



HALTON BOROUGH COUNCIL

RISK MANAGEMENT POLICY



2025 - 2028

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1. Overview and Purpose

A **risk** is a potential future event or condition that may impact objectives, characterised by uncertainty – something which may happen, but hasn't yet. In contrast, an **issue** is a problem that has already occurred or is certain to happen, requiring immediate resolution. Risks are managed proactively to mitigate potential impacts, while issues demand reactive solutions to minimize immediate adverse effects. This distinction enables to effective allocation of resources, ensuring that both future uncertainties and present challenges are addressed appropriately.

Risk Management is a key aspect of Halton Borough Council's approach to handling these uncertainties. This process is embedded in the Council's decision-making framework, ensuring alignment with its strategic objectives. The Council is committed to fostering a positive risk culture that values openness, transparency, constructive challenge, and collaboration across all levels of the organisation.

A well-defined and proactive risk management framework allows Halton Borough Council to:

- Strengthen governance and boost stakeholder confidence
- Inform strategy development and decision-making processes
- Assess and deliver projects, programmes, and policy objectives effectively
- Allocate and prioritise resources efficiently
- Maintain high standards of operational efficiency
- Safeguard performance, assets, and other critical resources
- Achieve strategic objectives and drive improved outcomes
- Consider opportunities as well as threats on a balanced basis

This policy takes guidance from *"The Orange Book, Management of Risk - Principles and Concepts"* (HM Government, 2020), providing a structured framework to manage risks comprehensively and coherently throughout the organisation. The Council's approach emphasises the need to identify, assess, and address risks and opportunities in a consistent manner. This enables Halton Borough Council to embrace challenges while fostering innovation and excellence in service delivery.

The key objectives for ensuring effective Risk Management are to:

- Foster a risk-aware culture throughout the organisation.
- Integrate risk management into strategic and operational frameworks.
- Provide tools and support to help the Council anticipate and mitigate risks.
- Minimise the financial and operational impact of identified risks.
- Adapt to emerging risks and evolving external influences.

- Establish consistent and measurable methods for managing risks.

Halton Borough Council believes that effective risk management is a shared responsibility: it requires a collective understanding of risk at every level, supported by a culture that encourages accountability and informed decision-making.

As part of its corporate responsibility, Halton Borough Council aims to protect its resources and reduce exposure to potential losses and liabilities. The Council is committed to equipping its employees with the necessary skills, knowledge, and tools to manage risks effectively.

This commitment to risk management is a long-term priority for the Council, forming a key pillar of its governance practices. The approach is strongly supported by the Management Team, elected members, and the Audit and Governance Board, ensuring robust oversight and continuous improvement.

2. Core Principles of Risk Management

The HM Government *Orange Book (2020)* principles of risk management, adopted by Halton Borough Council, outlines the following key commitments:

- **Governance and Leadership:** Risk management is an essential component of governance and leadership, forming the foundation of how the Council is directed, managed, and controlled at all levels.
- **Integration into Activities:** Risk management is fully embedded in all Council activities, supporting informed decision-making and the achievement of objectives.
- **Collaboration and Expertise:** Risk management processes are collaborative, drawing on the best available information and expertise to ensure effectiveness.
- **Structured Processes:** The Council's risk management processes are systematic and include:
 1. **Risk Identification and Assessment:** Identifying and prioritising risks to determine appropriate management actions. Within this stage, it is also important to remain aware of risk proximity i.e. how soon a risk could impact the organisation.
 2. **Risk Treatment:** Selecting, designing, and implementing treatment options that support intended outcomes while managing risks to an acceptable level.
 3. **Monitoring:** Designing and operating integrated, insightful, and informative risk monitoring systems.
 4. **Reporting:** Delivering timely, accurate, and meaningful risk reporting to enhance decision-making and support oversight responsibilities.

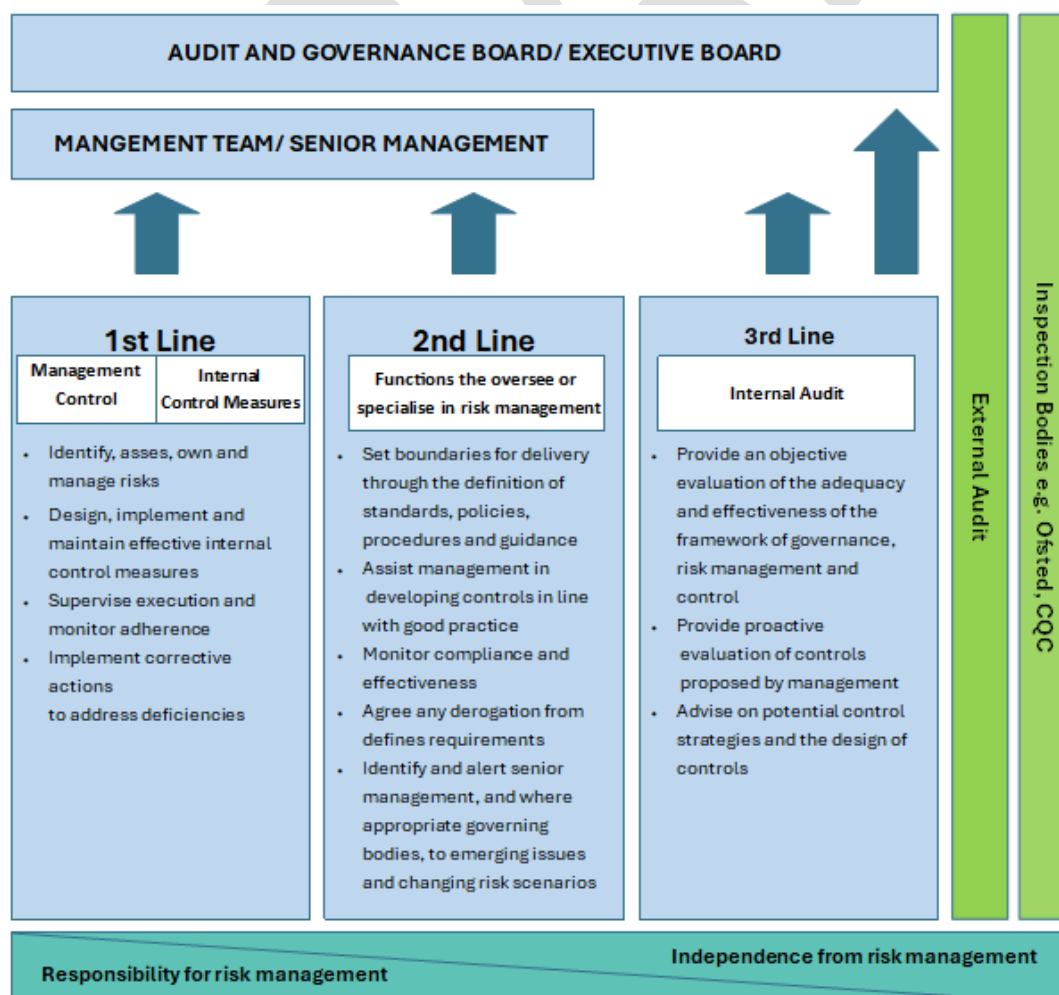
5. **Continuous Improvement:** Risk management is continuously improved through learning and experience, ensuring that practices evolve to address emerging challenges and opportunities.

By adhering to these principles, Halton Borough Council ensures a robust, informed, and proactive approach to managing risk across all levels of the organisation.

3. Strategic Approach

Led by Management Team, but with responsibility embedded across all levels of the Council's structure, Halton integrates risk management into all areas of strategic planning and prioritisation. This approach supports the Council in its pursuit of its strategic objectives, enhances service delivery, and ensures value for money. This approach also allows Halton to remain agile in responding to emerging challenges and new opportunities.

Halton Borough Council adopts successful risk management practices guided by the HM Government Orange Book – *Management of Risk – Principles and Concepts (2020)*. These practices operate within a framework of robust governance and leadership, integrating risk management across organisational activities to support informed decision-making aligned with the Council's strategic priorities.



The Council fosters a collaborative and evidence-based approach to risk management, drawing on the best available information and expertise. This is underpinned by a comprehensive risk management process and a commitment to continuous improvement. Halton Borough Council utilises a *Three Lines of Defence* model, where all employees share responsibility for managing risks (see diagram above).

Halton's second line of defence within Risk Management includes compliance functions, such as the Information Governance Team, the Performance Management Framework, Health and Safety, Emergency Planning, and the Quality Assurance function within Adult Social Care.

4. Risk Management Process

Halton Borough Council's risk management process follows a structured approach, ensuring that:

- Risks are **identified and assessed** to determine their priority and the most effective methods for management.
- Appropriate **treatment** options are selected, designed, and implemented to achieve desired outcomes while managing risks to an acceptable level.
- Comprehensive, integrated, and insightful risk **monitoring** systems are established to provide ongoing oversight.
- Timely, accurate, and meaningful risk **reporting** is conducted to improve decision-making and support the Senior Management Team and the Council in fulfilling their responsibilities.
- The risk management process goes through **continuous improvement**, where systems, processes are refined over time. Although risk management has a sequential approach, it is often iterative in practice.



Risk Identification and Assessment

New and emerging risks are identified by considering internal and external changes, tangible and intangible risk sources, uncertainties, assumptions, the reliability of information, and risk proximity (staff should remain aware of how close potential risks are to affecting operations and decision-making). The identification of new risks should be agile and may occur informally at the Service or Management Team level or through regular risk meetings. Key risks identified at the Service level are consolidated into the Directorate Risk Register, with any new strategic risks being reported immediately to the Management Team by the Risk Management Lead.

These risks are then reviewed by members of the Senior Management Team and the Risk Management Lead to determine whether they should be addressed at an operational or strategic level:

- **Operational risks** typically arise from flawed or failing processes, policies, or systems and are more closely tied to day-to-day activities. These risks are generally managed at the directorate level.
- **Strategic risks** relate to the potential failure to achieve corporate objectives and often have broader, cross-cutting implications. Responsibility for these risks is typically held by the Management Team.

The Corporate Risk Register is subsequently updated with key corporate risks from the Directorate Risk Register, along with any other relevant risks reported by the Management Team. Corporate risks are highlighted in the quarterly reports to the Audit and Governance Board, which has the authority to review and challenge risks, and raise concerns with the Council's Executive Board.

It is important to note that throughout this policy, quarterly meetings and reporting may not always coincide with financial quarters, but will occur 4 times per year.

To proactively mitigate potential risks, the Council has established robust controls, including annual training programmes, ensuring it remains ahead in limiting risk impact.

Risk Treatment

Each identified risk is addressed through a 'mitigation plan' by the risk owner, which outlines the treatment strategy. This plan takes into account the risk appetite, expected benefits, actions, ownership, resources, assurance sources, performance indicators, constraints, and a target resolution date.

Risk Monitoring

Continuous monitoring before, during, and after the implementation of risk treatments helps the Council understand how its risk profile evolves. This provides assurance that

risks are managed to a manageable level. Transparent recording and reporting of these activities enhance decision-making, improve practices, and ensure proper engagement with all stakeholders involved in risk management.

Risk Reporting

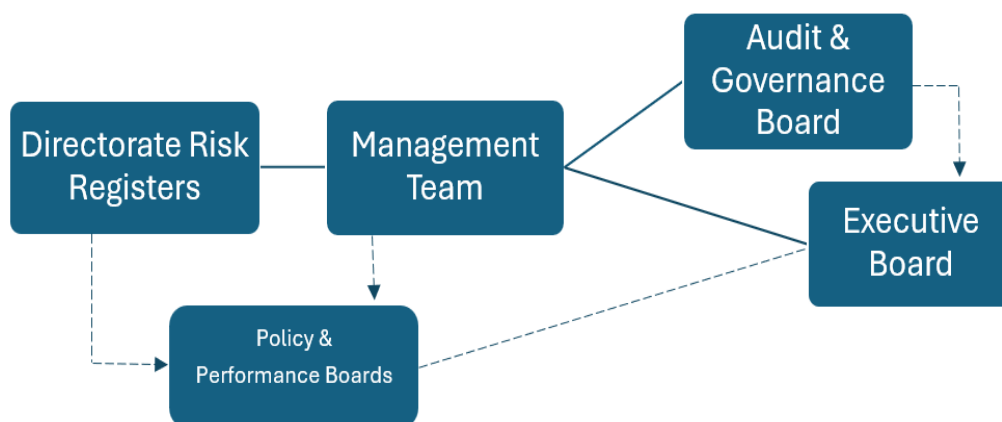
The risk reporting process is co-ordinated by the Risk Management Lead, who provides input in each stage of reporting. The Risk Management Lead partners with Directorates to develop and maintain the Directorate Risk Register. In collaboration with the Management Team, the Risk Management Lead use the Directorate Risk Register to facilitate the escalation and de-escalation of risks on the Corporate Risk Register, while also identifying any other relevant risks during quarterly Management Team risk meetings. The Management Team prepares a quarterly progress report on risk management for the Audit and Governance and the Executive Board. The Audit and Governance Board has the authority to review, challenge, and make recommendations to the Executive Board regarding identified risks.

A quarterly briefing is provided to the Executive Board outlining priority corporate risks and risk management actions, aligned with performance and finance reporting. This quarterly cycle ensures comprehensive and ongoing risk monitoring.

This briefing will also be provided to all Policy and Performance Boards.

Annually, a risk assurance briefing and review of the current risk management strategy are presented to the Audit and Governance Board.

Risk Management Proce



Project Risk Policy

Programmes and projects manage risks using a model that tracks risks, assumptions, issues, and dependencies, which are reviewed by the Transformation Board overseeing the programme of work, in terms of all Transformation projects. This approach will also apply to all other projects being undertaken within the Council.

5. Understanding Risk Appetite and Tolerance

Halton Borough Council recognises that risk is an inherent part of delivering and commissioning services. The Council's approach is to consider all options for responding to risks appropriately, enabling informed decisions that support successful delivery and value for money.

The Council does not seek to, and cannot, avoid all risks; however, the acceptance of risk is based on ensuring that potential benefits and risks are thoroughly evaluated, and appropriate mitigation measures are in place before decisions are made. The Council recognises that its risk appetite will vary depending on the activity and the ability to implement controls. Consequently, different risk appetites and tolerances are applied.

The Council's Management Team conduct an annual review of risk appetite across the key risk categories to ensure the framework remains fit for purpose and aligned with the organisation's strategic direction. As the owners of the Council's risk appetite, the Management Team use this review to guide the treatment of specific risks. The Council's values (including transparency, ownership, ambition, and consideration for people and customers) inform its approach to risk. While the aim is to reduce high risks to a manageable level wherever possible, the Council also recognises the importance of avoiding over-control.

Halton Borough Council utilises three levels of risk appetite:

- **Low Risk/Averse:** Avoids almost all risk, only engaging in activities with virtually no risk.
- **Medium Risk/Cautious:** Chooses safe options with low risk but may accept some risk for significant benefits.
- **High Risk/Eager:** Actively pursues innovation and opportunities, even when high residual risks are involved.

Risk appetite and tolerance are considered in relation to strategic outcomes and service delivery. The Council deems risks unacceptable if they:

- Breach laws or regulations

- Endanger the safety of residents, employees, or service users
- Critically harm the Council's reputation
- Threaten the Council's financial resilience or future operations

The Council acknowledges diverse risks that could impact its ability to meet statutory requirements and strategic goals. These risks categories include:

1. **Infrastructure:** Functioning of transport, communications and utilities infrastructure. The impact of storms, floods, pollution.
2. **Legislative:** Effects of change of government policy, UK or EC legislation, national or local political pressures or control, meeting the administration's manifesto commitments. (pushing boundary to maximise)
3. **Social Factors:** Effects of changes in demographic, residential and social trends on ability to deliver objectives.
4. **Technology:** Capacity to deal with obsolescence and innovation, product reliability, development and adaptability or ability to use technology to address changing demands.
5. **Commercial:** Affecting the competitiveness (cost and quality) of the service &/or ability to deliver Best Value and general market effectiveness. – Commercial development including assets.
6. **Stakeholder-related factors:** Satisfaction and representation of: the community, users, central and regional government and other stakeholders.
7. **Environmental:** Environmental consequences of progressing strategic objectives (e.g. in terms of energy efficiency, pollution, recycling emissions etc.) Also relating to pollution, noise or the energy efficiency of ongoing operations.
8. **Financial:** Associated with accounting and reporting, internal financial delegation and control, e.g. schools finance, managing revenue and capital resources, neighbourhood renewal funding taxation, pensions.
9. **Human Resources:** Recruiting and retaining appropriate staff and applying and developing skills in accordance with corporate objectives, employment policies, health & safety, and absence rates.
10. **Contacts and Partnerships:** Failure of contractors to deliver services or products to the agreed cost & specification. Procurement, contract and

relationship management. Overall partnership arrangements, e.g. for pooled budgets or community safety. PFI, LSVT and regeneration.

11. **Tangible Assets:** Security of land and buildings, safety of plant and equipment, control of IT hardware.
12. **Cyber:** Minimising attack risks whilst also avoiding becoming a hyper controlled environment which can make access to technology more difficult for organisation and staff.
13. **Governance and Procedures:** Risks inherent in professional work, such as assessing patients' welfare or designing buildings or teaching vulnerable children, response to the Human Rights Act.

It is also vital to consider **Governance Factors**, including:

- **Integrity:** Fraud and corruption, accountability and openness, legality of actions and transactions and limits of authority
- **Leadership:** Reputation, authority, democratic renewal, trust and identity
- **Policy and Strategy:** Ensuring clarity of purpose and communication. Policy planning, community planning and monitoring and managing overall performance.
- **Data and Information for Decision Making:** Data protection, data reliability and data processing. Information and communication quality. Effective use and interpretation of information. Control of data and information. E-government and service delivery.
- **Risk Management:** Incident reporting and investigation, risk measurement, evaluation and monitoring. Taking advantage of opportunity.

By systematically addressing these risks, Halton Borough Council ensures resilient and effective service delivery while safeguarding its strategic priorities.

6. Risk Management Levels

Halton Borough Council's approach to risk management is built upon ensuring that risks are effectively and consistently managed across all levels of the organisation.

Strategic Level: Strategic and business-critical risks are managed at the Management Team level. The Management Team, supported by the Risk Management Lead, reviews risk reports and the Corporate Risk Register quarterly to ensure alignment with organisational priorities. This level sets the tone for a culture of effective risk

management across the entire Council. The Audit and Governance Board plays a vital role in reviewing risks and overseeing the risk management strategy.

Service Level: Day-to-day management activities provide assurance that tactical and operational risks arising from service areas are identified, assessed, mitigated, monitored, and documented. Strong collaboration between the Directors, Service Managers, and the Risk Management Lead ensures a consistent and effective risk management approach within and across services.

Programme/Project Level: Risks are identified early in the programme/project lifecycle, starting from the initial business case stage. Ongoing risk management throughout ensures successful delivery of programme and project objectives. The Risk Management Lead will support in aligning risk management practices with both service-level and strategic-level requirements, ensuring appropriate escalation when necessary.

Through this structured, multi-level approach, Halton Borough Council ensures that risk management is a fully integrated and proactive part of achieving its strategic objectives.

7. Managing Escalation and De-escalation of Risks

Strategic risks, as opposed to a ‘big risk’, are those where there is a likelihood that an event could disrupt the whole Council’s business model or strategic objectives. If a single risk or a group of risks meet the escalation criteria outlined below, the risk(s) should be escalated to the Management Team and the Risk Management Lead. The risk owner is initially responsible for determining an appropriate course of action or escalating the issue further up the process if:

- The risk becomes too complex or unwieldy to manage at the current level.
- The risk rating cannot be controlled or managed effectively at its current level.
- The risk remains extremely high even after mitigation measures are applied.
- The risk could impact multiple services or projects if it materialises.
- The risk appears beyond the risk owner’s control.
- The risk moves outside the boundaries of the Council’s risk appetite.

De-escalation of a risk or set of risks should also be considered when they become operational, related to processes or transactions, and meet the following criteria:

- The risk can be effectively controlled or managed at the Service, Directorate or Programme level.
- The risk score meets its target level or decreases significantly.
- The risk event is limited to a single service area or team, with minimal wider impact.

- The risk is monitored after de-escalation to ensure it is being properly managed.

Escalation/De-escalation Process

If a risk owner identifies a need to escalate or de-escalate a risk or group of risks based on the above criteria, they should:

- **Seek Advice:** Consult the Risk Management Lead to discuss the proposed change in risk level.
- **Engage Stakeholders:** For risks that are multi-service or organisation-wide, consult with other relevant parties before making a recommendation to change the risk level.
- **Recommend Action:** Present the recommendation for escalation or de-escalation, ensuring it is informed by consultation and aligned with the Council's risk management framework.

By following this process, Halton Borough Council ensures that risks are managed at the most appropriate level, supporting effective governance and decision-making across the organisation.

Escalation: From Service Area/ Directorate Level to Corporate Risk Register



De-escalation: From Service Area/ Directorate Level to Corporate Risk Register

8. Risk Evaluation: Matrix and Scoring Criteria

Halton Borough Council employs a risk matrix to assess risks and understand the level of exposure. This evaluation informs the appropriate level of risk treatment needed to manage, reduce, or prevent risks from occurring.

By ensuring all business risks are assessed and managed using the Council's established risk management methodology, consistency is maintained across the risk management framework. This approach allows risks to be compared and reported on in a consistent manner. Additionally, it enables the Council to map its collective risk exposure across specific activities, objectives, outcomes, functions, or the entire operation of the Council.

Halton's Risk Management Scoring System

| Risk Score | Overall Rating (Impact x Likelihood) |
|------------|--------------------------------------|
| 20-25 | Very High |
| 10-20 | High |
| 4-10 | Medium |
| 3-8 | Low |
| 1-4 | Very Low |

| | | | | | | | |
|-------------------------|-----------|---|-------------------|------------|----------|----------|-----------------|
| Impact/ Severity | Very High | 5 | 5 | 10 | 15 | 20 | 25 |
| | High | 4 | 4 | 8 | 12 | 16 | 20 |
| | Medium | 3 | 3 | 6 | 9 | 12 | 15 |
| | Low | 2 | 2 | 4 | 6 | 8 | 10 |
| | Very Low | 1 | 1 | 2 | | 4 | 5 |
| | | | 1 | 2 | 3 | 4 | 5 |
| | | | Highly Improbable | Improbable | Possible | Probable | Highly Probable |
| Likelihood/ Probability | | | | | | | |

Likelihood/Probability

| Factor | Score | Description |
|-------------------|-------|-------------------------------------|
| Highly probable | 5 | More than 75% chance of occurrence. |
| Probable | 4 | 40% – 75% chance of occurrence. |
| Possible | 3 | 10% – 40% chance of occurrence. |
| Improbable | 2 | 5% – 10% chance of occurrence. |
| Highly Improbable | 1 | Less than 5% chance of occurrence. |

Impact/Severity

| Factor | Score | Effect on Service | Reputation | Personal Safety | Personal Privacy Infringement | Failure to Provide Statutory Duties/ Meet Legal Requirements | Financial | Effect on Project Objectives / Schedule Deadlines |
|-------------------|-------|--|---|--|---|--|--|--|
| High | 5 | Major loss of services, including several important areas of service and/or protracted period. Service disruption 5+ days. | Adverse and persistent national media coverage. Adverse central government response, involving (threat of) removal of delegated powers. Officer(s) and/or Members forced to resign. | Death of an individual or several people. | All personal details compromised/ revealed. | Litigation/ claims/ fines from: Departmental £250k+ Corporate £500k+. | Costing over £500,000. Up to 75% of Budget. | Complete failure of project/ extreme delay of 3 months or more. |
| Severe | 4 | Complete loss of an important services area for a short period. Major effect to services in one or more areas for a period of weeks. Service disruption 2-3 days. | Adverse publicity in professional/ municipal press affecting perception/ standing in professional/local government community. Adverse local publicity of a major and persistent nature. | Major injury to an individual or several people. | Many individual personal details compromised/ revealed. | Litigation/ claims/ fines from: Departmental £50k to £125k Corporate £100k to £250k. | Costing between £50,000 and £500,000. Up to 50% of Budget. | Significant impact on project or most of expected benefit fail/ major delay of 2-3 months. |
| Medium | 3 | Major effect to an important services area for a short period. Adverse effect to services in one or more areas for a period of weeks. Service disruption 2-3 days. | Adverse local publicity/ local public opinion aware. Statutory prosecution of a non-serious nature. | Severe injury to an individual or several people. | Some individual personal details compromised/ revealed. | Litigation/ claims/ fines from: Departmental £25k to £50k Corporate £50k to £100k. | Costing between £5000 and £50,000. Up to 25% of Budget. | Adverse effect on project/ significant slippage of 3 weeks - 2 months. |
| Low | 2 | Brief disruption of important services area. Significant effect to non-crucial services area. Service disruption 1 day. | Contained within section/ unit or Directorate. Complaint from individual/ small group, of arguable merit. | Minor injury or discomfort to an individual or several people. | Isolated individual person detail compromised/ revealed. | Litigation/ claims/ fines from: Departmental £12k to £25k Corporate £25k to £50k. | Costing less than £5000. Up to 10% of Budget. | Minimal impact to project/ slight delay of less than 2 weeks. |
| Highly Improbable | 1 | Brief to zero disruption. Minor effect to non-crucial services area. Less than 1 day disruption. | Contained with no complaints. | Minor to zero injury to an individual or several people. | Rare chance or isolated individual personal detail compromised/ revealed. | Litigation/ claims/ fines from: Departmental £1k to £11k Corporate £12k to £25k. | Costing less than £1000. | Minimal impact to project/ slight delay of less than 1 week. |

9. Risk Register System

As part of strong governance, Halton Borough Council maintains a Corporate Risk Register, with designated individuals assigned as responsible officers to ensure that risks, along with their treatment and assurance measures, are effectively monitored and managed.

The Corporate Risk Register is a vital tool for capturing and reporting on risk activities and the Council's overall risk profile. It is a dynamic, 'live' document where new, strategic risks are recorded, existing risks are managed to an acceptable level, some are closed, and others may be de-escalated to service area, programme, or the Directorate Risk Register for ongoing operational management. Additionally, services, programmes, projects, and companies can escalate risks to the Corporate Risk Register when necessary.

The Risk Register will be available on the staff intranet and regularly updated, alongside a Risk Management Toolkit.

10. Roles and Responsibilities

| Group or Individual | Responsibilities |
|------------------------|---|
| Chief Executive | <ul style="list-style-type: none">• Demonstrate a clear understanding and responsibility of the nature of the key risks facing the Council.• Be accountable for the Corporate Risk Register.• Ensure that risk management is embedded within the job descriptions of the Management Team.• Promote a positive risk management culture. |
| Executive Board | <ul style="list-style-type: none">• Approve and review the Authority's Corporate Risk Register.• Updated on a quarterly basis. |

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| Policy and Performance Boards | <ul style="list-style-type: none"> • Challenge and review risk management arrangements and activities within their areas of responsibility through corporate performance monitoring arrangements and mid-year risk mitigation reports. |
| Audit & Governance Board | <ul style="list-style-type: none"> • Updated by Management Team quarterly. • Review the adequacy of arrangements for identifying and managing business risks, including the Corporate Risk Management Policy, its implementation and approval. • Review the robustness of the Corporate Risk Register and the adequacy of the associated risk management arrangements. • Make such recommendations to the Executive Board when necessary and appropriate. • Receive and consider regular reports on the risk environment and associated management action. • Monitor effective development of risk management in the Council. • Monitor progress in addressing risk-related issues reported to the Board. |
| S151 Officer | <ul style="list-style-type: none"> • Provide advice to underpin the financial regulations that Members, officers, and others acting on behalf of the authority, are required to follow including matters of financial risk. |
| Management Team | <ul style="list-style-type: none"> • Review the Council's risk management policy. • Review the effective management of risks and internal controls and governance supported by the Risk Management Lead. • Own, review and maintain risks on the Corporate Risk Register with quarterly reviews in place. • Consult with members as required to appraise them of corporate risks. • Promote a positive risk management culture and monitor the effectiveness of risk management activities. • Agree any resources required to support the work. • Review the Annual Governance Statement. |

| | |
|--|---|
| | <ul style="list-style-type: none"> • Approve the Corporate Business Continuity Plan. |
| Directorate Level <i>Reporting quarterly* to Management Team, with strategic risks reported immediately.</i> | <ul style="list-style-type: none"> • Ensure that the Directorates manage risk effectively in line with their Directorate Plan and objectives. • Analyse information from Quarterly Monitoring Reports to assess & prioritise risks according to Departmental Service activity and corporate objectives. • Enter all risks onto the Directorate Risk Register and submit to the Risk Management Lead. • Agree any resources required to support the work within Directorate. • Communicate and involve relevant employees, who should manage risks in relation to their service areas. • Maintain appropriate Directorate Business Continuity plans. |
| Service Level Teams | <ul style="list-style-type: none"> • Contribute to the effective implementation of risk management through reporting risks to their appropriate Director, supported by the Risk Management Lead. • Promote a positive risk management culture. • Provide updates concerning the implementation of all high- risk mitigation measures. • Maintain appropriate Business Continuity plans. |
| Risk Management Lead <i>Reporting regularly to Management Team.</i> | <ul style="list-style-type: none"> • Prepare and promote the Council's risk management policy. • Maintain and report on the Council's integrated Corporate Risk Register. • Advise and report to Management Team, Internal Audit and the Audit and Governance Board on whether the Councils' governance, appropriate risk management processes, control systems and operational procedures are in place and operating properly. • Provision education and training for the Council regarding risk management. • Share Risk Management Toolkit and Risk Register on Intranet for availability of all staff. |

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| | <ul style="list-style-type: none"> • Strive for continuous improvement of risk management across the organisation and promote a positive risk management culture. |
| Internal Audit <i>Reporting annually to the Audit and Governance Board.</i> | <ul style="list-style-type: none"> • Advise and report independently and objectively on whether the Councils' governance, appropriate risk management processes, control systems and operational procedures are in place and operating properly. |
| All Staff Members | <ul style="list-style-type: none"> • Proactively identify risks and report to their managers where necessary. • Report inefficiencies, irrelevant or unworkable controls. • Ensure loss events or near misses are escalated promptly to management. • Attend relevant training courses focusing on risk and risk management. |
| All Elected Members | <ul style="list-style-type: none"> • Provide scrutiny and overview of reported risks. |

Quarterly meetings, reports and updates may not always coincide with financial quarters.

| In relation to individual risks: | |
|---|---|
| Risk Owner | <ul style="list-style-type: none"> • Accountable for the management and control of all risks assigned to them. Determine, authorise, implement, and monitor the selected controls and actions to address the threats and maximise the opportunities. |
| Mitigation and Control Owner | <ul style="list-style-type: none"> • Responsible for the management and control of all risks assigned to them. Implement and monitor the selected controls and actions to address the threats and maximise the opportunities. |

| | |
|---------------------|---|
| | <ul style="list-style-type: none"> Accountable for providing the assurance that specified management control is effective and fit for purpose. |
| Action owner | <ul style="list-style-type: none"> Responsible for managing the action on the owner's behalf and to keep them apprised of progress. |

11. Guidance, Education and Training

The Risk Management Lead is responsible for developing the organisation's risk management capability by providing guidance, education, training, and support to the workforce.

Guidance, educational materials, and training resources are regularly reviewed to ensure they meet the needs and levels of the organisation, align with the HM Government *Orange Book* (2020), and foster a positive, dynamic risk culture with strong engagement from stakeholders.

12. Driving Continuous Improvement

Risk management is an ongoing and evolving process that Halton Borough Council is committed to, ensuring agility in responding to internal and external changes. The Council will continually strive to enhance the suitability, adequacy, and effectiveness of its risk management framework, drawing on lessons learned and conducting an annual review of the risk management strategy. As any gaps and opportunities for improvement are identified, the Council will develop plans, assign tasks, and delegate actions to those responsible for their implementation.

13. Review

The risk management strategy, guidance and associated working templates will be annually reviewed by the Risk Management Lead as part of the Council's overall approach to the risk management process.