

CORPORATE RISK REGISTER 2010-11

November 2010

Corporate Risk Register –November 2010

Risk No	Risk Identified	Impact	Likelihood	Risk Score	Risk Control Measures	Assessment of Residual Risk with Control Measures Implemented			Responsible Person	Timescale for Review	Progress Comments	Date
						Impact	Likelihood	Risk Score				
1	<p>Partnerships – Public and Private Partnership working if ineffective and poorly controlled partnership working may lead to a lack of accountability and ineffective use of resources resulting in failure to achieve outcomes/objectives</p>	3	4	12	Review approach to identification and guidance to ensure follow up in directorate	3	3	9	Ian Leivesley	6 monthly	Register formed. Checklist available. Audits undertaken on a risk basis and training in place.	5.11.10
2	<p>Partnerships - NHS Bodies Failure by NHS bodies to agree provision of resources for health prevention leads to failure of health prevention programmes resulting in the health of local people failing to improve to the levels of other areas.</p>	4	4	16	<ul style="list-style-type: none"> • Encourage NHS bodies to fully commit (both energy and resources) to priorities and health prevention agenda • Encourage NHS Bodies to allocate funding • The Council has been consulted and involved in the health service deliberations to reconfigure their services. • Influencing the development of the community strategy. 	4	3	12	Dwayne Johnson	6 monthly	The DH has now completed its consultation on the NHS White Paper: Liberating the NHS. The Council is awaiting the guidance on establishing Health and Well Being Boards as these Boards will become the main vehicle for coordinating strategies and determining funding. The work commissioned on	5.11.10

	Partnerships continued				<ul style="list-style-type: none"> • Development of draft health outcome measures. • Regular performance monitoring at both the Health Performance Board and Chief Officers Group. 						Section 31 partnerships will play a significant part in preparing the framework for these new Boards.	
3	Children's Services Inspection by Ofsted The Council and its Partners in the Children's Trust have to meet the exacting requirements of Ofsted's new Performance Framework, particularly in terms of child protection	4	3	12	<ul style="list-style-type: none"> • Restructured CYP Directorate around commissioning and provision of services with an integrated Children and Families Department • Children and Young People's Plan in place • Children's Trust in place and links to HSCB • Full engagement of all statutory partners at a senior level (including 	3	2	6	Gerald Meehan	6 monthly	<ul style="list-style-type: none"> • Children's Trust and HSCB fully engaged in preparatory work and service improvement • Regular case audits in place for social care and across Children's Trust • Significant management oversight of operations 	6.12.10

	Children's Services Integration continued				<p>schools) in place</p> <ul style="list-style-type: none"> • Plan formed with outcome based accountability • Group set up for inspection preparation 							
4	<p>Stakeholders – Community Engagement</p> <p>Failure to communicate effectively and engage local community participation in service planning, design, and delivery leading to complaints and tensions and conflict on specific initiatives resulting in loss of reputations, alienation of people from local government reduced collectivism and more individualistic opting out</p>	4	4	16	<ul style="list-style-type: none"> • Effective LSP • Effective and inclusive Area Forums • Use of Halton 2000 • Research and Intelligence Unit • Community Development Team 	4	3	12	Ian Leivesley	6 monthly	<p>The Council continues to use the various tools it has available for customer involvement/public participation.</p> <p>A review of Area Forums has resulted in revised arrangements aimed at greater participation</p> <p>Combined consultation on the Community Strategy, Core Strategy and Local Transport Plans (Dec 2010)</p> <p>Audit of engagement Undertaken and the engagement strategy is being reviewed and updated by the Strategic Partnership</p>	5.11.10

5	Finance Severe and rapid reductions in government funding makes it difficult effectively align resources to corporate objectives in the short term leading to service reductions in priority areas	4	4	16	<ul style="list-style-type: none"> • Medium Term Financial Strategy • Budget working group • Budget Risk register • Efficiency Programme. risk register • Review of Corporate Priorities/Community Plan • Communication of Priorities to Staff/Members/Managers to achieve buy-in 	4	3	12	Ian Leivesley	6 monthly	The Council continues to spend within in its means. However financial settlements are expected to be very tough for the foreseeable future. Significant levels of savings will continue to be required from the Efficiency Programme service delivery but these will not be sufficient on their own and further savings will be required. Reviews over the coming years.	5.11.10
6	Mersey Gateway Lack of effective project management leads to uncontrolled costs, delays and lack of credibility resulting in cancellation/delay of the project. Potential abortive development cost.	4	3	12	<ul style="list-style-type: none"> • Experienced Project Director in place since Programme Entry • Experienced team of consultants involved early on in the project • Project adheres to the PRINCE2 project management structure in terms of governance • Officer Project Board and Mersey Gateway 	4	2	8	Dick Tregoe	6 monthly	The Stage 3 plan for the Procurement process is now under development which will set things in place for the next phase of the project. The plan will be approved by OPB. The procurement process will draw on resources outside the dedicated project team	5.05.11

	Mersey Gateway continued				<p>Executive Board in place for governance and approvals</p> <ul style="list-style-type: none"> • Assurance provided to OPB and MGEB through regular Gateway reviews • Regular discussions with Government departments in order to minimise risk to HBC • Mersey Gateway Risk Register which is shared with OPB on a monthly basis 						<p>to ensure that the project meets with corporate requirements.</p> <p>Governance proposals are under consideration to ensure that plans are put in place to address the succession of the current project team at contract award and financial close.</p>	
7	Major Projects – (e.g. 3MG, Widnes Waterfront, Castlefields, Canal Quarter) Ineffective Project Management of major projects leads to delay increased costs resulting in failure to regenerate borough	4	3	12	<ul style="list-style-type: none"> • Individual Project Management Groups • Project Teams • Performance Management Reports • Partnering Arrangements • Project Management Training for officers 	3	2	6	Dick Tregear	6 monthly	Progress continues to be made with all projects. Careful attention is paid to budgets in the light of changes arising from reduction in allocations from Central Government and NWDA.	5.11.10
8	Joint Venture for Daresbury Science and Innovation Park	4	2	8	<ul style="list-style-type: none"> • Positive co-operation with public sector partners (STFC and NWDA) & new JV 	4	1	4	Dick Tregear	6 monthly	A JV Partner has now been chosen. Consultant solicitors and property experts	5.11.10

	Joint Venture.....continued				<ul style="list-style-type: none"> private sector partner. Establishment of contract management systems 						continue to provide advice.	
9	Building Schools for the Future and Primary Capital Programme Delivery of two new builds (Wade Deacon and The Grange Schools) needs to be on time and to budget	4	3	12	<ul style="list-style-type: none"> Preferred Bidder appointed 2.12.10 (LTP) BSF Team reduced to reflect size of BSF Programme; appropriate number of days secured Warrington BC withdrawn from programme 	3	4	12	Gerald Meehan	6 monthly	<ul style="list-style-type: none"> New Academy (Ormiston Bollingbroke) open September 2010 Preferred Bidder for BSF Sample Schools appointed Very small team in place to deliver the two schools 	5.11.10

10	Corporate Capacity Inability to support major projects due to: - capacity - capability - resources - finances - Inability to recruit key staff with appropriate skills leading to the potential of delivery failure or delay.	4	4	16	- Active Project Management (e.g. PRINCE) - Early identification & Intervention - Training & Development - Recruitment arrangements - Partnership working - People Strategy	4	3	12	D. Parr	3 months	People Strategy and workforce strategies completed and kept under review. Tailored training programmes put on for senior managers to help them to manage and deliver change. IIP accreditation renewed	5.11.10
11	I.T. Lack of disaster recovery arrangements leads to an interruption of IT facilities in the event of a disaster resulting in the inability to deliver frontline services	4	3	12	<ul style="list-style-type: none"> Disaster recovery plan Business Continuity Plan Review information governance and security strategies 	4	2	8	Ian Leivesley	6 monthly	<ul style="list-style-type: none"> The continued development of the Joint venture offsite recovery centre based at Redcar Borough Council over 160 miles away. The development of virtualised application servers allowing greater resilience and restore in the case of outage. The development of SAN to SAN off site replication, protecting valued data assets. 	Phase 1 completed October 2010. Ongoing development Continuous process as part of the ICT Strategy October 2011

	I.T continued										<ul style="list-style-type: none"> • The continued development of backup solutions and services. • The continued centralisation of all data assets within the 2nd data centre <p>Compliance with the Code of Connection hardware, network and data security standards, strategies and governance standards</p>	<p>Continuou s process</p> <p>Continuou s process</p> <p>Complianc e with v4.1 June.</p> <p>Continuou s process</p>
12	Human Resources – Failure to implement effective health, safety and wellbeing strategies leads to unsafe, unhealthy and poorly motivated workforce resulted in increased staff dissatisfaction, demotivation, and problems of low staff retention and productivity	4	3	12	<ul style="list-style-type: none"> • Health and Safety Policy • Stress Risk Assessments • Absenteeism procedures • Occupational Health Service • “Preparing for Change” Training Courses 	3	2	6	Ian Leivesley	3 monthly	<p>New organisational development group established to bring together and take a strategic overview of workforce planning, flexible working staff development activities. IIP re-accreditation</p>	5.11.10

13	<p>Waste Failure to develop a cogent Waste Management Strategy leads to a failure to meet Government</p> <p>Targets resulting in increased cost of waste disposal (impacting on the Council's ability to deliver other services)</p>	4	4	16	<ul style="list-style-type: none"> • Development of a Joint Waste Strategy • Formal local authority and private sector partnership • Close engagement with MWDA • Effective Management of agreed Project Plan • Consultation with key stakeholders • Review at Regular Intervals. 	3	3	9	Dick Tregoe	6 monthly	The Council is working with the Mersey Waste Disposal Authority to develop a pan-Merseyside solution to the issue of waste. A Memorandum of Understanding between the Council and MWDA has been completed and an Inter Authority Agreement is being developed.	5.11.10
14	<p>Government (etc.) Intervention</p> <p>Rapid change resulting from new coalition policies combined with severe budget cuts may prevent us from delivering local priorities.</p>	3	3	9	<ul style="list-style-type: none"> - Influence policy development - Lobbying - Working relationships and networking - Political management - Prioritisation - HiR Group - Horizon scanning 	3	3	9	D. Parr	6 months	Good political and other networks seeking to influence policy development and legislation	5.11.10
15	<p>Community Cohesion Failure to support cohesive communities leads to tension and polarised communities lacking in integration, engagement and civic pride.</p>	4	2	8	<ul style="list-style-type: none"> • Service Plans Equality Impact Assessments extended to cover community cohesion factors • Data set of performance indicators defined by Audit 	4	1	4	Dwayne Johnson / Ian Leivesley	6 monthly	The Council has agreed a new Equalities framework and Impact Assessment process this now underpins our commitment to Equalities. In addition a new Sustainable Communities Strategy	5.11.10

	Community Cohesion continued The Council needs to take a leadership role with local partners in addressing equality, diversity and cohesion for the Borough.				Commission as a result of cohesion baseline assessment established & embedded in performance monitoring						is out for consultation and this will assist with further developments in this area.	
16	Resilience Planning – Failure to identify risk, plan exercise leads to the Council, being unable to sustain a resilient community and services	4	3	12	Risk Register in Place Review Plans Exercise regime/schedule Incident Management Procedures in place BCM Plans in place. Active role taken in Local and Regional Resilience Forums	4	2	8	Ian Leivesley	6 months	Risk Register reviewed Plans reviewed against government criteria Training/exercising schedule in place Incident Management Procedures tested in recent incidents	5.11.10
17	Crime & Disorder and Safeguarding Adults Failure to align Partnership resources to CDRP priorities could adversely affect performance and lead to poor outcomes	3	3	9	<ul style="list-style-type: none"> Ensure regular outcome and performance reports are submitted to the CDRP Board. Regularly review finance commitments and identify opportunities to be more efficient and attract new funding opportunities. 	2	3	6	Dwayne Johnson	6months	The Council has recently been Inspected by the Care Quality Commission and they have awarded the Council an 'excellent' classification in their assessment framework.	5.11.10

18	Fraud Failure to adopt effective counter fraud and corruption measures could result in fraudulent activity going undetected resulting in a reduction in the resources available to the Council	4	4	16 HIGH	The Council's system of internal control Standing Orders relating to Finance and Procurement The work of Internal Audit The work of the Benefits Investigation Unit The Anti-Fraud and Anti-Corruption Strategy The Fraud Response Plan The Confidential Reporting Code (Whistle blowing Policy) Employee Code of Conduct The Scheme of Delegation Communication systems to raise awareness of the risk of fraud.	4	2	8 Med	Ian Leivesley	Annually	Specific counter fraud reviews in the Internal Audit Plan 2010/11 Further fraud awareness training Continued adoption of best practice, e.g. Fraud Risk Evaluation Diagnostic (FRED) Introduction of Fraud Bulletin in 2010/11 Continued participation in the National Fraud Initiative	5.11.10
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