AUDIT PENSIONS AND STANDARDS COMMITTEE

27 September 2012

CONTRIBUTORS	COMBINED RISK MANAGEMENT HIGHLIGHT REPORT	WARDS All
All departments	This report updates the Committee of the risks, controls, assurances and management action orientated to manage Enterprise Wide risks.	

RECOMMENDATION:

1. The committee consider the current Strategic, Change and Operational risk position as outlined in the report.
2. The committee consider the Key Risk Indicators attached in Appendix 2 and their ongoing development.

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 public sector is changing and increasingly confronted by a growing range of new areas of vulnerability, such as complex supply chains, the interconnectivity of new technology, funding reductions and civil unrest. Taken against a backdrop of a challenging global risk environment, unpredicatble severe weather and natural catastrophies and unprecendented levels of organisational flux, these scenarios pose real risks to the long term resilience of public services.

2.2. The UK public services model, both in terms of operational design and funding, is under the greatest period of stress since the second world war. It is a distinct likelihood that potential incidents, crises and failures will form part of the landscape of risk over the next few years. Additionally John Hurrel the Chief Executive of the UK Risk Management association Airmic, believes that significant risks are emerging around technology and communications due to the extent of organisations dependency on the Internet.

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. The target operating model and organisational structure that will deliver the risk management service is being developed following a review of risk management arrangements in each of the three boroughs. At present each council has in place a policy, strategy, framework and approach distinct from each other. These will be reviewed and aligned following an assessment of the service and proposals accepted by the Executive and by each of the 3 councils Cabinets. Following that efficiencies will be made in the administration, training and delivery of the service.

4. TRIBOROUGH RISK & ASSURANCE REGISTERS

4.1. A review of the composition and struture 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.

5. H&F - STRATEGIC RISKS PERSPECTIVE

5.1. Risk and Assurance Registers are an expression of Departmental Governance arrangements. The Corporate Risk & Assurance Register has been remodelled as an Enterprise Wide Risk & Assurance Register to address Tri,Bi and Sovereign Borough Services risks across three perspectives Strategic, Change and Operational. This model will continue to operate as the three boroughs bring together the risk management service.

5.2. Evidence and material for the refresh of the Enterprise Wide Risk and Assurance Register was drawn from a number of sources both within the council, across TriBorough Services and in other Public and Private Sector organisations. Risks have also been reviewed in line with the recent Zurich Municipal & Ipsos MORI report entitled 'Risk and Response', Price Waterhouse Coopers report 'Fighting Fraud in Government' and the Grant Thornton 2012 review on Governance 'High Pressure Systems' . This includes an element of 'horizon scanning' from each of these report from which the following risks were identified;

5.3. The significant top key areas of vulnerability identified by Zurich's report, along with the views expressed, were;

- Governance
    - o Key point – Structures and processes may not keep pace with the speed and degree of transformation underway.
- Financial
    - o Key point – Underestimation of the scale and difficulty of the financial challenges and risks ahead and the impact on reserves.
    - o Key point – Financial loss due to insolvency
- Human Resources
    - o Key point – Losing staff skilled and knowledgable staff in governance and control* (also identified in the Grant Thornton report as a key Strategic Risk)
- Contractor/Partner
    - o Key point – New partners/contractors may not have the experience or resources to manage transferred risks.
- Property
    - o Key point – Investment drops in maintenance of under utilised assets
- Technological – Data integrity and cyber security
    - o Key point – Significance of the increasing number of high profile data breaches experienced in the public sector.

5.4. Whilst the Zurich Municipal report identified that public sector leaders and Finance Directors overall are confident in their respective organisations ability to respond to major risks they are significantly less confident in their ability to recover quickly. The economic and funding environment over the next few years will increasingly challenge the ability to manage major incident risk.

5.5. Zurich Municipal, also conducted a survey with the Chartered Institute of Public Finance and Accountancy (CIPFA) that showed that 79 Finance Directors declared the following future threats as key;

- Further central funding reductions * (also identified in the Grant Thornton report)
- Increasing service demands whilst having to cut costs * (also identified in the Grant Thornton report)
- Falling reserves
- New spending demands / expenditure shocks
- Economic challenges
- Transformation problems

5.6. Price Waterhouse Coopers (PWC) report addressed the number of specific challenges faced by the Public Sector in the procuring of services and the potential risk of Fraud. This was supported by the responses gathered from the London Public Sector Counter Fraud Partnership (established in 1999/2000 in reply to the Crime and Disorder Act 1998. Member organisations include the London Boroughs, NHS Protect, Metropolitan Police and the External Audit.) Procurement risk is one of the most significant areas of fraud as expressed in **Table 1**.

5.7. TABLE 1
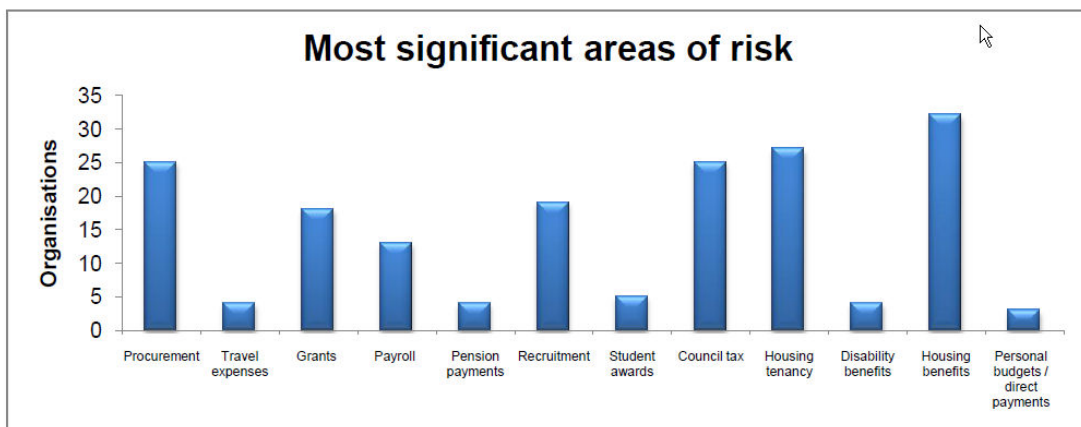
5.8. The most common reasons given for fraud risks, as expressed in the report, were failure to follow procedures, lack of management checks, lack of verification process and lack of segregation of duties, these are illustrated more fully in **Table 2.**

5.9. TABLE 2

Reason for fraud risk

- Failure to follow procedures — 18%
- Lack of management checks — 15%
- Lack of verification process — 12%
- Lack of segregation of duties — 9%
- Organisational change — 8%
- Lack of data sharing — 7%
- Lack of supervision — 6%
- Lack of fraud awareness — 6%
- Lack of recruitment checks — 6%
- Poor reconciliation process — 4%
- Poor form design — 4%
- Lack of training — 2%
- Lack of management reports — 2%
- Lack of IT security — 0.5%
- Collusion — 0.5%

5.10. Reasons given for emerging areas of procurement risk include;

financial regulations not being adhered to, large expenditure not being tendered, contracts expiring and not being re-tendered, limited in-house knowledge with respect to large construction projects, increase in outsourced services and inadequate clauses in contracts undermining the ability to monitor and audit.

5.11. Their report informed work undertaken by the Principal Consultant Risk Management who conducted a review of the H&F procurement risk landscape. It was the first full refresh of risks covering Procurement since February 2011 and the results shared with the BiBorough Procurement Strategy Board.This wide ranging review established the negative risks and controls associated with procurement and proposed a number of Key Risk Indicators be adopted by the Bi Borough Procurement Strategy Board for future monitoring.

6. ENTERPRISE WIDE RISK AND ASSURANCE REGISTER

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

6.2. Rebranding of the Corporate Risk Register to Enterprise Wide Risk & Assurance Register, this is to cover three perspectives of Strategic, Change or Operational risk across H&F services irrespective of whether the service area will be Sovereign, Bi or TriBorough.

6.3. Information gathered for the purpose of the production of the Annual Governance Statement and list of significant control issues has been considered and incorporated into the risks listed.

6.4. Revision highlights include;

6.5. Operational risk number 7 – Managing Statutory Duty – Medium risk – updated position reflecting progress on compliance with the Equalities & Human Rights Act following implementation of an agreed action plan.

6.6. Operational risk number 10 – Managing Fraud Internal and External – High risk – * awaiting the results of ongoing investigations and testing of controls conducted by the Internal Audit Unit.

6.7. Opportunity risks

6.8. Risk number 1. – Updated position clarifying the 'height guarantee' of the King Street Regeneration proposals.

6.9. Risk number 3. – Updated position on the emerging and managed risks that are present in the Childrens Services Social Enterprise, Employee Led Mutual.

7. H&F - CHANGE RISK PERSPECTIVE

7.1. Change or Programme risk management is the responsibility of the RBKC programme management office (PMO) and Transformation Management Office (TMO) in H&F. Information collated as part of the function of the PMO/TMO on risk is shared through Sharepoint with the H&F risk management consultant or through recent updates from the TMO. Data drawn from the PMO /TMO highlight reports are considered as the H&F Enterprise Wide risk & assurance register is updated. As the activity of the PMO/TMO in delivery of TriBorough and Sovereign Objectives diminishes risks will migrate to form part of the business as usual function.

8. H&F Programme and projects
8.1. 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.

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

10. H&F - OPERATIONAL PERSPECTIVE

11. 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.

12. Market Testing

12.1. An update to contract schedules (market testing programme, new contracts, contract renewals and contract review & negotiation Programme) was reviewed and discussed at the councils Bi Borough Procurement Strategy Board. No significant issues were reported. The 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 the Board on an exception basis. In effect this concerns reporting on red flag items where major problems or issues have been encountered and the Board need to be advised. It was also considered sensible to report on any major headlines issues.

12.2. The Bi Borough Procurement Strategy Board was updated in the last quarter on Procurement Risk and Assurance. It has been agreed that a small number of Key Risk Indicators (KRI's) are defined to monitor the council's exposure to risks in this area. This will be done in consultation with Agilisys through the Transforming Procurement Programme and in association with the Lead Procurement Officers at the Royal Borough of Kensington & Chelsea and London Borough of Hammersmith and Fulham.

13. Key Risk Indicators

13.1. Risk indicators are an important tool within operational risk management, facilitating the monitoring and control of risk. In so doing they may be used to support a range of operational risk management activities and processes, including: risk identification; risk and control assessments; and the implementation of effective risk appetite, risk management and governance frameworks. As previously report to the Committee a number of Key risk indicators were being developed for this purpose. These are outlined, together with a status of their development, in **Appendix 2.**

13.2. Indicators are metrics used to monitor identified risk exposures over time. Therefore any piece of data that can perform this function may be considered a risk indicator. The indicator becomes 'key' when t tracks an especially important risk exposure (a key risk), or it does so especially well (a key indicator), or ideally both.

More specifically a metric may be considered to be a risk indicator when it can be used to measure:

- The quantum (amount) of exposure to a given risk or set of risks.
- The effectiveness of any controls that have been implemented to reduce or mitigate a given isk exposure.
- How well we are managing our risk exposures (the performance of our risk management framework).
  Expressed slightly differently, this implies,that the council make use of three different types of indicator: risk (exposure) indicators, control effectiveness indicators and performance indicators.

14. Role and Purpose: Using Risk Indicators

14.1. Indicators can be used for a number of purposes, both in the management of operational risk and also in a wider context in the overall management of an organisation. The distinction between Risk, Control and Performance Indicators is often only slight and these areas can overlap, both in terms of usage and also terminology. Hence for simplicity this section will use the term risk indicator to mean all three.

15. Indicators and Risk Monitoring

15.1. Indicators can be used by the council and services as a means of control to track changes in their exposure to Strategic, Change and Operational risk. If selected appropriately indicators can provide a means for identifying:

- Emerging risk trends and issues on the horizon that may need to be addressed (via 'leading' indicators);
- Current exposure levels; and
- Events that may have materialised in the past and which could occur again (via 'lagging' indicators).

15.2. The frequency with which an indicator is measured is an important factor. Generally, the more often an indicator is updated, the more useful the data it represents will be. However there can be occasions where more frequent measurement of the indicator will show only small changes in the risk profile. In such circumstances it is important to consider the longer term trend of measures before arriving at conclusions as to the overall changes in operational risk exposure.

15.3. The Committee is presented with a suite of indicators attached in Appendix 2. These is to provide transparency of some of the key information already collated, and planned, for their scrutiny.

# 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

HFBB ENTERPRISE WIDE CORPORATE RISK & ASSURANCE REGISTER
(Incorporating Tri and Bi Borough risks) **APPENDIX 1**

Key Risks (refer to note 1)

No.	Business risk Perspective (Strategic, Change or Operational)	TriBorough BiBorough or Sovereign risk	Risk	Consequence	Identified Control	Assurance	Likelihood (L)	Impact (I)	Exposure = L x I	Risk Rating	Responsible Officer – Group	Review
1.	Strategic	**Sovereign**	**Managing budgets** **Sub-risks** • Underlying performance of the economy is still poor. • Impact of a sluggish national economic recovery and cascade effect on social budgets * link to revenue forecast • Demand led services may occur mid year resulting in unanticipated additional costs • HMRC VAT claims regarding partnering activities • Grant application is incorrectly calculated • Unplanned growth • Failure to achieve VFM • Accruals & reconciliations • Planned savings not implemented • Creditworthiness of some contractors may be downgraded as a result of the economic downturn • Increase in social welfare services as a result of the economic downturn may impact on projected spend.	• 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	• High risk & volatile budget areas identified by H & F Finance • E-Learning package for Finance Managers now live • Collaborative Planning system with supported training for budget holders • Medium Term Financial Strategy and Business Planning Processes • MTFS Officer & Member Challenge • Leader's monthly monitoring reports • Financial Strategy Board (FSB) periodically evaluates the effectiveness of the financial management arrangements • Partnership activity now includes a VAT trace and has been raised at FSB • Grant Claims & returns record is tracked at FSB • Monthly corporate revenue & capital monitoring to cabinet • Reports to the Leader identify where spend levels exceed a tolerable level during the year • Credit check of contractors is being undertaken through the BiBorough Procurement	Annual Audit Letter Select Committees are given the opportunity to fully scrutinise budgets during January. Internal Audit reviews of National Non Domestic Rates, Financial Accounting System Ledger, Cost reduction Contracts Management, S106 Economic Development and Regeneration Expenditure 2012 2013 HFBB, Audit Pensions and Standards Committee, External Audit	3	4	12	Medium 🟠	Jane West lead – All Executive Directors	Review August 2012

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			• Insufficient budgetary provision and/or budgetary under/overspend * • Incomplete/inaccurate accounting records • Overestimation of potential revenue streams		Strategy Board (RBKC & H&F) • Disposal of Assets • Sponsorship and advertising opportunities risk & reward exercise	Overview and Scrutiny Board						
2.	Strategic	Sovereign	**Managing the Business Objectives (publics needs and expectations)** **Sub-risks** • A successor integrated financial and business planning process is not delivered impacting on the Governance of H&F	• 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	• TriBorough Business Plans have been issued for 2013 • Implementation of Lean Thinking principles putting the voice of the customer at the heart of service design • 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 August 2012

3.	Strategic	**Sovereign**	**Market Testing of Services (refer to Bi Borough Procurement Strategy Board RBKC & H&F)** **Sub-risks** • Tri Borough or Bi Borough procurement risk appetite may vary • Procurement procedures may become unclear across Tri or Bi Borough services • WiFi deployment across H&F • Localism Act – Community Right to Challenge	• 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. • Uncertainty about the most appropriate procurement route, lengthen process due to reporting to 3 Member bodies • The benefits of this may be eroded through negative campaigning based on 'health & safety' concerns regarding their location • Expressions of interest may create more work for the council evaluating the value of bids.	• Tranforming Procurement work with Agilysis 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 and reviewed at BiBorough Procurement Strategy Board (RBKC & H&F) • Market Testing progress report to HFBB • Programme & Project Management – Risk Logs being maintained, periodic risk reviews • Revenue estimated from the contract to be included as a risk in the MTFS Information on the process has been published on the H&F internet. These will be considered through the Bi Borough Procurement Strategy Board	BiBorough Procurement Strategy Board (RBKC & H&F) Transformation Board HFBB Audit review conducted for Use of Contractors Internal Audit Substantial Assurance reports 2011/12 Market Testing H & F News, BTS, Legal Services Full Assurance report 2011/12 Market Testing Out of Hours Service	3	3	9	Low	🟢	All Executive Directors	Review August 2012
4.	Change	**TriBorough**	**Managing projects** Sub-risks • 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 transfers • The risk of challenge to contract awards may increase during the	• 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	• Transforming Procurement Programme with Agilysis undertakes to improve the knowledge base and skills throughout H&F • 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	The Royal Borough of Kensington & Chelsea Internal Audit Corporate Programme & project management audited in 2009 draft report	3	3	9	Low	🟢	Jane West lead – All Executive Directors Tony Redpath (RBKC Tri & Bi Borough) Marie Snelling (Tri Borough Portfolios)	Review May 2011

			harsher economic climate • Large scale high risk high return projects are not led by a qualified or experienced project manager. • Too many projects are undertaken with unrealistic or unachievable targets • Successful delivery of the World Class Financial Management Programme • Housing Regeneration, Borough Investment Plan.		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. • Further training and capability is being advanced with the RBKC Programme management office. • The Royal Borough PMO for TriBorough activity • Project Management toolkit • 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 • Toolkit is available on desktop PC's • Monthly transformation reporting to HFBB (dashboard) • BiBorough Procurement Strategy Board (RBKC & H&F) monitor aspects of project management compliance • Procedures for TUPE transfer have been included in project management instructions	issued (Limited Assurance) Bi Borough Procurement Strategy Board Transformation Board Internal Audit review of specific contracts under 2010/11 Audit Plan and of Use of Consultants (Nil Assurance) HFBB, Audit Pensions and Standards Committee							

5.	Change	**Sovereign**	**Scrutiny of Public Health Service**	• 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 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	• 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 & Childrens Services Select Committee	3	3	9	Low 🟢	Derek Myers, Director of Public Health	Review May 2012

				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								
6.	Operational	**Sovereign**	**Business Resilience –** **Sub-risk** **IT resilience** • 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	**If an event occurs** • Customers face delays in service provision • Non compliance with statutory duties - indirectly • Threat to life - indirectly • Time to recover power and IT Services could be between 6 & 8 weeks • Loss of information • Loss of productivity • Increased cost of resurrecting services (only partially insurable) • Wasted resources & staff duplication in recovery phase • Cost of additional data storage capacity	• 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 • 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, a major incident process has been established by HFBP as part of Data recovery is insured under the councils corporate insurance package (but limited) • the Service Desk Manual • A threat assessment has been compiled • Some ITC service has been moved to East London • 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	HFBB The Royal Borough of Kensington & Chelsea Internal Audit H&F Audit Pensions and Standards Committee The Royal Borough of Kensington & Chelsea Audit Committee Service Resilience Group ELRS DMT Substantial Assurance report 2011/12 Emergency Planning H&F Substantial Assurance Business Continuity Audit report 2011 2012	3	4	12	Medium 🟠	Lyn Carpenter (Corporate Business Continuity) ELRS Bi Borough with the Royal Borough of Kensington and Chelsea Jane West (Insurance & H F Bridge Partnership contract monitoring) Jackie Hudson Tri Borough Information and Communications Technology Lead Advisor	Review August 2012

					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.	Data storage & back up audit Audit report 2009/10 (Substantial assurance)							
			Contractor Liquidity	• Delays/ interruption to to the service as a replacement is found • Cost and time of re-procuring the service	• Creditsafe Financial checks • Corporate Finance credit checking • Contractor Business Continuity Planning	Bi Borough Procurement Strategy Board							
			2012 Olympics delivery risks to H & F	• Delays/ interruption to public transport system due to investment programmes in infrastructure • Skills and resource shortage leading to commencement of the games • Potential threat of a terrorist attack	• 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. • LBHF Olympic Operations and Resilience Group • Borough Emergency Control centre	Cabinet Office COBRA							
			Terrorist attack/Civil disturbance	• Service interruption • Property loss or damage • Injury or harm	• Terrorism insurance cover • Tri Borough councils are working together to prevent terrorism offering free interactive workshops to raise awareness of the Prevent Strategy • 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. **NOTE** Please refer to BCP Risk Assessment for highlighted risks and controls							
7.	Operational	**Sovereign**	**Managing statutory duty** **Sub-risks** **Non-compliance with laws and regulations** **Breach of duty of care**	• 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 Executive Directors • Inadequate level of service • Poor satisfaction with statutory services • Potential claims involving failures in Social Care (Stamford House)	• Nigel Pallace appointed lead Sponsor on HFBB for Health & Safety • Pro-active Health, Safety and Welfare culture across the council • TriBorough - The TotalFM contractor will manage a number of statutory and regulatory Health & Safety procedural, record and management processes • 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 of duty of care and in respect of financial claims • Legislative changes are adopted and reflected in amendment to	H&F Health & Safety Internal Audit planned Audit in 2012/13 Accomodation Gas Safety Audit 2012/13 Substantial Assurance Annual Assurance process Assurance required that actions are being taken to ensure compliance with the law and regulations HFBB,	3	4	12	Medium 🟠	Derek Myers	Review July 2012

					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 • Health & Safety campaign on slips, trips and falls • 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	Audit Pensions and Standards Committee Education & Childrens Services Select Committee H&F Safety Committee TriBorough Safety Committees CHS and ASC Internal Audit 2012 2013 Review of Health & Safety Statutory & Regulatory compliance						
		Departmental assurances	• The Executive, Hammersmith & Fulham Business Board, Executive Directors and Management Teams may not have been appraised of significant controls weaknesses that appear in the service area.		• FSB reviewed and approved a process to harmonise the Management Assurance process at Director and Divisional level with that of RBKC.	FSB, Executive Director of Finance and Corporate Governance, Chief Executive and Leader of the Council						
		Corporate Parenting	• Harm to reputation, potential harm or injury to individual		• All child protection cases have remained allocated to a social worker despite of the high demand. • A detailed action plan has been implemented in response to the increased numbers of children with child protection plans, to safely manage the demand and reduce activity in line with that of our statistical neighbours.	Local Safeguarding Childrens Board, Unannounced Safeguarding Inspection, Ofsted , Local and London Child Protection Procedures						

					• The number of qualified social workers delivering a child protection service has increased by two over the past year.							
			Carbon reduction commitment	• The Climate Change Act 2008 sets a statutory carbon reduction target of at least 80% by 2050 for the UK • Passporting of National fines to Local Councils	• Carbon reduction manager • Staff energy survey • Travel survey • Parking survey • Procurement policy • Advice on sustainable planning applications	Carbon Reduction Management Project Board Substantial Assurance report 2010/11 Carbon Reduction Commitment						
			Equalities (public sector equality duty or 'PSED') and Human Rights (a budget challenge could be in whole terms or of a single line)	• Increased complaints, Ombudsman involvement, judicial review which can result in;quashing order, prohibiting order, mandatory order, declaration, injunction, damages, potential further challenge to a budget.	• EIA's or Equality Statement (where applicable) must accompany all Cabinet, Full Council and Key Decision reports, KPI's • EIA's and Equality Statements address Human Rights where applicable • HFBB signed off actions that included a Policy for completion of Service Delivery EIA's (April 2012) and guidance for equality impacts of budget proposals to be drawn up and disseminated.	Limited Assurance report April 2012 H&F Application of the Equality Act 2010 Officer Working Group						

...ational	Sovereign	Risk	Sub-risks / Causes	Controls / Assurance	Assurance				Rating	Owner	Review
ational	**Sovereign**	**Successful partnerships & Major Contracts** **Sub-risks** • Partnering activity with other boroughs and the NHS may blur the lines of responsibility, accountability, governance or liability in the event of service failure • Plans to remodel the delivery of health services through GP's as per the White Paper – Liberating the NHS • Local Housing Company	• Joint objectives are not met • Community expectations are not met • Relationship deteriorates • Threat of overspends and underspend	• Governance arrangements are in place • Performance monitoring reports reported to Select Cttee's • H & F Bridge Performance Monitoring • Financial creditworthiness checks at BiBorough Procurement Strategy Board (RBKC & H&F)	H & F Bridge Partnership Assurance process Internal Audit Substantial Assurance report 2011/12 Partnership Governance BiBorough Procurement Strategy Board (RBKC & H&F) HFBB, Audit Pensions and Standards Committee	4	3	12	Medium	Derek Myers	Review July 2012
ational	**Sovereign**	**Maintaining reputation and service standards** **Sub-risks** • Multiplicity of external forces and initiatives • Breach of Officer or Member code of conduct • **Information Management and Governance**	• 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	• The Annual Residents Survey • A review of the corporate governance arrangements has been conducted by Internal Audit • Annual Complaints review report April 2010 to March 2011 produced to Committee • Combined Finance & Service Planning processes • Information governance forms part of the TriBorough ITC Programme	Cabinet Ofsted, Care Quality Commission, Annual Audit letter HFBB, Audit Pensions and Standards Committee, Overview and Scrutiny Board TriBorough	4	3	12	Medium	All Executive Directors	Review July 2012

|											
		• Inappropriate Data released • Poor data quality internally or from third parties, breaches of information protocols, information erroneously sent to third parties. • Auto forwarding of information (Information control and threat of leakage) • Local information interconnectivity and data storage	• Potential fines or action from the Information Commissioner • Quality and integrity of data held in support of Performance Management & Financial systems leads to under or over estimation • Data management 'without boundaries' could be more sensitive to local, national or geographical service interruption, theft, loss or duplication	• New Information Management Security Protocols published on the Intranet • Regular reporting on Security Incidents by the Information Management Team • Performance statistics are scrutinised by Select Committee's, HFBB & DMT's • Corvu Performance Management System is able to pick up anomalies • Data Quality E-Learning module has been released • From Wednesday 1st August 2012, the Council is introducing a new contractor(industry specialists) for the collection and destruction of confidential waste from all Council offices in the H&F. • Webmail has now been banned across H&F	Information Management Project Board ITSOG Management Letter has been issued (based on comparison to requirements under the Data Protection Act)						
ational	Sovereign (TriBorough) (from April 2013)	**Managing fraud (Internal & External)** **Sub-risks** **Misappropriation of assets Appointeeship/custodian or guardian** **Contracting** Gifts & Benefits Manipulation of performance data, collusion, billing, non-compliance with Financial and or Contract Standing Orders ***Misrepresentation of Personal or Commercial**	• Loss of reputation • Financial loss • Loss of asset • Loss of revenue • Adverse regulatory /audit report	• Corporate Services review includes the Corporate Fraud Service. The Aim of the project is to develop an adaptable Tri-Borough corporate fraud function which responds through a single professional and effective team to the challenging and changing range of fraud, both internally and externally executed. • 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	Corporate Services Programme Board The Royal Borough of Kensington & Chelsea Internal Audit Audit Pensions and Standards Committee receive quarterly reports on Fraud Deloitte Fraud	4	3	12	High 🔴	**TriBorough** Nicholas Holgate RBKC Town Clerk and Executive Director of Finance and Business Lead, Internal Audit **H&F** Jane West lead – All Executive Directors **WCC** Barbara	Review July 2012

		Circumstances **Payroll** **Cheque** **Imprests or petty cash** **Grant award** **Treasury** **Tenancy or Benefit**		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 and Risk Register	Survey 2008 Substantial Assurance report 2010/11 Personal Budgets, Housing Benefits Substantial Assurance reports 2010/11 Contract Management, Management & Monitoring of Contractors(Env.) HFBB					Moorhouse	
ITY RISKS											
nge	**TriBorough**	**Merging of education services with Westminster Council and the Royal Borough of Kensington and Chelsea**	Savings due to removal of duplication across the councils Of the pieces of work currently identified, a number of projects have been prioritised for their potential to deliver significant savings and service improvements. These include: • Statutory services for Special Educational Needs; • Our work with looked after children; • Services for Children with Disabilities; • the development of a 'single front door' for access to social care; • A number of key procurements across the department.	• TriBorough Childrens Services Briefing July 2012 to Select Committee • Tri Borough Mandate approved for Childrens Services at Cabinet 05-12-11 • Combined Senior Management Team • A single education commissioning function responsible for raising standards • A single commissioning function responsible for arranging services for early years, children, young people, social care, health, disability and workforce development. • 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	Cabinet Transformation Board Education & Childrens Services Select Committee External Audit (review 2012) Ofsted The Royal Borough of Kensington & Chelsea Internal Audit TriBorough Childrens Services Portfolio Board TriBorough	2	4	8	Low 🟢	Andrew Christie	Review July 2012

				services will be combined to share overheads and expertise (e.g. the Youth Offending Service).	Headteachers Executive Board Local Safeguarding Childrens Board						
		Sub-risks **Social enterprise**	• 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. • 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. • As a commercial organisation the ELM will also offer its services to non-maintained schools, such as Academies and Free schools. The services, supplies and works to the relevant educational facilities will include either direct provision by the ELM or the sub-contracting to other providers	• Shortlisting of potential partners has commenced through a) a moderated procedure and b) Competitive Dialogue • The councils have published a Prior Information Notice (PIN) in the Official Journal of the European Union (OJEU) for an idependent 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. • 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 between the ISP and the employees (held on the employees' behalf in an employee benefit trust). • Under a joint venture	BiBorough Procurement Strategy Board (RBKC & H&F)						

				structure, the maximum holding for any independent sector partner will be capped to balance ownership in favour of employee ownership.							
...nge	**TriBorough**	**Merging of services with Westminster& RB Kensington and Chelsea** **Sub-risks** ICT provision is developing to ensure a seamless transition to TriBorough working in support of services Appropriate accessible information and data security and governance Co-ordinated procurement strategies in readiness for commissioning of services Programme Management	**Savings due to removal of duplication across the council**	• Developing and delivering Tri-borough financial and non financial benefits update to July Overview and Scrutiny Board • Medium Term Financial Strategy Savings for TriBorough • Tri Borough Mandates for Adult Social Services and Libraries approved by Cabinet 05-12-11 • Monthly Tri Borough Portfolio risks and issues summary report • Review of opportunities with contracts • Risk Registers compiled and presented to the Programme Management Office • Portfolios, Tri-borough Portfolio Director appointed • 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	Cabinet Overview & Scrutiny Board External Audit (Audit Commission review 2012) Westminster City Council Audit Committee, The Royal Borough of Kensington and Chelsea Audit Committee, H&F Audit, Pensions and Standards Committee	2	4	8	Low 🟢	Derek Myers, Mike More, All Executive Directors	July 2012

				made on a Bi Borough and/or Tri Borough basis • TriBorough Managed Services Programme (Corporate Services - Review of corporate and back office functions)								
...ge	**Sovereign**	**Regeneration of King Street and Civic Offices** **Sub-risks** **GLA do not approve the proposals**	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 New office accommodation at no cost is being provided in exchange for land A new modern building is also expected to save around £150,000 in energy costs Jobs will be created in King Street 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 Successful redevelopment would enable the council to terminate contracts for various costly leased buildings around the borough savings around £2 million a year.	The Leader of the Council has announced revised proposals regarding the height of buildings in the residential blocks. King Street Development will be reviewing the scheme over the coming months and a further consultation with residents' and amenity groups will follow later in the year. Hammersmith & Fulham Council has agreed to work with the GLA on a further independent rigorous assessment on viability Exhibition of 3 bid schemes 2007 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. Consultation with statutory groups; GLA, HAFAD, Port of London Authority, LFEPA, Metropolitan Police, English Heritage & Archaeology, Natural England,CAA, BAA Airports, Thames Water, Environment	Cabinet Planning Applications Committee Mayor of London Greater London Authority Port of London Authority English Heritage	3	4	12	Medium 🟠	Nigel Pallace	July 2012

				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, Ashcurch 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 Phase 1 Habitat Survey & ecological database search Telecommunications assessment								
...age	**Sovereign**	**Earls Court regeneration** **Sub-risks** **GLA do not approve the proposals**	• Comprehensive redevelopment allows existing housing stock to be replaced on a "new for old" basis and 16% of existing tenants who are overcrowded can be re-housed in homes with enough bedrooms to meet their need. • The comprehensive regeneration of three land	• Earls Court Regeneration Team comprising Project Manager and Policy Officers • Workshops in August 2012 to cover procurement, risk, finance, housing redevelopment, planning, legal and communications. • Proposed guarantees for tenants and leaseholders include;	Cabinet Housing, Health And Adult Social Care Select Committee Planning Applications Committee The Royal Borough Major Planning	3	4	12	Medium 🟠	Mel Barrett	August 2012

			holdings, Transport for London (freeholder of the Lillie Bridge Depot and Earls Court) - Capital & Counties (CapCo) leaseholders of Earls Court 1 and 2 and freehold owners of Seagrave Road Car Park - H&F, freehold owners of the West Kensington and Gibbs • 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 efficient schools, leisure and health facilities, new open and play space and a significant increase in job opportunities.	- Brand new replacement homes, one move only within the local area. - Tenants remain secure Council tenants and continue to pay Council rents – there is no stock transfer and therefore no requirement for a ballot. - Phased approach allows communities to be moved together. - The compensation package for tenants covering statutory home loss payment, disturbance payment to cover moving costs and additional new white goods, carpets and curtains - Resident leaseholders/ freeholders receive Market Value plus 10% statutory disturbance plus a further 10% early purchase discount on replacement property, i.e. two payments - Service charges capped for 5 years and agreed by the Council beyond that. • 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	Development Committee The Royal Borough Planning Applications Committee Housing & regeneration DMT							

			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
			• H&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.
			• The London Plan (2011) indicates the potential for4,000 additional homes and 7,000 new jobs across both H&F and RBKC.
			• The council is in discussions with other landowners (Transport for London and Capital & 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

				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.							
				• 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.							
				• 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							
			• 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 Hammersmith & Fulham Business Board . The sources include;
i. Previous Corporate Risk & Assurance Register
ii. World Economic Forum Global risks 2012
iii. Information identified from Tri Borough Programme, 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
xiii. Zurich Municipal, Grant Thronton and Price Waterhouse Coopers reports

Note 2. Categorised under the PESTLE methodology as published in the Hammersmith & Fulham Risk Standard. Compliant with BS31100/ ALARM/IRM/CIPFA best practice.

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

Proposed H&F Key Risk Performance Indicators **APPENDIX 2**

1. Insurance – Status (H&F IT claims system is moving to LACHS as part of the TriBorough Insurance programme)

Total insurance spend £'s (Premia and Provision)
Total number of insurance claims made per policy year
Total number of insurance claims per policy type
Total number and cost of insurance claims per department

2. Business Continuity & Emergency Planning – Status (To be confirmed with the Business Continuity and Emergency Planning teams as part of the Tri-Bi Borough work)

Loss / denial of building (Accommodation)
Loss / denial of information – eg. Loss one /other of the data centres / are all the important 1st order applications captured / loss of locally held information i.e. hard copies not backed up in various services.
Loss / denial of communication - loss of telephony / loss of openscape (Although a critical system)
Loss of plant and and equipment -
Loss of suppliers / 3rd parties/ Procurement
Process changes - Business transformation issues (ICT transformation).
Loss of People (HR)
Total number of plans required and in place

3. Health & Safety – Status (In place and reporting through HFBB)

Adult Social Care
KPI

Activity Related

Action plans have been reviewed within the last 12 months		% Suitable Risk Assessments in place		% Risk assessment Reviewed (12 month rolling period)		% of risk assessment control measures implemented		Representation at Safety Committee	
	85% Approx.		50% Approx.		50% Approx.		50% Approx		No
% of training undertaken in accordance with plan		**% New staff (inc agency) completed E-Learning**		**10% Control of Contractors Performance Checks**					
	Unknown		Agency (1/20:5%) Staff (2/8: 25%)		Unknown				

Building Related

% legionella risk assessments completed to programme		% legionella risk assessments actions completed to programme		% Gas safety checks completed to programme		% of asbestos management completed to programme	
	100%	Current	100% :5 raised all		100%		Appointed person still

32

(green)		(green) completed to programme	(green)		(orange)	to be recruited. Contractor instructed to undertake Cat 1 asbestos management plans
		Backlog (orange) — 15 outstanding: Sept completion				

% fire risk assessments (FRA) completed to programme	% FRA actions implemented to programme	Control of Contractors Performance Checks	
(green) 100%	(green) 100%	(orange) Under development	

Children's Services KPI

Activity Related

Action plans have been reviewed within the last 12 months	% Suitable Risk Assessments in place	% Risk assessment Reviewed (12 month rolling period)	% of risk assessment control measures implemented	Representation at Safety Committee
(green) 100%	(orange) 80% approx	(green)	(orange) Information not currently available	(green) 100%

% of training undertaken in accordance with plan	% New staff (inc agency) completed E-Learning	10% Control of Contractors Performance Checks
(orange) Information not currently available	(orange) Agency (1/12: 8.3%) Staff (2/10: 20%)	(orange) Information not currently available

Building Related

% legionella risk assessments completed to programme	% legionella risk assessments actions completed to programme	% Gas safety checks completed to programme	% of asbestos management completed to programme
(green) 100%	Current (green) 100% :2 raised all completed to programme; Backlog (orange) 11 outstanding: Sept completion	(green) 100%	(orange) Appointed person still to be recruited. Contractor instructed to undertake Cat 1 asbestos management plans

% fire risk assessments (FRA) completed to programme	% FRA actions implemented to programme	Control of Contractors Performance Checks	
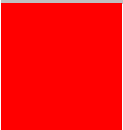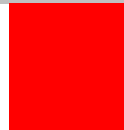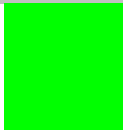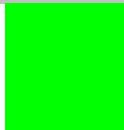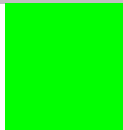
	100%		100%		Under development		

Schools
KPI

Management/Activity Related

School Action Plan reviewed within the last 12 months	Community Schools subject to compliance review in last 12 months	Other schools subject to compliance review in last 12 months	% Community schools with H&S Policy	% Community schools with H&S Committee
April 2012	33	11	94%	91%
% Community schools with suitable fire risk assessment	**% Community schools with suitable Fire Emergency Plan**	**% Community schools with Asbestos Management Plan**	**% Community schools with suitable premises risk assessment**	**% community schools completing classroom checklists**
45%	73%	3% (See matters of notes)	30% (See matters of notes)	27% (See matters of notes)

Building Related (Maintenance)

Fire detection and alarm	Fire emergency lighting	Fire fighting equipment	Water hygiene & Legionella	Gas main boilers
94%	94%	94%	85%	94%
Gas ancillary	**Gas site managers house**	**Electrical fixed installation**	**Electrical portable appliances**	**Play equipment (gym and outdoor)**
42% (of 32 community schools)	28% (of 23 schools with houses)	95%	98%	95%

Environment Leisure & Residents Services
KPI
Activity Related

Action plans have been reviewed within the last 12 months	% Suitable Risk Assessments in place	% Risk assessment Reviewed (12 month rolling period)	% of risk assessment control measures implemented	Representation at Safety Committee

🟩	🟧 80% 25/31	🟩 100% 31/31	Investigation ongoing by Safety Champion & Corp Safety	🟩 100%
% of training undertaken in accordance with plan	**% New staff (inc agency) completed E-Learning**	**10% Control of Contractors Performance Checks**		
To be investigated by Safety Champion & Corp Safety	🟩 0/0	🟧 66% 2/3 (1 monitoring to be formalised with assistance from Corp Safety)		

Building Related – H&F

% legionella risk assessments completed to programme	% legionella risk assessments actions completed to programme		% Gas safety checks completed to programme	% of asbestos management completed to programme
🟩 100%	🟥 Current	66% :2/3 Linford Christie Outstanding; programmed for August BPM	🟩 100%	🟧 Appointed person to be recruited. Contractor instructed to undertake Cat 1 asbestos management plans
	🟧 Backlog	15 outstanding: Sept completion		

% fire risk assessments (FRA) completed to programme	% FRA actions implemented to programme	Control of Contractors Performance Checks	
🟩 100%	🟩 100%	🟧 Under development	

Finance & Corporate Services
KPI

Activity Related

Action plans have been reviewed within the last 12 months	% Suitable Risk Assessments in place	% Risk assessment Reviewed (12 month rolling period)	% of risk assessment control measures implemented	Representation at Safety Committee
🟩 100% As Q4	🟩 100% As Q3	🟧 Incomplete data	🟧 Incomplete data	🟩 100% As Q4
% of training	**% New staff**	**10% Control of**		

undertaken in accordance with plan	(inc agency) completed E-Learning	Contractors Performance Checks		
85% Approx.	Agency (7/12 – 58%) Staff (2/7 – 28%)	Data not available		

Housing & Regeneration Department
KPI

Activity Related

Action plans have been reviewed within the last 12 months	% Suitable Risk Assessments in place	% Risk assessment Reviewed (12 month rolling period)	% of risk assessment control measures implemented	Representation at Safety Committee
Yes - Estate Services	100%	100%	100%	100%

% of training undertaken in accordance with plan	% New staff (inc agency) completed E-Learning			
85	100% 2 out of 2			

Building Related

% legionella risk assessments completed to programme	% legionella risk assessments actions completed to programme		% Gas safety checks completed to programme	% of asbestos management completed to programme
94% for blocks 31/33; 100% for street based	Current	75% delays with contractor	100%	100%
	Backlog	3 outstanding: Sept completion (BPM responsible)		

% fire risk assessments (FRA) completed to programme	% FRA actions implemented to programme	Control of Contractors Performance Checks	
100% [700 street based homes outstanding]	Policy in place but no system to monitor that recommendations are undertaken or check standard of work	water hygiene & lift engineers outstanding	

4.Procurement - Status (BiBorough Procurement Strategy Board have discussed and agreed a set of risks from which a couple of indicators will be monitored. This has been referred to the Head of Procurement in RBKC and also Agilisys for comment and input)

5. Information Management – Status (In place and reporting through HFBB)

Information security incidents
A security incident is an event that has actual or potential adverse effect(s) on computer, network or user resources or is a compromise, damage or loss of such equipment or data. Each incident is allocated a sequential number, summary description and current status.

Statistical summary of incidents
Total Incidents per year (by incident type)

Department	2009			2010			2011			2012		
	Incident	Loss	Dept Total	Incident	Loss	Dept Total	Incident	Loss	Dept Total	Incident	Loss	Dept Total
CHS	1	8	9	6	12	18	3	2	5	2	7	9
ASC	4	4	8	1	1	2	1	2	3	1	1	2
T&TS	0	1	1	0	2	2	0	1	1	0	2	2
FCS	6	5	11	7	1	8	4	0	4	4	0	4
HRD	1	1	2	0	0	0	5	2	7	0	0	0
HFBP	0	1	1	0	0	0	0	0	0	2	1	3
ELRS	1	1	2	0	0	0	0	0	0	0	0	0
Cross Dept	0	0	0	4	0	4	2	1	3	1	0	1
Unknown	0	2	2	0	0	0	0	0	0	0	0	0
Yearly Total	13	23	36	18	16	34	15	8	23	10	11	21

Note:
- The figures above indicate the number of incidents logged in each year by type and department.
- Incidents are only counted once, therefore if an incident was a 'Cross Department' incident it will only be counted in this row and will not also appear against the individual department's totals.
- **Cross Department** = This includes incidents which occurred across all departments (e.g. a malware attack on the H&F network) or where an incident occurred across more than one department (e.g. incident occurred in CSD and CHS).
- **Loss** = This includes incidents which occurred as a result of a loss or a theft
- **Incident** = This includes all incidents which have not occurred as a result of a loss or theft. This would include for example confidentiality breaches, personal data leaks, Information Security Policy breaches, Government Connect breaches.

Incidents Monitored in 2012

Department	Closed	Contained	Live	Total
CHS	4	5	4	13
ASC	0	2	1	3
T&TS	1	1	0	2
FCS	1	3	1	5
HRD	1	1	0	2
HFBP	1	2	0	3
ELRS	0	0	0	0
Cross Dept	2	1	0	3
Total (to date)	10	15	6	31

Note:

- The figures above include all active cases (Live and Contained) from previous years which have been carried over to 2012 for monitoring.
- The figures are updated each month to reflect new incidents which have been logged during 2012
- Incidents are only counted once, therefore if an incident was a 'Cross Department' incident it will only be counted in this row and will not also appear against the individual department's totals.
- **Live** = Active incidents with priority tasks still outstanding
- **Contained** = Active incidents with priority tasks completed, residual risks being monitored

Ends