

# Corporate Risk Register

Lead Strategic Director: **Ian Leivesley**

Risk Management Coordinator: **Tony Dean**

Initial Register Completion Date: **November 2011**

Register Review Date: **March 2017**

Progress update: **September 2017**

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## DELIVERY OF SERVICES TO VULNERABLE ADULTS

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
1	Failure to deliver quality services to vulnerable adults could negatively affect their health and wellbeing	4	4	16	A Healthy Halton / 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)		
<ul style="list-style-type: none"> <li>• Effectively allocating and using available finances and resources in the delivery of services</li> <li>• Integration of Health and Social Care with a view to improving the outcomes for people using the services</li> <li>• Transformation of provider markets so that responsive and sustainable markets in adult social care can be developed and supported</li> <li>• Delivery of prevention and early intervention to vulnerable adults</li> <li>• Effective use of alternative funding streams and community assets</li> </ul>	4	3	12	6 monthly	Strategic Director - People (Milorad Vasic)

**Progress Commentary as at 1<sup>st</sup> September 2017**

**1. Delivery of Services to Vulnerable Adults**

- Services continue to be delivered within the available finances and resources and are working well to ensure that there is value for money.
- Examples include Oakmeadow Community Support Care Home was judged as being 'outstanding' by the CQC and also at a recent tender process the appointment of one lead care provider for Domically Care, which is intended to deliver streamlined and more efficient working practices.
- In partnership with CQC, the Authority is continuing to work with the Care Home Market in order to improve quality and sustainability and also to maintain bed availability within the Authority.
- Examples include multi-disciplinary support provided to a local Care Home that lifted a suspension and the purchase of Madeline Mckenna Care Home.

## SAFEGUARDING CHILDREN AND ADULTS

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
2	Failure to support and protect children and adults could adversely impact on their health, safety and 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)		

<ul style="list-style-type: none"> <li>Halton's Children's and Adult's Safeguarding Boards fully operational with appropriate resources and are operating within statutory guidance and towards identified priorities</li> <li>Representatives from the Children's and Adult's Safeguarding Boards to work in partnership through attending corresponding boards</li> <li>Children's and Adult's Safeguarding Board's to work with strategic groups within the Borough to ensure accountability and effectiveness of safeguarding</li> <li>Services regularly audit Children's and Adult's cases for quality and consistency of practices</li> <li>Comprehensive suite of performance reports for Children's and Adult's are reviewed at least monthly and compared with regional and national benchmarks</li> </ul>	4	3	12	6 monthly	Strategic Director - People (Milorad Vasic)
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<ul style="list-style-type: none"> <li>• Progress reports for Children’s and Adult’s are taken to the Board and Members for their attention</li> <li>• Adults Safeguarding board has been restructured with view to enhancing representation, participation and, ultimately, information sharing with partner agencies and stakeholders</li> <li>• 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</li> <li>• 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</li> </ul>					
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**Progress Commentary as at 1<sup>st</sup> September 2017**

**2. Safeguarding Children and Adults**

- Halton’s Integrated Children’s and Adult’s Safeguarding Boards are fully operational. They are operating within statutory guidance and are providing resources as required.
- Representatives from the Children’s and Adult’s Safeguarding Boards work in partnership and attend at corresponding boards. They have reciprocal arrangements including joint training events and assisting each other to carry out objective audits.
- The Care Act 2014 introduced new legislation to protect vulnerable adults and one example is a joint overarching Children’s and Adults policy covering areas such as Modern Slavery, People Trafficking, etc.
- Peer Review of Adult Services was conducted in January and the Authority received favourable feedback.
- Children’s Board continues to work with strategic groups within the Borough to ensure accountability and effectiveness of safeguarding. This includes a programme of randomly selected audits of the management of cases.
- Children’s Board produces an annual report containing priorities and includes measurement on the effectiveness of arrangements.
- Child Sexual Exploitation panel assists in identifying young people at risk and agree on intervention measures

- A multi-disciplinary group, ICART, streamlines processes by carrying out 360 degree assessments of 'high end' level 2 families with complex needs with a view to providing relevant advice, signposting and referrals.

## CAPACITY AND RESILIENCE

Item	Identified risk	Impact <i>(Severity)</i>	Likelihood <i>(Probability)</i>	Unmitigated Risk Score <i>(I x L)</i>	Council Priority Area(s)
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## CAPACITY AND RESILIENCE

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
3	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)		
<ul style="list-style-type: none"> <li>Maintaining a supportive working environment through shared service organisational ethos, pride and value across Members, staff, management, Unions and partners</li> <li>Focusing delivery of performance on the council's corporate vision and key strategic priorities leading to a clearly understood and shared set of priorities</li> <li>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</li> <li>Maintaining a workforce that are skilled, informed, flexible and competent in order to ensure that they deliver efficient and effective services</li> </ul>	4	3	12	6 monthly	All Strategic Directors



**Progress Commentary as at 1<sup>st</sup> September 2017**

**3. Capacity & Resilience**

- The priorities of the Council are cascaded down into the action plans of Directorates, Departments, Teams and individual members of staff thereby realising the alignment of day to day activities and strategic priorities of the Council.
- Quarterly Performance report identifies key developments on emerging issues and also progress on performance of the Councils Strategic Plan.
- Efficiency reviews take account of critical front-line services. As a result some reviews have recommended the redeployment of resources to front-line services and have made greater savings from non front-line services.
- Policy, People, Performance and Efficiency Division is providing an integrated and multi-disciplinary approach to meet both corporate and Directorate needs.
- Managing Attendance Policy has been launched with closer supervision of sickness absence and with the ultimate aim to reduce the average number days lost per person with sickness.

**BUDGET REDUCTIONS**

Item	Identified risk	Impact <sup>1</sup> (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
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<sup>1</sup> For scoring mechanism see Appendix 'A'

## BUDGET REDUCTIONS

Item	Identified risk	Impact <sup>1</sup> (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
4	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)		
<ul style="list-style-type: none"> <li>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</li> <li>Effective Business Planning to ensure that appropriate resources are directed towards the Councils key strategic priorities</li> <li>Budget setting is aligned to the annual Business Planning Cycle in order to ensure that the value of financial resources are maximised</li> <li>Budget Risk Register works in conjunction with the Budget Setting Cycle to ensure that emerging budget risks are identified together with relevant mitigating measures</li> <li>Exploring the potential for collaboration with neighbouring Local</li> </ul>	4	3	12	6 monthly	Strategic Director - Enterprise Community Resources (Ian Leivesley)

<p>Authorities</p> <ul style="list-style-type: none"> <li>Developing iterative processes to ensure that opportunities for partnership working are explored and, where appropriate, embraced</li> </ul>					
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**Progress Commentary as at 1<sup>st</sup> September 2017**

**4. Budget Reductions**

- The Directorate Business Plans are aligned with the annual budget process
- Key service objectives and performance targets follow the determination of annual Directorate Budgets and take account of available resources
- The development of the plans take account of existing statutory responsibilities and the Corporate Priorities of the Council
- Budget Working Group will be considering the 1st tranche of budget savings proposals in October
- Examples of shared services and partnership arrangements include provision of ICT Services, Integrated Youth Support and Mental Health Service Management with neighbouring authorities

## KEEPING HALTON COMMUNITY SAFE

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
5	A failure to monitor and appropriately manage the risks created by global, national and local events, and how these might impact on local community tensions, could potentially lead to a threat to security and have an adverse effect on the stability of Halton's communities.	4	3	12	A Healthy Halton / Environment and Regeneration / 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)		
<ul style="list-style-type: none"> <li>The Safer Halton Partnership (SHP) involves joint working, clear communications and information sharing across partner agencies, including emergency services, and assists to implement the Sustainable Community Strategy to ensure that there is community cohesion with safe and secure neighbourhood environments</li> <li>Multi agency Community Safety team that addresses anti-social behaviour and crime thus supporting the SHP agenda</li> <li>The Channel Panel is a multi-agency group which provides support for those who are vulnerable to be drawn into terrorism through a programme of early intervention and diversion</li> <li>Emergency Planning team have developed and tested multi-agency plans in place for all risks within the borough that assist in the response</li> </ul>	4	2	8	6 monthly	Chief Executive (David Parr)

<p>to a Major Incident / Major Incident Standby</p> <ul style="list-style-type: none"> <li>• To respond to 'Major Accident' at Upper Tier COMAH sites; Emergency Planning Officers have tested and validated Emergency Plans</li> <li>• Emergency Planning Team work in partnership with the Cheshire Resilience Forum to provide an integrated approach for dealing with emergencies across Cheshire.</li> <li>• Critical Incident Management procedures, including 'lockdown', have been developed, communicated and tested for Council buildings and schools</li> <li>• Security surveys conducted for main council buildings and schools</li> </ul>					
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**Progress Commentary as at 1<sup>st</sup> September 2017**  
**5. Making Halton Community Safe**

- Updated quarterly progress reports are received at Safer Halton Partnership from task groups focussing on alcohol/substance misuse, crime anti and social behaviour and domestic abuse.
- Safer Halton Partnership has enhanced the effectiveness of partnership working and joint operations within the Halton area. An example is that compared to the same period last year there been a 48% reduction in the number of anti-social behaviour incidents reported during the summer period.
- Security level for Halton remains 'low' and there have been only a few incidents reported to the Channel Panel that are very 'low' risk.
- The Emergency Planning team deal with the Council's response to Major Incidents/Major Incident Standbys, Business Continuity and Off Site Emergency Plans for Top Tier COMAH sites (there are now 9 sites within the Borough). All work is currently on target.

**CHANGES TO GOVERNMENT ARRANGEMENTS**

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
6	Changes to Government arrangements and other public sector organisations could potentially lead to a deterioration of local services	4	3	12	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)		
<ul style="list-style-type: none"> <li>Ensuring that both Members and officers from the Council plays an active role in the Combined Authority for the Liverpool City Region</li> <li>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</li> </ul>	4	2	8	6 monthly	Chief Executive (David Parr)

**Progress Commentary as at 1<sup>st</sup> September 2017**  
**6. Changes to Government Arrangements**

- A number of Members and senior officers are actively engaged in different groups within the Combined Authority for the Liverpool City Region.
- The Members and senior officers had an input into the development of the strategy document for the Combined Authority.
- There have been benefits to the partnership approach within the Combined Authority as has provided greater opportunities to access funding and initiatives. An example is that it has provided 3 years funding for the maintenance of the Silver Jubilee Bridge.
- Although changes to force through conversion to Academies by 2022 have been dropped by the Government; monitoring is still taking place to establish if schools will be seeking conversion.

## COMMUNITY EXPECTATIONS

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
7	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)		
<ul style="list-style-type: none"> <li>• Consultation and community engagement embedded in the partnership constitution</li> <li>• Utilising recognised mediums to identify, communicate and coordinate community expectations and priorities. These include: <ul style="list-style-type: none"> <li>Surveys;</li> <li>Customer analysis;</li> <li>On line services including consultation finder;</li> <li>Local and social media;</li> <li>Target consultation exercises for specific projects;</li> <li>Engagement through the activities of the specialist Strategic Partnerships;</li> <li>Service user groups;</li> <li>Elected member surgeries; and</li> <li>Other meetings</li> </ul> </li> <li>• Conducting Equality Impact Assessments with new and revised Policies</li> </ul>	3	2	6	6 monthly	All Strategic Directors



<ul style="list-style-type: none"> <li>• Honesty and integrity by the Authority in communicating with the public having regard to reducing budgets including promoting a self-help agenda</li> <li>• 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</li> <li>• To respond to 'Major Accident' at Upper Tier COMAH sites; Emergency Planning Officers have tested and validated Emergency Plans</li> <li>• Emergency Planning Team work in partnership with the Cheshire Resilience Forum to provide an integrated approach for dealing with emergencies across Cheshire.</li> <li>• Critical Incident Management procedures, including 'lockdown', have been developed, communicated and tested for Council buildings and schools</li> <li>• Security surveys conducted for main council buildings and schools</li> </ul>					
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**7. Community Expectations**

- Customer Intelligence Unit (CIU) is directed by services to carry out consultations to assess customer feedback about a particular service or activity.
- CIU has the ability to increase public consultation, thereby assisting to facilitate public involvement in decision making and at present they are conducting one consultation exercise per week.
- The CIU is utilising social media to collate information from over 20,000+ followers and is producing annual reports. This also assists to expedite communications and also identify trends of community concerns, which are subsequently forwarded to relevant managers for their attention.
- Website is regularly updated with the latest Equality Impact Assessments around any changes to policies and services
- Surveys
  - Children Centres – timetable changes
  - Ditton library timetable changes
  - Widnes Market – opening hours
- Local & Social Media
  - Ongoing including promoting Fostering Services
  - Bin timetable changes
  - Lilycross planning application

## MERSEY GATEWAY

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
8	Lack of effective management of and adherence to governance arrangements / contractual requirements or disrupted journeys could lead to 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)		
<u>Demand Management Participation Agreement (DMPA)</u> <ul style="list-style-type: none"> <li>• Base line is realistic and achievable</li> <li>• Agreed contract is designed to incentivise an increase in volumes of traffic</li> <li>• Mersey Gateway Crossings Board has a role in managing the DMPA</li> <li>• Effective publicity around speed and reliability of bridge</li> </ul>	4	1	4	6 monthly	Strategic Director - Enterprise Community Resources (Ian Leivesley)
<u>Conclusion of Construction Phase to Subsequent Operating Phase</u> <ul style="list-style-type: none"> <li>• 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</li> </ul>					

<ul style="list-style-type: none"> <li>• 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</li> <li>• 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</li> <li>• 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</li> <li>• 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</li> </ul>					
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**Progress Commentary as at 1<sup>st</sup> September 2017**

**8. Mersey Gateway**

- The Mersey Gateway Crossings Board Ltd has been established as a special purpose vehicle and is fully staffed
- Construction remains on schedule.
- Reporting format to Council on progress of project agreed. A report is completed every 6 months and is taken to the Executive Board.
- The Mersey Gateway Crossings Board has established its own Audit Committee which is responsible for reviewing the Board's internal financial controls and the

Board's internal control and risk management systems. The Committee has completed a performance review that highlighted no major concerns and presented the findings to be Board.

- Assessment of the traffic forecasts for the first 5 operational years of the project has been submitted to the Department of Transport and concludes that the project remains on target in terms of costs, revenues and traffic.
- The external auditors have completed the 3<sup>rd</sup> audit of accounts and Board has been given a 'clean bill of health'.
- Monthly meetings take place between Board and Project Company on progression of project.
- Board of Directors includes non-Executive Directors, who are able to observe progression of project.
- Mersey Gateway Risk Register identifies contractual risks within project agreement and underlines that the balance of risks will be passed back to project team if the project remains 'as is'.

## PARTNERSHIPS

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
9	Ineffective and poorly controlled partnerships with statutory and non-statutory organisations will lead to a lack of accountability and ineffective	3	4	12	A Healthy Halton / Employment Learning and Skills / Children and Young

## PARTNERSHIPS

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
	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				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)		
<ul style="list-style-type: none"> <li>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</li> <li>Maintaining financial probity with the 'pool' budgets, as appropriate, with partners through effective governance arrangements</li> <li>Engagement with communities and partners on service priorities in order to identify and design alternative forms of delivery, as appropriate, maximising opportunities for joint working</li> <li>Collaborating with partners to identify and address community issues</li> </ul>	2	2	4	6 monthly	Chief Executive (David Parr)

**Progress Commentary as at 1<sup>st</sup> September 2017**  
**9. Partnerships**

- Mature partnerships, e.g. Health and Wellbeing Board, Children’s Trust, SHP, etc., operate across the Halton footprint continue to provide strategic overview of delivery.
- Reputation and Governance Risks are now managed via the Health and Wellbeing Board as the most senior partnership board, which reflect the Authority guidelines. Also, each thematic partner has their own terms of reference.
- An example of collaboration and coordination within partnerships includes closer working (multi-disciplinary teams) with the Troubled Families, ICART, CAMHS.
- Asset Management Working Group exploring the potential for efficiency savings and improved services through the coordination and sharing of assets with partner organisations and identifying services delivered within a particular area.
- Better Care Fund plan has been implemented and effective governance arrangements are in place to monitor its progress, via the Health and Wellbeing Board.

## FRAUD

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
10	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)		
<ul style="list-style-type: none"> <li>The Business Efficiency Board monitors and reviews the adequacy of the Council's anti-fraud and corruption policies and arrangements</li> </ul> <p><u>External</u></p> <ul style="list-style-type: none"> <li>The Authority is an active participant in the National Fraud Initiative</li> <li>Fraud team focusses on external fraud committed by users of Council services</li> </ul> <p><u>Internal</u></p> <p>The Council maintains an effective system of internal control, which includes:</p> <ul style="list-style-type: none"> <li>Relevant policies and systems, e.g. Procurement Standing Orders, Finance Standing Orders, etc.</li> <li>Rigorous pre-employment checks of new employees</li> <li>Whistleblowing arrangements</li> <li>Anti-Fraud &amp; Corruption Strategy</li> <li>Fraud Response Plan</li> <li>Fraud and bribery awareness training</li> <li>A continuous internal audit of the Council's systems and services</li> </ul>	3	2	6	6 monthly	Strategic Director - Enterprise Community Resources (Ian Leivesley)

**Progress Commentary as at 1<sup>st</sup> September 2017**  
**10. Fraud**



- Successful fraud awareness campaign in Autumn 2016. A further campaign is planned for Autumn 2017.
- To strengthen capacity to tackle fraud and corruption the Council has recently combined the internal audit team and the corporate fraud team into a single Audit & Investigations service. This has the benefit of bringing together all the Council's accredited counter fraud specialists into one service and will help further coordinate the Council's strategic approach to managing the risk of fraud and corruption.
- The Council continues to work collaboratively with other authorities in the region to share best practice and to approaches to tackling fraud and corruption.
- Links with other agencies, such as the DWP and the police, have been strengthened through the adoption of a multi-agency approach to investigating serious fraud cases.
- In order to help combat insurance fraud the Council is to subscribe to the Claims and Underwriting Exchange (CUE) database. This is the UK general insurance industry claims and incidents register for Motor, Home, Travel and Personal Injury / Industrial Illness. The database will provide significantly improved management information and assist in highlighting insurance claims where there is an increased risk of fraud.

## FUNDING AND INCOME GENERATION

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Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
11	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)		
<ul style="list-style-type: none"> <li>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</li> <li>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</li> <li>Corporate Funding Development team has meetings with all Departments to identify funding requirements and signpost to specific funding streams</li> <li>Commercially focussed through establishing trading and income generation possibilities in order to protect and effectively use funds</li> <li>Intelligent procurement processes for spending of goods and services that leads to annual savings targets</li> <li>Corporate procurement practices to be consistently utilised</li> </ul>	2	2	4	6 monthly	All Strategic Directors

Progress Commentary as at 1<sup>st</sup> September 2017

## 11. Funding and Income Generation

- The use of the Chest within Procurement is now established for all spending by services for over £1K.
- The Chest assists to reassure that there are competitive processes and drive market prices down. This is delivering an annual savings target.
- External Funding provides information on specific funding streams to both internal and external officers; these are distributed via a range of themed Funding Bulletins, through targeted promotion of funding streams to specific groups and funding searches for specific projects.
- Bi-annual Reports are taken to Management Team and Corporate PPB on funding secured and pipeline projects and priority activity for the Team.
- In 2016-17 the External Funding Team secured £8.01 million.
- A Bid-Writing Manual has been developed; these are being promoted and sold externally with a view to generating external income; in addition, the Team has developed training courses which are now part of the Corporate Training Calendar and external organisations are charged to attend.
- As part of income generation, internal Departments are providing services to external organisations, e.g. ICT to North West Employees, Mersey Travel and Sefton Council.

## Version Control Record

<b>Version</b>	<b>Date Created</b>	<b>Date of Amendment:</b>	<b>Nature of Amendment</b>	<b>Date of Next Review:</b>
<b>1.0</b>	<b>13.10.11</b>			
<b>1.1</b>		<b>28.8.12</b>	<b>Progress Commentary</b>	<b>28.3.13</b>
<b>2.0</b>		<b>13.3.13</b>	<b>Reviewed and updated</b>	<b>13.10.13</b>
<b>2.1</b>		<b>20.9.13</b>	<b>Progress Commentary</b>	<b>28.3.14</b>
<b>3.0</b>		<b>31.3.14</b>	<b>Reviewed and updated in line with the Corporate Peer Challenge and the revised Business Planning Process and associated guidance notes</b>	<b>13.10.14</b>
<b>3.1</b>		<b>15.9.14</b>	<b>Progress Commentary</b>	<b>28.3.14</b>
<b>4.0</b>		<b>10.4.15</b>	<b>Reviewed and updated</b>	<b>12.10.15</b>
<b>4.1</b>		<b>10.9.15</b>	<b>Progress Commentary</b>	<b>01.4.16</b>
<b>5.0</b>		<b>01.4.16</b>	<b>Reviewed and updated</b>	<b>01.4.17</b>
<b>5.1</b>		<b>10.9.16</b>	<b>Progress Commentary</b>	<b>01.4.16</b>
<b>6.0</b>		<b>01.4.17</b>	<b>Reviewed and updated</b>	<b>01.9.17</b>

<b>Version</b>	<b>Date Created</b>	<b>Date of Amendment:</b>	<b>Nature of Amendment</b>	<b>Date of Next Review:</b>
<b>6.1</b>		<b>1.9.17</b>	<b>Progress Commentary</b>	<b>01.4.18</b>

## 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.