based grant exit strategy is funded short term through contingency / reserves • H & F Bridge Performance Monitoring | H & F Bridge Partnership Assurance process H & F Homes Assurance process PCT are Audited by the Audit Commission Audit of H & F Homes Contract Management undertaken in 2008/09 EMT, Audit and Pension Committee | 4 | 3 | 12 | Medium  | Geoff Alltimes | Review April 2011 |
| 7. | Delivering value for | Maintaining reputation and service standards | <ul style="list-style-type: none"> • Threat to the status of the council | <ul style="list-style-type: none"> • Combined Business Planning & MTFS processes | Cabinet Ofsted, Care | 4 | 3 | 12 | Medium | All Directors | Review |



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| | money | Sub-risks <ul style="list-style-type: none"> • Multiplicity of external forces and initiatives • Breach of Officer or Member code of conduct • Inappropriate Data released • Poor data quality internally or from third parties, breaches of information protocols, information erroneously sent to third parties. • Auto forwarding of information (Information control and threat of leakage) | <ul style="list-style-type: none"> • Failure to deliver plans & savings. • Ability to effectively lead and resource the transformation agenda is diminished • Service delivery deteriorates • Potential adverse media reporting • Potential adverse media reporting • Quality and integrity of data held in support of Performance Management & Financial systems leads to under or over estimation | <ul style="list-style-type: none"> • Business Planning is part of the performance management competencies • Risk registers have been developed for all departments and divisions • Annual review of corporate governance arrangements conducted by Internal Audit • Performance statistics are scrutinised by Select Committee's, EMT & DMT's • Corvu Performance Management System is able to pick up anomalies • Data Quality Training | Quality Commission, Annual Audit letter EMT, Audit and Pension Committee | | | |  | | April 2011 |
| 8. | Delivering value for money | Managing fraud (Internal & External) Sub-risks Misappropriation of assets * | <ul style="list-style-type: none"> • Loss of reputation • Financial loss • Adverse regulatory /audit report • Inadequately resourced fraud unit | <ul style="list-style-type: none"> • Literature and training has been delivered to all levels of the authority • Information and guidance has been published on the corporate intranet • Awareness survey has been undertaken • A Corporate Fraud Service has been established | Audit Committee receive quarterly reports on Fraud Deloitte Fraud Survey 2008 Assurance required that | 2 | 3 | 6 | Low  | Jane West lead – All Directors | Review April 2011 |


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| | | | | <ul style="list-style-type: none"> Level of fraud is being tracked through FSB Close working relationship is established with the Police Fraud risks being integrated into risk registers CAFS team now use a risk assessment to assist in targeting and workload prioritisation Revised risk & assurance register produced May 2011 | assets are safeguarded EMT, Audit and Pension Committee | | | | | | |
| 9. | Delivering value for money | Successful cultural change <ul style="list-style-type: none"> Right staff not available for this work due to increasing workloads while also downsizing and restructuring. | <ul style="list-style-type: none"> Potential internal uncertainty re: staff morale Change consumes more resource than VFM/efficiency gains realise Uncertainty leads to low staff morale and lower productivity. | <ul style="list-style-type: none"> Effective communications programme Staff Survey undertaken in 2009 and follow up actions are being delivered Career development discussions Revised sections in Business Planning document inc. Equalities & Diversity and Smartworking | Staff survey, Corporate Workforce Group EMT, Audit and Pension Committee | 3 | 3 | 12 | Low  | Jane West | Review April 2011 |
| 10. | Putting residents first | Managing the Business Objectives (publics needs and expectations) <p>Sub-risks</p> <ul style="list-style-type: none"> A successor integrated financial and business planning process is not delivered | <ul style="list-style-type: none"> The Public or section of the public may not receive the service that they need or to the quality they expect Reputation of the service may be affected Regeneration of Shepherds Bush Market and Former Library and wider Regen Services are delivered in an unplanned way Services start to do their own thing Maverick decisions Inconsistencies in service delivery start to emerge Lack of transparency Duplication of effort | <ul style="list-style-type: none"> Robust Business Planning regime revised for 10-12 incorporating fully the Medium Term Financial Strategy Performance monitoring and feedback through local media Customer experience and satisfaction surveys <p>Organisational Development in conjunction with Deloitte's have undertaken a review of the Business Planning process</p> | Cabinet Members and Scrutiny Cttee review performance Ofsted, Care Quality Commission | 3 | 3 | 9 | Low  | All Directors | Review April 2011 |


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| | | | <ul style="list-style-type: none"> Communication of objectives and values is lost Target and Objective setting is diminished reducing the effectiveness of the performance management regime for officers | | | | | | | | |
| 11. | Delivering value for money | Market Testing of Services (refer to Competition Board Roadmap) | <ul style="list-style-type: none"> Increase in threat of legal challenge on contract awards Officers time away from other projects Timescale of project is tight Insufficient numbers of Officers designated to the project Benefits are not realised Data Quality (Accuracy, timeliness of information) results in variation to original contract spec | <ul style="list-style-type: none"> Consultation with other boroughs Project managing the process Separation or joining of projects to maximise benefit potential Realistic timetables agreed and reviewed at Competition Board Market Testing progress report to EMT Programme & Project Management – Risk Logs being maintained, periodic risk reviews | Competition Board, Transformation Board, EMT, Audit review conducted for Use of Contractors | 3 | 3 | 9 | Low  | All Directors | Review April 2011 |
| 12. | | Scrutiny of Public Health Service | <ul style="list-style-type: none"> Department of Health is creating a governing body (Public Health England) where a joint appointment of a Director with the Council – would be necessary. Currently the appointment is jointly with the NHS trust Maintaining an audit trail of financial expenditure Monitoring of financial spend against performance targets to achieve financial credit or top ups Mayor of London seeks increased responsibility for some Public Health work areas in competition to Local Authorities that could reduce the amount allocated to the Council | <ul style="list-style-type: none"> Director of Public Health attends Housing, Health and Adult Social Care Select Committee Dedicated officers implementing the setting up of a Health & Well Being Board Pilot council before full delivery which is due (start April 1st 2013) HM Government Healthy Lives Healthy People Nov 2010 Joint meetings with K & C & Westminster Officer meetings with Department of Health | EMT | 3 | 3 | 9 | Low  | Geoff Alltimes | Review April 2011 |


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| | | | <ul style="list-style-type: none"> Setting up a Health and Wellbeing Board attendees would need to include Councillors and managing their time demands Three Boroughs merged services may result in functions being delivered to support the new responsibilities jointly LBHF currently jointly fund the Director of Public Health post, RBKC don't fund Westminster to jointly fund Deprivation statistics could affect the distribution of financial settlement unevenly Public Health budgets will be ring fenced however local authorities seek unringfencing of the monies Commissioning of services responsibilities for some health inequalities (healthy eating, smoking cessation, immunisation, screening, air pollution, drugs and alcohol, teenage pregnancy) Provision of audit and resilience services i.e. managing environmental hazards and emergency planning | | | | | | | | |
| OPPORTUNITY RISKS | | | | | | | | | | | |
| 1. | Delivering high quality, value for money public services | Managing Human Resources Sub-risks Integration of services with NHS Hammersmith & Fulham | <ul style="list-style-type: none"> Key staff retention HR protocol has been agreed for officers who work with the PCT | <ul style="list-style-type: none"> HR team has been centralised and self service is being rolled out Performance reports are | Business Planning, Corporate Workforce Group | 3 | 3 | 9 | Low  | Geoff Alltimes lead—All Directors | Review July 2010 |



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| | | | | provided on staffing to FSB, EMT and are reported to Scrutiny Committees | | | | | | | |
| | Delivering high quality, value for money public services | Merging of education services with Westminster Council | Savings due to removal of duplication across the councils | <p>Report to Cabinet 10-01-2011 updated members on progress including the establishment of</p> <p>1.A joint commissioning unit and the establishment of an arm's length delivery unit for education services across the three LAs by September 2012, with an interim merged service in place for the new academic year in September 2011.</p> <p>2. For the exploration, in the second phase, of possible different models for the delivery of services - options may include market testing or a social enterprise.</p> <p>3. That agreement be given for the development of shared provision for the Local Children's Safeguarding Board, Fostering and Adoption services and Youth Offending services by September 2011, subject to agreement by WCC and RBKC Councils.</p> <p>4. With a view to the implementation in line with these timescales, that the Director of Children's Services be authorised to :</p> <p>i) reach agreement with fellow Directors of Children's Services on reorganisation proposals on a service by service or part service basis, with a view to agreeing the future scope of such services; management arrangements; the staffing</p> | Cabinet | 2 | 4 | 8 | Low  | Andrew Christie | Review April 2011 |


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| | | | | <p>structures for such services; the advisability of harmonising terms and conditions across boroughs; and the implementation of a joint commissioning strategy;</p> <p>ii) consult with affected staff and unions on the basis that any sharing of services will initially take place by affected staff either being seconded to work with staff at other boroughs or will be transferred to the employment of a host borough depending on the detail of the agreement to be reached with other boroughs on a service by service or part service basis;</p> <p>iii) implement the sharing of the services</p> <p>to agree the terms of any secondment either to or from the Council; to agree any necessary changes to staffing structures; and to authorise any resulting redundancies in accordance with the Council's usual procedures and to do everything necessary to give effect to the above.</p> <p>5. That it is agreed that the implementation of these proposals and any future proposals in relation to Children's Services be aligned with the requirements and timescales for the wider development of shared services across the three LAs.</p> | | | | | | | |
| 2. | Delivering high quality, value for money public services | Merging of services with Westminster & RB Kensington and Chelsea | Savings due to removal of duplication across the council | <p>Review of corporate and back office functions</p> <p>Review of opportunities with contracts</p> <p>Risk Register compiled and is being presented to the Programme Board</p> | Cabinet | 2 | 4 | 8 | Low  | All Directors | April 2011 |

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| 3. | Delivering high quality, value for money public services | Regeneration of Shepherds Bush Market and former Shepherds Bush Library | Community benefits through improved market area, social housing and use of buildings | Section 106 possible funding and partnering with developer over scheme | Cabinet | 2 | 4 | 8 | Low  | | April 2011 |
| 4. | Delivering high quality, value for money public services | Re-integration of H & F Homes Sub-risks There is an increased risk that staff will continue to apply procedures from the ALMO. Where the HF Homes risk management framework is not effectively integrated into the Council's framework, this may lead to key risks being lost in the integration or duplication of effort where the same risk appears on multiple registers or against multiple risk owners. | Savings due to the removal of duplication in back office functions There will be some immediate savings of circa £700k that flow from the integration of the ALMO as a result of the deletion of vacant posts, which would otherwise be duplicated in the new structure, and the elimination of agency workers and contractors to whom TUPE does not apply. This may lead to key management tasks not being undertaken due to confusion over responsibilities A formal action plan for integrating the HF Homes risk management framework within the Council's framework should be established. The plan should include but not be limited to: <ul style="list-style-type: none">• Adapting risk register templates;• Identification of risk owners within the Housing and Regeneration Department ; | Consultation exercise has demonstrated public opinion to re-integrate and a report recommending re-integration presented to Cabinet 10-01-2011 Briefings or training sessions are provided to line managers | Cabinet Internal Audit review of Integration April 2011 Draft Substantial Assurance | 2 | 4 | 8 | Low  | | April 2011 |

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| | | | <ul style="list-style-type: none"> Reporting procedure for risks and their mitigation; Ensuring that risks are not lost or duplicated; and Appointing a Risk Management representative for the department. <p>The Housing and Regeneration Department should also appoint a representative to the Corporate Performance Group.</p> <p>Where a post integration communication strategy and channels of communication are not established, there is an increased risk that staff will not fully engage in the integration process. This may impact on the morale of staff from both HF Homes and the Council.</p> | <p>Representative of the department has been invited to attend future Corporate Performance Group Meetings</p> <p>Formal post-integration communication channels should be established to secure staff buy-in into the integration.</p> <p>The communication channels should enable staff to express concerns and seek advice on any issues in respect of them adapting the Council's working practices and culture.</p> | | | | | | | |
| 5. | Delivering high quality, value for money public services | Regeneration of King Street and Civic Offices | <p>The Town Hall extension has come to the end of its life and needs to either be demolished or refurbished. An estimated cost of around £18m in temporarily accommodating staff through a relocation to facilitate repairs</p> <p>New office accommodation at no cost is being provided in exchange for land</p> <p>A new modern building is also expected to save around £150,000 in energy costs</p> | <p>Planning Committee and team independence</p> <p>Public consultation</p> <p>The council's advisers, Cushman & Wakefield, ran a competition for development of the existing site – which also includes the council car park on Nigel Playfair Avenue. The competition was based on which scheme delivers the best value for money to the borough's taxpayers, the best opportunity to regenerate this run-down part of King Street and the least disruption to local residents.</p> | Cabinet | 3 | 5 | 15 | Medium |  | April 2011 |

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| | | | <p>Jobs will be created in King Street</p> <p>A new community-sized supermarket and a range of new restaurants and other retailers, alongside a council 'One Stop Shop', will draw more people down King Street and encourage more investment in the area</p> <p>Successful redevelopment would enable the council to terminate contracts for various costly leased buildings around the borough savings around £2 million a year.</p> | <p>Public exhibition</p> <p>Planning documents are available to view on the council's website</p> <p>A planning application to redevelop the area around Hammersmith Town Hall was submitted to Hammersmith & Fulham (H&F) Council on Friday (29 October).</p> <p>The application from King Street Developments Ltd (KSD) will trigger a new round of consultation as the council, now acting as local planning authority, consults extensively with residents, amenity groups and other interested parties.</p> <p>Information from local amenity groups has been passed to planning officers. The Leader of the Council has attended a Save or Skyline meeting</p> <p>The Leader of the Council wrote to prominent amenity societies to make the case for regeneration following concerns from some groups</p> <p>An independent financial assessment from PricewaterhouseCoopers (PwC) on the viability of the proposals</p> | | | | | | | |

Note 1. All key risks have been extracted from(but not limited to) a number of sources for analysis by the Corporate Management Team. The sources include;

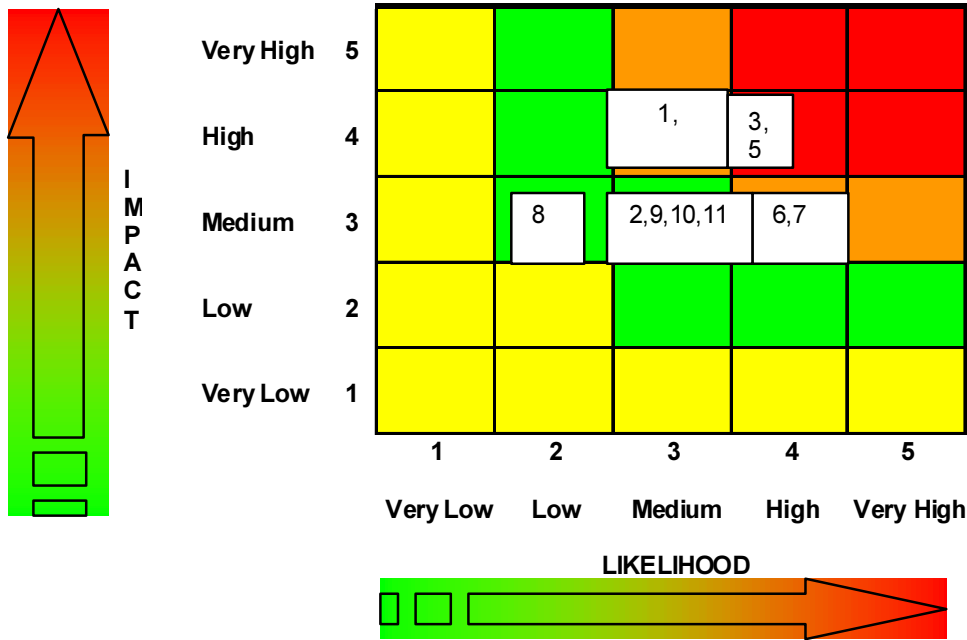
- i. Previous Corporate Risk Register
- ii. Benchmarking with other Local Authorities on Identified Risks
- iii. Information identified from Departmental Risk Registers
- iv. Officers Knowledge and experience
- v. The Office of Government Commerce Project Risk Management Handbook

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- vi. Procurement exercises
- vii. Significant Weaknesses established from the Annual Assurance process
- viii. Audit Reports
- ix. Knowledge and experience of public sector risks from the Principal Risk Consultant
- x. Data Quality and Integrity
- xi. Programme Management Office monthly report

Residual

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Note 2. Categorised under the PESTLE methodology as published in the Hammersmith & Fulham Risk Standard. Compliant with Audit Commission/ ALARM/IRM/CIPFA best practice.
 * Derived from Deloitte's Assurance Framework 2007/2008

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| Score | Key |
|-------|--|
| 16-25 | RED - High and very high risk - immediate management action required |
| 11-15 | AMBER - Medium risk - review of controls |
| 6-10 | GREEN - Low risk - monitor and if escalates quickly check controls |
| 1-5 | YELLOW - Very low risk - monitor periodically |

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