Corporate Risk Register

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Initial Register Completion Date:	**November 2011**
Register Review Date:	**March 2016**
Progress update:	

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BUDGET REDUCTIONS

Item	Identified risk	Impact[1] (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
1	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 Efficiency

Risk control measures	Residual score with measures implemented			Timescale / Review frequency	Lead Officer/s
	Impact (Severity)	Likelihood (Probability)	Mitigated Risk Score (I x L)		
- Financial Planning is undertaken to compare available financial resources with spending requirements over the medium term (3 years), resulting in preparation of the Medium Term Financial Strategy which allows overall budget gaps to be identified at an early stage and appropriate plans put in place to tackle them - Effective Business Planning to ensure that appropriate resources are directed towards the Councils key strategic priorities - Budget setting is aligned to the annual Business Planning Cycle in order to ensure that the value of financial resources are maximised - Budget Risk Register works in conjunction with the Budget Setting Cycle to ensure that emerging budget risks are identified together	4	4	**16**	6 monthly	Strategic Director Community & Resources (Ian Leivesley)

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[1] For scoring mechanism see Appendix 'A'

with relevant mitigating measures • Exploring the potential for collaboration with neighbouring Local Authorities • Developing iterative processes to ensure that opportunities for partnership working are explored and, where appropriate, embraced				

CAPACITY AND RESILIENCE

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
2	Inability of the Council to sustain the delivery of services and respond to emergency situations in line with Council Priorities as a result of the impact of budget cuts	4	4	**16**	Corporate Effectiveness and Efficiency

Risk control measures	Residual score with measures implemented			Timescale / Review frequency	Lead Officer/s
	Impact (Severity)	Likelihood (Probability)	Mitigated Risk Score (I x L)		
• Maintaining a supportive working environment through shared service organisational ethos, pride and value across Members, staff, management, Unions and partners • Focusing delivery of performance on the council's corporate vision and key strategic priorities leading to a clearly understood and shared set of priorities • Emphasis on management and leadership standards with recognition of the challenges faced by the Authority leading to managers who are able to direct, inform, develop and support staff • Maintaining a workforce that are skilled, informed, flexible and competent in order to ensure that they deliver efficient and effective services • Keeping the ability and capability to respond to emergencies under review	4	4	**16**	6 monthly	All Strategic Directors

SAFEGUARDING CHILDREN AND ADULTS

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
3	Inability to support and protect children and adults to ensure that they are healthy, safe and have the opportunity to reach their potential	4	4	16	A Healthy Halton / Employment, Learning and Skills / Children and Young People / A Safer Halton

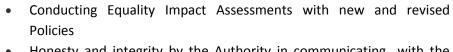| Risk control measures		Residual score with measures implemented			Timescale / Review frequency	Lead Officer/s
		Impact (Severity)	Likelihood (Probability)	Mitigated Risk Score (I x L)		
• Halton's Children's and Adult's Safeguarding Boards fully operational with appropriate resources and are operating within statutory guidance and towards identified priorities • Representatives from the Children's and Adult's Safeguarding Boards to work in partnership through attending corresponding boards • Children's and Adult's Safeguarding Board's to work with strategic groups within the Borough to ensure accountability and effectiveness of safeguarding • In order to provide a multi-agency response to the needs of children at risk of or being sexually exploited, multi agency team initiated overseen by project board • Improving the health and wellbeing of children and adults through early intervention and treatment services delivered in house and externally via a range of providers and partners		4	3	12	6 monthly	Strategic Director People & Economy (Gerald Meehan)

CHANGES TO GOVERNANCE ARRANGEMENTS

Item	Identified risk	Impact *(Severity)*	Likelihood *(Probability)*	Unmitigated Risk Score *(I x L)*	Council Priority Area(s)
4	Changes to Government arrangements and other public sector organisations could potentially lead to a deterioration of local services	4	4	**16**	A Healthy Halton / Employment, learning and skills / Children and Young People / A Safer Halton / Corporate effectiveness and business efficiency

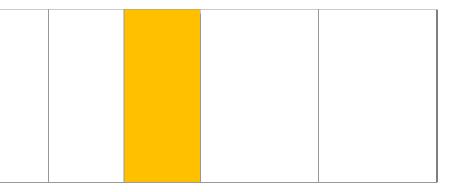| Risk control measures	Residual score with measures implemented			Timescale / Review frequency	Lead Officer/s
	Impact *(Severity)*	Likelihood *(Probability)*	Mitigated Risk Score *(I x L)*		
• Ensuring that the Council plays an active role in the Combined Authority for the Liverpool City Region • The potential impact on resources of schools moving to Academy status is being monitored through early engagement to gain an understanding of the level of risk	4	2	**8**	6 monthly	Chief Executive (David Parr)

COMMUNITY EXPECTATIONS

COMMUNITY EXPECTATIONS

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
5	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 Efficiency

Risk control measures	Residual score with measures implemented			Timescale / Review frequency	Lead Officer/s
	Impact (Severity)	Likelihood (Probability)	Mitigated Risk Score (I x L)		

• Consultation and community engagement embedded in the partnership constitution
• Utilising recognised mediums to identify, communicate and coordinate community expectations and priorities. These include:
    Surveys;
    Customer analysis;
    On line services including consultation finder;
    Local and social media;
    Target consultation exercises for specific projects;
    Engagement through the activities of the specialist Strategic Partnerships;
    Service user groups;
    Elected member surgeries; and
    Other meetings
	3	3	9	6 monthly	All Strategic Directors

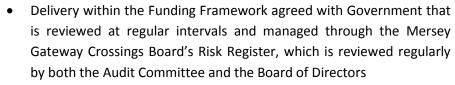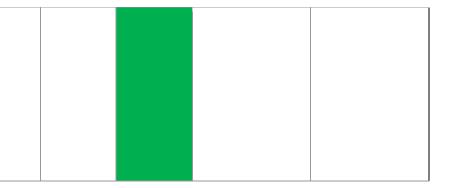|				
• Conducting Equality Impact Assessments with new and revised Policies • Honesty and integrity by the Authority in communicating with the public having regard to reducing budgets including promoting a self-help agenda • Any decisions to cease or amend service provision that has a significant impact on communities; early warning of intended actions through direct engagement with relevant communities to invite views				

MERSEY GATEWAY

Item	Identified risk	Impact *(Severity)*	Likelihood *(Probability)*	Unmitigated Risk Score (I x L)	Council Priority Area(s)
6	Lack of effective management of, and adherence to governance arrangements / contractual requirements, which could lead to either delays or increased project costs. In addition these could also lead to adverse publicity and reputational risks to the Council	4	3	**12**	Environment and Regeneration / Employment, Learning and Skills

Risk control measures	Residual score with measures implemented			Timescale / Review frequency	Lead Officer/s
	Impact *(Severity)*	Likelihood *(Probability)*	Mitigated Risk Score (I x L)		
• Dedicated company (Mersey Gateway Crossings Board Ltd) now established, with suitably experienced staff and directors, both Executive and Non-executive, and supported by class leading professional advisers. The relationship between Council and MGCB is detailed within a Governance Agreement • CEO of the Council is also the acting interim CEO of Mersey Gateway Crossings Board ltd. This provides continuity of knowledge from the inception of the project and also assists with the interface between the Council and Mersey Gateway Crossings Board Ltd • Routine project assurance monitored through external bodies including specialist non-executive directors and advisers on the Board of Directors of MGCB, external Gateway Reviews (4Ps) Department for Transport and HM Treasury scrutiny at specific project milestones	4	1	**4**	6 monthly	Chief Executive (David Parr)

• Delivery within the Funding Framework agreed with Government that is reviewed at regular intervals and managed through the Mersey Gateway Crossings Board's Risk Register, which is reviewed regularly by both the Audit Committee and the Board of Directors • Maintenance of effective relationships with Government Departments (as co funders for MG) maintained by both Department for Transport and HM Treasury being represented on the Board of Directors of MGCB					

PARTNERSHIPS

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
7	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 / Environment and Regeneration

Risk control measures	Residual score with measures implemented			Timescale / Review frequency	Lead Officer/s
	Impact (Severity)	Likelihood (Probability)	Mitigated Risk Score (I x L)		
- Having efficient and effective arrangements with external partners through a shared strategic vision and action plans enables and influences partners to deliver at local levels - Maintaining financial probity with the 'pool' budgets, as appropriate, with partners through effective governance arrangements - Engagement with communities and partners on service priorities in order to identify and design alternative forms of delivery, as appropriate	2	2	**4**	6 monthly	Chief Executive (David Parr)

FRAUD

Item	Identified risk	Impact *(Severity)*	Likelihood *(Probability)*	Unmitigated Risk Score (I x L)	Council Priority Area(s)
8	Inadequate control systems lead to an increase in fraud and financial loss	3	3	**9**	Corporate Effectiveness and Efficiency

Risk control measures	Residual score with measures implemented			Timescale / Review frequency	Lead Officer/s
	Impact *(Severity)*	Likelihood *(Probability)*	Mitigated Risk Score (I x L)		
• The Business Efficiency Board monitors and reviews the adequacy of the Council's anti-fraud and corruption policies and arrangements <u>External</u> • The Authority is an active participant in the National Fraud Initiative <u>Internal</u> • The Council maintains an effective system of internal control, which includes: - Relevant policies and systems, e.g. Procurement Standing Orders, Finance Standing Orders, etc.; - Rigorous pre-employment checks of new employees; - Whistleblowing arrangements; - Anti-Fraud & Corruption Strategy; - Fraud Response Plan; - Fraud and bribery awareness training; and - A continuous internal audit of the Council's systems and services	3	2	**6**	6 monthly	Strategic Director Community & Resources (Ian Leivesley)

FUNDING AND INCOME GENERATION

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
9	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	3	9	A Healthy Halton / Employment, Learning and Skills / Children and Young People / A Safer Halton

Risk control measures	Residual score with measures implemented			Timescale / Review frequency	Lead Officer/s
	Impact (Severity)	Likelihood (Probability)	Mitigated Risk Score (I x L)		
• Continuing to identify funding streams and income generating options through horizon scanning alternative untapped funding opportunities and shared partnerships with 3rd sector, private sector, and other public sector bodies • During the budget setting process Directorates identify and prioritise funding requirements biannually including ensuring that there are systems to capture and report when funding comes to an end • Corporate Funding Development team has meetings with all Departments to identify funding requirements and signpost to specific funding streams • Commercially focussed through establishing trading and income generation possibilities in order to protect and effectively use funds • Intelligent procurement processes for spending of goods and services that leads to annual savings targets • Corporate procurement practices are consistently utilised	2	2	4	6 monthly	All Strategic Directors

Version Control Record

Version	Date Created	Date of Amendment:	Nature of Amendment	Date of Next Review:
1.0	13.10.11			
1.1		28.8.12	Progress Commentary	28.3.13
2.0		13.3.13	Reviewed and updated	13.10.13
2.1		20.9.13	Progress Commentary	28.3.14
3.0		31.3.14	Reviewed and updated in line with the Corporate Peer Challenge and the revised Business Planning Process and associated guidance notes	13.10.14
3.1		15.9.14	Progress Commentary	28.3.14
4.0		10.4.15	Reviewed and updated	12.10.15
4.1		10.09.15	Progress Commentary	01.04.16
5.0		01.04.16	Reviewed and updated	01.09.16

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
12-16	High
6-9	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.