Corporate Risk Register

Lead Strategic Director:	**Ian Leivesley**
Risk Management Coordinator:	**Tony Dean**
Register Completion Date:	**November 2011**
Register Review Date:	**November 2012**
Progress update:	**As at 28th August 2012**

Assessment of current risk(s)

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Score (I x L)[1]	Council Priority Area(s)
1	**Budget Reductions** Failure to effectively align resources to corporate objectives and strategic requirements leads to a lack of focus on priorities resulting in failure to deliver objectives and the possibility of varying degrees of challenge	4	4	**16**	Corporate effectiveness and business efficiency
2	**Partnerships** Ineffective and poorly controlled partnerships with statutory and non statutory organisations will lead to a lack of accountability and ineffective use of resources resulting in a failure to meet the needs of and improve outcomes for local communities	3	4	**12**	A Healthy Halton / Employment, learning and skills / Children and Young People / A Safer Halton
3	**Funding and Income Generation** Failure to maximise and identify funding opportunities in light of government cuts resulting in a potential challenge of the Councils capacity to delivery its priorities	3	4	**12**	A Healthy Halton / Employment, learning and skills / Children and Young People / A Safer Halton
4	**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**	Halton's Urban Renewal
5	**Safeguarding Children and Adults** Inability to support and protect children and adults to ensure that they are healthy, safe and have the opportunity to reach their potential.	4	3	**12**	A Healthy Halton / Employment, learning and skills / Children and Young People / A Safer Halton

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[1] See appendix 'A' for scoring mechanism

Assessment of current risk(s)

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Score (I x L)	Council Priority Area(s)
6	**Capacity and Resilience** Inability of the Council to sustain the delivery of services in line with Council Priorities as a result of the impact of budget cuts	3	4	**12**	Corporate effectiveness and business efficiency
7	**Architectural Landscapes** Changes to the Architectural Landscape of other public sector organisations that could potentially lead to the deterioration of services, in particular for the most vulnerable groups	3	4	**12**	A Healthy Halton / Employment learning and skills / Children and young people / A Safer Halton / Corporate effectiveness and business efficiency
8	**Fraud** Inadequate control systems lead to an increase in fraud and financial loss	3	3	**9**	Corporate effectiveness and business efficiency

Assessment of Residual Risks

Item	Risk control measure(s)	RRS[2] (I x L)	Timescale / Review frequency	Lead Officer(s)
1	**Budget Reductions** • Link the budget process to Service Planning • Service Planning and maintain a robust overview of statutory obligations and prioritise accordingly • Review of Corporate Priorities / Community Plan • Communication of Priorities to Staff/Members/ Managers to achieve buy-in • Medium Term Financial Strategy • Budget Risk Register • Smarter procurement to generate savings • Efficiency Programme service delivery • Explore the potential for collaboration with neighbouring Local Authorities • Internal - Equality Impact Assessment process established	2 x 3 = **6**	6 monthly	Strategic Director Policy & Resources (Ian Leivesley)

Progress Commentary as at 28th August 2012

- Established budget process undergoing
- Efficiency programme continues to be monitored by Programme Board
- Procurement strategy being implemented
- Rigorous budget monitoring continuing

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[2] RRS – Residual Risk Score after control measures implemented

Assessment of Residual Risks

Item	Risk control measure(s)	RRS[3] (I x L)	Timescale / Review frequency	Lead Officer(s)
2	**Partnerships** • Strategic Policy Board (HSPB) facilitates interagency collaboration and cooperation to maximise available resources in the pursuit of agreed strategic goals • Halton Safeguarding Boards fully operational (see 5 below) • Establish a performance framework through which progress in addressing key strategic outcomes can regularly and routinely monitored and provides flexibility for other issues to be considered • Service efficiency by sharing resources	2 x 2 = **4**	6 months	Chief Executive (David Parr)

Progress Commentary as at 28th August 2012

- Joint Sustainable Community Strategy approved between Halton public, private and voluntary Sector organisations and agencies. It lasts until 2026
- Strategy identifies partnership arrangements to deliver an emerging vision and incorporates a performance framework

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[3] RRS – Residual Risk Score after control measures implemented

Assessment of Residual Risks

Item	Risk control measure(s)	RRS[4] (I x L)	Timescale / Review frequency	Lead Officer(s)
3	**Funding and Income Generation** • Develop and seek alternative untapped funding opportunities • Horizon scanning for external funding sources and signpost as appropriate • Work in partnership with 3rd sector to share funding streams • Current funding programmes - managers to ensure that they are aware of when funding comes to an end and, where necessary, explore other opportunities for new funding streams • Become commercially focussed to protect current funds and effectively use them • Establish trading and income generation possibilities	2 x 2 = **4**	6 months	All Strategic Directors

Progress Commentary as at 28th August 2012

- Funding streams relevant to Halton based projects continue to be identified
- Template produced for Directorates to aid prioritisation of projects that require funding
- External Funding have presented a range of external and income generating options through the budget setting process

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[4] RRS – Residual Risk Score after control measures implemented

Assessment of Residual Risks

Item	Risk control measure(s)	RRS[5] (I x L)	Timescale / Review frequency	Lead Officer(s)
4	**Mersey Gateway** • Project Structure based on PRINCE2 control procedure under the governance of the Procurement Group involving key members, officers, and professional advisors • Project management arrangements have satisfied HM Treasury scrutiny • Gateway 2 project review undertaken and action plan dealing with recommendations agreed with Mersey Gateway Officer Project Board • Project Plan and regular monitoring of plan and periodic independent gateway reviews • Delivery within the Funding framework agreed with Government reviewed at regular intervals Mersey Gateway Risk Register	$4 \times 2 = 8$	6 monthly	Chief Executive (David Parr)

Progress Commentary as at 28th August 2012

- The Office Project Board and Project Team have been reinforced with additional specialist procurement advisers to reduce delivery risk.
- Three bidding groups have been selected and the competitive market for construction will drive value for money.
- Draft Final Bids are due to be submitted in November leading to a Preferred Bidder being selected in spring 2013
- The Project Board reviews the Risk Register every 6 weeks

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[5] RRS – Residual Risk Score after control measures implemented

Assessment of Residual Risks

Item	Risk control measure(s)	RRS[6] (I x L)	Timescale / Review frequency	Lead Officer(s)
5	**Safeguarding Children and Adults** • Halton's Children's and Adult's Safeguarding Boards are fully operational, they operate with statutory guidance and its resources provided as agreed	4 x 2 = **8**	6 monthly	Strategic Directors – Communities (Dwayne Johnson) & Children and Enterprise (Gerald Meehan)

Progress Commentary as at 28th August 2012

- Representatives from the Children's and Adult's Safeguarding Boards work in partnership and attend at corresponding boards
- The Adults Board has just revised its terms of reference and membership and has set its priorities for the forthcoming year
- New Adults Safeguarding teams are now in place
- Children's Board continue to work with strategic groups within the borough to ensure accountability and effectiveness of safeguarding
- Children's Board produces an annual report containing priorities and including measurement on the effectiveness of arrangements. Progress tracked via the HSCB Business Plan

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[6] RRS – Residual Risk Score after control measures implemented

Assessment of Residual Risks

Item	Risk control measure(s)	RRS[7] (I x L)	Timescale / Review frequency	Lead Officer(s)
6	**Capacity and Resilience** • Service reviews around more efficient ways of working including the greater use of technology • Focus the delivery of services on priorities and legal responsibilities through effective Service Planning • Delivery of training courses in Stress Management and Managing Resilience to Change • Risk assessing, monitoring and support mechanisms for work related stress • Agile Working policy • Business Continuity Planning	2 x 2 = **4**	6 months	All Strategic Directors

Progress Commentary as at 28th August 2012

- People Plan approved with the main aim 'to provide a skilled, knowledgeable and competent workforce who can deliver efficient services now and in the future'
- The plan contains 4 key objectives and progress is monitored at a number of forums
- A range of service reviews have been undertaken including telecare within the Communities Directorate

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[7] RRS – Residual Risk Score after control measures implemented

Assessment of Residual Risks

Item	Risk control measure(s)	RRS[8] (I x L)	Timescale / Review frequency	Lead Officer(s)
7	**Architectural Landscapes** • Maintain an overview of external influences involving political, economic, social, technological, legislative and environmental factors • Review services in line with Council Priorities, whilst protecting the most vulnerable • Protect interests by being part of the processes leading to the delivery of new arrangements	3 x 2 = **6**	6 months	All Strategic Directors

Progress Commentary as at 28th August 2012

- The transfer of Public Health has led to the development of a partnership proposal to improve the efficiency and effectiveness of health and adult social care
- Seminars have taken place around the new arrangements, i.e. influential Localism, Education, Health & Social Care and Police and Social Responsibility Acts
- The potential impact on resources of schools moving to Academy status has been monitored by working early with schools to understand the level of risk

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[8] RRS – Residual Risk Score after control measures implemented

Assessment of Residual Risks

Item	Risk control measure(s)	RRS[9] (I x L)	Timescale / Review frequency	Lead Officer(s)
8	**Fraud** • Rigorous pre-employment checks of new employees • Dedicated Housing Benefit / Council Tax Benefit anti-fraud section • A continuous internal audit of the Council's systems and services • Participation in the National Fraud Initiative • Whistleblowing arrangements • Development of HBMS and HBMS scans allow better matching and checking with other national databases • Annual reporting of counter fraud measures and activity to the Business Efficiency Board	3 x 2 = **6**	6 monthly	Strategic Director Policy & Resources (Ian Leivesley)

Progress Commentary as at 28th August 2012

- In 2011/12 the Benefits Investigation Unit issued 47 cautions, 34 administrative penalties and achieved 47 successful prosecutions.
- In addition joint working with the Department for Work and Pensions helps with detecting Housing Benefit and Council Tax Benefit fraud
- Procurement policy has enforced procurement processes to meet Standing Orders
- National Fraud initiative

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[9] RRS – Residual Risk Score after control measures implemented

Version control Record

Version	Date Created	Date of Amendment:	Nature of Amendment	Date of Next Review:
1.0	13.10.11			
2.0		28.8.12	Progress Commentary updated	28.3.13

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Appendix 'A' – Scoring Mechanism

Analyse the current position and score the risks by multiplying the impact and likelihood scores together you will arrive at a final score (or significance rating) for that risk.

Risk Score	Overall Rating
11-16	High
5-10	Medium
1-4	Low

Evaluate all of the risks in particular those that have been placed in the red boxes that are the primary or Top Risks. Identify measures including;

1. Reducing the likelihood; or
2. Reducing the impact; or
3. Changing the consequences of the risks by,

   - Avoidance
   - Reduction
   - Retention
   - Transference; or

4. Devising Contingencies, i.e. Business Continuity Planning