Corporate Risk Register

Lead Director:	**Tim Gibbs**
Risk Management Coordinator:	**Lynn P Ramsden**
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CP-REP-FRM-92.11.1   *Strategic Risk Register*
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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)
1a	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 Care Home Sector financial sustainability due to the impact of COVID 19 and cost of living	5	5	**25**	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)		
• Effectively allocating and using available finances and resources in the delivery of services. • Integration of Health and Social Care with a view to improving the outcomes for people using the services, such as joint commissioning arrangements for services, joint strategies, e.g. Carers Strategy and Autism Strategy, etc. • Transformation of provider markets so that responsive and sustainable markets in adult social care can be developed and supported, e.g. Care Home Development project and Transforming Domiciliary Care.		4	4	**16**	6 monthly	Strategic Director - People

• Delivery of prevention and early intervention to vulnerable adults through a range of services. • Effective use of alternative funding streams and community assets to provide services. • Joint approach with Health to ensure efficient quality assurance across all adult social care services. **COVID-19** • Continued focus and support to Care Homes • Support the flu and COVID booster programmes • Ensure any emergency fundng is allocated immediately • Continued focus on resilience	

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

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
1b	Adult Social Care Charging Reforms, as announced September 2021 likely to cause a shortfall in funding to meet the full cost of care. This in turn may trigger a judicial review if Local Authority do not fully fund	5	5	**25**	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)		
• ADASS regional groups to review risks and approaches and address areas of concern. • Local task and finish group to fully understand risks and make recommendations to Local Authority.	5	4	**20**	6 monthly	Strategic Director - People

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 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)*		
• 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. • 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. • Services regularly audit Children's and Adult's cases for quality and consistency of practices. • Comprehensive suite of performance reports for Children's and Adults are reviewed at least monthly and compared with regional and national benchmarks.	4	4	**16**	6 monthly	Strategic Director - People

• Progress reports for Children's and Adults are taken to the Board and Members for their attention. • 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. • 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. • Support local care home providers to drive up the quality of care within their homes to ensure positive outcomes for vulnerable adults. **COVID-19** 1. Visits to care homes now available for residents and visiting professionals as per Government guidelines. 2. Training sessions, Strategy and MDT Meetings returned to face to face meetings. 3. Enhanced Care Home Model returned to face to face meetings. 4. Advocacy progressing towards face to face meetings. 5. NW ADASS group continues to communicate to share learning, ideas and approaches to manage Safeguarding, DoLS and MCA related issues. Mandatory vaccination programme being implemented.					

Item	Identified risk	Impact[i] (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
3	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 Failure to engage with appropriate partners and agencies to respond with adequate safeguards and mitigate against current and potential harms to health and wellbeing.	5	4	20	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)		
• 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. • 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.	4	4	16	6 monthly	Director of Public Health

• Health and Wellbeing Strategy to be refreshed; additional public health strategies produced eg healthy weights, tobacco control etc. Public Health Annual Report completed annually. Account taken of local need and national policy • Appropriate health and wellbeing services commissioned e.g. tobacco control, screening, vaccinations and immunisations, sexual health services, obesity programmes • Public Health, health intelligence, Public Protection and Health Improvement Teams in place • Collaborative working with wider partners across NHS, LA's, Voluntary and community sector • Joint Strategic Needs Assessment in place and regularly updated; though some delays due to COVID-19 • Access to Primary care, hospital and immunidsation data • Contribution to and development of multi-agency joint response plans; development of local contingency plans (heatwave, floods, etc) and environmental health plans • Key Public Health staff linked with the systems response to COVID-19 as well as shared HPB with Warrington PH team. Responses are also in line with Government response. Vaccination and Testing on going.Potential for enhanced support if designated an enhanced response area (ERA)				

EDUCATION

Item	Identified risk	Impact (*Severity*)	Likelihood (*Probability*)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
4	Risk of not providing a broad and balanced curriculum and a full educational offer to all children and young people due to absence Risk of negatively impacting vulnerable and disadvantaged pupils disproportionately on their educational outcomes and wider lifelong opportunities Risk of school closure due to failure in energy supply to school	4	3	**12** **(16)**	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)		
• Schools are back to fulltime operation, and due to vaccination, reduced infection rates and changes in requirements, absences are closer to typical levels • All schools continue to have access to a range of resources which includes Oak Academy, National Tutoring and other online resources if needed for any child unwell, but full school provision available full time. • 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.	3	3	**9** **(12)**	6 monthly	Strategic Director - People

- Schools and educational provisions to closely monitor the impact of catch up and intervention programmes on children and young peoples educational outcomes.
- Support for children and young peoples health and wellbeing e.g. access to Cahms; educational psychology service; specialist teachers; school based mental health first aider etc.
- 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.
- All schools and educational provisions work in close partnership with pupils, parents and carers and communicate regularly and sensitively.

COVID-19

- School staff and parents/pupils are requested to continue to follow Public Health England, and Central Government advice and guidance
- Schools have been asked to review and revise their risk assessments.
- LA officers and Public Health colleagues continue to regularly update all educational establishments on advice, support, guidance and legislation.
- Ensure children and young people have access to IT equipment/resources and opportunity to engage in remote/home/ learning where this is required (now a reduced requirement due to full reopening of schools, early years settings, and the college).
- Provision of PPE from DfE for schools with emergency provision of PPE from Local Authority for schools with ongoing support as necessary.

CYBER RISK

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
5	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)		
• The Council adopts a range of activities to manage the risk of loss of services as a result of Cyber threats, which includes risk reduction (mitigation), Risk retention (acceptance), Risk avoidance, Risk transfer. • A dedicated service within ICT Services that has the responsibility of managing the cyber risk facing the Council. • Clear reporting lines to senior management allowing the risk to be managed. • Numerous Compliance regimes that provide the necessary assurance frameworks to demonstrate how the Council complies with industry standards. • Ongoing education and awareness programme for key staff. • Ongoing adoption and implementation of advice and guidance from NCSC. • Continuous improvement - ongoing upskilling of security and Information Governance teams to expand their capabilities against the prevailing cyber climate through training and certification. • Migration to office 365 will significantly enhance security posture.	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)
6	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 Failure to comply with information governance requirements, eg Data Protection Act (General Data Protection Regulation); Freedom of Information Act	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)		
• Policies and procedures for council staff including Data Protection • Policy and Information Governance Handbook. • Wide range of guidance about handling personal data available to council staff on the internal intranet site. • Mandatory training for council staff via E-Learning module • Reporting to senior Management Team Reviews and internal audits.		5	3	**15**	6 monthly	All Strategic Directors

• Privacy Impact Assessments for new technologies or where processing is likely to result in a high risk to individuals • Contractor's compliance • Management controls, including effective logging and tracking, complaints and appeals procedures • Effective use of technology • The model publication scheme approved by the Information Commissioner adopted • Improvement plan developed and being implemented					

CAPACITY AND RESILIENCE

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
7a	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)		
• 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. This also enables a focus on succession planning • Maintaining a workforce that are skilled, informed, flexible and competent in order to ensure that they deliver efficient and effective services • Manage any emerging COVID-19 implications as they arise, amending working practices temporarily as required	4	4	**16**	6 monthly	All Strategic Directors

• Utilise learning from the management of working practices during the pandemic to inform future ways of working and optimise resources. This will be done in a controlled way, incorporating an office accommodation review, through implementation of a 'Future Work Programme', sponsored by Management Team and delivered in a structured way using programme management principles.	

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

Item	Identified risk	Impact *(Severity)*	Likelihood *(Probability)*	Unmitigated Risk Score (I x L)	Council Priority Area(s)
7b	Reduced capacity to continue service provision across various services due to recruitment and / or retention difficulties.	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)		
- Development of a medium-term strategic approach to resourcing in order to address the issue of an ageing workforce. - Development of a short-term strategic approach to resourcing in order to address emerging labour market difficulties, recruitment to hard-to-recruit professional roles, and recruitment to a growing number of vacant posts. - Design and implementation of career pathways to attract younger potential employees to the workforce. - Collaborative working with LCR CA and LA's to implement broader projects and initiatives to attract potential employees to the sub-regional Local Government Sector. - Development of broader projects and initiatives to retain employees within the Council (e.g flexible working). - Renewal and use of the corporate contract that is in place to obtain and manage temporary resources (Matrix SCM). - Use of controlled 'off-contract' arrangements, via procurement, where the corporate contract cannot meet a requirement.	4	4	**16**	6 monthly	All Strategic Directors

COUNCIL FINANCES

Item	Identified risk	Impact[ii] (*Severity*)	Likelihood (*Probability*)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
8	The Council's funding available from Government grant and/or locally raised business rates/council tax, is not sufficient to meet increasing service demands and associated costs, which may lead 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.	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)		
• 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 • 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 Financial Strategy. • The Government announced the outcome of their Spending Review on 27th October 2021 covering a three year period. However, they also	5	4	**20**	6 monthly	Strategic Director - Enterprise Community & Resources

announced that a fundamental review of the Local Government finance regime would be undertaken over the coming year. This creates significant uncertainty in terms of the Council's medium term financial planning. The Council will monitor the proposed reviews and contribute to any associated consultations, along with those of the LCR and Sigoma, in order to provide the best possible outcome for Halton.

- The Government have announced changes regarding the funding of Health and Social Care, the implications of which are being assessed and incorporated into the Medium Term Financial Strategy.
- The Government announced only a one year grant settlement for 2022/23, in light of the proposed review of the Local Government funding regime. This provides further uncertainty in terms of medium term financial planning.
- Following the grant settlement, Council on 2nd March 2022 set a balanced revenue budget for 2022/23 by utilising a significant amount of one-off reserves. However, this was agreed only on the basis that over the coming year sufficient permanent savings must be identified and approved, to balance the budgets for the following three years. This creates a significant risk to the Council, therefore, a robust process is underway to ensure sufficient savings are identified across all services.
- 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.
- A budget risk register is maintained which works in conjunction with the budget setting cycle to ensure that emerging budget risks are identified together with relevant mitigating measures.

Item	Identified risk	Impact[iii] (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
9	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)		
• The Safer Halton Partnership (SHP) involves joint working, clear communications and information sharing across various partner agencies, including emergency services. The partnership works to ensure that there is community cohesion with safe and secure neighbourhood environments • Multi agency Community Safety team that addresses anti-social behaviour and crime thus supporting the SHP agenda • 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	4	3	12	6 monthly	Chief Executive

• Emergency Planning team have developed and tested Multi-Agency Response plans to mitigate a number of risks within the borough. • In response to 'Major Accident' cloudburst incidents occurring at Upper Tier COMAH sites; Emergency Planning Team have tested and validated Emergency COMAH Plans for all 9 sites. • Emergency Planning Team work in partnership with the Cheshire Resilience Forum to provide an integrated approach for facilitating and responding with emergencies across Cheshire. • Emergency Planning Team work with cross border organisations and responding agencies within the Liverpool City Region regarding cross border risks and resilience planning. • Critical Incident Management procedures, including 'lockdown', have been developed, communicated and tested for Council buildings and schools. • Security surveys conducted for main council buildings and schools.					

CHANGES TO GOVERNMENT ARRANGEMENTS

Item	Identified risk	Impact (Severity)	Likelihood (Probability)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
10	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)		
• Ensuring that both Members and officers from the Council plays an active role in the Combined Authority for the Liverpool City Region • Through 'One Halton' work the Authority is ensuring a smooth interaction between Health and Halton Council colleagues, to ensure that Halton's interests are recognised and looked after in any new governance arrangements	5	3	**15**	6 monthly	Chief Executive

Item	Identified risk	Impact (*Severity*)	Likelihood (*Probability*)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
11	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)		
Demand Management Participation Agreement (DMPA) • Base line is realistic and achievable • Agreed contract is designed to incentivise an increase in volumes of traffic • Mersey Gateway Crossings Board has a role in managing the DMPA • Effective publicity around speed and reliability of bridge Tolling Risk • 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	5	2	**10**	6 monthly	Strategic Director - Enterprise Community & Resources

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.

COVID 19

- The impact of COVID 19 on traffic using the Mersey Gateway Bridge has been reviewed and incorporated into short term plans, will be constantly reviewed and the position is currently sustainable

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)
12	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)		

• Consultation and community engagement embedded in the Council's constitution (local code of corporate governance)
• Utilising recognised mediums to identify, communicate and coordinate community expectations and priorities. These include:
    Surveys;
    Customer analysis;
    On line services;
    Local and social media;
    Target consultation exercises for specific projects;
    Service user groups;
	4	4	**16**	6 monthly	All Strategic Directors

Elected member surgeries; and Other meetings • 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 • Continue to respond to new challenges to maintain current performance					

PARTNERSHIPS

Item	Identified risk	Impact (*Severity*)	Likelihood (*Probability*)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
13	Ineffective and poorly governed partnerships, wherever they sit within the council, 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)		
• 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 pooled 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, maximising opportunities for joint working • Collaborating with partners to identify and address community issues • COVID-19, Stakeholders and Partners have a responsibility to have effective and well developed relationships which will enable a swift and effect	2	2	4	6 monthly	Chief Executive

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)
14	Failure to prevent and detect fraud and/or corruption may lead to significant financial loss and reputational damage	4	5 (3)	**20** **(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)		
The Audit and Governance Board monitors and reviews the adequacy of the Council's anti-fraud and corruption policies and arrangements. These arrangements include: • Maintenance of an effective system of internal control • Rigorous pre-employment checks of new employees • Officers' Code of Conduct • Members' Code of Conduct • Gifts and Hospitality Policy • Registration of Interests • Local Code of Corporate Governance • Whistleblowing arrangements	2	3	**6**	6 monthly	Strategic Director – Enterprise, Community & Resources

- Finance Standing Orders(3) - Procurement Standing Orders - Anti-Fraud, Bribery & Corruption Strategy - Fraud Response Plan - Fraud Sanction and Prosecution Policy - Anti-Facilitation of Tax Evasion Policy - Fraud and bribery awareness training - A continuous internal audit of the Council's systems and services - A corporate fraud investigation team, which receives fraud referrals, investigates allegations, recovers losses and sanctions fraudsters - Crime insurance policy to indemnify the Council against significant financial loss resulting from fraud - Participation in the National Fraud Initiative - Fraud awareness campaigns encouraging members of the public and employees to raise any concerns about fraud and corruption - Collaboration with other local authorities and sharing of best practice in regard to tackling fraud and corruption - 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 - Membership 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			

FUNDING AND INCOME GENERATION

Item	Identified risk	Impact (*Severity*)	Likelihood (*Probability*)	Unmitigated Risk Score (I x L)	Council Priority Area(s)
15a	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)		
• 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 • Review team structures and redeploy staff to respond to emerging funding streams e.g. housing, climate change and town centre funding. • 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 External Funding Team reports to Executive Board and Management Team to highlight services the Team can offer and meets with Departments to	3	4	**12**	6 monthly	All Strategic Directors

identify funding requirements; regularly signposts Council services to specific funding streams • 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 and has been made permanent. • Continue to work with colleagues to improve the methods of dissemination and ensure prioritisation of/submission to relevant funding streams			 		

FUNDING AND INCOME GENERATION

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

| 15b | Uncertainty surrounding transition arrangements in respect of European Funding

Lack of certainty regarding the length of European Programmes and Successor Funding through the 'Transformation and Prosperity Fund' | 4 | 5 | **20** | 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)		
● The Shared Prosperity Fund will be launched in 2022, the current draft criteria appear to disadvantage Halton.	4	4	**16**	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		28.08.12	Progress Commentary	
2.0		13.03.13	Reviewed and updated	13.10.13
2.1		20.09.13	Progress Commentary	
3.0		31.03.14	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		15.09.14	Progress Commentary	
4.0		10.04.15	Reviewed and updated	12.10.15
4.1		10.09.15	Progress Commentary	
5.0		01.04.16	Reviewed and updated	01.04.17
5.1		10.09.16	Progress Commentary	
6.0		01.04.17	Reviewed and updated	01.09.17

6.1		10.09.17	Progress Commentary	
7.0		01.04.18	Reviewed and updated	01.09.18
7.1		01.09.18	Progress Commentary	
8.0		01.04.19	Reviewed and updated	01.09.19
8.1		01.09.19	Progress Commentary	
9.0		01.05.20	Reviewed and updated	01.05.20
9.1		01.09.20	Progress Commentary	
10.0		01.04.21	Reviewed and updated	01.09.21
10.1		01.09.21	Progress Commentary	
11.0		01.04.22	Reviewed and updated	01.09.22
11.1		01.09.22	Progress Commentary	

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:

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**

I M P A C T (IMPACT)

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.

Lynn Pennington- Ramsden
Principal H & S Adviser and Risk Management Co-Ordinator
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