

CORPORATE AND STRATEGIC RISK REGISTER 2010-11

February 2010

Corporate and Strategic Risk Register – February 2010

Risk No	Risk Identified	Impact	Likelihood	Risk Score	Risk Control Measures	Assessment of Residual Risk with Control Measures Implemented			Responsible Person	Timescale for Review	Progress Comments	Date
						Impact	Likelihood	Risk Score				
1	Partnerships – Public and Private Ineffective and poorly controlled partnership working leads to a lack of accountability and ineffective use of resources resulting in failure to achieve outcomes/objectives	3	4	12	Review approach to identification and guidance to ensure follow up in directorate	3	3	9	Ian Leivesley	6 monthly	Register formed. Checklist available. Audits undertaken on a risk basis and training in place.	29.1.10
2	Partnerships - NHS Bodies Failure by NHS bodies to agree provision of resources for health prevention leads to failure of health prevention programmes resulting in the health of local people failing to improve to the levels of other areas.	4	4	16	<ul style="list-style-type: none"> • Encourage NHS bodies to fully commit (both energy and resources) to priorities and health prevention agenda • Encourage NHS Bodies to allocate funding • The Council has been consulted and involved in the health service deliberations to reconfigure their services. • Influencing the development of the community strategy. • Development of draft 	4	3	12	Dwayne Johnson	6 monthly	An external consultant has been commissioned to review the Section 31 Partnership Agreement. An outline report and recommendations has been produced and Halton Borough Council with the PCT are currently working on the development of an action plan. HBC are currently working in partnership with the PCT on the production of the new Joint Strategic Needs	29.1.10

					<p>health outcome measures for inclusion in the future preparation of a health Local Area Agreement.</p> <ul style="list-style-type: none"> Regular performance monitoring at both the Health Performance Board and Chief Officers Group. 						<p>Assessment (JSNA) – Health and Wellbeing. The JSNA pulls together information about the current and future health and well being needs of the local population. It provides an opportunity to look into the future so that we can plan now for likely changes in needs so it is therefore one of the major influences in directing commissioning priorities and planning service development.</p>	
3	<p>Children’s Services Integration Failure to deliver improved (measurable) outcomes for Children & Young People via the establishment of effective partnerships to deliver the Children Act requirements</p>	4	3	12	<ul style="list-style-type: none"> Restructured CYP Directorate around commissioning and provision of services Children and Young People’s Plan in place Children’s Trust in place Full engagement of all statutory partners at a senior level (including schools) in place Plan formed with outcome based accountability 	3	2	6	Gerald Meehan	6 monthly	<p>Children’s Trust fully established in 2009. Gearing up to respond to the Apprenticeships Skills and Children’s Act 2009. Safeguarding Board fully operational. PMF in place. Looking to put in place virtual commissioning with the PCT.</p>	29.1.10

4	<p>Stakeholders – Community Engagement</p> <p>Failure to communicate effectively and engage local community participation in service planning, design, and delivery leading to complaints and conflict on specific initiatives resulting in loss of reputations, alienation of people from local government reduced collectivism and more individualistic opting out</p>	4	4	16	<ul style="list-style-type: none"> • Effective LSP • Effective and inclusive Area Forums • Use of Halton 2000 • Research and Intelligence Unit • Community Development Team 	4	3	12	Ian Leivesley	6 monthly	<p>The Council continues to use the various tools it has available for customer involvement/public participation. Recent examples include:</p> <ul style="list-style-type: none"> • BSF • Mersey Gateway • Budget 2009/10 • BVPI Satisfaction Survey 	29.1.10
5	<p>Finance</p> <p>Failure to effectively align resources to corporate objectives leads to a lack of focus on priorities resulting in failure to deliver objectives</p>	3	4	12	<ul style="list-style-type: none"> • Link Budget Process to Service Planning • Service Planning • Review of Corporate Priorities/Community Plan • Communication of Priorities to Staff/Members/Managers to achieve buy-in • Medium Term Financial Strategy • Budget Risk register 	2	3	6	Ian Leivesley	6 monthly	<p>The Council continues to spend within in its means and, with the help of the Efficiency programme, will set a balanced budget for next year. However financial settlements are expected to be very tough for the foreseeable future. Significant levels of savings will continue to be required from the Efficiency Programme Service Delivery</p>	29/01/10

					<ul style="list-style-type: none"> Efficiency Programme. risk register 						Reviews over the coming years.	
6	Mersey Gateway Lack of effective project management leads to uncontrolled costs, delays and lack of credibility resulting in cancellation/delay of the project. Potential abortive development cost.	4	3	12	<ul style="list-style-type: none"> Recruitment of experienced Project Director and early involvement of professional advisors Project Structure based on PRINCE2 control procedure under the governance of the Procurement Group involving key members, officers, and professional advisors Project Plan and regular monitoring of plan and periodic independent gateway reviews Delivery within the Funding framework agreed with Government reviewed at regular intervals Mersey Gateway Risk Register 	4	2	8	Dick Tregear	6 monthly	The Project Team is in place. The arrangements for the various professional advisers have been reviewed. The Governance arrangements of the project have been amended by the creation of a dedicated sub-committee of the Executive Board to oversee the project.	29.1.10
7	Major Projects – (e.g. 3MG, Widnes Waterfront, Castlefields, Canal Quarter) Ineffective	4	3	12	<ul style="list-style-type: none"> Capital Development Group Individual Project Management Groups Project Teams 	3	2	6	Dick Tregear	6 monthly	Significant progress continues to be made. The necessary CPOs at Castlefields have been secured.	29.1.10

8	<p>Project Management of major projects leads to delay increased costs resulting in failure to regenerate borough</p> <p>Joint Venture for Daresbury Science and Innovation Park</p>	4	2	8	<ul style="list-style-type: none"> • Performance Management Reports • Partnering Arrangements • Project Management Training for officers • Positive co-operation with public sector partners (STFC and NWDA) • Careful vetting of tenders and assessment of financial stability of potential partners • Establishment of contract management systems 	4	1	4	Dick Treggia	6 monthly	<p>In relation to the 3MG the structural arrangements for the project, particularly whether to establish a company with partners, need to be determined. The Village Green application needs to be progressed.</p> <p>Potential Partners will be assessed in Winter and Spring 09/10 Selection of preferred partner May 2010 Consultant Solicitors and property experts maintain advisory role</p>	29.1.10
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9	<p>Building Schools for the Future and Primary Capital Programme</p> <p>Failure to meet agreed building programme, and to keep to required budget, would pose significant logistical and financial difficulties for the Council.</p>	4	4	16	<ul style="list-style-type: none"> • Gateway one review successfully undertaken with Government - minimal issues • Halton BSF Team recruited along with external advisors • Additional Council resources secured for the programme. • BSF Joint Board established with Warrington BC • Comprehensive BSF Risk Register reviewed at each Board Meeting • Halton and Warrington joint LEP agreed providing economies of scale (Warrington in Wave 7) 	3	4	12	Gerald Meehan	6 monthly	New Academy on track to open in September 2010 subject to DfS approval. First phase of competitive dialogue complete with two consortia. Council identified as exemplar for consultation, PE and sport	29.1.10
10	<p>Corporate Capacity</p> <p>Inability to support major projects due to:</p> <ul style="list-style-type: none"> - capacity - capability - resources - finances - Inability to recruit key staff with appropriate skills 	4	4	16	<ul style="list-style-type: none"> - Active Project Management (e.g. PRINCE) - Early identification & Intervention - Training & Development - Recruitment arrangements - Partnership working - People Strategy 	4	3	12	D. Parr	3 months	Leadership Programme underway. Draft People Strategy under review. Recruitment and retention policies kept under review.	29.1.10

	leading to the potential of delivery failure or delay.											
11	I.T. Lack of disaster recovery arrangements leads to an interruption of IT facilities in the event of a disaster resulting in the inability to deliver frontline services	4	3	12	<ul style="list-style-type: none"> Disaster recovery plan Business Continuity Plan Review information governance and security strategies 	4	2	8	Ian Leivesley	6 monthly	<ul style="list-style-type: none"> ICT being restructured to provide greater focus on Disaster Recovery (DR). Key Applications priority list – first draft of top 14 applications produced. Criteria required to prioritise key corporate applications agreed by ICT Services Management Team Provisional hardware infrastructure matrix produced to enable external organisations to provide indicative costs for the support arrangements for the 14 prioritised applications. 	<p>Completed and to be in place 1st April 2010</p> <p>Completed Jan 2010</p> <p>Completed Jan 2010</p> <p>Completed Jan 2010</p>

12	Human Resources – Failure to implement effective health, safety and wellbeing strategies leads to unsafe, unhealthy and poorly motivated workforce resulted in increased staff dissatisfaction, demotivation, and problems of low staff retention and productivity	4	3	12	<ul style="list-style-type: none"> • Health and Safety Policy • Stress Risk Assessments • Absenteeism procedures • Occupational Health Service • “Preparing for Change” Training Courses 	3	2	6	Ian Leivesley/ Dwayne Johnson	3 monthly	The Flexible Working Group continues to meet on a quarterly basis with representation from each of the Directorates. The group’s strategy “Working Flexibly for You” and accompanying action plan is monitored by the group. The strategy is being reviewed and will be relaunched in 2010. Achievements include: The flexible working opportunities available to employees are being used as an example of good practice in the region in relation to working carers; core hours have been removed, allowing employees a greater degree of flexibility in their working day; funding has been obtained to pilot a scheme of health checks for staff; improvements in office accommodation have been carried out and more are planned to	29.1.10
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											improve the working environment for staff; and a prayer room has been designated for use by staff. Related work includes the establishment of staff support groups for female, BME, LGBT and disabled workers.	
13	Waste Failure to develop a cogent Waste Management Strategy leads to a failure to meet Government Targets resulting in increased cost of waste disposal (impacting on the Council's ability to deliver other services)	4	4	16	<ul style="list-style-type: none"> • Development of a Joint Waste Strategy • Formal local authority and private sector partnership • Close engagement with MWDA • Effective Management of agreed Project Plan • Consultation with key stakeholders • Review at Regular Intervals. 	3	3	9	Dick Tregear	6 monthly	The Council is working with the Mersey Waste Disposal Authority to develop a pan-Merseyside solution to the issue of waste. A Memorandum of Understanding between the Council and MWDA has been completed and an Inter Authority Agreement is being developed.	29.1.10
14	Government (etc.) Intervention Direction from 3 rd parties (Gov't, QUANGOS, EU) leading to the imposing of requirements on the	3	3	9	<ul style="list-style-type: none"> - Influence policy development - Lobbying - Working relationships and networking - Political management - Prioritisation - HiR Group - Horizon scanning 	3	3	9	D. Parr	6 months	Good political and other networks seeking to influence policy development and legislation	29.1.10

	Council, e.g. additional activity, Funding interventions, Resulting in a potential Challenge of the council's capacity, delivery, local priorities. National election - policy shift											
15	<p>Community Cohesion Failure to support cohesive communities leads to tension and polarised communities lacking in integration, engagement and civic pride.</p> <p>The Council needs to take a leadership role with local partners in addressing equality, diversity and cohesion for the Borough.</p>	4	2	8	<ul style="list-style-type: none"> • Service Plans Equality Impact Assessments extended to cover community cohesion factors • Data set of performance indicators defined by Audit Commission as a result of cohesion baseline assessment established & embedded in performance monitoring • Corporate Equalities Group supporting Strategic Partnership Sub-group providing a joined up approach for the Borough 	4	1	4	Dwayne Johnson / Ian Leivesley	6 monthly	Community Cohesion is referenced and related indicators included in the new Corporate Equality Scheme and Equality Impact Assessment guidance forms. A multi-agency Tactical/Cohesion Officers Group has been established which provides live intelligence on community tension indicators, enabling proactive and practical solutions. The group formally reports on cohesion indicators to GONW on a quarterly basis and informal reporting takes place on a monthly basis.; the group has developed a Community Cohesion	29.1.10

											Contingency Plan which is in its final stages of development and is due to be approved by GONW during 2010. Community Cohesion results from the Place survey will be used to carry out "hotspot mapping", a technique which enables identification of trends and patterns at a neighbourhood level.	
16	Resilience Planning – Failure to identify risk, plan exercise leads to the Council, being unable to sustain a resilient community and services	4	3	12	Risk Register in Place Review Plans Exercise regime/schedule Incident Management Procedures in place BCM Plans in place. Active role taken in Local and Regional Resilience Forums	4	2	8	Ian Leivesley	6 months	Risk Register reviewed Plans reviewed against government criteria Training/exercising schedule in place Incident Management Procedures tested in recent incidents	29.1.10
17	Crime & Disorder and Safeguarding Adults Failure to align Partnership resources to CDRP priorities could adversely affect performance and lead to poor outcomes	3	3	9	<ul style="list-style-type: none"> Ensure regular outcome and performance reports are submitted to the CDRP Board. Regularly review finance commitments and identify opportunities to be 	2	3	6	Dwayne Johnson	6months	Review of financial commitments and performance underway as well as a review of the JSNA. Review of Domestic Violence Strategy to commence in 2010 and renewed in 2011.	29.01.10

					more efficient and attract new funding opportunities.							Submitted a proposal for funding, a needs analysis of domestic violence. Reviewing sub structures and effectiveness of a range of safeguarding adult issues in the first 3 months of 2010	
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