

	<p><b>London Borough of Hammersmith &amp; Fulham</b></p> <p><b>AUDIT PENSIONS AND STANDARDS COMMITTEE</b></p> <p><b>14<sup>th</sup> February 2013</b></p>
<p><b>Combined Risk Management Highlight report</b></p>	
<p><b>Report of the Executive Director of Finance and Corporate Governance</b></p>	
<p><b>Open Report</b></p>	
<p><b>For Review &amp; Comment</b></p> <p><b>Key Decision:No</b></p>	
<p><b>Wards Affected: None</b></p>	
<p><b>Accountable Executive Director:</b> Jane West, Executive Director of Finance and Corporate Governance</p>	
<p><b>Report Author:</b> Michael Sloniowski, Principal Consultant , Risk Management</p>	<p><b>Contact Details:</b>  Tel: 020 8753 2587  E-mail:  michael.sloniowski@lbhf.gov.uk</p>

## 1. EXECUTIVE SUMMARY

- 1.1. This report updates the Committee of the risks, controls, assurances and management action orientated to manage Enterprise Wide risks.

## 2. RECOMMENDATIONS

- 2.1. The committee consider the current h&f Sovereign Strategic, Change and Operational risks as outlined in the report.
- 2.2. The committee note the TriBorough and BiBorough risks such as they may affect h&f as outlined in the report.
- 2.3. The committee approve the Enterprise Wide Risk & Assurance register

## 3. REASONS FOR DECISION

- 3.1. This report updates Members on the risk management issues identified across council services and follows changes in the reporting process to Committee to meet Corporate Governance requirements for Enterprise Risk Management as outlined in the 2012 guidance 'Delivering Good

Governance in Local Government'. 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.

#### **4. INTRODUCTION AND BACKGROUND**

- 4.1. Local government has been undergoing significant change and the environment in which it works is increasing in complexity. In addition to the continuing economic and financial challenge, the Localism Act and other key legislation has brought new roles, opportunities and greater flexibility for authorities.
- 4.2. Local authorities are changing the way in which they operate and undertake service provision. Public services are delivered directly, through partnerships, collaboration and through commissioning. Shared services and partnership boards have come into existence. The introduction of new structures and ways of working provide challenges for managing risk, ensuring transparency and demonstrating accountability.
- 4.3. Good governance enables an authority to pursue its vision effectively as well as underpinning that vision with control and the management of risk.

#### **5. PROPOSAL AND ISSUES**

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

- 5.1.1. H&F Risk Management has been included as a service, along with Internal Audit and Counter Fraud, in the Corporate Services Programme. A Strategy to manage TriBorough risks is being developed collaboratively with Westminster City Council and the Royal Borough of Kensington and Chelsea.
- 5.1.2. Presently each council has in place a policy, strategy, framework and approach for the management of risk that are distinct from each other. These are in the process of being harmonised and a Draft Joint Strategy Statement has been prepared. Supporting methodology and 'light touch' risk management guidance are also at draft stage which, together with a e-learning training package for staff will help bring together a package that assists services across the three councils.
- 5.1.3. A consultation document is being prepared to provide for the current H&F Risk Manager to become the Bi-borough Risk Manager. Currently the reporting line of the Risk Manager is to the H&F Chief Internal Auditor. It is expected that from April 2013 the Bi-borough Risk Manager will report to the appointed Bi-Borough Director of Audit. The cost of the post will be shared equally between the two Councils.

## 5.2. ENTERPRISE WIDE RISK AND ASSURANCE REGISTER

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

## 5.3. H&F - STRATEGIC RISKS PERSPECTIVE

- 5.3.1. A high level of financial uncertainty and economic instability, nationally and attached to the Eurozone remains the key risk. Output from eurozone factories fell by 0.3% in November, according to the latest official figures from EU body Eurostat. The drop marks the third successive month of decline. The fall comes in spite of analysts' forecasts of a rise and means production is now 3.7% lower than a year ago. However, the pace of decline is slowing, and November's fall compares to a 1% drop in October.
- 5.3.2. Despite the falls, which are an indicator of lower economic activity, analysts said there were signs that the worst was over. Production of capital goods, which includes machinery to make other goods, rose 0.7% in November from October, following two successive months of decline, suggesting future business was likely to pick up.
- 5.3.3. "The worst is behind us. We believe that the euro area will exit recession in the first half of this year," said David Mackie, an economist at JP Morgan. "The risk of a eurozone break-up was a major drag on businesses last year, but this year we are beginning to see some stabilisation," added Ulrike Rondorf, an economist at Commerzbank.
- 5.3.4. The production report from the Office for National Statistics (ONS) showed that industrial production was down 2.4% in November compared with the same month a year earlier.
- 5.3.5. Manufacturing, which is one of the components of the index of production along with mining and quarrying, gas and electricity, and water and sewerage, fell 0.3% compared with the previous month.
- 5.3.6. The ONS report on output in the construction industry showed a 9.8% drop compared with November 2011. But the really important figure on construction will be the one for December, according to Alan Clarke at Scotiabank.

- 5.3.7. "December is a big month for construction because of really bad snow for the last two Decembers, so that may yet save us from a fractionally negative (GDP) reading," he said. But he added that, "this probably pushes us over the threshold into a negative reading for GDP in the fourth quarter".
- 5.3.8. Both the Bank of England and the Office for Budget Responsibility, which prepares economic forecasts for the government, have warned that GDP may have contracted in the fourth quarter of 2012. The absence of the one-off factors that boosted growth in the third quarter, such as the Olympics, make it more difficult for the economy to register growth in the fourth.
- 5.3.9. "The big picture is that the UK has stalled, it's bouncing along the bottom, it's stable, not growing very much, not falling very much," said Rob Wood, economist at Berenberg Bank.
- 5.3.10. The UK economy contracted by 0.3% in the last three months of 2012, according to the National Institute of Economic and Social Research (NIESR). The NIESR blamed it on artificially strong growth in the third quarter. If the figure is confirmed by official data later this month, it will mean that the economy returned to growth for only a single quarter. It would also mean the economy saw zero growth for the whole of 2012.
- 5.3.11. All tickets for the Olympics and Paralympics were considered in the official statistics to have been bought in the third quarter of 2012, when the games took place. That flattered the economy, which registered growth of 0.9% in the three-month period. It meant that without the one-off factor the economy would have had to find considerable growth from elsewhere to avoid a contraction in the final three months of the year. The NIESR said that without the one-off factors the economy would have been basically flat for the third and fourth quarters.
- 5.3.12. The pressure remains on Hammersmith & Fulham council to 2014 and beyond, to continue finding better, more efficient, ways of doing things.

#### 5.4. H&F - CHANGE RISK PERSPECTIVE

- 5.4.1. Change or Programme risk management is the responsibility of the new 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.

## 5.5. H&F PROGRAMME AND PROJECTS PERSPECTIVE

- 5.5.1. The Innovation and Change Management Service is a new Tri Borough Division. Their new remit will extend to Programme Management. They are committed to making processes LEAN and fit for business, delivering the transformation portfolios programmes and projects. Presently the Customer, Regeneration and Market Management Portfolios indicate that risks are being managed within a tolerable level. Three projects within the Business Portfolio are classified as red due to their recent initiation, (Deep compare and contrast of services, IT Enabled change, and Smartworking Stage E).
- 5.5.2. Information on Programme risks are contained in corporate programme monitoring documentation. The responsibility of the maintenance and upkeep of Programme, Portfolio and Projects risks are the responsibility of Departments as a devolved function.

## 5.6. H&F - OPERATIONAL PERSPECTIVE

### **Key Risk Indicators**

- 5.6.1. 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.

### **Health and Safety**

- 5.6.2. Routine meetings between Tri-borough counterparts continues with a first draft of a single Tri-borough Health & Safety risk assessment document ready for full consultation. Once agreed the pathway for a complete single set of health and safety codes of practice across the three boroughs will be open. The group is also working on a standardised training matrix and a single accident reporting system. A Bi-borough service review of Corporate Safety, with potential savings, has also commenced with a target date of April 2013.

- 5.6.3. The Corporate Safety Unit and H&F Risk Management Officer have developed formal risk register to manage Health and Safety risk. The document will be reviewed internally by the Corporate Safety Unit and periodically by the councils Safety Committee. This will form an independent and new assurance on Health & Safety for the council. The Health and Safety Experience is attached as **Appendix 2** and indicates that 808 incidents took occurred in the year January 2011 to December 2011 and 668 in the year January 2012 to December 2012. The majority of incidents occurring in the Childrens Services Department.

### **Information Management**

- 5.6.4. Information security incidents are recorded by the Information Management team and are reviewed periodically by the cross departmental Information Technology Security Operations Group ( ITSOG ). A security incident is an event that has an actual or potential adverse effect on the computer, network or user resources, compromises data or where there has been damage or loss of equipment. During the last calendar year, 2012 there have been 37 incidents. This is a rise of 13 from 2011 and is primarily due to increased awareness and improved reporting across staff as a direct result of Information Governance training and communications. The Childrens Services Department were attributed to 15 of the 37 incidents. Issues are escalated by the Information Manager at ITSOG meetings together with any mitigations or actions necessary.
- 5.6.5. The Information Management incident experience is attached as **Appendix 3**.

### **Insurance**

- 5.6.6. The council's Insurance team is part of the TriBorough Insurance service hosted by the Royal Borough of Kensington and Chelsea. Over the past quarter the team has input information into a new claims management system. This has enabled the service to provide information on the number of public and employers liability claims and their cost over a five year period. All departments have been retrospectively re-profiled into their new organisational structure. Therefore the former Community Services department insurance data is included in Adult Social Care, Highways and Tree root claims form part of the Transport and Technical Services departmental data.
- 5.6.7. In total over the past five years the council has a reducing trend on the number and cost of claims. This may be attributed

to a number of factors including the time when claims may still be submitted over the 3 year period from the date of accident.

- 5.6.8. Transport and Technical services incurred the greatest cost of claims over the five year period however this is mainly due to the inclusion of Highways Slips, Trips and Falls and Tree Root claims. Similarly the Housing and Regeneration Department claims experience includes tripping incidents on the Housing Estate. The Public and Employers Liability experience is attached as **Appendix 4**.

## **Procurement**

- 5.6.9. The Bi Borough Procurement Board is apprised of key risks and issues as part of the new reporting format to the Board. Cabinet reports include a provision for comment on risk management. Key risks identified include;

- Separate Governance Decision Making Processes
- Separate Contract Standing Orders
- Differing approach to procurement
- Optimum timing of contracts extensions to co-ordinate three borough procurement exercises

## **6. OPTIONS AND ANALYSIS OF OPTIONS**

- 6.1. *Not applicable as the report is a representation of the business risks and opportunities to H&F council.*

## **7. CONSULTATION**

- 7.1. *Not applicable as the report addresses the business risks to H&F council.*

## **8. EQUALITY IMPLICATIONS**

- 8.1. *The responsibility to complete Equality Impact Assessment in relation to policy decisions is the responsibility of the appropriate departmental officer. The report highlights some of the risks and consequences of risk taking over a broad landscape and as such specific Equality and Diversity issues are referred to in the councils Enterprise Wide Risk and Assurance Register.*

## **9. LEGAL IMPLICATIONS**

9.1. *Failure to manage risk effectively may give risk to increased exposure to litigation, claims and complaints. As such the report contributes to the effective Corporate Governance of the council.*

## 10. FINANCIAL AND RESOURCES IMPLICATIONS

10.1. *Exposure to unplanned risk could be detrimental to the ongoing financial and reputational standing of the Council. Failure to innovate and take positive risks may result in loss of opportunity and reduced Value for Money. There are no direct financial implications with the report content.*

## 11. RISK MANAGEMENT

11.1. *It is the responsibility of management to mitigate risk to an acceptable level. Appropriate and proportionate mitigating actions to known risks are expressed in the Enterprise Wide Risk and Assurance Register and subject to review as part of planned Audit work and the Annual Governance Statement.*

11.2. Implications verified/completed by: Michael Sloniowski, Principal Consultant Risk Management. 020 8753 2587

## 12. PROCUREMENT AND IT STRATEGY IMPLICATIONS

12.1. *Failure to address risk in procurement may lead to a reduction in the expected benefits ( Value for Money, Efficiency, Resilience, Quality of Service) and leave the council exposed to potential fraud and collusion as identified in the Bribery Act.*

### **LOCAL GOVERNMENT ACT 2000** **LIST OF BACKGROUND PAPERS USED IN PREPARING THIS REPORT**

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

**[Note:** Please list only those that are not already in the public domain, i.e. you do not need to include Government publications, previous public reports etc.] Do not list exempt documents. Background Papers must be retained for public inspection for four years after the date of the meeting.

**LIST OF APPENDICES:**

*Appendix 1  
Enterprise Wide Risk and Assurance register*


*Appendix 2  
Health and Safety experience (Attachments 2a and 2b accompany this report)*

*Appendix 3  
Information Management incident experience*

*Appendix 4  
Insurance Claims data ( Five year period, Public and Employers Liability)*





**Appendix 1  
Enterprise Wide Risk and Assurance register**


No.	Business risk Perspective (Strategic, Change or Operational)	TriBorough BiBorough or Sovereign risk	Risk	Consequence	First line of defence (Management Controls)	Second line of defence (Independent Assurance)	Likelihood (L)	Impact (I)	Exposure = L x I	Risk Rating	Responsible Officer or Group	Review
1.	Strategic	Sovereign	<b>Managing budgets</b>  <b>Sub-risks</b> <ul style="list-style-type: none"> <li>• <b>NNDR</b> localisation of Business Rates – taking on financial risk of non-collection of NNDR plus the associated loss of government grant</li> <li>• Underlying performance of the economy is still poor.</li> <li>• Impact of a sluggish national <b>economic recovery</b> and cascade effect on social budgets * link to revenue forecast</li> <li>• <b>Pressure on demand led services</b> may occur mid year resulting in unanticipated additional costs</li> <li>• <b>HMRC VAT claims</b> regarding partnering activities and the partial exemption benefit</li> </ul>	<ul style="list-style-type: none"> <li>• Requirement to deliver planned savings</li> <li>• Pressure on the authority to manage overspends</li> <li>• Departments have to manage cost pressures</li> <li>• Loss of financial benefit to the council</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 with supported training for budget holders</li> <li>• Medium Term Financial Strategy and Business Planning Processes</li> <li>• MTFs Officer &amp; Member Challenge</li> <li>• Leader's monthly monitoring reports</li> <li>• Financial Strategy Board (FSB) periodically evaluates the</li> </ul>	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	3	4	12	Medium  	Jane West lead – All Executive Directors	Review  January 2013

			<ul style="list-style-type: none"> <li>• <b>Grant application</b> is incorrectly calculated</li> <li>• <b>Unplanned growth</b></li> <li>• Failure to achieve <b>VFM</b></li> <li>• <b>Accruals &amp; reconciliations</b></li> <li>• <b>Planned savings</b> not implemented</li> <li>• <b>Creditworthiness</b> of some contractors may be downgraded as a result of the economic downturn</li> <li>• <b>Contractors may go bust and cost may be incurred putting in new arrangements for service delivery</b></li> <li>• Insufficient <b>budgetary provision</b> and/or budgetary under/overspend *</li> <li>• Incomplete/inaccurate <b>accounting records</b></li> <li>• <b>Overestimation</b> of potential revenue streams</li> </ul>	<ul style="list-style-type: none"> <li>• additional spend on dealing with contract failure</li> </ul>	<ul style="list-style-type: none"> <li>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 BiBorough Procurement Strategy Board (RBKC &amp; H&amp;F)</li> <li>• Disposal of Assets</li> <li>• Sponsorship and advertising opportunities risk &amp; reward exercise</li> </ul>	<p>Regeneration Expenditure 2012 2013</p> <p>HFBB, Audit Pensions and Standards Committee, External Audit, Financial Strategy Board</p> <p>Overview and Scrutiny Board</p>							
2.	Strategic	Sovereign	Managing the Business Objectives (publics needs and expectations)	<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</li> </ul>	<ul style="list-style-type: none"> <li>• TriBorough Business Plans have been issued for 2013</li> <li>• Implementation of Lean Thinking principles putting the voice of the customer at the heart of service design</li> <li>• Performance monitoring and</li> </ul>	<p>Cabinet Members</p> <p>Scrutiny Cttee review performance</p> <p>Ofsted</p> <p>Care Quality Commission</p>	4	3	12	Medium	All Executive Directors	Review January 2013	

			<p><b>Sub-risks</b></p> <ul style="list-style-type: none"> <li>• A single TriBorough business planning process is not delivered impacting on the <b>Governance</b> of H&amp;F</li> </ul>	<ul style="list-style-type: none"> <li>• 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>• feedback through local media</li> <li>• Customer experience and satisfaction surveys</li> </ul>							
3.	Strategic	Sovereign	<p><b>Market Testing</b> ( refer to Bi Borough Procurement Board RBKC &amp; H&amp;F )</p> <p><b>Sub-risks</b></p> <ul style="list-style-type: none"> <li>• Tri Borough or Bi Borough <b>procurement risk appetite</b> may vary</li> <li>• <b>Procurement procedures</b> may become unclear across Tri or Bi Borough services</li> </ul>	<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> <li>• Uncertainty about the most appropriate</li> </ul>	<ul style="list-style-type: none"> <li>• Transforming Procurement work with Agilisys procurement processes to make them slicker and more efficient</li> <li>• Transforming Procurement Programme with Agilisys undertakes to improve the knowledge base and skills throughout H&amp;F</li> <li>• Consultation with other boroughs</li> <li>• Project managing the process</li> <li>• Separation or joining of projects to maximise benefit potential</li> </ul>	<p>BiBorough Procurement Board (RBKC &amp; H&amp;F)</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</p>	3	3	9	Low	All Executive Directors	Review January 2013


				procurement route, lengthen process due to reporting to 3 Member bodies	<ul style="list-style-type: none"> <li>Realistic timetables agreed and reviewed at BiBorough Procurement Board (RBKC &amp; H&amp;F)</li> <li>Market Testing progress report to HFBB</li> <li>Programme &amp; Project Management – Risk Logs being maintained, periodic risk reviews</li> <li>Revenue estimated from the contract to be included as a risk in the MTFs</li> </ul>	Full Assurance report 2011/12 Market Testing Out of Hours Service						
4.	Change	TriBorough	<b>Managing projects</b>  <b>Sub-risks</b> <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 <b>protracted discussions regarding pensions transfers</b></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> </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>New Innovation and Managing Change Team brings together programme management skills from H&amp;F and RBKC.</li> <li>Programme and Project management is supported by a recommended decision-making and governance process.</li> <li>Projects and programmes are managed through the context of the Transformational portfolios.</li> <li>A centralised</li> </ul>	The Royal Borough of Kensington & Chelsea Internal Audit  Departmental Project Management arrangements Audit 2012 2013  Bi Borough Procurement Board  Transformation Board  Internal Audit	3	3	9	Low  	Jane West lead – All Executive Directors  Martin Nottage (Tri Borough Innovation and Change Management Division)	Review  January 2013

			<ul style="list-style-type: none"> <li>• <b>Too many projects are undertaken</b> with unrealistic or unachievable targets</li> <li>• <b>Successful delivery of the Tri-borough Managed Services Programme</b></li> <li>• <b>Successful delivery of the Tri-borough ICT Programme</b></li> <li>• <b>Successful delivery of the Tri-borough Total Facilities Management Programme</b></li> <li>• <b>Housing Regeneration</b>, Borough Investment Plan.</li> </ul>		<p>project register is also contributing this to goal by giving visibility of projects that are in department.</p> <ul style="list-style-type: none"> <li>• Further training and capability is being advanced with RBKC and WCC.</li> <li>• Standard documentation is provided to support project and programme management.</li> <li>• Monthly reporting to Transformation Board (dashboard)</li> <li>• BiBorough Procurement Strategy Board (RBKC &amp; H&amp;F) monitor aspects of project management compliance</li> <li>• Procedures for TUPE transfer have been included in project management instructions</li> </ul>	<p>review of specific contracts HFBB, Audit Pensions and Standards Committee</p>						
5.	Change	Sovereign	<p><b>Public Health Service and NHS Provision</b></p> <p><b>Sub-risks</b></p> <ul style="list-style-type: none"> <li>• the Council remains concerned about the <b>impacts of proposals to change the hospital arrangements in North</b></li> </ul>	<p>The Council is remains active in debate with NHS decision-makers to ensure the best</p>	<ul style="list-style-type: none"> <li>• The new Director of Public Health will attend 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>• The Council has no</li> </ul>	<p>HFBB</p> <p>Education &amp; Childrens Services Select Committee</p> <p>Cabinet</p>	4	3	12	<p>High</p> 	<p>Derek Myers, Director of Public Health (to be appointed)</p>	<p>Review</p> <p>January 2013</p>

			<p><b>West London</b></p> <ul style="list-style-type: none"> <li>The <b>transfer of the Public Health Service from the NHS to local government</b> may not go well</li> </ul>	<p>possible deal for residents. The Council could face unexpected spending pressures from new responsibilities</p>	<p>obligation to cross subsidise Public HealthTri-borough Public Health service should be hosted at Westminster as agreed by the Leaders of the three councils</p>								
6.	Operational	Sovereign	<p><b>Business Resilience</b></p> <p><b>Sub-risks</b> <b>IT resilience</b></p> <ul style="list-style-type: none"> <li><b>Systems not joined up and connected in the event of a H &amp; F or Tri-Bi Borough event</b></li> <li><b>Strategic Information technology framework not implemented</b> effectively</li> <li>Lack of <b>top tier response plans</b></li> <li><b>ISP version</b> update to the infrastructure of the internet will have to move over to a new system, IPv6 previous versions not being compatible</li> <li><b>Electronic information storage capacity</b></li> <li><b>Mobile Communications technology provider service failure</b></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> <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>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 HFBB as part of</li> </ul>	<p>HFBB</p> <p>The Royal Borough of Kensington &amp; Chelsea Internal Audit</p> <p>H&amp;F Audit Pensions and Standards Committee</p> <p>The Royal Borough of Kensington &amp; Chelsea Audit Committee</p> <p>Service Resilience Group</p> <p>ELRS DMT</p> <p>Substantial Assurance report 2011/12 Emergency Planning</p> <p>H&amp;F Substantial Assurance Business</p>	4	3	12	<p>Medium</p> 	<p>Lyn Carpenter ( Corporate Business Continuity ) 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 Communications Technology Lead Advisor</p>	<p>Review</p> <p>January 2013</p>	



					<p>Data recovery is insured under the councils corporate insurance package ( but limited )</p> <ul style="list-style-type: none"> <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>Continuity Audit report 2011 2012</p> <p>Data storage &amp; back up audit Audit report 2009/10 ( Substantial assurance )</p>							
			<b>Contractor Liquidity</b>	<ul style="list-style-type: none"> <li>• Delays/ interruption to the service as a replacement is found</li> <li>• Cost and time of</li> </ul>	<ul style="list-style-type: none"> <li>• Creditsafe Financial checks</li> <li>• Corporate Finance credit checking</li> <li>• Contractor Business</li> </ul>	<p>Bi Borough Procurement Board</p> <p>Audit Pensions and Standards</p>							

			<b>Terrorist attack/Civil disturbance</b>	<p>re-procuring the service</p> <ul style="list-style-type: none"> <li>• Protection of contributions to the H&amp;F Pension fund as more outsourcing is undertaken</li> <li>• Service interruption</li> <li>• Property loss or damage</li> <li>• Injury or harm</li> </ul>	<p>Continuity Planning</p> <ul style="list-style-type: none"> <li>• Pension fund performance bond</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.</li> </ul> <p><b>NOTE</b> Please refer to BCP Risk Assessment for highlighted risks and controls</p>	<p>Committee</p> <p>Cabinet Office COBRA</p>							
7.	Operational	Sovereign	<p><b>Managing statutory duty</b></p> <p><b>Sub-risks</b> Non-compliance with laws and regulations</p> <p>Breach of duty of care</p>	<ul style="list-style-type: none"> <li>• Non compliance may result in prosecution or a Corporate Manslaughter charge</li> </ul>	<ul style="list-style-type: none"> <li>• Nigel Pallace is lead Sponsor on HFBB for Health &amp; Safety</li> <li>• Pro-active Health, Safety and Welfare culture across the</li> </ul>	<p>H&amp;F Health &amp; Safety Internal Audit planned in 2012/13</p>	3	4	12	<p>Medium</p> 	<p>Nigel Pallace</p> <p>Jane West (Equalities)</p>	<p>Review</p> <p>January 2013</p>	

				<ul style="list-style-type: none"> <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 Executive Directors</li> <li>• Inadequate level of service</li> <li>• Poor satisfaction with statutory services</li> </ul>	<p>council</p> <ul style="list-style-type: none"> <li>• TriBorough - The TotalFM contractor will manage a number of statutory and regulatory Health &amp; Safety procedural, record and management processes</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> </ul>	<p>Accommodation Gas Safety Audit 2012/13 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 Pensions and Standards Committee</p> <p>Education &amp; Childrens Services Select Committee</p> <p>H&amp;F Safety Committee</p> <p>TriBorough Safety Committees CHS and ASC</p> <p>Internal Audit 2012 2013 Review of Health &amp; Safety Statutory &amp; Regulatory compliance</p>					
			<b>Departmental</b>								

			<p><b>assurances</b></p> <p><b>Corporate Parenting</b></p> <p><b>Equalities (public sector equality duty or 'PSED') and Human Rights</b> (a budget challenge could be in whole terms or of a single line)</p>	<ul style="list-style-type: none"> <li>• The Executive, Hammersmith &amp; Fulham Business Board, Executive Directors and Management Teams may not have been apprised of significant controls weaknesses that appear in the service area.</li> <li>• Harm to reputation, potential harm or injury to individual</li> <li>• Increased complaints, Ombudsman involvement, judicial review which can result in; quashing order, prohibiting order, mandatory order, declaration, injunction, damages, and potential further challenge to a budget.</li> </ul>	<ul style="list-style-type: none"> <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> <li>• FSB reviewed and approved a process to harmonise the Management Assurance process at Director and Divisional level with that of RBKC.</li> <li>• All child protection cases have remained allocated to a social worker despite of the high demand.</li> <li>• A detailed action plan has been implemented in response to the</li> </ul>	<p>FSB, Executive Director of Finance and Corporate Governance, Chief Executive and Leader of the Council</p> <p>Local Safeguarding Childrens Board, Unannounced Safeguarding Inspection, Ofsted , Local and London Child Protection Procedures</p> <p>Limited Assurance report April 2012 H&amp;F Application of the Equality Act 2010</p> <p>Officer Working Group</p>						
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					<p>increased numbers of children with child protection plans, to safely manage the demand and reduce activity in line with that of our statistical neighbours.</p> <ul style="list-style-type: none"> <li>• The number of qualified social workers delivering a child protection service has increased by two over the past year.</li> <li>• EIA's or Equality Statement (where applicable) must accompany all Cabinet, Full Council and Key Decision reports, KPI's</li> <li>• EIA's and Equality Statements address Human Rights where applicable</li> <li>• 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.</li> </ul>							
8.	Operational	Sovereign	Successful partnerships & Major				4	3	12	Medium	Derek Myers	Review January 2013



			<p><b>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, governance or liability in the event of service failure</li> <li>Local Housing Company</li> <li>Differing procurement processes Financial Regulations and Contract Standing Orders across TriBorough services</li> </ul>	<ul style="list-style-type: none"> <li>Joint objectives are not met</li> <li>Community expectations are not met</li> <li>A business plan may not be concluded</li> <li>Decisions may be made which contradict or challenge the Contract Standing Orders or Financial Regulations of H&amp;F</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>The Cabinet Member will be closely involved in business plan discussions</li> <li>Financial creditworthiness checks at BiBorough Procurement Board (RBKC &amp; H&amp;F)</li> </ul>	<p>H &amp; F Bridge Partnership Assurance process</p> <p>Internal Audit Substantial Assurance report 2011/12 Partnership Governance</p> <p>BiBorough Procurement Board (RBKC &amp; H&amp;F)</p> <p>HFBB, Audit Pensions and Standards Committee</p>							
9.	Operational	Sovereign	<p><b>Maintaining reputation and service standards</b></p> <p><b>Sub-risks</b></p> <ul style="list-style-type: none"> <li><b>Multiplicity of external forces and initiatives</b></li> <li><b>Breach of Officer or</b></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>Harm to the</li> </ul>	<ul style="list-style-type: none"> <li>The Annual Residents Survey</li> <li>A review of the corporate governance arrangements has been conducted by Internal Audit</li> <li>Annual Complaints review report April 2010 to March 2011 produced to Committee</li> <li>Combined Finance &amp; Service Planning processes</li> <li>New Standards</li> </ul>	<p>Cabinet Ofsted, Care Quality Commission, Annual Audit letter</p> <p>HFBB, Audit Pensions and Standards Committee, Overview and Scrutiny Board</p>	4	3	12	Medium	Jane West	Review January 2013	

			<p><b>Member code of conduct</b></p> <ul style="list-style-type: none"> <li>• <b>Information Management and Governance</b></li> <li>• <b>Inappropriate Data released</b></li> <li>• <b>Poor data quality</b> internally or from third parties, breaches of information protocols, information erroneously sent to third parties.</li> <li>• Auto forwarding of information ( <b>Information control and threat of leakage</b> )</li> <li>• <b>Local information interconnectivity and data storage ( hosting )</b></li> </ul>	<p>council's reputation</p> <ul style="list-style-type: none"> <li>• Potential adverse media reporting</li> <li>• Potential fines or action from the Information Commissioner</li> <li>• Quality and integrity of data held in support of Performance Management &amp; Financial systems leads to under or over estimation</li> <li>• Data management 'without boundaries' could be more sensitive to local, national or geographical service interruption, theft, loss or duplication</li> </ul>	<p>procedures are in place</p> <ul style="list-style-type: none"> <li>• Standards issues now covered under the Audit Pensions and Standards Committee</li> <li>• Information governance forms part of the TriBorough ICT Programme</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 Committees, HFBB &amp; DMT's</li> <li>• Corvu Performance Management System is able to pick up anomalies</li> <li>• Data Quality E-Learning module has been released</li> <li>• From Wednesday 1st August 2012, the Council is introducing a new contractor (industry specialists) for the collection and destruction of confidential waste</li> </ul>	<p>TriBorough Information Management Project Board</p> <p>ITSOG</p> <p>Management Letter has been issued (based on comparison to requirements under the Data Protection Act )</p>						
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					<p>from all Council offices in the H&amp;F.</p> <ul style="list-style-type: none"> <li>• Webmail has now been banned across H&amp;F</li> <li>• New Egress system introduced to protect confidential e-mails going outside of Tri-borough</li> </ul>							
10.	Operational	Sovereign (TriBorough) (from April 2013)	<p><b>Managing fraud</b> ( Internal &amp; External)</p> <p><b>Sub-risks</b> Misappropriation of assets Appointeeship/custodian or guardian</p> <p><b>Contracting</b> Gifts &amp; Benefits Manipulation of performance data, collusion, billing, non-compliance with Financial and or Contract Standing Orders</p> <p><b>Misrepresentation of Personal or Commercial Circumstances</b></p> <p><b>NNDR</b></p> <p><b>Payroll</b></p> <p><b>Cheque</b></p> <p><b>Grant award</b></p> <p><b>Treasury</b></p>	<ul style="list-style-type: none"> <li>• Loss of reputation</li> <li>• Financial loss</li> <li>• Loss of asset</li> <li>• Loss of revenue</li> <li>• Adverse regulatory /audit report</li> </ul>	<ul style="list-style-type: none"> <li>• Corporate Services review includes the Corporate Fraud Service. The aim of the project is to develop an adaptable Bi-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.</li> <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</li> </ul>	<p>HFBB receive quarterly summary information on anti-fraud activity</p> <p>Audit Pensions and Standards Committee receive quarterly reports on Fraud</p>	4	3	12	High	<p><b>TriBorough</b> Nicholas Holgate RBKC Town Clerk and Executive Director of Finance and Business Lead, Internal Audit</p> <p><b>H&amp;F</b> Jane West lead – All Executive Directors</p> <p><b>WCC</b> Barbara Moorhouse</p>	Review January 2013




			<b>Housing Tenancy or Benefit Fraud</b>		<p>training has been 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> <li>• Money laundering policies recently reviewed and amended.</li> </ul>							
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OPPORTUNITY RISKS ( Where the is in excess of £3Million Benefit to H&F )


<b>1.</b>	<b>Change</b>	<b>TriBorough</b>	<b>Merging of education services</b> (with Westminster Council and the Royal Borough of Kensington and Chelsea)	<p>Savings due to removal of duplication across the councils</p> <ul style="list-style-type: none"> <li>• IT opportunities such as access and sharing of files and connecting to networks when at other sites.</li> <li>• HR workshops regarding specific topics such as Sick Leave, Pay etc. are currently being planned and more information will be available soon.</li> </ul>	<ul style="list-style-type: none"> <li>• Service Reviews, Looked after Children, Leaving Care</li> <li>• TriBorough Managers Induction</li> <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</li> </ul>	Cabinet  Transformation Board  Education & Childrens Services Select Committee  External Audit (review 2012)  Ofsted  The Royal Borough of Kensington & Chelsea Internal Audit  TriBorough	2	4	8	Low	Andrew Christie	Review  January 2013
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			<p><b>Sub-risks</b></p> <p><b>Social enterprise</b></p>	<ul style="list-style-type: none"> <li>• The procurement for an ISP to help establish and support an 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</li> </ul>	<p>years, children, young people, social care, health, disability and workforce development.</p> <ul style="list-style-type: none"> <li>• Three Borough-based delivery units with responsibility for protecting children, supporting families and delivering early help in the most efficient manner possible.</li> <li>• Shortlisting of potential partners has commenced through a) a moderated procedure and b) Competitive Dialogue</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</li> </ul>	<p>Childrens Services Portfolio Board</p> <p>TriBorough Headteachers Executive Board</p> <p>Local Safeguarding Childrens Board</p> <p>BiBorough Procurement Strategy Board (RBKC &amp; H&amp;F)</p>						
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				<p>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</p>	<p>establish an employee-led mutual.</p> <ul style="list-style-type: none"> <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 between the ISP and the employees (held on the employees' behalf in an employee benefit trust).</li> <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.	Change	Sovereign	<p>Regeneration of King Street and Civic Offices</p> <p>Sub-risks</p>	<ul style="list-style-type: none"> <li>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</li> </ul>	<ul style="list-style-type: none"> <li>The Leader of the Council has announced revised proposals regarding the height of buildings in the residential blocks.</li> <li>King Street Development will be</li> </ul>	<p>Cabinet</p> <p>Planning Applications Committee</p> <p>Mayor of London</p>	3	4	12	<p>Medium</p> 	Nigel Pallace	<p>Review</p> <p>January 2013</p>

			<p><b>GLA do not approve the proposals</b></p>	<p>temporarily accommodating staff through a relocation to facilitate repairs</p> <ul style="list-style-type: none"> <li>• New office accommodation at no cost is being provided in exchange for land</li> <li>• A new modern building is also expected to save around £150,000 in energy costs</li> <li>• Jobs will be created in King Street</li> <li>• 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</li> <li>• Successful redevelopment would enable the council to terminate contracts for various costly leased buildings around the borough savings around £2 million a year.</li> </ul>	<p>reviewing the scheme over the coming months and a further consultation with residents' and amenity groups will follow later in the year.</p> <ul style="list-style-type: none"> <li>• Hammersmith &amp; Fulham Council has agreed to work with the GLA on a further independent rigorous assessment on viability</li> <li>• Exhibition of 3 bid schemes 2007</li> <li>• Statement of Community Involvement – Two public consultation exercises</li> <li>• Private meetings with residents</li> <li>• Stakeholder Forums</li> <li>• Flyer to 15,000 homes</li> <li>• Pre application meetings with GLA and local amenity groups</li> <li>• 1800 letters sent to individual properties in the wider area.</li> <li>• Consultation with statutory groups; GLA, HAFAD, Port of London Authority, LFEPA, Metropolitan Police, English Heritage &amp; Archaeology, Natural</li> </ul>	<p>Greater London Authority</p> <p>Port of London Authority</p> <p>English Heritage</p>						
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					<p>England,CAA, BAA Airports, Thames Water, Environment Agency, Tf</p> <ul style="list-style-type: none"><li>• 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, Ravencourt 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</li></ul> <p>Submitted by the Planning Applicant;</p> <ul style="list-style-type: none"><li>• Environmental Statement, Energy Statement, Flood Risk Assessment,</li><li>• Air Quality Assessment, Environmental Noise Assessment, Lighting Strategy</li><li>• Phase 1 Habitat Survey &amp; ecological</li></ul>						
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					database search • Telecommunications assessment							
4.	Change	Sovereign	<b>Earls Court regeneration</b>  <b>Sub-risks</b>  <b>GLA do not approve the proposals</b>  <b>Delays due to Judicial Review</b>	<ul style="list-style-type: none"> <li>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.</li> <li>Proposed guarantees for tenants and leaseholders include; <ul style="list-style-type: none"> <li>- Brand new replacement homes, one move only within the local area.</li> <li>- Tenants remain secure Council tenants and continue to pay Council rents – there is no stock transfer and therefore no requirement for a ballot.</li> <li>- Phased approach allows communities to be moved together.</li> </ul> </li> </ul> <p>Comprehensive regeneration offers opportunity to secure</p>	<ul style="list-style-type: none"> <li>Earls Court Regeneration Team supported by high quality advisory team comprising Jones Lang LaSalle, SNR Denton and PWC.</li> <li>All major decision reports reviewed by Tim Kerr QC in relation to Judicial Review challenge risk.</li> <li>Workshops in August 2012 to cover procurement, risk, finance, housing redevelopment, planning, legal and communications.</li> <li>Comprehensive report submitted to and approved by Cabinet 3rd September 2012.</li> <li>The council 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 completion of the CLSA not occur, the remaining £5m is not</li> </ul>	Project Group chaired by Executive Director  HFBB  Cabinet  Housing, Health And Adult Social Care Select Committee  Planning Applications Committee  The Royal Borough Major Planning Development Committee  The Royal Borough Planning Applications Committee	3	4	12	Medium 	Mel Barrett	Review  January 2013

				major estate renewal across the West Kensington and Gibbs Green estates as well as offering major regeneration benefits including 7,500 new homes, 36,000 construction jobs, 9,500 permanent jobs and £99.5 million per annum of additional local expenditure, together with additional community facilities comprising new schools, leisure and health facilities, new open and play space and a significant increase in job opportunities.	refundable under any circumstances								
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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 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 Thornton and Price Waterhouse Coopers reports

Note 2. Categorized 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



## Appendix 2, Health & Safety experience

January 2011 to December 2011 (Attachment 2a)

January 2012 to December 2012 (Attachment 2b)

## Appendix 3, Information Management incident experience

Total Incidents per year (by incident type)

Department	2010			2011			2012			2013		
	Incident	Loss	Dept Total	Incident	Loss	Dept Total	Incident	Loss	Dept Total	Incident	Loss	Dept Total
CHS	6	12	18	3	2	5	6	9	15	0	0	0
ASC	1	1	2	1	2	3	3	2	5	0	0	0
T&TS	0	2	2	0	1	1	1	2	3	0	0	0
FCS	7	1	8	4	0	4	6	1	7	0	0	0
HRD	0	0	0	5	2	7	1	0	1	0	0	0
HFBP	0	0	0	0	0	0	2	2	4	0	0	0
ELRS	0	0	0	0	0	0	0	1	1	0	0	0
Cross Dept	4	0	4	2	1	3	1	0	1	0	0	0
Unknown	0	0	0	0	0	0	0	0	0	0	0	0
<b>Yearly Total</b>	<b>18</b>	<b>16</b>	<b>34</b>	<b>15</b>	<b>8</b>	<b>23</b>	<b>20</b>	<b>17</b>	<b>37</b>	<b>0</b>	<b>0</b>	<b>0</b>

## Appendix 4, Insurance 5 year Public and Employers Liability claims experience

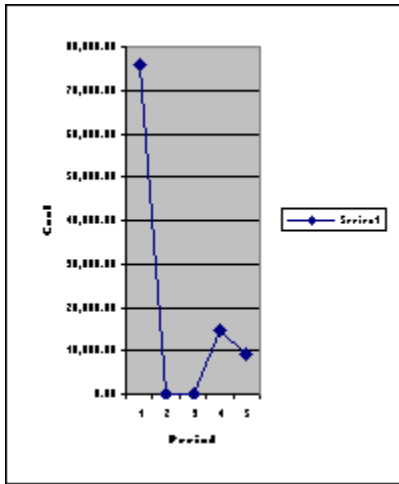
### Summary Report by Department – APPENDIX 3 PUBLIC & EMPLOYERS' LIABILITY CLAIMS

	Directorate	No. Claims			Payments	O/S Estimate	Total Claim
		Closed	Open	Total			
1st July 2007 to 30th June 2008	ADULT SOCIAL CARE	4	0	4	75,824.51	0.00	75,824.51
1st July 2008 to 30th June 2009	ADULT SOCIAL CARE	1	0	1	0.00	0.00	0.00
1st July 2009 to 30th June 2010	ADULT SOCIAL CARE	1	0	1	0.00	0.00	0.00
1st July 2010 to 30th June 2011	ADULT SOCIAL CARE	1	1	2	1,932.50	12,568.00	14,500.50
1st July 2011 to 31 March 2012	ADULT SOCIAL CARE	0	1	1	0.00	9,125.00	9,125.00
		7	2	9	77,757.01	21,693.00	99,450.01
1st July 2007 to 30th June 2008	CHILDREN'S SERVICES DEPT	5	2	7	97,910.75	82,183.00	180,093.75
1st July 2008 to 30th June 2009	CHILDREN'S SERVICES DEPT	5	3	8	76,049.27	26,353.00	102,402.27
1st July 2009 to 30th June 2010	CHILDREN'S SERVICES DEPT	6	2	8	22,454.00	28,558.00	51,012.00
1st July 2010 to 30th June 2011	CHILDREN'S SERVICES DEPT	2	5	7	10,912.00	59,520.00	70,432.00
1st July 2011 to 31 March 2012	CHILDREN'S SERVICES DEPT	2	4	6	10,000.00	59,118.00	69,118.00
		20	16	36	217,326.02	255,732.00	473,058.02
1st July 2007 to 30th June 2008	ENVIRONMENT, LEISURE & RESIDENTS SERVICE	28	0	28	21,674.29	0.00	21,674.29
1st July 2008 to 30th June 2009	ENVIRONMENT, LEISURE & RESIDENTS SERVICE	7	1	8	39,663.03	18,275.00	57,938.03
1st July 2009 to 30th June 2010	ENVIRONMENT, LEISURE & RESIDENTS SERVICE	8	6	14	26,171.56	44,395.00	70,566.56
1st July 2010 to 30th June 2011	ENVIRONMENT, LEISURE & RESIDENTS SERVICE	10	5	15	400.00	39,335.00	39,735.00
1st July 2011 to 31 March 2012	ENVIRONMENT, LEISURE & RESIDENTS SERVICE	6	6	12	15,080.28	58,079.00	73,159.28

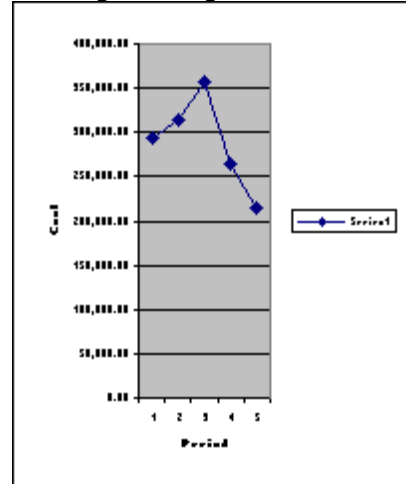
		59	18	77	102,989.16	160,084.00	263,073.16
1st July 2007 to 30th June 2008	HOUSING & REGENERATION	105	6	111	128,686.37	165,230.00	293,916.37
1st July 2008 to 30th June 2009	HOUSING & REGENERATION	108	12	120	227,644.26	85,571.00	313,215.26
1st July 2009 to 30th June 2010	HOUSING & REGENERATION	93	18	111	197,509.72	158,428.00	355,937.72
1st July 2010 to 30th June 2011	HOUSING & REGENERATION	54	29	83	103,500.00	160,428.00	263,928.00
1st July 2011 to 31 March 2012	HOUSING & REGENERATION	12	44	56	18,656.50	196,872.00	215,528.50
		372	109	481	675,996.85	766,529.00	1,442,525.85
1st July 2007 to 30th June 2008	TRANSPORT & TECHNICAL SERVICES	96	5	101	185,413.41	87,329.01	272,742.42
1st July 2008 to 30th June 2009	TRANSPORT & TECHNICAL SERVICES	79	3	82	284,775.28	28,250.00	313,025.28
1st July 2009 to 30th June 2010	TRANSPORT & TECHNICAL SERVICES	86	9	95	38,681.98	107,045.00	145,726.98
1st July 2010 to 30th June 2011	TRANSPORT & TECHNICAL SERVICES	68	29	97	18,735.98	382,357.47	401,093.45
1st July 2011 to 31 March 2012	TRANSPORT & TECHNICAL SERVICES	25	47	72	38,467.91	354,122.00	392,589.91
		354	93	447	566,074.56	959,103.48	1,525,178.04
1st July 2007 to 30th June 2008	TOTAL	238	13	251	509,509.33	334,742.01	844,251.34
1st July 2008 to 30th June 2009	TOTAL	200	19	219	628,131.84	158,449.00	786,580.84
1st July 2009 to 30th June 2010	TOTAL	194	35	229	284,817.26	338,426.00	623,243.26
1st July 2010 to 30th June 2011	TOTAL	136	69	205	136,430.48	654,208.47	790,638.95
1st July 2011 to 31 March 2012	TOTAL	45	102	147	82,204.69	677,316.00	759,520.69
		813	238	1,051	1,641,093.60	2,163,141.48	3,804,235.08
1st July 2010 to 30th June 2011	NOT LBH&F	1	0	1	950.00	0.00	950.00

## COST OF CLAIMS

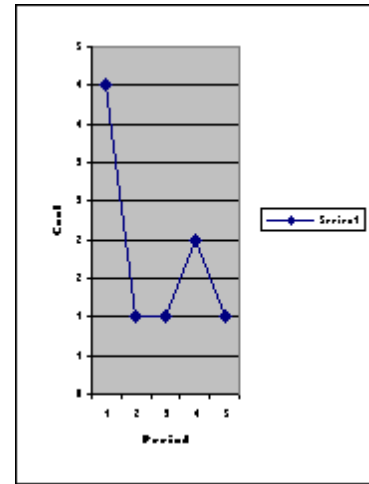
Adult Social Care



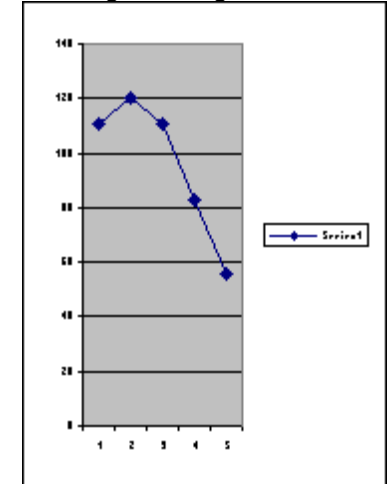
Housing and Regeneration



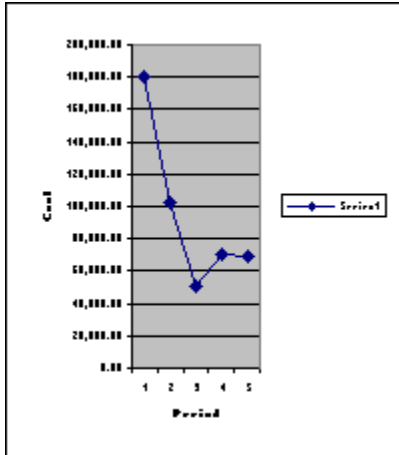
Adult Social Care



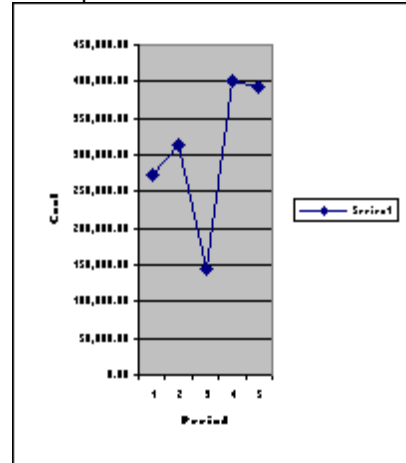
Housing and Regeneration



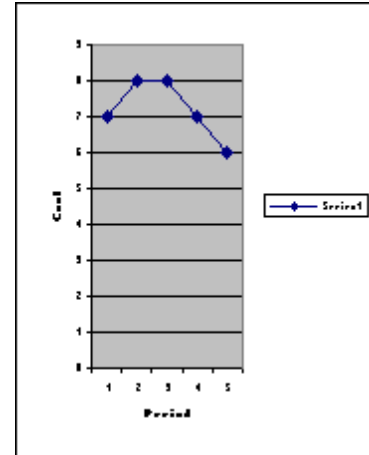
Childrens Services



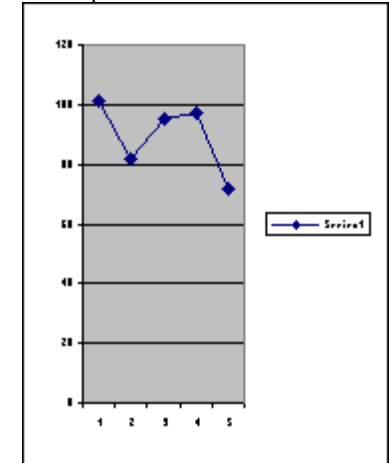
Transport and Technical Services



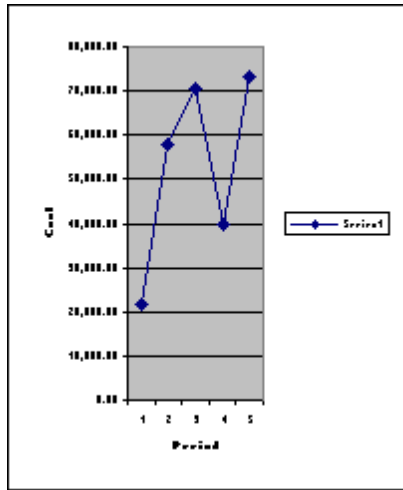
Childrens Services



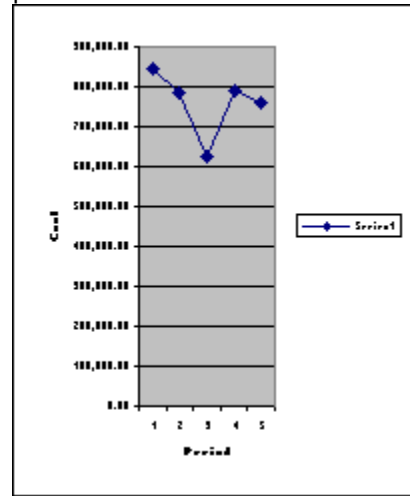
Transport and Technical Services



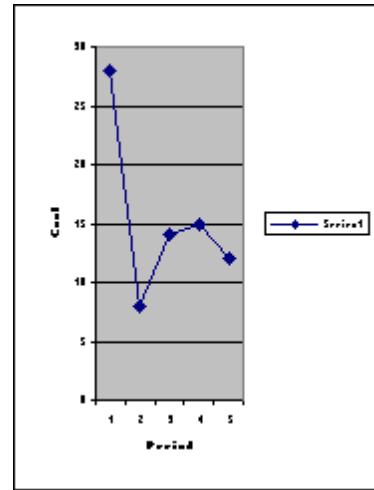
Environment Leisure and Residents Services



Total cost of PI & EL claims 5 year period



Environment Leisure and Residents Services



Total cost of PI & EL claims 5 year period

