



# AUDIT, PENSIONS AND STANDARDS COMMITTEE

28<sup>th</sup> June 2012

## CONTRIBUTORS

All departments

## COMBINED RISK MANAGEMENT HIGHLIGHT REPORT

This report updates the Committee of the risks, controls, assurances and management action orientated to manage Organisational level risks.

## WARDS All

### RECOMMENDATION:

- 1. The committee consider the current Strategic, Programme and Operational risk position as outlined in the report.**
- 2. Members are asked to note the inclusion of risk management in the TriBorough Corporate Services Programme.**

## 1. PURPOSE

- 1.1. This report updates Members on the highlight risk management issues identified across council services and follows changes in the reporting process to Committee to meet BS31100 requirements for Enterprise Risk Management. Effective risk management continues to help the council to achieve its objectives by 'getting things right first time' and is a key indicator of the 'Corporate Health' of the council.**

## **2. BACKGROUND**

**2.1.** The Finance and Corporate Services Department acts as the lead Department on risk management supported by the Principal Consultant Risk Management. Departmental Executive Directors act as Risk Champions in their own service areas to support the process across all levels of the authority. Risk Management is critical to both the value for money assessment and provision of annual assurance that form part of the annual accounts.

## **3. TRI-BOROUGH RISK MANAGEMENT DELIVERY**

**3.1.** H&F Risk Management has been included as a service, along with Internal Audit and Counter Fraud, in the Corporate Services Programme. It is expected that a target operating model will be developed following a review of risk management arrangements in each of the three boroughs.

**3.2.** TriBorough risks are an expression of our local Interconnectivity with the Royal Borough of Kensington and Chelsea and Westminster City Council and now form part of the H&F risk set. Increasingly risks that belong to Services that operate in a Tri or Bi borough environment that are shared or described as common are being considered and included in H&F risk & assurance registers. Specific work will be assigned, following the outcome of the Corporate Services review, to establish common risk registers and processes

## **4. H&F RISK MANAGEMENT- STRATEGIC RISKS UPDATE**

**4.1.** The Corporate Risk and Assurance Register has been reviewed by Hammersmith & Fulham Business Board and is an indicator of 'Corporate Preparedness'. The full version accompanies this paper for Members information at **Appendix 1**.

**4.2.** It is important to note that the extraordinary and unprecedented global economic changes and the impact associated with them nationally and locally, together with Tri Borough service re-modelling, have resulted in a period of significant change to the risk profile. These changes continue to be monitored as part of the usual risk management practice.

**4.3.** Risks have been reviewed in line with British Standard 31100 and have been compared and contrasted to the World Economic Forum (WEF) Global risks report 2012. Evidence and material for the report was drawn from interviews with a group of leading risk managers from some of Europe's biggest companies. The Global top risks identified, along with the views expressed, were;

- Economic-recurring liquidity crisis.
  - Key point – Changes to political administrations creating more uncertainty
- Geopolitical – terrorism
  - Key point – risks resulting from geographical tension is a big issue for multinationals
  - Key point – Geopolitical threats are affecting more organisations as they look to new markets
  - Key point – Business is taking risk from corruption more seriously
- Environmental – Unprecedented geophysical destruction (The Japan Earthquake and Tsunami demonstrated that economies are increasingly interconnected and impacted on the Private Sectors 'just in time' supply deliveries.
  - Key point – Last year was the costliest on record for natural catastrophes at around \$380bn £290bn
  - Key point – Insurers may no longer provide the same cover or limit it
  - Key point – Environmental regulations in Europe making business unprofitable
- Societal – Population ageing. ( Europe faces an increasing financial burden as the cost of healthcare and pensions for the elderly rises)
  - Key point – Societal risk being seen as inevitable
  - Key point – Water shortages could make water as valuable as oil
  - Key point – Pandemics have been the subject of false alarms in the past but still need to be prepared for.
- Technological – Cyber attacks ( Malicious hacks to bring down networks or steal private information, hactivists)
  - Key point – The effect of cyber crime may not be known immediately
  - Key point – Social networking has created a raft of new platforms for crusader consumers

**4.4.** The WEF remark that global interconnectivity is placing an increasing strain on well established control systems. Uncertainty heightens business risk and threatens business goals. The H&F Corporate risk set are not removed from some of the impacts of the risks identified by the World Economic Forum and has prudently had in place, for some time, a sound Governance structure that highlights its 'Corporate Preparedness' in meeting some of the future risks.

## **5. DEPARTMENTAL RISK MANAGEMENT**

**5.1.** All departments, including those Tri or Bi Borough Services hosted by H&F, have been involved in a refresh of the Financials risk and assurance register. This document, now approved by the H&F Financial Strategy Board, has been compiled following a risk identification workshop facilitated by the Principal Consultant (Risk Management). Key risks identified on the register will be monitored on a quarterly basis by the Board.

**5.2.** The Housing and Regeneration Department have completed a review of their Divisional (Service) risks. It is now proposed that they adopt a quarterly review, by exception, of those risks by their Department Management Team. The Bi Borough (H&F and RBKC) Environment, Leisure and Resident Services Department have also proposed to adopt a periodic quarterly review of the Corporate Risk Register by their Management Team. This supplements the already existing risk management processes existing within the department. Bi Borough (H&F and RBKC) Transport and Technical Services, and Finance and Corporate Services have agreed two key Risk Management review points in their departmental forward plan.

## **6. TRAINING AND THE DEVELOPMENT OF KEY RISK INDICATORS**

**6.1.** Training on the Annual Governance Statement process and risk management, for the purpose of raising awareness, will be delivered through e-learning in 2012 2013. Draft documentation has already been prepared in readiness for its development and this will be progressed with the assistance of the Organisational Development and Transformation Division.

**6.2.** A set of Key Risk Indicators (KRI's) has been established for H&F council. These cover a basic range of operational risk management activities and are based on a set of already known risk areas. They are currently being tested and will profile and produce trends analysis that will track the level of risk the organisation is exposed to and the residual risk the council is accepting. It is intended that the council's performance management system, Corvu will be used to manage the dataset. In addition to the suite of key risk indicators work has been undertaken to ascertain low high impact events likelihood and (HILL's). These are events that are historically managed through contingency or emergency planning, insurance and health and safety. An initial list of risk events has been compiled through the Emergency Planning and Business Continuity team

and Key Risk data is being tested to record significant Health & Safety issues.

## **7. CORPORATE RISK AND ASSURANCE REGISTER**

**7.1.** Risk and Assurance Registers are an expression of Departmental Governance arrangements. These have been used in support of the councils 2011 2012 Annual Governance Statement. Any issues identified in the supporting management assurance statements made by Executive Directors or Directors have been incorporated into the Corporate Risk Register.

**7.2. Revision highlights include;**

**7.3. Corporate risk number 1. - Business Continuity - Medium risk – Stable**

**7.3.1.** In respect of Members of the Audit & Pension Committee enquiry at the 15<sup>th</sup> March 2012 a meeting was held with the BiBorough Business Continuity Officer and Emergency Planning Officer who have reviewed and refreshed the Business Continuity risk register. The risk register and briefing is attached as **Appendix 2** for consideration.

**7.4. Corporate risk number 2. – Managing Projects – Low risk – Stable**

**7.4.1.** The Hammersmith & Fulham Business Board receive periodic consolidated statistics on four Portfolios. The April highlight reports indicated a number of key risks that include, but are not limited to;

**7.4.2. Customer Access & Service Delivery**

Key risk – E-services (If customers are not made aware of the new services available through My Account and how to use them, usage of eService solutions will be limited.)

**7.4.3. Transforming the way we do business**

Key risk – World Class Financial Management - there is a risk that the people change element of this programme is not receiving sufficient attention.

Key risk - SmartWorking - there is a risk that the HRD SmartWorking Project will suffer from engagement issues impacting on timescales and effectiveness of the programme. This is based on the fact that the initial data gathering stage is currently taking longer than expected.

#### 7.4.4. Market management

Key risk – MTFS targets and change initiatives in departments at risk of competing against MM initiatives, ie. revenue development and contract renegotiation initiatives

Key risk – School resources social enterprise go-live has been revised to Sept 2012. There is a risk that competitive dialogue may end up delaying the start date even further, and therefore impacting MTFS savings. This risk may be higher if the current project manager is not replaced promptly.

Key risk – Tri-borough procurement is not coordinated across boroughs and takes place outside of H&F procurement arrangements, eg Managed Services Programme, potentially impacting on best advantage for H&F and effectiveness of value-adding assurance role of Competition Board.

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Key risk - Lack of commercial skills in the organisation to consider and develop new models of service delivery (e.g. social enterprise etc), and develop income generation plans for services.

#### 7.4.5. Tri-borough Programme risks

7.4.5.1. Programme risk management is the responsibility of the RBKC programme management office (PMO). Information collated as part of the function of the PMO on risk is shared through Sharepoint with the H&F risk management consultant. Data drawn from the PMO highlight reports are considered as the H&F Corporate Risk & Assurance register is updated. As the activity of the PMO in delivery of TriBorough Objectives diminishes risks will migrate to form part of the business as usual function.

Key risk - If changes to the NHS hamper the design of new partnerships with Adult Social Care and Children's Services then integrated services may be delayed or not delivered and benefits may not be delivered. Regular meetings continue with

Clinical Commissioning Groups and NHS London, Inner North West London (INWL) and other community health providers to discuss, agree and progress changes.

## **7.5. TRIBOROUGH RISK REGISTERS**

**7.5.1.** A review of the composition and structure of departmental risk registers in order to compare and contrast how they can be aligned has been initiated by the Principal Consultant, Risk Management. TriBorough and BiBorough departments could and should retain ownership of sovereign risks however these may be a shared responsibility for their management and going forward may start to rely on common controls. It is possible to combine existing sets of risk & assurance registers across Tri and Bi Borough services, eliminating potential duplication or triplication of administration. A benefit of this exercise would be the use of risk and assurance registers from a common source to inform future internal audit plans.

**7.5.2.** Each key risk is accompanied with a proposed mitigation and updates the position on the Organisational Development and Transformation Division resource requirements, benefits realisation and plans to provide increased Programme Assurance continue to be reported.

**7.6. Opportunity risk number 2.** – Tri Borough, Merging of Education services with Westminster and the Royal Borough of Kensington & Chelsea.– Low risk of negative benefit realisation– Stable

Key Risk update – Inclusion of the CHS Employee Led Mutual (Social Enterprise) on the Corporate risk register

**8.** Detailed information on controls and assurances are contained in the fabric of the corporate risk register, project tracking record and contract and market testing schedules. Work is in progress to mitigate these risks. The exposure rating of corporate risks has not proven to be volatile indicating a reasonable and consistent level of Internal Control.

## **9. H&F Programme and projects**

**9.1.** The Transformation Office has refreshed their project and programme governance reporting arrangements. This has been approved by the Hammersmith & Fulham Business Board. Departments will in future track

and report on progress of individual projects. Aspects of which will be discussed at their respective Department Management Teams.

Key Risk update – The number, scale and complexity of H&F initiatives are increasing possibly resulting in potential overload, competing priorities, lack of clarity on priorities.

## **10. Operational highlights**

**10.1.** The direction of travel for H&F departmental health and safety performance continues to be one of improvement and the commitment of management and Safety Champions remains high during a period of significant transition. The revised corporate safety policy, updated to account for recent organisational changes, is now signed and on the intranet. 'Statements of Intent' that link to sovereign policies as part of the Tri- borough operational arrangements for Children Services, Adult Social Care, and the Bi-borough Environment family are now drawn up with Children's Services expected to hold the first Tri-borough Safety Committee.

**10.2.** Hammersmith and Fulham Business Board approved the councils Anti- Bribery policy. Following its approval the councils Competition Board and Procurement Team were advised of the implications of the policy. A Risk Register has been developed and a reminder has been communicated to all staff via the intranet of the need to record details of gifts and hospitality in line with council procedures. The Human Resources Division and Procurement and Strategy Divisions have reviewed and refreshed guidance to Officers that incorporate requirements under the Act.

## **11. Market Testing**

**11.1.** An update to contract schedules (market testing programme, new contracts, contract renewals and contract review & negotiation Programme) was reviewed and discussed at the councils Competition Board. No significant issues were reported. Competition Board has asked the councils Contracts Register Group to continue to monitor progress on new contracts, contract renewals and renegotiations, Market Testing Programme, and contract monitoring and report back to Competition Board on an exception basis. In effect this concerns reporting on red flag items where major problems or issues have been encountered and Competition Board need to be advised. It was also considered sensible to report on any major headlines issues.

Key Risk update – Competition Board were updated in the last quarter on the requirements of the Bribery Act and the potential



for Fraud or collusion in contracts. Risks associated with procurement are subject to an annual scheduled refresh conducted in June the results of the refresh will be presented to the council Competition Board.

**LOCAL GOVERNMENT ACT 2000-  
LIST OF BACKGROUND PAPERS**

No.	Description of Background Papers	Name/Ext. of Holder of File/Copy	Department/ Location
1.	Association of Local Authority Risk Managers & Institute of Risk Management, 2002, A Risk Management Standard	Michael Sloniowski 2587	Corporate Finance Division, Internal Audit, Town Hall, Hammersmith
2.	The Orange Book, Management of Risk Principles & Concepts – HM Treasury	Michael Sloniowski 2587	Corporate Finance Division, Internal Audit, Town Hall, Hammersmith
3.	Departmental Risk Registers, Tri borough Portfolio risk logs	Michael Sloniowski 2587	Corporate Finance Division, Internal Audit, Town Hall, Hammersmith
4.	CIPFA Finance Advisory Network The Annual Governance Statement	Michael Sloniowski 2587	Corporate Finance Division, Internal Audit, Town Hall, Hammersmith
5.	BS 31100 Code of Practice for risk management	Michael Sloniowski 2587	Corporate Finance Division, Internal Audit, Town Hall, Hammersmith

H&F CORPORATE RISK & ASSURANCE REGISTER Key Risks (refer to note 1)

APPENDIX 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><b>Business Resilience –</b></p> <p><b>Sub-risk IT resilience</b></p> <ul style="list-style-type: none"> <li>• Systems not joined up and connected in the event of a H &amp; F or Tri-Bi Borough event</li> <li>• Strategic Information technology framework not implemented effectively</li> <li>• Lack of top tier response plans</li> <li>• ISP version update to the infrastructure of the internet will have to move over to a new system, IPv6 previous versions not being compatible</li> <li>• Electronic information storage capacity</li> <li>• Mobile Communications technology provider service failure</li> </ul>	<p><b>If an event occurs</b></p> <ul style="list-style-type: none"> <li>• Customers face delays in service provision</li> <li>• Non compliance with statutory duties - indirectly</li> <li>• Threat to life - indirectly</li> </ul> <p><b>If an event occurs</b></p> <ul style="list-style-type: none"> <li>• Time to recover power and IT Services could be between 6 &amp; 8 weeks</li> <li>• Loss of information</li> <li>• Loss of productivity</li> <li>• Increased cost of resurrecting services ( only partially insurable)</li> <li>• Wasted resources &amp; staff duplication in recovery phase</li> <li>• Cost of additional data storage capacity</li> </ul>	<ul style="list-style-type: none"> <li>• Joint BCP Officer with the Royal Borough commenced 2012</li> <li>• Corporate Incident Management Procedures incorporate Business Continuity</li> <li>• Training has been delivered to local service plan leaders</li> <li>• A corporate service resilience group has been formed and meet periodically</li> <li>• Directors of Resources have been appointed as Departmental contact leads</li> <li>• Local Service Plans have been compiled, reviewed and refreshed and quality checked by Emergency Services</li> <li>• H &amp; F Bridge Partnership have submitted a Local Service Recovery, a major incident process has been established by HFBP as part of Data recovery is insured under the councils corporate insurance package ( but limited )</li> <li>• the Service Desk Manual</li> <li>• A threat assessment has been compiled</li> <li>• Some ITC service has been moved to East London</li> <li>• The Business Continuity (BC) project now involves provision of IT BC for approximately 30 First Order applications as identified by H&amp;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.</li> </ul>	<p>HFBB</p> <p>Audit and Pension Committee</p> <p>Service Resilience Group</p> <p>ELRS DMT</p> <p>Substantial Assurance report 2011/12</p> <p>Emergency Planning</p> <p>Substantial Assurance Business Continuity Audit report 2011 2012</p> <p>Data storage &amp; back up audit Audit report 2009/10 ( Substantial assurance )</p>	3	4	12	Medium	<p>Lyn Carpenter ( Corporate Business Continuity )</p> <p>ELRS Bi Borough with the Royal Borough of Kensington and Chelsea</p> <p>Jane West ( Insurance &amp; H F Bridge Partnership contract monitoring )</p> <p>Jackie Hudson Tri Borough Information and Communication s Technology Lead Advisor</p>	<p>Review</p> <p>May 2012</p>



No.	Corporate Priorities	Risk	Consequence	Identified Control	Assurance	Likelihood (L)	Impact (I)	Exposure = L x I	Risk Rating	Responsible Officer – Group	Review
		<p><b>Contractor Liquidity</b></p> <p><b>2012 Olympics delivery risks to H &amp; F</b></p> <p><b>Terrorist attack/Civil disturbance</b></p>	<ul style="list-style-type: none"> <li>• Delays/ interruption to the service as a replacement is found</li> <li>• Cost and time of re-procuring the service</li> <li>• Delays/ interruption to public transport system due to investment programmes in infrastructure</li> <li>• Skills and resource shortage leading to commencement of the games</li> <li>• Potential threat of a terrorist attack</li> <li>• Service interruption</li> <li>• Property loss or damage</li> <li>• Injury or harm</li> </ul>	<ul style="list-style-type: none"> <li>• Creditsafe Financial checks</li> <li>• Corporate Finance credit checking</li> <li>• Contractor Business Continuity Planning</li> <li>• LBHF Olympic coordination team between the 25th July and the 14th September. The team, which will be operating an Olympic Control Room at the Town Hall, the hub for all LBHF Olympic issues, will be responsible for coordinating any Olympic related incidents and compiling regular situation reports.</li> <li>• LBHF Olympic Operations and Resilience Group</li> <li>• Borough Emergency Control centre</li> <li>• Terrorism insurance cover</li> <li>• Tri Borough councils are working together to prevent terrorism offering free interactive workshops to raise awareness of the Prevent Strategy</li> <li>• Prevent aims to stop people from becoming terrorists or supporting terrorism by focusing on supporting and protecting those who might be vulnerable to radicalisation. The two and a half hour workshops are targeted at front line staff working primarily in Adult Social Care, Children’s Services, Housing and Community Safety and will help them to use their expertise and professional judgement to recognise individuals who may need support and knowing where to refer their concerns to.</li> <li>• <b>NOTE</b> Please refer to BCP Risk Assessment for highlighted risks and controls</li> </ul>	<p>Competition Board</p> <p>Cabinet Office COBR</p>						

No.	Corporate Priorities	Risk	Consequence	Identified Control	Assurance	Likelihood (L)	Impact (I)	Exposure = L x I	Risk Rating	Responsible Officer – Group	Review
2.	Delivering high quality, value for money public services	<p><b>Managing projects</b></p> <p>Sub-risks</p> <ul style="list-style-type: none"> <li>Projects do not consider enough time to mobilise in the event services are awarded to the private sector</li> <li>Project implementation is delayed due to protracted discussions regarding pensions transfers</li> <li>The risk of challenge to contract awards may increase during the harsher economic climate</li> <li>Large scale high risk high return projects are not led by a qualified or experienced project manager.</li> <li>Too many projects are undertaken with unrealistic or unachievable targets</li> <li>Successful delivery of the World Class Financial Management Programme</li> <li>Housing Regeneration, Borough Investment Plan.</li> </ul>	<ul style="list-style-type: none"> <li>Customers needs and expectations are not fully met when projects are delivered</li> <li>Benefits of investment in creating toolkit not realised</li> <li>Threat of overspend on projects</li> <li>Benefits are not fully realised</li> <li>Delays in mobilisation of services through revised contracts</li> </ul>	<ul style="list-style-type: none"> <li>Transforming Procurement Programme with Agilysis undertakes to improve the knowledge base and skills throughout H&amp;F</li> <li>Programme and Project management is now supported by a recommended decision-making and governance process. This process sets out requirements for gate reviews with standard programme documentation. This approach has now been agreed by HFBB – April, 2012. To support this, presentation to DMTs as well as training of programme managers and projects managers is being progressed through the context of the Transformational portfolios. A centralised project register is also contributing this to goal by giving visibility of projects that are in department.</li> <li>Further training and capability is being advanced with the RBKC Programme management office.</li> <li>The Royal Borough PMO for TriBorough activity</li> <li>Project Management toolkit</li> <li>Transformation Office in Finance &amp; Corporate Services Department acts as a repository for project information and reports to HFBB but does not ensure compliance with any toolkit</li> <li>Senior Managers have all been briefed about the Project Toolkit</li> <li>Toolkit is available on desktop PC's</li> <li>Monthly transformation reporting to HFBB (dashboard)</li> <li>Competition Board monitor aspects of project management compliance</li> </ul> <p>Procedures for TUPE transfer have</p>	<p>The Royal Borough of Kensington &amp; Chelsea Internal Audit</p> <p>Corporate Programme &amp; project management audited in 2009 draft report issued ( Limited Assurance )</p> <p>Competition Board</p> <p>Transformation Board</p> <p>Internal Audit review of specific contracts under 2010/11 Audit Plan and of Use of Consultants ( Nil Assurance )</p> <p>HFBB, Pension and Audit Committee</p>	3	3	9	Low	<p>Jane West lead – All Executive Directors</p> <p>Tony Redpath (RBKC Tri &amp; Bi Borough)</p> <p>Marie Snelling (Tri Borough Portfolios)</p>	<p>Review</p> <p>May 2011</p>



No.	Corporate Priorities	Risk	Consequence	Identified Control	Assurance	Likelihood (L)	Impact (I)	Exposure = L x I	Risk Rating	Responsible Officer – Group	Review
				been included in project management instructions							


No.	Corporate Priorities	Risk	Consequence	Identified Control	Assurance	Likelihood (L)	Impact (I)	Exposure = L x I	Risk Rating	Responsible Officer – Group	Review
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.	<p><b>Managing statutory duty</b></p> <p><b>Sub-risks</b></p> <p><b>Non-compliance with laws and regulations</b></p> <p><b>Breach of duty of care</b></p>	<ul style="list-style-type: none"> <li>• Non compliance may result in prosecution or a Corporate Manslaughter charge</li> <li>• Financial compensation may be claimed</li> <li>• Injury or death to a member of the public or employee</li> <li>• A breach of information security protocols may result in fines, harm to reputation and personal liability of Directors</li> <li>• Inadequate level of service</li> <li>• Poor satisfaction with statutory services</li> <li>• Potential claims involving failures in Social Care ( Stamford House )</li> </ul>	<ul style="list-style-type: none"> <li>• Nigel Pallace appointed lead Sponsor on HFBB for Health &amp; Safety</li> <li>• Pro-active Health, Safety and Welfare culture across the council</li> <li>• TriBorough Health &amp; Safety protocols are being discussed and established</li> <li>• Contractors are managed within CHAS regime</li> <li>• Insurance cover is in place in the event of a claim for breach of duty of care and in respect of financial claims</li> <li>• Legislative changes are adopted and reflected in amendment to the council's constitution, budget allocation through MTFs ( Now unified business &amp; financial planning process )</li> <li>• Training and guidance packages and newly agreed performance management indicators</li> <li>• Periodic reporting to HFBB</li> <li>• Health &amp; Safety campaign on slips, trips and falls</li> <li>• Health &amp; Safety guidelines have been reviewed, refreshed and communicated</li> <li>• Promotion of the Occupational Health Service and Workplace Options Employee Assistance Scheme</li> <li>• Housing and Regeneration have rolled out personal safety training to over 130 staff through the Suzy Lamplugh Trust Training</li> </ul>	<p>Health &amp; Safety Internal Audit undertaken in 2009/10 demonstrated improvements and substantial assurance</p> <p>Annual Assurance process</p> <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>	3	4	12	Medium	Derek Myers	Review May 2012
		<p><b>Departmental assurances</b></p>	<ul style="list-style-type: none"> <li>• The Executive, Hammersmith &amp; Fulham Business Board, Executive Directors and Management Teams may not have been appraised of significant controls weaknesses that appear in the service area.</li> </ul>	<ul style="list-style-type: none"> <li>• FSB reviewed and approved a process to harmonise the Management Assurance process at Director and Divisional level with that of RBKC.</li> </ul>	<p>FSB, Executive Director of Finance and Corporate Governance, Chief Executive and Leader of the Council</p>						
		<p><b>Corporate Parenting</b></p>	<ul style="list-style-type: none"> <li>• Harm to reputation, potential harm or injury to individual</li> </ul>	<ul style="list-style-type: none"> <li>• All child protection cases have remained allocated to a social worker despite of the high</li> </ul>	<ul style="list-style-type: none"> <li>• Local</li> </ul>						






5.	Delivering value for money	<p><b>Managing budgets</b></p> <p><b>Sub-risks</b></p> <ul style="list-style-type: none"> <li>• Austere financial settlement from government is not favourable. The council is seen as a floor authority.</li> <li>• Impact of a double dip recession and cascade effect on social budgets * link to revenue forecast</li> <li>• Demand led services may occur mid year resulting in unanticipated additional costs</li> <li>• HMRC VAT claims regarding partnering activities</li> <li>• Grant application is incorrectly calculated</li> <li>• Unplanned growth</li> <li>• Failure to achieve VFM</li> <li>• Accruals &amp; reconciliations</li> <li>• Planned savings not implemented</li> <li>• Creditworthiness of some contractors may be downgraded as a result of the economic downturn</li> <li>• Increase in social welfare services as a result of the economic downturn may impact on projected spend.</li> <li>• Insufficient budgetary provision and/or budgetary under/overspend *</li> <li>• Incomplete/inaccurate accounting records linked to the World Class Financial Management Programme</li> </ul>	<ul style="list-style-type: none"> <li>• Pressure on the authority to manage overspends</li> <li>• Departments have to manage cost pressures</li> <li>• Pressure to meet target savings and Administrations commitment to cut Council Tax</li> <li>• HMRC recovery of VAT from the council affecting cash flow</li> <li>• Repayment of Grants</li> <li>• CEDAR 5.1 will no longer be supported by the product supplier</li> </ul>	<ul style="list-style-type: none"> <li>• High risk &amp; volatile budget areas identified by H &amp; F Finance</li> <li>• E-Learning package for Finance Managers now live</li> <li>• Collaborative Planning system now live with supported training for budget holders</li> <li>• Medium Term Financial Strategy and Business Planning Processes have been combined and is re-modelled</li> <li>• MTFS Officer &amp; Member Challenge</li> <li>• Efficiency programme management in place identifying statutory v discretionary services</li> <li>• Leader's monthly monitoring reports</li> <li>• Financial Strategy Board (FSB) periodically evaluates the effectiveness of the financial management arrangements</li> <li>• Partnership activity now includes a VAT trace and has been raised at FSB</li> <li>• Grant Claims &amp; returns record is tracked at FSB</li> <li>• Monthly corporate revenue &amp; capital monitoring to cabinet</li> <li>• Reports to the Leader identify where spend levels exceed a tolerable level during the year</li> <li>• Credit check of contractors is being undertaken through the Competition Board</li> <li>• Disposal of Assets</li> <li>• Sponsorship and advertising opportunities risk &amp; reward exercise</li> </ul>	<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, Audit and Pension Committee, External Audit</p>	3	4	12	Medium 	Jane West lead – All Executive Directors	Review May 2012
6.	Putting residents first, Setting the framework for a healthy borough	<p><b>Successful partnerships &amp; Major Contracts</b></p> <p><b>Sub-risks</b></p> <ul style="list-style-type: none"> <li>• Partnering activity with other boroughs and the NHS may blur the lines of responsibility, accountability or liability in the event of service failure</li> <li>• Plans to remodel the</li> </ul>	<ul style="list-style-type: none"> <li>• Joint objectives are not met</li> <li>• Community expectations are not met</li> <li>• Relationship deteriorates</li> <li>• Threat of overspends and underspend</li> </ul>	<ul style="list-style-type: none"> <li>• Governance arrangements are in place</li> <li>• Performance monitoring reports reported to Select Cttee's</li> <li>• H &amp; F Bridge Performance Monitoring</li> <li>• Financial creditworthiness</li> </ul>	<p>H &amp; F Bridge Partnership Assurance process</p> <p>Internal Audit Substantial Assurance report</p>	4	3	12	Medium 	Derek Myers	Review May 2012






		<p>delivery of health services through GP's as per the White Paper – Liberating the NHS</p> <ul style="list-style-type: none"> <li>Local Housing Company</li> </ul>		checks at Competition Board	<p>2011/12 Partnership Governance</p> <p>Competition Board</p> <p>HFBB, Audit and Pension Committee</p>							
7.	Delivering value for money	<p><b>Maintaining reputation and service standards</b></p> <p><b>Sub-risks</b></p> <ul style="list-style-type: none"> <li>Multiplicity of external forces and initiatives</li> <li>Breach of Officer or Member code of conduct</li> <li><b>Information Management and Governance</b></li> <li>Inappropriate Data released</li> <li>Poor data quality internally or from third parties, breaches of information protocols, information erroneously sent to third parties.</li> <li>Auto forwarding of information ( Information control and threat of leakage )</li> </ul>	<ul style="list-style-type: none"> <li>Threat to the status of the council</li> <li>Failure to deliver plans &amp; savings.</li> <li>Ability to effectively lead and resource the transformation agenda is diminished</li> <li>Service delivery deteriorates</li> <li>Potential adverse media reporting</li> <li>Potential adverse media reporting</li> <li>Potential fine for loss of data</li> <li>Quality and integrity of data held in support of Performance Management &amp; Financial systems leads to under or over estimation</li> </ul>	<ul style="list-style-type: none"> <li>A review of the corporate governance arrangements has been conducted by Internal Audit and a revised Local Code of Corporate Governance has been produced</li> <li>Annual Complaints review report April 2010 to March 2011 produced to Committee</li> <li>Risk &amp; assurance registers have been developed for all departments and divisions</li> <li>Combined Finance &amp; Service Planning processes</li> <li>New Information Management Security Protocols published on the Intranet</li> <li>Regular reporting on Security Incidents by the Information Management Team</li> <li>Performance statistics are scrutinised by Select Committee's, HFBB &amp; DMT's</li> <li>Corvu Performance Management System is able to pick up anomalies</li> </ul>	<p>Cabinet Ofsted, Care Quality Commission, Annual Audit letter</p> <p>HFBB, Audit and Pension Committee, Overview and Scrutiny Board</p> <p>ITSOG</p> <p>Data quality review conducted by Internal Audit and a Management Letter has been issued with low level recommendations</p>	4	3	12	Medium 	All Executive Directors	Review May 2012	
8.	Delivering value for money	<p><b>Managing fraud ( Internal &amp; External)</b></p> <p><b>Sub-risks</b></p> <p><b>Misappropriation of assets * Appointeeship/custodian or guardian</b></p> <p><b>Contracting</b></p> <p>Gifts &amp; Benefits Manipulation of performance</p>	<ul style="list-style-type: none"> <li>Loss of reputation</li> <li>Financial loss</li> <li>Loss of asset</li> <li>Adverse regulatory /audit report</li> <li>Inadequately resourced fraud unit</li> </ul>	<ul style="list-style-type: none"> <li>Corporate Anti Fraud Service has been established</li> <li>CAFS team now use a risk assessment to assist in targeting and workload prioritisation</li> <li>New model being piloted to collate information from fraud cases and disseminate the recommendations through risk &amp; assurance registers</li> <li>Literature and training has been</li> </ul>	<p>Audit and Pension Committee receive quarterly reports on Fraud</p> <p>Deloitte Fraud Survey 2008</p> <p>Substantial Assurance report 2010/11 Personal</p>	2	3	6	Low 	Jane West lead – All Executive Directors	Review May 2012	


		<p>data, collusion, billing</p> <p><b>Misrepresentation of Personal Circumstances</b></p> <p><b>Payroll</b></p> <p><b>Cheque</b></p> <p><b>Imprests or petty cash</b></p> <p><b>Grant award</b></p> <p><b>Treasury</b></p> <p><b>Tenancy or Benefit</b></p>		<p>delivered to all levels of the authority</p> <ul style="list-style-type: none"> <li>Information and guidance has been published on the corporate intranet</li> <li>Level of fraud is being tracked through FSB</li> <li>Close working relationship is established with the Police</li> <li>Bribery Act Policy and Risk Register</li> </ul>	<p>Budgets, Housing Benefits</p> <p>Substantial Assurance reports 2010/11 Contract Management, Management &amp; Monitoring of Contractors(Env.)</p> <p>HFBB</p>						
9.	Delivering value for money	<p><b>Successful cultural change</b></p> <ul style="list-style-type: none"> <li>Right staff not available for this work due to increasing workloads while also downsizing and restructuring.</li> </ul>	<ul style="list-style-type: none"> <li>Change consumes more resource than VFM/efficiency gains realise</li> <li>Uncertainty leads to low staff morale and lower productivity.</li> </ul>	<ul style="list-style-type: none"> <li>Open channels to communicate with the Executive Directors and the Chief Executive</li> <li>Transforming the way we do business, Market Management and other Portfolio Transformation Programmes</li> <li>Effective communications programme</li> <li>Staff Survey undertaken and follow up actions are being delivered</li> <li>Career development discussions</li> <li>Smartworking</li> </ul>	<p>Staff survey</p> <p>Corporate Workforce Group</p> <p>HFBB, Audit and Pension Committee</p> <p>Transformation Board</p>	3	3	9	Low 	Jane West	Review May 2012

10.	Putting residents first	<p><b>Managing the Business Objectives (publics needs and expectations)</b></p> <p><b>Sub-risks</b></p> <ul style="list-style-type: none"> <li>• A successor integrated financial and business planning process is not delivered</li> </ul>	<ul style="list-style-type: none"> <li>• The Public or section of the public may not receive the service that they need or to the quality they expect</li> <li>• Reputation of the service may be affected</li> <li>• Services are delivered in an unplanned way</li> <li>• Services start to do their own thing - Maverick decisions</li> <li>• Inconsistencies in service delivery start to emerge</li> <li>• Lack of transparency</li> <li>• Duplication of effort</li> <li>• Communication of objectives and values is lost</li> <li>• Target and Objective setting is diminished reducing the effectiveness of the performance management regime for officers</li> </ul>	<ul style="list-style-type: none"> <li>• Implementation of Lean Thinking principles putting the voice of the customer at the heart of service design</li> <li>• Performance monitoring and feedback through local media</li> <li>• Customer experience and satisfaction surveys</li> </ul>	<p>Cabinet Members</p> <p>Scrutiny Cttee review performance</p> <p>Ofsted</p> <p>Care Quality Commission</p>	3	3	9	Low 	All Executive Directors	Review May 2012
11.	Delivering value for money	<p><b>Market Testing of Services ( refer to Competition Board Roadmap )</b></p> <p><b>Sub-risks</b></p> <p>Tri Borough or Bi Borough procurement risk appetite may vary</p>	<ul style="list-style-type: none"> <li>• Increase in threat of legal challenge on contract awards</li> <li>• Officers time away from other projects</li> <li>• Timescale of project is tight</li> <li>• Insufficient numbers of Officers designated to the project</li> <li>• Benefits are not realised</li> <li>• Data Quality ( Accuracy, timeliness of information ) results in variation to original contract spec</li> </ul>	<ul style="list-style-type: none"> <li>• TOR's for Competition Board</li> <li>• Lean thinking exercise of procurement processes to make them slicker and more efficient</li> <li>• Consultation with other boroughs</li> <li>• Project managing the process</li> <li>• Separation or joining of projects to maximise benefit potential</li> <li>• Realistic timetables agreed and reviewed at Competition Board</li> <li>• Market Testing progress report to HFBB</li> <li>• Programme &amp; Project Management – Risk Logs being maintained, periodic risk reviews</li> </ul>	<p>Competition Board</p> <p>Transformation Board</p> <p>HFBB</p> <p>Audit review conducted for Use of Contractors</p> <p>Internal Audit Substantial Assurance reports 2011/12 Market Testing H &amp; F News, BTS, Legal Services Full Assurance report 2011/12 Market Testing Out of Hours Service</p>	3	3	9	Low 	All Executive Directors	Review May 2012
12.		<p><b>Scrutiny of Public Health Service</b></p>	<ul style="list-style-type: none"> <li>• 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</li> <li>• Maintaining an audit trail of</li> </ul>	<ul style="list-style-type: none"> <li>• Director of Public Health attends Housing, Health and Adult Social Care Select Committee</li> <li>• Dedicated officers implementing the setting up of a Health &amp; Well Being Board</li> <li>• Pilot council before full delivery which is due ( start</li> </ul>	<p>HFBB</p> <p>Education Select Committee</p>	3	3	9	Low 	Derek Myers, Director of Public Health	Review May 2012

			<p>financial expenditure</p> <ul style="list-style-type: none"> <li>• Monitoring of financial spend against performance targets to achieve financial credit or top ups</li> <li>• 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</li> <li>• Setting up a Health and Wellbeing Board attendees would need to include Councillors and managing their time demands</li> <li>• Three Boroughs merged services may result in functions being delivered to support the new responsibilities jointly</li> <li>• H&amp;F currently jointly fund the Director of Public Health post, RBKC don't fund Westminster to jointly fund</li> <li>• Deprivation statistics could affect the distribution of financial settlement unevenly</li> <li>• Public Health budgets will be ring fenced however local authorities seek unringfencing of the monies</li> <li>• Commissioning of services responsibilities for some health inequalities ( healthy eating, smoking cessation, immunisation, screening, air pollution, drugs and alcohol, teenage pregnancy)</li> <li>• Provision of audit and resilience services i.e. managing environmental hazards and emergency planning</li> </ul>	<p>April 1<sup>st</sup> 2013)</p> <ul style="list-style-type: none"> <li>• HM Government Healthy Lives Healthy People Nov 2010</li> <li>• Joint meetings with K &amp; C &amp; Westminster</li> <li>• Officer meetings with Department of Health</li> </ul>								
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OPPORTUNITY RISKS											
2.	Delivering high quality, value for money public services	<p><b>Merging of education services with Westminster Council and the Royal Borough of Kensington and Chelsea</b></p> <p><b>Sub-risks</b></p> <p><b>Social enterprise</b></p>	<p>Savings due to removal of duplication across the councils</p> <ul style="list-style-type: none"> <li>The procurement for an ISP to help establish and support a employee-led mutual is highly innovative, and is being supported by the Cabinet Office as a national pilot.</li> <li>The Council will have a contractual arrangement with the Employee- Led Mutual ELM for it to provide some of the services, supplies and works for a period of not less than four years.</li> <li>As a commercial organisation the ELM will also offer its services to non-maintained schools, such as Academies and Free schools. The services,</li> </ul>	<ul style="list-style-type: none"> <li>Tri Borough Mandate approved for Childrens Services at Cabinet 05-12-11</li> <li>Combined Senior Management Team</li> <li>A single education commissioning function responsible for raising standards</li> <li>A single commissioning function responsible for arranging services for early years, children, young people, social care, health, disability and workforce development.</li> <li>Three Borough-based delivery units with responsibility for protecting children, supporting families and delivering early help in the most efficient manner possible. However, where appropriate, specialist services will be combined to share overheads and expertise (e.g. the Youth Offending Service).</li> <li>The councils have published a Prior Information Notice (PIN) in the Official Journal of the European Union (OJEU) for an independent partner company to set up and support the employee-led mutual. The PIN also invited bidders to participate in a "Meet the Buyers" event. The proposal is the first nationally to develop a strategy to meet European procurement rules to establish an employee-led mutual.</li> <li>It is envisaged that the ISP will provide support and assistance for the creation and operation of the Employee- Led Mutual (ELM), which is currently anticipated will be structured as a joint venture company with the share holding shared</li> </ul>	<p>Cabinet</p> <p>Transformation Board</p> <p>Education Select Committee</p> <p>External Audit (review 2012)</p> <p>Competition Board</p>	2	4	8	Low	<p>Andrew Christie</p> 	<p>Review</p> <p>May 2012</p>


			supplies and works to the relevant educational facilities will include either direct provision by the ELM or the sub-contracting to other providers	<p>between the ISP and the employees (held on the employees' behalf in an employee benefit trust).</p> <ul style="list-style-type: none"> <li>Under a joint venture structure, the maximum holding for any independent sector partner will be capped to balance ownership in favour of employee ownership.</li> </ul>								
3.	Delivering high quality, value for money public services	<p><b>Merging of services with Westminster &amp; RB Kensington and Chelsea</b></p> <p><b>Sub-risks</b></p> <p>ICT provision is developing 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>	<b>Savings due to removal of duplication across the council</b>	<ul style="list-style-type: none"> <li>Tri Borough Mandates for Adult Social Services and Libraries approved by Cabinet 05-12-11</li> <li>Monthly Tri Borough Portfolio risks and issues summary report</li> <li>Review of opportunities with contracts</li> <li>Risk Registers compiled and presented to the Programme Management Office</li> <li>Portfolios, Tri-borough Portfolio Director appointed</li> <li>Programmes being managed consistently from the Royal Borough PMO including the ICT Programme</li> <li>TriBorough Portfolio Management Office responsibilities established including the lead programme contacts.</li> <li>TriBorough Programme Management Officer Appointed</li> <li>Terms of reference produced for the Members Steering Group</li> <li>Senior Officer appointments made on a Bi Borough and/or Tri Borough basis</li> <li>TriBorough Managed Services Programme ( Corporate Services - Review of corporate and back office functions )</li> </ul>	<p>Cabinet</p> <p>Overview &amp; Scrutiny Board</p> <p>External Audit ( Audit Commission review 2012)</p>	2	4	8	Low 	Derek Myers, Mike More, All Executive Directors	May 2012	
4.	Delivering high quality, value for money public	<b>Regeneration of Shepherds Bush Market and former Shepherds Bush Library</b>	<b>Community benefits through improved market area, social housing and use of buildings</b>	<b>Section 106 possible funding and partnering with developer over scheme</b>	0Cabinet	2	4	8	Low 	Mel Barrett	October 2011	

5-	<p>services</p> <p>Delivering high quality, value for money public services</p>	<p><b>Re-integration of H &amp; F Homes</b></p> <p><b>Sub-risks</b></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><b>Savings due to the removal of duplication in back office functions</b></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"> <li>• Adapting risk register templates;</li> <li>• Identification of risk owners within the Housing and Regeneration Department;</li> <li>• Reporting procedure for risks and their mitigation;</li> <li>• Ensuring that risks are not lost or duplicated; and</li> <li>• Appointing a Risk Management representative for the department.</li> </ul> <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</p>	<p>Consultation exercise has demonstrated public opinion to re-integrate and a report recommending re-integration presented to Cabinet 10-01-2011</p> <p><b>Appointment of development agent services to support the delivery of new affordable homes</b></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 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</p>	<p>Cabinet</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>	2	4	8	<p>Low</p> 	Mel Barrett	October 2011
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			morale of staff from both HF Homes and the Council.	of them adapting the Council's working practices and culture.							
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6.	Delivering high quality, value for money public services	<p><b>Regeneration of King Street and Civic Offices</b></p> <p><b>Sub-risks</b></p> <p><b>GLA do not approve the proposals</b></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 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>Hammersmith &amp; 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 Private meetings with residents Stakeholder Forums Flyer to 15,000 homes Pre application meetings with GLA and local amenity groups 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 &amp; Archaeology, Natural England,CAA, BAA Airports, Thames Water, Environment Agency, TfL</p> <p>Residents Groups &amp; Landowners; Thomas Pocklington Trust, Tesco, Quakers, Amenity Groups, Brackenbury Residents Assoc. The Georgian Group, HAMRA, the Hammersmith Soc. H &amp; 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</p> <p>Submitted by the Planning Applicant; Environmental Statement, Energy Statement, Flood Risk Assessment, Air Quality Assessment, Environmental Noise Assessment, Lighting Strategy, Equalities impact assessment</p> <p>Phase 1 Habitat Survey &amp; ecological database search</p> <p>Telecommunications assessment</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	<p>Medium</p> 	Nigel Pallace	December 2011
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7.		<p><b>Earls Court regeneration</b></p> <p><b>Sub-risks</b></p> <p><b>GLA do not approve the proposals</b></p>	<ul style="list-style-type: none"> <li>The comprehensive regeneration of three land holdings, Transport for London (freeholder of the Lillie Bridge Depot and Earls Court) - Capital &amp; Counties (CapCo) leaseholders of Earls Court 1 and 2 and freehold owners of Seagrave Road Car Park - H&amp;F, freehold owners of the West Kensington and Gibbs</li> <li>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,</li> <li>new additional affordable homes generating greater housing choice for Borough residents and in particular local families,</li> <li>new efficient schools, leisure and health facilities, new open and play space and a significant increase in job opportunities.</li> </ul>	<ul style="list-style-type: none"> <li>The Opportunity Area is identified in the Core Strategy (2011) for potential major residential-led mixed use regeneration. The core development area lies between Warwick Road and the West London Line to the east, West Cromwell Road (A4) to the north, North End Road to the west and Old Brompton Road/Lillie Road to the south and covers the Earl's Court Exhibition Centres (owned on long lease by Capital and Counties), the TFL Depot (freehold of TfL), the Empress State building (freehold of Capital and Counties) and the West Kensington and Gibbs Green estates (freehold of LBHF). Seagrave Road car park (owned on long lease by Capital and Counties) is also within the Opportunity Area, situated south of Lillie Road and bounded by Seagrave Road and the West London Line</li> <li>H&amp;F's Core Strategy (2011) indicates the potential for an indicative 2,900 additional homes and 5,000 to 6,000 new jobs in LBHF.</li> <li>The London Plan (2011) indicates the potential for 4,000 additional homes and 7,000 new jobs across both H&amp;F and RBKC.</li> <li>The council is in discussions with other landowners (Transport for London and Capital &amp; Counties) regarding the potential redevelopment of Earl's Court after 2012. This is intended to bring substantial benefits to the wider area, including more and better</li> </ul>	<p>Cabinet</p> <p>Housing, Health And Adult Social Care Select Committee</p> <p>Planning Applications Committee</p> <p>The Royal Borough Major Planning Development Committee</p> <p>The Royal Borough Planning Applications Committee</p> <p>Housing &amp; regeneration DMT</p>	3	4	12	<p>Medium</p> 	Mel Barrett	May 2012
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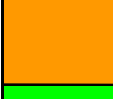


				<p>quality homes, new jobs and improved open spaces. The plans could include the West Kensington and Gibbs Green Estate and a key concern for the Council is that any scheme must provide 760 new homes for the residents.</p> <ul style="list-style-type: none"> <li>• The council recently received £15m from Capital and Counties (CapCo) for signing an exclusivity agreement relating to the Earl's Court Regeneration site. Of this receipt, £10m is refundable should a conditional land sale agreement (CLSA) not be possible; the remaining £5m is not refundable under any circumstances.</li> <li>• 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.</li> <li>• Earls Court project risk register initially compiled in 2009</li> <li>• Development specification, Parameter plans, Community engagement report, Design and access statement, Design guidelines</li> <li>• Planning statement</li> <li>• Environmental Statement</li> <li>• Transport assessment</li> <li>• Retail and leisure assessment</li> <li>• Office assessment</li> <li>• Housing statement</li> <li>• Sustainability strategy</li> </ul>						
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				<ul style="list-style-type: none"> <li>• Energy strategy</li> <li>• Waste strategy</li> <li>• Utilities and services infrastructure strategy</li> <li>• Cultural strategy</li> <li>• Estate management strategy</li> </ul>							
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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. World Economic Forum Global risks 2012
- iii. Information identified from Departmental Risk & Assurance Registers
- iv. Officers Knowledge and experience
- v. Tri-Borough & H&F Portfolio Summary reports
- vi. Procurement exercises
- vii. Significant Weaknesses established from the Annual Assurance process
- viii. Audit & Fraud Reports
- ix. Knowledge and experience of public sector risks from the Principal Risk Consultant
- x. Data Quality and Integrity
- xi. Cabinet, Scrutiny and Public Domain reports.
- xii. WCC and RBKC Risk knowledge pooled information

Note 2. Categorised under the PESTLE methodology as published in the Hammersmith & Fulham Risk Standard. Compliant with Audit Commission/ ALARM/IRM/CIPFA best practice.

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

# **Emergency Planning & Business Continuity Risks**

## **APPENDIX 2**

**Emergency Planning & Business Continuity Risks**  
Brief for Audit and Pension Committee - May 2012

**Introduction**

This report provides an overview of the main risks to council service delivery (business continuity risks) and the risks related to emergencies that could affect the wider community in the borough (emergency planning risks).

The council's business continuity programme is focussed on ensuring the council reduces the risk of service disruptions where practical while ensuring the council and its services are ready to manage the impact of service disruptions as soon as they occur.

The council's emergency planning programme is focussed on ensuring a core team of services and individuals are prepared and have the resources in place to support the community should they be affected by an emergency - such as a gas leak. Both areas of work are governed by the Civil Contingencies Act 2004.

This submission is intended as a conversation starter to clarify what future information in relation to risks, resilience or preparedness the committee would like to monitor.

**Emergency Planning - Risks**

Emergency Planning Risks are identified and assessed at a national, regional (London) and local level (borough). The London Regional Community Risk Register is the statutory register for emergency risks in our area and is published on the London Fire Brigade website. It does not contain issues in relation to terrorism or other hostile threats.

The Hammersmith & Fulham Borough Risk Register (enclosed) contextualises some of the regional risks for our borough and includes lower level risks that although would not have an impact on the region, would affect the borough. This has been compiled and agreed by the emergency response partners within the Borough. Risks are identified on a "worst likely" basis.

London Local Authorities have mapped all identified risks against a set of emergency plans and emergency response capabilities. The result is an agreed set of plans and capabilities called "Minimum Standards for London" that all boroughs need to maintain to ensure they are prepared to respond to all identified risks.

Our council has a generic emergency plan that sets out the core arrangements for dealing emergencies and a set of specific plans for some risk specific and capability specific arrangements. All council plans dovetail into a range of London multi-agency plans.

The main measure for performance for Emergency Planning is based on how well we respond to incidents in the Borough. We have a peer review process that measures preparedness on a Red, Green and Amber basis and we set our own targets in relation to activity, for example the number of emergency exercises delivered.

The emergency planning programme received substantial assurance from an internal audit in 2011.

## **Business Continuity Risks**

The key themes in relation to business continuity risks are clearly set out in good practice guidance and an annual Chartered Management Institute survey (below) demonstrates the types of disruptions that business experience on a day by day basis. The main business interruption risks can be grouped in to four themes: disruptions to people, premises, resources (ICT, information, equipment) and suppliers.

The Business Continuity Risk Register (enclosed) sets out the main disruption risks for Hammersmith and Fulham and the principle controls in place.

The council works to reduce the risk of service disruption by building resilience into systems and services and by preparing and exercising plans for how to cope if a business disruption event were to occur. Last year Table Top exercises were undertaken on 1<sup>st</sup> Point of Contact Critical services - Contact and Assessment Service, Careline, CSC Fulham North Area Office, Rochdale Out Of Hours BS25999 audit, H&F Direct, Registrars, Mental Health and Learning Disabilities.

Our council has a corporate business continuity plan that sets out the core arrangements for responding to a major business disruption which always includes convening the corporate Service Resilience Group to coordinate council actions. The corporate plan is underpinned by a set of service level continuity plans which set out the arrangements and workarounds for dealing with disruptions at a service level.

The main measure of performance for business continuity is based on how well we have avoided service disruptions. This may be because we have put arrangements in place to cope with an expected event i.e. snow or because we have responded to a no notice event and ensured services are maintained or recovered quickly. We also measure the status of service continuity plans and set activity targets in relation to service exercises or training delivered.

The business continuity programme received substantial assurance from an internal audit in 2011.

The below extract is from the Chartered Management Institute 2012, where research has tracked the levels of disruption caused by a wide range of potential threats since the series began, across a range of organisations. Extreme weather overtook the loss of IT as the most commonly experienced source of disruption in 2010 and has continued to occupy the top position since then. Nevertheless, loss of IT remains the second most common cause of disruption, followed by loss of people.

Emergency Planning and Business Continuity have recognised these threats, and have ensured the council's approach is to analyse the risks at both Corporate and Service level, and implement appropriate risk reduction contingencies.

<b>Disruptions experienced in the previous year</b>						
<b>Threats</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>
	<b>%</b>	<b>%</b>	<b>%</b>	<b>%</b>	<b>%</b>	<b>%</b>
Extreme weather e.g. flood/high winds	28	29	25	58	64	49
Loss of IT	39	43	40	35	34	39
Loss of people	32	35	24	28	34	34
Loss of telecommunications	25	30	23	20	20	24
Industrial action	7	7	7	4	6	22
School/childcare closures	-	-	-	18	17	22
Transport disruption	-	-	-	22	30	20
Loss of access to site	13	16	13	22	26	20
Loss of key skills	20	21	14	15	18	19
Employee health & safety incident	17	17	16	14	15	16
Supply chain disruption	13	12	9	13	19	15
Loss of electricity/gas	-	-	-	15	16	14
Negative publicity/coverage	19	18	14	9	11	13
Damage to corporate image/reputation/brand	11	10	11	22	10	10
Loss of water/sewerage	-	-	-	6	9	8
Pressure group protest	7	6	7	6	6	8
Customer health/product safety incident	6	7	4	6	7	7
Environmental incident	6	7	7	5	7	6
Fire	6	5	5	4	4	6
Malicious cyber attack	-	-	-	-	4	6
Terrorist damage	3	3	2	1	2	2
Base: 1021 respondents (2012)						

**Table 2** Disruptions experienced by organisations (2007-2012)



# Hammersmith & Fulham Borough Risk Register (Emergency Planning)

Last Updated May 2012

Risk Ref	Hazard Category	Lead	Borough or WL Risk	Description	Consequence	Likelihood	Impact	Score
	Utilities Failures - Mains Burst	Local Authority	Borough	Water Main Burst causing traffic disruption, localised flooding of up to 40 residential or business premises,		5	2	Medium
	Utilities Failures - Gas	LFB	Borough	Rupture in gas main	Evacuation of up to 200 properties	5	2	Medium
	Utilities Failures - Electricity	Local Authority	Borough	Localised power cut resulting in up to 1000 properties without power supply		5	2	Medium
	Security Incident - Suspect IED	MPS	Borough	Suspect package reported in a crowded or business area.		5	1	Low
	Fire / Explosion - Gas Leak	LFB	Borough	Gas explosion in residential accommodation	up to 5 fatalities, 10 casualties and evacuation of up to 30 residential premises	4	3	High
	Severe Weather - Surface Water	Local Authority	Borough	Extreme Rainfall event causing flooding and backsurgings of basement properties	Up to 100 properties evacuated,	4	2	Medium
H31	Industrial Action - Fuel Disruption	MPS	WL Risk	Significant or perceived significant constraint on the supply of fuel at filling stations	Filling stations, depending on their locations, would start to run dry between 24 - 48 hours. Panic buying would exacerbate the situation. Replenishment of sites would take between 3 - 10 days depending on location.	4	2	Medium

	Utilities Failures - Acetylene	LFB	Borough	Acetylene Cylinder affected by fire or incident	Evacuation cordon of up to 200 metres for 24 hours.	4	2	Medium
	Security Incident - Suspect VBIED	MPS	Borough	Suspect Vehicle reported in a crowded or business area.		4	1	Low
HL11	Transport accidents - Train Crash	LFB	WL Risk	Train Crash on line running East / West through Borough	Up to 30 fatalities and up to 100 casualties	4	3	High
H30	Industrial Action - Emergency Services: loss of emergency fire cover because of industrial action	LFB	WL Risk	A series of strikes by firefighters takes place spread over a period of 2 months, perhaps lasting up to 24hrs each	LFB contingency arrangements put in place, cover provided by private company with 27 operational tenders	4	3	High
	Fire / Explosion - Residential Fire	LFB	Borough	Fire in high density residential area i.e block of flats	up to 100 properties evacuated with up to 10 casualties suffering smoke inhalation and burns	4	3	High
H22	Human Health - Flu Epidemic	Health	WL Risk	A serious epidemic of much greater severity than the usual seasonal flu.	Weekly GP consultations for new episodes of flu-like illness likely to double.	3	4	Very High
	Transport Failure	MPS	MPS	Strikes, Weather or Security Situation results in severe disruption to transport network for up to 3 days		3	4	Very High
	Security Incident - VBIED Detonation	MPS	Borough	Detonation of vehicle borne IED in a crowded place		3	4	Very High
H40	Utilities Failures - Telecoms	MPS	WL Risk	Loss of telecoms service to up to 100,000 people for up to 72 hours due to a local fire, flood or gas incident		3	4	Medium
H49	Utilities Failures - Water Supply	Local Authority	Borough	Water Main burst results in the loss of water pressure or supply to 5000 people - need TW clarification	Could lead to suspension of services at hospitals, schools, and businesses, vulnerable resident requiring assistance	3	3	Medium
HL10	Transport accidents - Motor Vehicle Crash	LFB	WL Risk	Accident on A40 / A4	Multiple vehicle incident causing up to 10 fatalities and up to 20 casualties	3	2	Medium

H26	Zoonotic Notifiable Animal Disease	Local Authority	WL Risk	Zoonotic Notifiable animal diseases (e.g. Highly Pathogenic Avian Influenza (HPAI), rabies and West Nile virus). Culling of livestock - potential to cause human infections		3	2	Medium
H37	International Incident - Influx of British Nationals	Local Authority	WL Risk	International security incident resulting in influx of British Nationals with no residence or means and may require medical attention	Up to 200 national placed in H&F Borough	3	1	Medium
	International Incident - Repatriation of deceased British Nationals	Local Authority	Borough	International security incident or natural hazard resulting in the repatriation of multiple deceased British nationals	more than 30 whole bodies or a smaller number of disrupted bodies requiring post mortem and inquest requiring additional mortuary facilities	3	1	Low
H46	Biological Substance Release	Health	WL Risk	Biological substance release during an unrelated work activity or industrial process e.g legionella	Up to 10 fatalities and serious injuries or off site impact requiring up to 1000 hospital admissions.	3	5	High
H18	Severe Weather - Low temperatures and Heavy Snow	Local Authority	WL Risk	Snow severely affecting the borough for over 1 month.	Severe disruption to council services and local businesses. Increase presentation with minor injuries at A&E/Walk-in	3	3	High
	Security Incident - IED Detonation	MPS	Borough	Detonation of IED in a crowded place		3	3	High
	Security Incident - Public Disorder	MPS	Borough	Hostile crowd or widespread disorder resulting in fires, looting and increased localised crime and violence		3	3	High
H17	Severe Weather - High Wind	Local Authority	WL Risk	High Winds (55-85mph) affecting borough for at least 6 hours.	Consequent damage to infrastructure (e.g. telecommunications, power, transport)	3	2	High
H23	Human Health - Flu Pandemic	Health	WL Risk	Clinical attack rate of 25 to 50% spread over one or more waves with case fatality of up to 2.5%. 10,000 healthcare contacts per 100,000 population per week at peak		2	5	High

H43	Utilities Failures - Telecoms	MPS	WL Risk	Loss of all telecoms for region for up to 5 days		2	5	Very High
	Fire / Explosion - UXB	MOD	Borough	Explosion of Unexploded Ordnance	Evacuation of local area for up to 24hrs and some damage to local properties.	2	2	Medium
H12	Biological Substance Release	Health	WL Risk	Biological substance release from facility where pathogens are handled deliberately	Up to 10 fatalities and serious injuries or off-site impact causing up to 1,000 casualties.	2	4	High
	Transport accidents - Aircraft crash	LFB	Local	Plane crashes in borough on approach to Heathrow or Helicopter crashes on approach/departure to West London helipad	Up to 300 fatalities and up to 250 casualties.	2	4	High
HL12	Transport accidents - Haz Chem	LFB	WL Risk	Local accident involving transport of hazardous chemicals	Up to 50 fatalities and up to 500 casualties	2	4	High
	Transport accidents - public transport failure	Local Authority	Borough	Incident, Severe Weather or industrial action results in shut down of Public Transport System for up to 3 days	Severe disruption to staffing levels	2	4	High
H48	Severe Weather - Heatwave	Health	WL Risk	Heatwave. Daily maximum temperatures above 32°C and minimum temperatures above 15°C over most of the area for at least five consecutive days.	Increased death rates	2	4	High
H50	Severe Weather - Drought	Thames Water	WL Risk	Periodic water supply interruptions affecting all borough businesses for up to 10 months. Emergency Drought Orders in place authorising rota cuts in supply according to needs of priority users as directed by Secretary of State		2	4	High
HL22 a)	Large Building Collapse	LFB	WL Risk	Collapse of a large building.	Up to 100 fatalities depending on the size and construction of building, and occupation rates, and 350 casualties	2	4	High
H89	Utilities Failures - Water Supply	Local Authority	WL Risk	Loss of or non-availability for drinking, of the piped water supply,	Up to 50,000 people, for more than 24 hours and up to 3 days.	2	4	High
H41	Utilities Failures - Electricity	Local Authority	WL Risk	Loss of regional electrical supply for 48 hours		2	4	High
	Air Quality / Toxic Release incident	LFB	Borough	Toxic Release of chemicals affecting borough	Some fatalities and serious respiratory complications across borough	2	3	High

	Transport Incident - Ferry	Maritime and Coastguard Agency	Borough	Incident causing capsizing or sinking of passenger ferry on Thames	up to 10 fatalities and 30 casualties - mb	2	3	High
HL14	Transport accidents - Road	LFB	WL Risk	Local road accident involving transport of fuel/explosives	Up to 30 fatalities and up to 20 casualties within vicinity of accident/explosion. Area would require evacuating up to 1 km radius depending on substances involved	2	3	High
	Severe Weather - Thames Overtop	Environment Agency	Borough	Sea surge, high tides, gale force winds affecting the Thames estuary, Thames barrier fails.	Overtopping of river defences along Thames. up to 60,000 properties within flood risk area, catastrophic impact on the borough and its infrastructure.	1	5	Medium
H7	Fire / Explosion - Gas Pipe	LFB	WL Risk	Explosion at high pressure gas pipeline running through borough	Local to site causing up to 200 fatalities and up to 200 casualties.	1	4	Medium
H11	Radiation Incident	Health	WL Risk	Accidental release of radioactive material from incorrectly handled or disposed of sources.	Up to five fatalities and up to 100 contaminated people requiring medical monitoring. Many worried people may present at hospitals. Radiation may be spread over several kilometres but most concentration where source is opened	1	4	Medium
	Security Incident - PLATO style attack	MPS	Borough	Attack on a crowded place by multiple assailants with small arms		1	4	Medium
HL28	Fire / Explosion - Fuel Site	LFB	WL Risk	Localised fire or explosion at a Wandsworth Bridge Road Maritime Diesel Storage Site	Up to 15 fatalities and 200 casualties.  Impact on air quality up to 1km from site. Environmental pollution	1	3	Medium
HL30	Fire / Explosion - Gas Pipe	LFB	WL Risk	Localised explosion along a natural gas pipeline	Causing up to 100 fatalities and hospitalising up to 100 people	1	3	Medium

	Severe Weather - Thames breach	Environment Agency	Borough	Failure of thames defence at weak location durring an unusually high tide event.	Rapid inundation of localised area around breach. 100s of properties affected by flooding. Up to 5 fatalities and 20 casualties.	1	3	Medium
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## RISK LOG - H&F Perspective

<b>Project</b>	Business Continuity Risk Register
<b>Document Owner</b>	Ian Cairns

Ref	Class of Risk	Subject	Risk Description "If....., then....."	Current Controls	Likelihood 1 = Low 5 = High	Impact 1 = Low 5 = High	Exposure	Risk Accepted?
4	Premises	Building Closures	The building closure programme is having a severe impact on the council's ability to provide alternative sites for a denial of access / devastation of a main service premise. The risk for a large 1st point of contact service (H&F Advice) to re-locate to an alternative site and continue to deliver the service is severely restricted.	Local 1st point of contact Service Continuity Plans exercised in 2011. Gaps were identified for the 1st point of contact activities, background activities could use Smart areas / Lynx.	4	4	Very High	TBA

	People	Staff absence levels Pandemic Flu	Clinical attack rate of 25 to 50% spread over one or more waves with case fatality of up to 2.5%. 10,000 healthcare contacts per 100,000 population per week at peak. Risk significant impact over a wide range of services over a protracted period, and to the general public at large.	Specific Flu Plans - Corporate and ASC. The borough emergency control centre will be activated should staff absences for any staff scenario rise to an unacceptable level. The staff re-allocation scheme would also be activated. H&F Business Corporate and individual Service Continuity Plans cater for staff absence scenarios, and would be invoked. Lynx ICE license would be invoked.	4	5	Very High	TBA
2	Processes	Business Continuity Bi / Tri Borough Working	Business Continuity processes for the categorisation of services are different across the three boroughs. Service information is stored in 3 separate locations and is becoming fragmented. There is a risk that during an incident it will be difficult to centrally collate impact information to assist in a corporate response across a bi / tri borough incident.	3 boroughs operate their normal Business Continuity processes for dealing with incidents.	4	2	Medium	TBA
7	Programme	Business Continuity Programme	Business Continuity Programme of work. There is a risk that due to organisational change / service delivery drivers, the BC programme will be watered down leading to various operational compromises.	Service Resilience Group (SRG) acts as the programme governing board.	4	2	Medium	TBA

	Processes	Local holding of hard copy information.	Various Critical and Key services hold local hard copy information. Risk afforded to this information is from fire, flood and theft. Impact would be total loss of information if not backed up in any manner, and impact to the service provided. .	Minimum processes in place to back up hard copy information to electronic media. Archiving of hard copy information should be done on a regular basis. HFBP encryption and disabling of PC ports limits risks of holding silo information and having an impact on shared users.	4	3	High	TBA
	People	Staff absence levels Olympics	Olympics 2012 may present a staffing issue at short notice. The risk is staff unwilling to attend during this period, where a deterioration of service(s) could arise for a short period of time. The risk to service provision over a short period of time.	Critical and Key service owners have reviewed additional contingencies required to cope with the additional demands presented during the Olympics. HR advice regarding leave during the Olympics has been published. The borough emergency control centre will be activated should staff absences for any staff scenario rise to an unacceptable level. The staff re-allocation scheme would also be activated. H&F Business Corporate and individual Service Continuity Plans cater for staff absence scenarios, and would be invoked. Lynx ICE license would be invoked.	3	2	Medium	TBA
3	Providers	Business Continuity in the Procurement Cycle	As outsourcing is increasing dependency on suppliers is far greater. The risk is the supplier failing due to a disruption to their services and having an impact to a H&F Critical / Key service.	Limited Business Continuity Clause and specification inserted in contracts.	3	3	High	TBA



6	People	Skill loss as a result of tri borough merger.	There is a risk of losing key employees and their skill sets if the transition programme is not managed effectively by looking at service delivery in sufficient detail. It is highly likely that where service numbers and skill sets have been substantially reduced, service delivery will be impaired.	Transformation Board.	3	3	High	TBA
	People	Transport Disruption	Adverse weather, security situation or industrial action severely disrupts transport network and reduces staff attendance to work by up to a 50% for up to a week.	Services activate continuity plans and prioritise activities. Service Resilience Group initiates Staff Re-allocation Scheme if required. Lynx access increased to allow for up to 1000 remote logins	3	4	High	TBA
	Processes	IT Cyber Attack	Councils face up to 200 Cyber Attacks per second. With Home Office figures suggesting e-crime is now a £27bn a year industry in England and the attacks becoming increasingly complex, council chiefs have expressed fears they may not be able to keep up with the cyber criminals in the coming years. The attacks are designed by criminals to exploit the treasure-trove of personal information that councils hold, as well as sending out spam email messages, spreading viruses, committing fraud and disrupting computers and servers. Risk is loss of confidential information, fraud, exploitation of financial applications and bad media coverage. Corruption of data by viruses would have a significant impact on service provision by changes in confidentiality,	HFBP Firewall controls. Disabled PC ports and encrypted USB sticks. Users guidance for internet use, and file transfer. Open Systems Interconnection (OSI) model inbuilt integrity, confidentiality and availability controls at all levels.	3	4	High	TBA

			integrity and availability.					
Processes	Loss of access to IT for up to 2 days	A range of IT scenarios could result in the loss of access to IT for a short term period. If this were to happen services that rely on IT based information would not be able to operate or would be severely affected unless they had developed a local contingency. Although IT information is backed up services would need to utilise local workarounds until IT can provide backed up information in a useable form.	IT disaster recover plan. Some services have developed local workarounds however local arrangements are less common as a result of restrictions with saving information to USB or CDs.	3	3	High	TBA	

	Premises	Power Failure	Failure of power supply affecting main civic accommodation for up to 3 days. Services reliant on IT severely affected. Possible building closure.	Town Hall has back up generator that is connected to Emergency Control Room. CCTV Control Room, Smart Space, Assembly hall, Committee Rooms (with standby network points), and "churn space at room 204 and 205. Where necessary Lynx capacity utilised for remote working and low priority services to be evicted from accommodation to make space for critical functions.	2	3	Medium	TBA
	Premises	Water Supply Failure	Failure if water supply affecting civic accommodation for up to 3 days. Drinking water, toilets and cleaning facilities severely affected.	Emergency water supply contractor on standby and portaloos available to ensure buildings can be kept open	2	2	Low	TBA
1	Processes	Openscape Application	Openscape has not been categorised as a 1st order application, thus the application would not be replicated at an alternative data centre. Impact would be borough wide telephony disruption until the full recovery of Openscape.	Normal HFBP recovery processes. Service users could use mobile phones.	2	4	High	TBA
	Processes	Loss of a Data Centre	Fire, flood, sabotage to a data centre (East London / HTH) Impact on a 1st order application would be up to 8 hours, and limit full service capabilities for critical / key services (Most applications serving these services have been defined as 1st order). All applications not defined as 1st order could be out of order for months and would depend on full recovery procedures for the application servers, with an impact on some key and possibly all tertiary services.	SRG meet and invoke the Corporate Business Continuity Plan, services affected would invoke individual Service Continuity Plans, IT would invoke their IT Disaster Recovery Plan.	2	4	High	TBA

	Processes	Denial of access to main Civic Building	An evacuation or partial damage of building services results in denial of access to main civic accommodation for up to a week	Low priority services moved out of other office accommodation to make way for Critical and Key Services where necessary. Lynx access increased and lynx tokens moved to staff that are required to work from home.	2	4	High
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TBA