

Corporate Risk Register

Lead Strategic Director: **Ian Leivesley**

Risk Management Coordinator: **Tony Dean**

Register Completion Date: **March 2013**

Register Review Date: **October 2013**

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	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
3	Community Expectations Failure to effectively realise community expectations could lead to damage to the Authorities reputation and credibility resulting in negative views towards the transparency of the decision making process	4	3	12	Corporate effectiveness and business efficiency
4	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. In particular partnership work could be at risk where funding streams have discontinued	3	4	12	A Healthy Halton / Employment, learning and skills / Children and Young People / A Safer Halton

¹ See appendix 'A' for scoring mechanism

Assessment of current risk(s)					
Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Score (I x L)¹	Council Priority Area(s)
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
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	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	4	3	12	A Healthy Halton / Employment, learning and skills / Children and Young People / A Safer Halton
9	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	<p>Budget Reductions</p> <ul style="list-style-type: none"> • 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 	3 x 3 = 9	6 monthly	Strategic Director Policy & Resources (Ian Leivesley)

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	<p>Mersey Gateway</p> <ul style="list-style-type: none"> • Project Structure based on PRINCE2 control procedure under the governance of the Mersey Gateway Executive Board, chaired by the Leader, providing authority and policy direction to the Chief Executive as Senior Responsible Owner (Chair of the MG Officer Project Board) • Dedicated project team established under the leadership of an experienced Project Director supported by class leading professional advisers • Routine project assurance undertaken, including the appointment of specialist non-executive directors on the OPB, which is reinforced by external Gateway Reviews(4Ps) and HM Treasury scrutiny at specific project milestones. For example:- Gateway 2 project review undertaken and action plan dealing with recommendations agreed with Mersey Gateway Officer Project Board • Effective relationship with Government Departments (as co funders for MG) maintained by both Department for Transport and HM Treasury being represented on the Officer Project Board • Delivery within the Funding framework agreed with Government reviewed at regular intervals and managed through the Mersey Gateway Risk Register • 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 	4 x 2 = 8	6 months	Chief Executive (David Parr)

³ RRS – Residual Risk Score after control measures implemented

Item	Risk control measure(s)	RRS ³ (I x L)	Timescale / Review frequency	Lead Officer(s)
	<ul style="list-style-type: none"> • Draft Final Bids submitted in November 2012 have been assessed to ensure compliance with the Council requirements and that prices are within the limits set in the funding agreement with Government • The Competitive phase of procurement is expected to be closed in February when Final Tenders will be invited to be submitted in April. A preferred Bidder planned to be announced in spring 2013 • The Project Board reviews the Mersey Gateway Risk Register every 6 weeks 			

Assessment of Residual Risks

Item	Risk control measure(s)	RRS ⁴ (I x L)	Timescale / Review frequency	Lead Officer(s)
3	<p>Community Expectations</p> <ul style="list-style-type: none"> • Community Engagement Strategy promotes joint communications from all partner organisations and the public • Local Government Organisation lobbies on a regional and national footing that provides a coordinated approach to disseminate information • Halton 2000 and Resident surveys conducted that assist to not only establish community expectations and also disseminate information to communities. Results are communicated to Management Team and relevant managers • Equality Impact Assessments to be completed for protected groups • Any decisions to cease or amend service provision, direct engagement with communities to invite views followed by early warning of intended actions • Increase use of social media consultation • Area Forums as a medium for communications and consultation • Target consultation exercises for specific projects • Engagement through local Strategic Partnerships • Elected member surgeries • Effective use of local media 	3 x 2 = 6	6 months	All Strategic Directors

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	<p>Partnerships</p> <ul style="list-style-type: none"> • Strategic Policy Board (HSPB) facilitates interagency collaboration and cooperation to maximise available resources in the pursuit of agreed strategic goals • Effective use of local media • Specialist Strategic Partnership Boards covering each of the 5 Strategic Priorities now established • Current Government policy promotes collaborative working in the public sector in order to deliver more efficient public services, e.g. community budgets • 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 • Joint Sustainable Community Strategy approved between Halton public, private and voluntary Sector organisations and agencies. It lasts until 2026 	2 x 2 = 4	6 monthly	Chief Executive (David Parr)

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	<p>Safeguarding Children and Adults</p> <ul style="list-style-type: none"> • Halton's Children's and Adult's Safeguarding Boards are fully operational, they operate with statutory guidance and its resources provided as agreed • Representatives from the Children's and Adult's Safeguarding Boards work in partnership and attend at corresponding boards • The Adults Board has 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 	4 x 2 = 8	6 monthly	Strategic Directors – Communities (Dwayne Johnson) & Children and Enterprise (Gerald Meehan)

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	<p>Capacity and Resilience</p> <ul style="list-style-type: none"> • Service reviews around more efficient ways of working including the redirection of resources where appropriate and 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 • Launch of Healthy Workforce portal • 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 	2 x 3 = 6	6 months	All Strategic Directors

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	<p>Architectural Landscapes</p> <ul style="list-style-type: none"> • 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 • 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 through the Health and Wellbeing Board • Seminars have taken place around the new arrangements, i.e. Influential Localism, Education, Health & Social Care, Social Values, Welfare Reform 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 	3 x 2 = 6	6 months	All Strategic Directors

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	<p>Funding and Income Generation</p> <ul style="list-style-type: none"> • 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 • Funding streams relevant to Halton based projects continue to be identified either by External Funding or by relevant parties • Directorates have prioritised main projects that require funding for the forthcoming year • External Funding have presented a range of external and income generating options through the budget setting process • Become commercially focussed to protect current funds and effectively use them • Establish trading and income generation possibilities 	3 x 2 = 6	6 months	All Strategic Directors

⁹ RRS – Residual Risk Score after control measures implemented

Item	Risk control measure(s)	RRS ¹⁰ (I x L)	Timescale / Review frequency	Lead Officer(s)
9	<p>Fraud</p> <ul style="list-style-type: none"> • 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 activities reported to the Business Efficiency Board • Joint working takes place with the Department for Work and Pensions helps with detecting Housing Benefit and Council Tax Benefit fraud [In 2012/13 as at 31st January 2013 the Benefits Investigation Unit issued 31 cautions, 18 administrative penalties and achieved 34 successful prosecutions] • Procurement policy has ensured procurement processes meet Standing Orders • National Fraud initiative 	3 x 2 = 6	6 monthly	Strategic Director Policy & Resources (Ian Leivesley)

¹⁰ 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
3.0		13.3.13	Reviewed and updated	13.10.13

Scoring Mechanism

Once the business risks are identified and analysed they are scored by multiplying the impact and likelihood. They will then establish a final score (or significance rating) for that risk:

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

Those that have been placed in the red boxes are the primary or **Top Risks** followed by the **medium** and **low** risks.

Measures to control the risks are identified from the following options;

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

The risks are scored again to establish the effects the measures have once implemented on reducing the risks and identify a score rating for residual risks.