



HFBB CORPORATE RISK & ASSURANCE 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 in the event of a H & F or Tri-Bi Borough event Strategic Information technology framework not implemented effectively 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 Electronic information storage capacity Mobile Communications technology provider service failure <p>Contractor Liquidity</p> <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 <ul style="list-style-type: none"> Experian Financial checks Credit checking Business Continuity Planning Delays/ interruption to public transport system due to investment programmes in infrastructure Skills and resource shortage leading to commencement of the 	<ul style="list-style-type: none"> Joint BCP Officer with the Royal Borough commencing 2012 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 HFBB as part of the Service Desk Manual Data recovery is insured under the councils corporate insurance package (but limited) A threat assessment has been compiled Some ITC service has been 	<p>HFBB</p> <p>Audit and Pension Committee</p> <p>Service Resilience Group</p> <p>Competition Board</p> <p>Substantial Assurance report 2011/12 Emergency Planning</p> <p>Business Continuity Audit report 2008/09 (Limited Assurance) in, ICT Disaster recovery provisions</p> <p>Audit report 2009/10 (Nil Assurance) Data storage & back up audit Audit report 2009/10 (Substantial assurance)</p>	3	4	12	<p>Medium</p> 	<p>Lyn Carpenter (Corporate Business Continuity)</p> <p>Jane West (Insurance & H F Bridge Partnership contract monitoring)</p>	<p>Review</p> <p>December 2011</p>

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		Terrorist attack/Civil disturbance	<p>games</p> <ul style="list-style-type: none"> • Potential threat of a terrorist attack • Service interruption • Property loss or damage • Injury or harm 	<p>moved to East London</p> <ul style="list-style-type: none"> • The Business Continuity (BC) project now involves provision of IT BC for approximately 30 First Order applications as identified by H&F. The data is replicated from the primary data centre at East London to the secondary site at HTH. Additionally, there is 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 has established a small number of applications require further work but the project is effectively complete • Terrorism insurance cover <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 	<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"> • The Royal Borough PMO for TriBorough activity • 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 HFBB but does not ensure compliance with any toolkit • Senior Managers have all been briefed about the Project Toolkit 	<p>The Royal Borough of Kensington & Chelsea Internal Audit</p> <p>Corporate Programme & project management audited in 2009 draft report issued (Limited Assurance)</p>	3	3	9	Low 	<p>Jane West lead – All Executive Directors</p> <p>Tony Redpath (RBKC Tri & Bi Borough)</p> <p>Marie Snelling (Tri Borough Portfolios)</p>	<p>Review</p> <p>December 2011</p>


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		<p>experienced project manager.</p> <ul style="list-style-type: none"> • Too many projects are undertaken with unrealistic or unachievable targets • Successful delivery of the World Class Financial Management Programme • Housing Regeneration, Borough Investment Plan. 		<ul style="list-style-type: none"> • Toolkit is available on desktop PC's • Monthly transformation reporting to HFBB (dashboard) • Competition Board monitor aspects of project management compliance • Procedures for TUPE transfer have been included in project management instructions • Programme and Portfolio governance arrangements are being formalised • Lessons learned report 	<p>Competition Board</p> <p>Transformation Board</p> <p>Audit Commission review of selected contract management scheduled 2010</p> <p>Internal Audit review of specific contracts under 2010/11 Audit Plan and of Use of Consultants (Nil Assurance) HFBB, Pension and Audit Committee</p>						
3.	<p>Delivering high quality, value for money public services, Providing a top quality education for all, Tackling crime & anti-social behaviour, A cleaner</p>	<p>Managing statutory duty</p> <p>Sub-risks</p> <p>Non-compliance with laws and regulations</p>	<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 	<ul style="list-style-type: none"> • Nigel Pallace appointed lead Sponsor on HFBB for Health & Safety • Pro-active Health, Safety and Welfare culture across the council • TriBorough Health & Safety protocols are being discussed and established • Contractors are managed within CHAS regime • Insurance cover is in place in the event of a claim for breach 	<p>Health & Safety Internal Audit undertaken 2009/10 demonstrated improvements and substantial assurance</p> <p>Annual Assurance process</p>	3	4	12	<p>Medium</p> 	Derek Myers	<p>Review</p> <p>December 2011</p>


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	greener borough, Promoting home ownership.	<p>Breach of duty of care</p> <p>Departmental assurances</p> <p>Corporate Parenting</p> <p>Carbon reduction commitment</p>	<ul style="list-style-type: none"> Inadequate level of service Poor satisfaction with statutory services Potential claims involving failures in Social Care (Stamford House) <ul style="list-style-type: none"> Harm to reputation, potential harm or injury to individual The Climate Change Act 2008 sets a statutory carbon reduction target of at least 80% by 2050 for the 	<ul style="list-style-type: none"> 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 and newly agreed performance management indicators Periodic reporting to HFBB Briefings for Senior Managers on Corporate Manslaughter have been undertaken Health & Safety week promoted the theme of risk assessment Health & Safety guidelines have been reviewed, refreshed and communicated Promotion of the Occupational Health Service and Workplace Options Employee Assistance Scheme Housing and Regeneration have rolled out personal safety training to over 130 staff through the Suzy Lamplugh Trust Training <ul style="list-style-type: none"> Local Safeguarding Childrens Board, Unannounced Safeguarding Inspection, Ofsted , Local and London Child Protection Procedures <ul style="list-style-type: none"> Carbon reduction manager Staff energy survey Travel survey 	<p>Assurance required that actions are being taken to ensure compliance with the law and regulations</p> <p>HFBB, Audit and Pension Committee</p> <p>Education Committee</p> <p>Safety Committee</p> <p>Carbon Reduction Management Project Board</p>						



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		Equalities	<p>UK</p> <ul style="list-style-type: none"> Increased complaints, Ombudsman involvement, judicial review, prohibiting order, mandatory order, declaration, injunction, damages, challenge to budget 	<ul style="list-style-type: none"> Parking survey Procurement policy Advice on sustainable planning applications Committee Services compliance check EIA's via Cabinet key decision reports HFBB signed off a revised assurance framework 	<p>Substantial Assurance report 2010/11 Carbon Reduction Commitment</p> <p>Limited Assurance report 2010/11 Single Equality Scheme</p>						
5.	Delivering value for money	<p>Managing budgets</p> <p>Sub-risks</p> <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 	<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 recovery of 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"> High risk & volatile budget areas identified by H & F Finance E-Learning package for Finance Managers now live Collaborative Planning system now live with supported training for budget holders 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 	<p>Annual Audit Letter</p> <p>Select Committees are given the opportunity to fully scrutinise budgets during January.</p> <p>Assurance required that complete and accurate accounting records are being maintained *</p> <p>HFBB,</p>	2	4	8	<p>Low</p> 	Jane West lead – All Executive Directors	<p>Review</p> <p>December 2011</p>

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		the event of service failure <ul style="list-style-type: none"> Plans to remodel the PCT's and delivery of health services through GP's as per the White Paper – Liberating the NHS Local Housing Company 	underspend	<ul style="list-style-type: none"> H & F Bridge Performance Monitoring Financial creditworthiness checks at Competition Board 	Internal Audit Substantial Assurance report 2011/12 Partnership Governance Competition Board HFBB, Audit and Pension Committee						
7.	Delivering value for money	Maintaining reputation and service standards Sub-risks <ul style="list-style-type: none"> Multiplicity of external forces and initiatives Breach of Officer or Member code of conduct Information Management and Governance Inappropriate Data released Poor data quality internally or from third parties, breaches of information protocols, information erroneously 	<ul style="list-style-type: none"> Threat to the status of the council 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 Potential fine for loss of data 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"> A review of the corporate governance arrangements has conducted by Internal Audit and a revised Local Code of Corporate Governance has been produced Annual Complaints review report April 2010 to March 2011 produced to Committee New Information Management Security Protocols published on the Intranet Regular reporting on Security Incidents by the Information Management Team Combined Business Planning & MTFS processes Risk & assurance registers have been developed for all departments and divisions Performance statistics are scrutinised by Select Committee's, HFBB & DMT's Corvu Performance Management System is able to pick up anomalies 	Cabinet Ofsted, Care Quality Commission, Annual Audit letter HFBB, Audit and Pension Committee, Overview and Scrutiny Board ITSOG Data quality review conducted by Internal Audit and a Management Letter has been issued with low level recommendations	4	3	12	Medium 	All Executive Directors	Review December 2011


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		<p>sent to third parties.</p> <ul style="list-style-type: none"> Auto forwarding of information (Information control and threat of leakage) 									
8.	Delivering value for money	<p>Managing fraud (Internal & External)</p> <p>Sub-risks</p> <p>Misappropriation of assets</p> <p>* Appointeeship/custodian or guardian</p> <p>Contracting</p> <p>Gifts & Benefits Manipulation of performance data, collusion, billing</p> <p>Misrepresentation of Personal Circumstances</p> <p>Payroll</p> <p>Cheque</p> <p>Imprests or petty cash</p> <p>Grant award</p> <p>Treasury</p> <p>Tenancy or Benefit</p>	<ul style="list-style-type: none"> Loss of reputation Financial loss Loss of asset Adverse regulatory /audit report Inadequately resourced fraud unit 	<ul style="list-style-type: none"> Corporate Anti Fraud Service has been established CAFS team now use a risk assessment to assist in targeting and workload prioritisation New model being piloted to collate information from fraud cases and disseminate the recommendations through risk & assurance registers Literature and training has been delivered to all levels of the authority Information and guidance has been published on the corporate intranet Level of fraud is being tracked through FSB Close working relationship is established with the Police Bribery Act Policy 	<p>Audit and Pension Committee receive quarterly reports on Fraud</p> <p>Deloitte Fraud Survey 2008</p> <p>Substantial Assurance report 2010/11 Personal Budgets, Housing Benefits</p> <p>Substantial Assurance reports 2010/11 Contract Management, Management & Monitoring of Contractors(Env.)</p> <p>HFBB</p>	2	3	6	Low 	Jane West lead – All Executive Directors	Review December 2011
9.	Delivering value for money	<p>Successful cultural change</p> <ul style="list-style-type: none"> Right staff not available for this work due to 	<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 	<ul style="list-style-type: none"> Esprit de Corps Tri Borough Group Transforming the way we do business, Market Management and other Portfolio Transformation Programmes Effective communications 	<p>Staff survey</p> <p>Corporate Workforce Group</p> <p>HFBB, Audit and</p>	3	3	9	Low 	Jane West	Review December 2011


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		increasing workloads while also downsizing and restructuring.	productivity.	programme <ul style="list-style-type: none"> Staff Survey undertaken in 2009 and follow up actions are being delivered Career development discussions Smartworking 	Pension Committee Transformation Board						
10.	Putting residents first	Managing the Business Objectives (publics needs and expectations) Sub-risks <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 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 Communication of objectives and values is lost Target and Objective setting is diminished reducing the effectiveness of the performance management regime for officers 	<ul style="list-style-type: none"> Implementation of Lean Thinking principles putting the voice of the customer at the heart of service design Robust Financial 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 	Cabinet Members Scrutiny Cttee review performance Ofsted Care Quality Commission	3	3	9	Low 	All Executive Directors	Review December 2011
11.	Delivering value for money	Market Testing of Services (refer to Competition Board Roadmap) Sub-risks <p>Tri Borough or Bi Borough procurement risk appetite may vary</p>	<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"> Revised TOR's for Competition Board Lean thinking exercise of procurement processes to make them slicker and more efficient Consultation with other boroughs Project managing the process Separation or joining of projects to maximise benefit potential Realistic timetables agreed 	Competition Board Transformation Board HFBB Audit review conducted for Use of Contractors Internal Audit	3	3	9	Low 	All Executive Directors	Review December 2011

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				and reviewed at Competition Board <ul style="list-style-type: none"> Market Testing progress report to HFBB Programme & Project Management – Risk Logs being maintained, periodic risk reviews 	Substantial Assurance reports 2011/12 Market Testing H & F News, BTS, Legal Services Full Assurance report 2011/12 Market Testing Out of Hours Service						
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 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 H&F currently jointly fund the Director of Public Health 	<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 	HFBB Education Select Committee	3	3	9	Low 	Derek Myers, Director of Public Health	Review December 2011


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			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											
2.	Delivering high quality, value for money public services	Merging of education services with Westminster Council and the Royal Borough of Kensington and Chelsea	Savings due to removal of duplication across the councils	<ul style="list-style-type: none"> • Tri Borough Mandate approved for Childrens Services at Cabinet 05-12-11 • Appointment of a single Director of Childrens Services for the Three Boroughs • Appointment of Director of Finance for Tri Borough Childrens Services • Appointment of Tri Borough Director of Schools Commissioning • Appointment of Tri Borough Tri-borough Youth 	Cabinet Transformation Board Education Select Committee External Audit (Audit Commission review 2012)	2	4	8	Low 	Andrew Christie	Review December 2011

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				<p style="text-align: center;">Offending</p> <ul style="list-style-type: none"> • Report to Cabinet 10-01-2011 updated members on progress. including the establishment of <ol style="list-style-type: none"> 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. 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. 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. 4. With a view to the implementation in line with these timescales, that the Director of Children's Services be authorised to : <ol style="list-style-type: none"> 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 structures for such services; the advisability of harmonising terms and conditions across boroughs; 							


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				<p>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> <ul style="list-style-type: none"> Report to Cabinet 20th June 2011 updated Members on the business case as a basis for moving forward. 							
3.	Delivering high quality, value for	Merging of services with Westminster& RB Kensington and Chelsea	Savings due to removal of duplication across the council	<ul style="list-style-type: none"> Tri Borough Mandates for Adult Social Services and Libraries approved by Cabinet 05-12-11 	Cabinet Overview & Scrutiny Board	2	4	8	Low 	Derek Myers, Mike More, All Executive Directors	December 2011


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	money public services	<p>Sub-risks</p> <p>ICT provision to ensure a seamless transition to TriBorough working in support of services</p> <p>Appropriate accessible information and data security and governance</p> <p>Co-ordinated procurement strategies in readiness for commissioning of services</p> <p>Programme Management</p>		<ul style="list-style-type: none"> • Monthly Tri Borough Portfolio risks and issues summary report • Review of corporate and back office functions • Review of opportunities with contracts • Risk Registers compiled and presented to the Programme Management Office • Programmes being managed consistently from the Royal Borough PMO including the ICT Programme • TriBorough Portfolio Management Office responsibilities established including the lead programme contacts. • TriBorough Programme Management Officer Appointed • Terms of reference produced for the Members Steering Group • Senior Officer appointments made on a Bi Borough and/or Tri Borough basis including; <p>1. Governance, Appointment of Joint Chief Executive and Head of Paid Service and Executive Director of Finance & Governance</p> <p>2. Adult Social Care, TriBorough Executive Director, Director of Finance, Director of Procurement & Business Intelligence, Director of Operations, Director of Provider</p>	External Audit (Audit Commission review 2012)						


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				<p>Services appointments</p> <p>3. Libraries Service, TriBorough Executive Director</p> <p>4. Environment Services, Bi-Borough (RBKC and H & F) Executive Directors appointed. Appointments of Bi Borough (RBKC & H & F) Director of Environmental Health, Bi Borough (RBKC & H & F) Safer Neighbourhoods, Bi Borough (RBKC & H & F) Cleaner Greener & Cultural Services Head of Culture Head of Waste and Street Scene Head of Leisure and Parks Head of Community Safety Head of Business Support</p> <p>5. Appointment of Bi Borough (RBKC & H & F) joint lead for Human Resources</p> <p>6. Appointment of Tri Borough (Director of Pensions and Treasury)</p> <p>7. Portfolios, Appointment of Tri-borough Portfolio Director appointed</p> <p>8. TriBorough Managed Services Programme (Corporate Services)</p>							
4.	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	0Cabinet	2	4	8	Low 	Mel Barrett	October 2011
5.	Delivering	Re-integration of H & F	Savings due to the removal		Cabinet	2	4	8	Low	Mel Barrett	October


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	high quality, value for money public services	<p>Homes</p> <p>Sub-risks</p> <p>There is an increased risk that staff will continue to apply legacy procedures from the ALMO.</p> <p>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.</p>	<p>of duplication in back office functions</p> <p>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.</p> <p>This may lead to key management tasks not being undertaken due to confusion over responsibilities</p> <p>A formal action plan for integrating the HF Homes risk management framework within the Council's framework should be established.</p> <p>The plan should include but not be limited to:</p> <ul style="list-style-type: none"> ● Adapting risk register templates; ● Identification of risk owners within the Housing and Regeneration Department; ● Reporting procedure for risks and their mitigation; ● Ensuring that risks are not lost or duplicated; and ● Appointing a Risk Management 	<p>Consultation exercise has demonstrated public opinion to re-integrate and a report recommending re-integration presented to Cabinet 10-01-2011</p> <p>Appointment of development agent services to support the delivery of new affordable homes</p> <p>Briefings or training sessions are provided to line managers</p> <p>An individual has been identified to lead and respond on the risk management process.</p> <p>Representative of the department has been invited to</p>	<p>Internal Audit review of Integration September 2011 Final Substantial Assurance</p> <p>Corporate Safety Committee</p> <p>Housing and Regeneration DMT</p> <p>HFBB</p> <p>FSB</p>						2011

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			<p>representative for the department.</p> <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>attend future Corporate Performance Group Meetings</p> <p>Post integration communication channels have been established to secure staff buy in into the integration.</p> <p>The communication channels enable staff to express concerns and seek advice on any issues in respect of them adapting the Council's working practices and culture.</p>							
6.	Delivering high quality, value for money public services	<p>Regeneration of King Street and Civic Offices</p> <p>Sub-risks</p> <p>GLA do not approve the proposals</p>	<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>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</p>	<p>Hammersmith & Fulham Council has agreed to work with the GLA on a further independent rigorous assessment on viability</p> <p>Exhibition of 3 bid schemes 2007</p> <p>Statement of Community Involvement – Two public consultation exercises</p> <p>Private meetings with residents</p> <p>Stakeholder Forums</p> <p>Flyer to 15,000 homes</p> <p>Pre application meetings with GLA and local amenity groups</p> <p>1800 letters sent to individual properties in the wider area.</p> <p>Consultation with statutory groups; GLA, HAFAD, Port of London Authority, LFEPA, Metropolitan Police, English Heritage & Archaeology, Natural England, CAA, BAA Airports, Thames Water, Environment</p>	<p>Cabinet</p> <p>Planning Applications Committee</p> <p>Mayor of London</p> <p>Greater London Authority</p> <p>Port of London Authority</p> <p>English Heritage</p>	3	4	12	Medium 	Nigel Pallace	December 2011

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No.	Corporate Priorities	Risk	Consequence	Identified Control	Assurance	Likelihood (L)	Impact (I)	Exposure = L x I	Risk Rating	Responsible Officer – Group	Review
			and encourage more investment in the area Successful redevelopment would enable the council to terminate contracts for various costly leased buildings around the borough savings around £2 million a year.	Agency, TfL Residents Groups & Landowners; Thomas Pocklington Trust, Tesco, Quakers, Amenity Groups, Brackenbury Residents Assoc. The Georgian Group, HAMRA, the Hammersmith Soc. H & F Historic Buildings Group, Ravenscourt Action Group, Ashchurch Residents Assoc. Old Chiswick Protection Soc. Digby Mansions 39-58a Residents Assoc. For further detail please refer to Planning Applications Committee Agenda 30-11-11 Submitted by the Planning Applicant; Environmental Statement, Energy Statement, Flood Risk Assessment, Air Quality Assessment, Environmental Noise Assessment, Lighting Strategy, Equalities impact assessment Phase 1 Habitat Survey & ecological database search Telecommunications assessment							
7.		Earls Court regeneration Sub-risks GLA do not approve the proposals	<ul style="list-style-type: none"> The comprehensive regeneration of three land holdings, Transport for London (freeholder of the Lillie Bridge Depot and Earls Court) - Capital & Counties (CapCo) leaseholders of Earls Court 1 and 2 and 	<ul style="list-style-type: none"> Capco will pay a fee of £15m on entering into the exclusivity agreement. £10m of this is refundable should a Conditional Land Sale Agreement not be possible and £5m is not refundable under any circumstances. 	Cabinet Housing, Health And Adult Social Care Select Committee Planning Applications Committee	3	4	12	Medium 	Mel Barrett	December 2011

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			<p>freehold owners of Seagrave Road Car Park - H&F, freehold owners of the West Kensington and Gibbs</p> <ul style="list-style-type: none"> Green housing estates. offers the opportunity for the council to secure major estate renewal across the West Kensington and Gibbs Green estates as well as offering the opportunity to deliver substantial benefits for local residents and the wider community. This includes securing new modern homes for all existing residents of the West Kensington and Gibbs Green estates, new additional affordable homes generating greater housing choice for Borough residents and in particular local families, new efficient schools, leisure and health facilities, new open and play space and a significant increase in job opportunities. 	<ul style="list-style-type: none"> Establishment of a formal West Kensington and Gibbs Green Steering Group, established by residents of the West Kensington and Gibbs Green estates, constituted by establishing a non-profit Company Limited by Guarantee to allow them to deliver their agreed objectives. Earls Court project risk register initially compiled in 2009 Development specification, Parameter plans, Community engagement report, Design and access statement, Design guidelines Planning statement Environmental Statement Transport assessment Retail and leisure assessment Office assessment Housing statement Sustainability strategy Energy strategy Waste strategy 	<p>The Royal Borough Major Planning Development Committee</p> <p>The Royal Borough Planning Applications Committee</p> <p>Housing & regeneration DMT</p>						

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				<ul style="list-style-type: none"> • Utilities and services infrastructure strategy • Cultural strategy • Estate management strategy 							

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 & Assurance Register
- ii. Benchmarking with other Local Authorities on Identified Risks
- iii. Information identified from Departmental Risk Registers
- iv. Officers Knowledge and experience
- v. Tri-Borough Portfolio Summary report
- 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. Transformation Management Office monthly report

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

