

# Corporate Risk Register

Lead Strategic Director: **Ian Leivesley**

Risk Management Coordinator: **Lynn P Ramsden**

Initial Register Completion Date: **November 2011**

Register Review Date: **May 2020**

Progress update:

## Table of Contents

1. Risk – COVID-19 .....	4
2. Risk – European Union Exit .....	8
3. Risk – Delivery of Services to Vulnerable Adults .....	9
4. Risk – Safeguarding Children and Adults .....	11
5. Risk – Health & Wellbeing.....	14
6. Risk – Education .....	17
7. Risk – Cyber Risk .....	19
8. Risk – Data Protection.....	20
9. Risk – Capacity and Resilience.....	22
10. Risk – Council Finances.....	24
11. Risk – Keeping Halton’s Community Safe.....	27
12. Risk – Changes to Governance Arrangements.....	29
13. Risk – Mersey Gateway.....	30

14. Risk – Community Expectations.....32

15. Risk – Partnerships.....34

16. Risk – Fraud.....36

17. Risk – Funding and Income Generation.....38

Appendix ‘A’ – Scoring Mechanism.....43

## Coronavirus (COVID 19)

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
1	Worldwide Virus Outbreak	5	5	25	All

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 Local Authority to respond to the Covid-19 Major Emergency.</li> <li>• Response to arising issues on a daily basis.</li> <li>• Dedicated 'Restricted' Coronavirus SharePoint area within the Local Authority's SharePoint, which is located via the Emergency Planning portal.</li> <li>• As part of the response Chief Executive leads on a weekly Management Team Teleconference to assess risk, resilience and agree a work programme going forward as part of the response and recovery.</li> <li>• The authority takes part in a number of teleconferences led by Cheshire Resilience Forum, i.e. Strategic and Tactical Group Teleconferences.</li> <li>• To support the Strategic and Tactical response, a number of Covid-19 Hub Groups have been created and sit-reps are produced.</li> <li>• Local Authority Public Health take part in a number of health teleconferences.</li> </ul>	5	4	20	Daily/Weekly/ Monthly as situation evolves/rises/ reduces	Chief Executive (David Parr)

<ul style="list-style-type: none"> <li>• Information and actions generated from these teleconfernces are shared appropriately.</li> <li>• CRF Situation Reports are produced via the CRF to MHCLG.</li> <li>• Data and information is shared by key organisaitions and MHCLG to ensure the local authrotiy have the correct level of information to protect and support the community.</li> <li>• Failure to deliver quality services to vulnerable adults would negatively affect the health and wellbeing i.e. increasing complex care needs, ageing population, reduction in available funding, recruitment and provider failure</li> <li>• A number of tested plans and procedures have been activated to respond and recover to this Major Incident.</li> <li>• Chief Executive\Strategic Directors\Senior Managmeent Team (Covid-19 Group, are updated on a regular basis.</li> <li>• Shielded Individuals Hub in place providing food supplies for vulnerable residents.</li> <li>• Personal Protective Equipment Hub (PPE) opened to provide the necessary equipment to enable relevant staff to continue providing vital services</li> <li>• A number of wellbeing resources made available to staff</li> </ul>					
--	--	--	--	--	--

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
1.1	<p>Reduced staffing levels beyond normal tolerance levels, across service areas, as a result of absence linked to COVID-19 (self-isolation and / or sickness absence).</p> <p>Major impact on frontline services.</p> <p>Major impact on processing of monthly payroll for Council, schools and external clients.</p>	5	5	25	All

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>Implement government guidance and PHE direction across the workforce to minimise exposure to virus as far as is possible. This is designed to keep productivity at highest possible level. <ul style="list-style-type: none"> <li>Weekly staff communications (corporate) issued to all staff to direct behaviours.</li> <li>Daily briefings issued to schools.</li> <li>Home working in place for employee's who can do so.</li> </ul> </li> </ul>	4	4	16	weekly	Strategic Director Enterprise, Community & Resources (Ian Leivesley) and Operational Director PPPE

<ul style="list-style-type: none"> <li>- Where possible, accommodate home working where employees directed to self-isolate by a health professional / 111.</li> <li>- NHS Test, Trace and Isolate service in place / 119</li> <li>- 'Reset' programme ongoing as government measures relaxed to ensure workplaces are safe for minimum numbers of staff to return.</li> <li>- Government guidance followed on the wider reopening of schools.</li> <li>- Local Outbreak Plan and Local Outbreak Hub in place</li> </ul>					
<ul style="list-style-type: none"> <li>- Implement actions in Business Continuity Plan, where staff levels fall below acceptable levels in priority service area to maintain service delivery.</li> </ul>	4	3	<b>12</b>	As required	Strategic Director Enterprise, Community & Resources (Ian Leivesley) and Operational Director PPPE

## EUROPEAN UNION EXIT

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
2	Local, sub-regional and nationwide identified and unidentified risks	5	5	<b>25</b> <b>No Change</b>	All

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>Dedicated EU Exit working group dealing with arising issues on a monthly basis</li> <li>Dedicated EU Exit SharePoint area on Council Intranet holding all relevant information</li> <li>As part of Cheshire Resilience Forum, the Authority takes part in the Strategic Co-ordination Group Tele Conferences on a fortnightly basis</li> <li>Tactical Co-ordination Group teleconferences take place on a weekly basis</li> <li>Risk Assessments are submitted via the Cheshire Resilience Forum to MHCLG (Ministry of Housing, Communities and Local Government) on a weekly basis</li> <li>Chief Executive/Strategic Directors updated on a regular basis (where appropriate) i.e. Management Team</li> </ul>	5	4	<b>20</b> <b>No Change</b>	6 monthly	Strategic Director Enterprise, Community & Resources (Ian Leivesley)



**DELIVERY OF SERVICES TO VULNERABLE ADULTS**

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
3	Failure to deliver quality services to vulnerable adults could negatively affect their health and wellbeing i.e. increasing complex care needs, ageing population, reduction in available funding, recruitment and provider failure. Impact of COVID19 on service delivery	5 (4)	5	<b>25 (20)</b>	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> <li>Joint approach with Health to ensure efficient quality assurance</li> </ul>	4	5 (4)	<b>20 (16)</b>	6 monthly	Strategic Director - People (Milorad Vasic)

<ul style="list-style-type: none"><li>• Effective infection prevention and control measure</li><li>• Care home resilience plan in place</li></ul>					
---	--	--	---	--	--

## SAFEGUARDING CHILDREN AND ADULTS

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
4	Failure to support and protect the safeguarding of children and adults could adversely impact on their health, safety and opportunity to reach their potential	5	5	25	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 Young People Safeguarding Partnership Board 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> </ul>	4	4	16	6 monthly	Strategic Director - People (Milorad Vasic)
--	---	---	----	-----------	---

<ul style="list-style-type: none"> <li>• Comprehensive suite of performance reports for Children’s and Adults are reviewed at least monthly and compared with regional and national benchmarks</li> <li>• Progress reports for Children’s and Adults are taken to the Board and Members for their attention</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> <li>• Providing efficient safeguards to support vulnerable adults who lack capacity and require the support of the Deprivation of Liberty Safeguards and the Court of Protection</li> <li>• Support local care home providers to drive up the quality of care within their homes to ensure positive outcomes for vulnerable adults</li> <li>• COVID-19,       <ol style="list-style-type: none"> <li>1. Visits to care homes restricted to essential only. Use of technology used to complete assessments including Skype, Facetime etc</li> <li>2. Training sessions, Strategy and MDT Meetings completed by Skype, to mitigate the risk</li> <li>3. Enhanced Care Home Model completed remotely with wider MDT, including GP’s, LLAMS and social care</li> <li>4. Section 12 Drs, Advocacy provided with a monthly meeting remotely to review processes and provide support to IASU team</li> <li>5. The Government issued guidance for access to the court of protection</li> <li>6. Advocacy have implemented interim measures regarding their approach during the Pandemic.</li> <li>7. NW ADASS group continues to communicate to share learning, ideas and approaches to manage Safeguarding, DoLS and MCA related issues, with the restrictions that are currently in place</li> </ol> </li> </ul>					
--	--	--	--	--	--

8. Government guidance on how LA's manage DoLS processes, including how to complete assessment					
--	--	--	--	--	--

## HEALTH AND WELLBEING

Item	Identified risk	Impact <sup>i</sup> (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
5	<p>Reduced capacity to sustain delivery of services that prevent harm, protect health and promote positive physical, mental and emotional health and wellbeing across the population of Halton.</p> <p>Failure to engage with appropriate partners and agencies to respond with adequate safeguards and mitigate against current and potential harms to health and wellbeing.</p>	5	4	<b>20</b> (new)	A Healthy Halton / Environment and Regeneration / A Safer Halton / Children and Young People

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 the council adequately fulfils its requirement to protect and promote health within the population, including the appropriate delivery of mandated public health services</li> <li>Oversight of antibiotic stewardship through collaborative approaches to prevent and respond to Antimicrobial Resistance across all</li> </ul>	4	4	<b>16</b> (new)	6 monthly	Director of Public Health (Eileen O'Meara)

<p>organisations and sectors: including the implementation of antimicrobial action plans</p> <ul style="list-style-type: none"> <li>• Development and implementation of local, regional; and national pandemic response plans, to cover influenza and other mass population outbreak scenarios; including involvement in PHE and local LRF coordination and response structures</li> <li>• Maintain and improving on trajectories to reduce risk of Health Care Associated Infections (eg MRSA, C. Difficile, CRE, E-Coli etc), including regular monitoring, oversight and assurance of providers, using relevant networks and commissioners</li> <li>• Promote and improve uptake of all NHS prevention programmes including immunisation and screening and maintain effective oversight and scrutiny of appropriate NHS commissioner and providers.</li> <li>• Ensure that appropriate public health engagement and advice is included in the development, maintenance and testing of emergency plans including, adverse weather (heatwave, cold weather and flooding), COMAH</li> <li>• Systems are in place for the identifications and mitigation of environmental hazards and mitigation, including ongoing monitoring and assurance of air quality, monitoring of industrial processes, ability to respond to regulatory functions for food hygiene, health and safety.</li> </ul>					
--	--	--	--	--	--

<ul style="list-style-type: none"><li>• Ensure that the we engage with all local providers to maximise opportunity for Halton residents to enhance positive wellbeing opportunities, reduce emotional and mental ill health and seek appropriate support at times of crisis, including responding to, and preventing suicides.</li></ul>					
--	--	--	--	--	--



## EDUCATION

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
6	Risk of not providing a broad and balanced curriculum and a full educational offer to all children and young people Risk of negatively impacting vulnerable and disadvantaged pupils disproportionately on their educational outcomes and wider lifelong opportunities	5	4	<b>20 (new)</b>	Children and Young People

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>Ensure children and young people have access to IT equipment/resources and opportunity to engage in remote/home/blended learning</li> <li>Children and young people have access to government funded catch up programmes</li> <li>Children and young people have access to National Tutor Programme</li> <li>Schools and educational provision identify gaps in learning; design a recovery curriculum appropriate to individual needs and hold high expectations and support for children and young people</li> </ul>	4	4	<b>16 (new)</b>	Termly or following any child/young person impacted by self-isolation from Covid case or outbreak	Strategic Director - People (Milorad Vasic)

<ul style="list-style-type: none"> <li>• Schools and educational provisions to closely monitor the impact of catch up and intervention programmes on children and young peoples educational outcomes</li> <li>• Support for children and young peoples health and well being eg access to Cahms; educational psychology service; specialist teachers; school based mental health first aider etc</li> <li>• All schools to have a plan to ensure access to remote/home/blended learning if a Covid case or outbreak were to occur</li> <li>• All schools and educational provisions to plan and use rigorous risk assessment processes to limit risk of transmission to large groups of children and young people</li> <li>• All schools and educational provisions to have a trained mental health first aider; a trained SENDCO; pastoral lead and knowledge to signpost youth support services as required</li> <li>• All schools and educational provisions to ensure children and young people are supported with return to school; smooth transition and PHSE</li> <li>• All schools and educational provisions work in close partnership with pupils, parents and carers and communicate regularly and sensitively</li> <li>• Any impact of a positive covid case/outbreak or self-isolation reported to LA (Ann McIntyre/Jill Farrell) to ensure recovery plans are in place and access to remote learning is possible and of high quality</li> <li>• Schools and educational provisions to engage in EEF programmes; NCETM or wider intervention strategies to support progress and attainment for children and young people</li> </ul>					
--	--	--	--	--	--

**CYBER RISK**

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
7	Risk of adverse business Impact as a result of the failure of key business systems brought about by cyber incidents	5	5	25	All

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 Council adopts a range of activities to manage the risk of loss of services as a result of Cyber threats, which includes risk elimination, reduction, transfer and acceptance</li> <li>A dedicated service within ICT Services that has the responsibility of managing the cyber risk facing the Council</li> <li>Clear reporting lines to senior management allowing the risk to be managed</li> <li>Numerous Compliance regimes that provide the necessary assurance frameworks to demonstrate how the Council complies with industry standards</li> <li>Ongoing education and awareness programme for key staff</li> </ul>	5	4	20	6 monthly	All Strategic Directors

## DATA PROTECTION

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
8	<p>Data Protection: Risk of breach of data caused by mishandling of personal data by inadequate data handling and not adequately preventing and minimising security incidents, including ICT incidents, resulting in loss of data, unlawful sharing of data, reputational damage and significant financial penalties levied by the Information Commissioner's Office</p> <p>Failure to comply with information governance requirements, eg Data Protection Act (General Data Protection Regulation); Freedom of Information Act</p>	5	5	<b>25</b>	All

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>• Policies and procedures for council staff including Data Protection</li> <li>• Policy and Information Governance Handbook.</li> <li>• Wide range of guidance about handling personal data available to council staff on the internal intranet site.</li> </ul>	5	3	<b>15</b>	6 monthly	All Strategic Directors

<ul style="list-style-type: none"> <li>• Mandatory training for council staff via E-Learning module</li> <li>• Reporting to internal Information Governance Group, ICT Strategy Board and senior Management Team Reviews and internal audits.</li> <li>• Privacy Impact Assessments for new technologies or where processing is likely to result in a high risk to individuals</li> <li>• Contractor's compliance</li> <li>• Management controls, including effective logging and tracking, complaints and appeals procedures</li> <li>• Effective use of technology</li> <li>• The model publication scheme approved by the Information Commissioner adopted.</li> </ul>					
---	--	--	--	--	--

## CAPACITY AND RESILIENCE

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
9	Reduced capacity to sustain the delivery of services and respond to emergency situations in line with Council Priorities.	5	4	20	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. This also enables a focus on succession planning</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	4	16	6 monthly	All Strategic Directors

• COVID-19, see section 1					
---------------------------	--	--	--	--	--

## COUNCIL FINANCES

Item	Identified risk	Impact <sup>ii</sup> (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
10	<p>A significant reduction in the Council's funding from Government grant and/or locally raised business rates/council tax, leads to an inability to deliver the Council's key service priorities, especially those services essential for the support of the most vulnerable members of the community.</p> <p><u>Covid19</u> A significant shortfall in Government grant funding provided to meet Covid19 related costs, fees &amp; charges/sales income losses, and ongoing reductions in council tax and business rates income.</p>	5	5	25	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> </ul>	5	4	20	6 monthly	Strategic Director - Enterprise Community & Resources (Ian Leivesley)



<ul style="list-style-type: none"> <li>Proposed developments regarding the future funding of Local Government nationally are monitored, to assess the potential impact for the Council and take account of this within the Medium Term Strategy. Responses have been submitted to the Government’s consultations on “Fair Funding – a Review of Relative Needs and Resources” and “Business Rates Retention Reform” both individually and jointly with the LCR councils and Sigoma. The Government have confirmed that the Spending Review has been deferred until 2020, which will be closely monitored to assess the impact for Halton.</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, shared services and partnership working with neighbouring Local Authorities</li> <li>Continue to respond to new challenges to maintain current performance</li> <li><u>Covid19</u></li> <li>Covid19 related costs are being separately identified within the Agresso system as far as possible and along with estimated income losses are being reported monthly to MHCLG.</li> <li>Covid19 related costs and income losses are being closely monitored and will be reported regularly to Management Team and Executive Board.</li> </ul>					
--	--	--	--	--	--

<ul style="list-style-type: none"> <li>• A review of the 2020/21 Council budget will be undertaken in order to assess the impact of Covid19 upon the existing budget, in light of the level of Covid19 funding provided by Government. The outcome of this review will identify any funding gaps which will require action such as spending reductions, use of reserves etc. A revised/emergency budget for 2020/21 will then be brought to Council for approval.</li> <li>• The 2020-2024 Medium Term Financial Strategy will be reviewed to assess the likely impact of Covid19 upon the Council's forecast spending requirements and funding resources over the next three years. In particular, the impact of the expected economic recession upon council tax and business rates income will be modelled, as well as ongoing spending pressures and levels of Government funding. This will provide the framework for preparing future years' annual budgets and anticipating potential budget funding gaps.</li> </ul>					
--	--	--	--	--	--

**KEEPING HALTON COMMUNITY SAFE**

Item	Identified risk	Impact <sup>iii</sup> (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
11	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.	5	3	15	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 various partner agencies, including emergency services. The SHP works 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> </ul>	4	3	12	6 monthly	Chief Executive (David Parr)

<ul style="list-style-type: none"> <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 Response plans in place for all risks within the borough</li> <li>• To respond to 'Major Accident' cloudburst incidents at Upper Tier COMAH sites; Emergency Planning Team have tested and validated Emergency COMAH Plans for all 9 sites</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>• Emergency Planning Team work with cross border organisations/agencies within Merseyside and the Liverpool City Region regarding cross border risks and resilience planning</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> <li>• COVID-19, see section 1</li> </ul>					
---	--	--	--	--	--

**CHANGES TO GOVERNMENT ARRANGEMENTS**

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
12	Changes to Government arrangements and other public sector organisations could potentially lead to a deterioration of local services	5	5	25	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>Through 'One Halton' work the Authority is ensuring a smooth interaction between Health and Halton colleagues</li> </ul>	5	3	15	6 monthly	Chief Executive (David Parr)

## MERSEY GATEWAY

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
13	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	5	3	15	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>	5	2	10	6 monthly	Strategic Director - Enterprise Community & Resources (Ian Leivesley)
<u>Tolling Risk</u> <ul style="list-style-type: none"> <li>• In order to mitigate the risk of the project not delivering sufficient toll revenue each year to meet project costs, a liquidity reserve of £19m</li> </ul>					

has been established jointly by the Department for Transport and Halton Borough Council (through borrowing funded from future toll revenues). If necessary the reserve will be topped-up periodically by undertaking further borrowing.

Conclusion of Construction Phase to Subsequent Operating Phase

- 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
- 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
- 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

**COMMUNITY EXPECTATIONS**

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
14	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	5	4	20	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 Council's constitution (local code of corporate governance)</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;</li> <li>Local and social media;</li> <li>Target consultation exercises for specific projects;</li> <li>Service user groups;</li> <li>Elected member surgeries; and</li> </ul> </li> </ul>	4	4	16	6 monthly	All Strategic Directors



<p>Other meetings</p> <ul style="list-style-type: none"> <li>• Conducting Equality Impact Assessments with new and revised Policies</li> <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>• Continue to respond to new challenges to maintain current performance</li> <li>• COVID-19, Residents, partners, members, MP and staff kept informed via various platforms <ol style="list-style-type: none"> <li>1. Specific area on <a href="http://www.halton.gov.uk">www.halton.gov.uk</a> set up to highlight changes to services and information available to support the community</li> <li>2. Press releases issued to local broadcast and newspaper media</li> <li>3. Council's social media accounts used to cascade details quickly – in the first six weeks there were 1.92m social media impressions and nearly 500,000 visits to website</li> <li>4. For persons who did not have access to the internet or do not use the internet regularly to access information, a special issue of Inside Halton produced and hand delivered to over 35k homes.</li> </ol> </li> </ul>					
--	--	--	--	--	--

**PARTNERSHIPS**

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
15	Ineffective and poorly governed 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	3	9	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)		
<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 pooled 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> <li>• COVID-19, Stakeholders and Partners have a responsibility to have effective and well developed relationships which will enable a swift and effect</li> </ul>	2	2	4	6 monthly	Chief Executive (David Parr)

responsive for Halton residents. These responsibilities are detailed in the council's emergency plans and local outbreak plans.					
---	--	--	--	--	--

**FRAUD**

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
16	Inadequate control systems lead to an increase in fraud and financial loss	4	3 (4)	<b>12 (was 16)</b>	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 and has in place dedicated Fraud Investigation officers who focus on internal and external fraud</li> </ul> <p>Internal</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, Bribery &amp; Corruption Strategy</li> </ul>	3	2	<b>6 No Change</b>	6 monthly	Strategic Director – Enterprise, Community & Resources (Ian Leivesley)

<ul style="list-style-type: none"> <li>• Fraud Response Plan</li> <li>• Fraud Sanction and Prosecution Policy</li> <li>• Anti-Facilitation of Tax Evasion Policy</li> <li>• Fraud and bribery awareness training</li> <li>• A continuous internal audit of the Council’s systems and services</li> <li>• Crime insurance policy in place to indemnify the Council against significant financial loss resulting from fraud</li> </ul> <p>External</p> <ul style="list-style-type: none"> <li>• The Authority is an active participant in the National Fraud Initiative</li> <li>• The Council runs regular fraud awareness campaigns encouraging members of the public and employees to raise any concerns about fraud and corruption</li> <li>• The Council collaborates with other local authorities across the region and shares best practice in regard to tackling fraud and corruption</li> <li>• The Council has established formal arrangements with the DWP to participate in joint criminal fraud investigations relating to the Council Tax Reduction Scheme (CTRS) and social security benefit fraud</li> <li>• The Council is a member of the National Anti-Fraud Network (NAFN), which is the largest shared service in the country and provides data, intelligence and best practice in support of fraud and investigation work</li> </ul>					
--	--	--	--	--	--

## FUNDING AND INCOME GENERATION

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
17	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	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>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 External Funding Team reports to Executive Board and Management Team to highlight services the Team can offer and meets with Departments to identify funding requirements; regularly signposts Council services to specific funding streams</li> </ul>	3	4	12	6 monthly	All Strategic Directors

<ul style="list-style-type: none"> <li>• Commercially focussed through establishing trading and income generation possibilities in order to protect and effectively use funds; pilot Charging Policy for bid-writing introduced September 2018 for 12 months</li> <li>• Continue to work with colleagues to improve the methods of dissemination and ensure prioritisation of/submission to relevant funding streams</li> </ul>					
---	--	--	--	--	--

**FUNDING AND INCOME GENERATION**

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



17.1	<p>Uncertainty surrounding transition arrangements in respect of European Funding</p> <p>Lack of certainty regarding the length of European Programmes and Successor Funding through the 'Transformation and Prosperity Fund'</p>	4	5	<b>20</b>	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>Work with Combined Authority to lobby Central Government for a fair and proper allocation of the 'Shared Prosperity Fund'.</li> </ul>	4	4	<b>16</b>	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	
2.0		13.3.13	Reviewed and updated	13.10.13
2.1		20.9.13	Progress Commentary	
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	
4.0		10.4.15	Reviewed and updated	12.10.15
4.1		10.9.15	Progress Commentary	
5.0		01.4.16	Reviewed and updated	01.4.17
5.1		10.9.16	Progress Commentary	
6.0		01.4.17	Reviewed and updated	01.9.17

<b>6.1</b>		<b>10.9.17</b>	<b>Progress Commentary</b>	
<b>7.0</b>		<b>01.4.18</b>	<b>Reviewed and updated</b>	<b>01.9.18</b>
<b>7.1</b>		<b>01.9.18</b>	<b>Progress Commentary</b>	
<b>8.0</b>		<b>01.4.19</b>	<b>Reviewed and updated</b>	<b>01.09.19</b>
<b>8.1</b>		<b>01.09.19</b>	<b>Progress Commentary</b>	
<b>9.0</b>		<b>01.5.20</b>	<b>Reviewed and updated</b>	<b>01.5.20</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:



I  
M  
P  
A  
C  
T

HI	5	10	15	20	25
S	4	8	12	16	20
M	3	6	9	12	15
L	2	4	6	8	10
IM	1	2	3	4	5
	H IMPROB	IMPROB	POSS	PROB	H PROB

LIKELIHOOD

Those that have been placed in the red boxes are the primary or **Top Risks** followed by lower risks leading to **improbable** 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.

---