

REPORT TO: Executive Board

DATE: 29th March 2007

REPORTING OFFICER: Strategic Director Corporate & Policy

SUBJECT: Corporate Risk Register

WARD(S): Borough-wide

1.0 PURPOSE OF THE REPORT

- 1.1 The purpose of the report is to ask the Executive Board to review the Corporate Risk Register and to make such changes as it considers necessary.

2.0 RECOMMENDATION

- 2.1 That the revised Corporate Risk Register (attached as Appendix A) be approved.**

3.0 SUPPORTING INFORMATION

- 3.1 The Council's Strategic Risk Management framework requires the Executive Board to review the Corporate Risk Register periodically. The Corporate Risk Register as reviewed by officers is therefore attached hereto for the Board's consideration.
- 3.2 In terms of reviewing the Register, it is not proposed that any new risks be added to the Register at the present time. There is a brief commentary beside each risk which will hopefully give members a flavour for what has changed in relation to that risk since the last report.

4.0 POLICY, FINANCIAL AND OTHER IMPLICATIONS

- 4.1 None except as identified in the Risk Register itself.

5.0 RISK ANALYSIS

- 5.1 Regular monitoring and management of the key corporate risks is essential to the proper management of the authority. The details of the risks and the control measures proposed are set out in the register attached.

6.0 EQUALITY AND DIVERSITY ISSUES

- 6.1 None at the present time.

**7.0 LIST OF BACKGROUND PAPERS UNDER SECTION 100D OF THE
LOCAL GOVERNMENT ACT 1972**

7.1 None

APPENDIX A - Corporate and Strategic Risk Register - March 2007

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 – 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	Action Plan required setting out: <ul style="list-style-type: none"> • Procedures • Central Register of Partnerships • Governance Standards • Clear Targets/Outcomes • Audit Programme • Risk Analysis 	3	2	6	Ian Leivesley	3 monthly	PPB has made recommendations to Exec board with regard to the Council's Partnership governance Arrangements.	1/3/07
2	Partnerships – 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"> • Get NHS bodies to fully commit (both energy and resources) to priorities and health prevention agenda • Lobby 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	3 monthly	Structural Change in relation to health continues to mean that this is a high risk area. However a new team is currently been recruited within the PCT and progress has been made already with the new DPH, a report has been presented to the Exec Board 2 Nov, which clarifies these issues. Good progress also made on the Health LAA although	1/3/07

					<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. 						resources are required to implement actions.	
3	<p>People – Single Status/JE –failure to implement an agreement on single status with Trade Union agreement leads to an unstable employee relations climate, resulting in possible industrial action, recruitment and retention problems and equal pay challenges.</p>	4	4	16	<ul style="list-style-type: none"> Open and regular communication with Staff, Trade Unions and Managers Link to financial forecasts and make financial provision (provision made in budgets for 2006/7 & 2007/8) Effective Project Management Trade Union Consultation/ Involvement through membership of Steering Group 	4	3	12	Ian Leivesley	3 monthly	<p>Process is now well under way (3 out of 4 Directorates completed and final Directorate almost completed). Recent court cases on back pay may make agreement at the end of the process more difficult.</p>	1/3/07

4	People – Lack of effective Management /Leadership Development arrangements leads to managers/organisation failing to achieve full potential resulting in underperformance	4	4	16	<ul style="list-style-type: none"> • Organisational Development Programme (required) • Member Development Programme 	3	2	6	Ian Leivesley	3 monthly	<p>MSC and ILM 5 courses have been introduced. The MSC is now in its second year. The Year 2 intake for the MSC was over subscribed showing the high level of demand for this course</p> <p>The Council won the Municipal Journal and APSE awards for its work on Member Development.</p>	1/3/07
5	Stakeholders – Community Engagement – Failure to communicate effectively and engage local community participation in service planning, design, and delivery leading to complaints and tensions and conflict on specific initiatives resulting in loss of reputations, alienation of people from local government reduced collectivism and more individualistic opting out	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/ Dwayne Johnson	3 monthly	<p>The Council has developed its youth consultation arrangements (Youth Forum, Youth Parliaments, proposals for a YouthBank etc). The Council has developed its consultation links with the Business Community through the Business Forum (which also links strongly with Risk 14 and the Council's role in promoting business continuity)</p> <p>The Council has recently adopted a</p>	1/3/07

											Community Engagement Strategy and set up a stakeholder consultation group to ensure consistent consultation and stakeholder engagement. The Council now needs to look at how to monitor and measure its effectiveness in engaging with the community.	
6	Finance – Failure to effectively align resources to corporate objectives leads to a lack of focus on priorities resulting in failure to deliver objectives	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 • Meet Gershon Targets 	2	3	6	Ian Leivesley	3 monthly	The 2007/08 Budget process has been a significant challenge for the authority. Future budgets are likely to be equally challenging.	1/3/07
7	Mersey Gateway – Lack of effective project management leads to uncontrolled costs, delays and lack of credibility resulting in cancellation/delay of	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 	4	2	8	Dick Tregoe	3 monthly	The Project Team is now in place. The arrangements for the various professional advisers have been reviewed. The Governance	1/3/07

	the project. Potential abortive development cost of up to £15m secured by Council borrowing.				<p>procedure under the governance of the Procurement Group involving key members, officers, and professional advisors</p> <ul style="list-style-type: none"> • Project Plan and regular monitoring of plan and periodic independent gateway reviews • Delivery within the Funding framework agreed with Government reviewed at regular intervals 						arrangements of the project have been amended by the creation of a dedicated sub-committee of the Executive Board to oversee the project.	
8	Major Projects – (e.g. 3MG, Widnes Waterfront, Castlefields, Canal Quarter) Ineffective Project Management of major projects leads to delay increased costs resulting in failure to regenerate borough	4	3	12	<ul style="list-style-type: none"> • Capital Development Group • Individual Project Management Groups • Project Teams • Performance Management Reports • Partnering Arrangements • Project Management Training for officers 	3	2	6	Dick Tregear	3 monthly	<p>Significant progress continues to be made. Arrangements for the necessary CPOs at Castlefields have been approved by the Executive board and are underwritten by an Indemnity from the NWDA.</p> <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</p>	1/3/07

											monitored closely.	
9	IT – 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	2	8	<ul style="list-style-type: none"> Disaster recovery plan needed (and requires resourcing) Business Continuity Plans needed for IT and service areas 	4	1	4	Ian Leivesley	3 monthly	<ul style="list-style-type: none"> ICT being restructured to provide greater focus on Disaster Recovery (DR). DR Plan now in place.. 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 	1/3/07

											applications.	
10	Employee Wellbeing – 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 • Wellness Room • Stress Risk Assessments • Absenteeism procedures 	3	2	6	Ian Leivesley/ Dwayne Johnson	3 monthly	An Employee Welfare group was established earlier in the year, comprising of frontline staff, Managers and the Trade Unions. An action plan has been produced and it has now been agreed that the group will produce strategies for a range of employee welfare issues and employee benefits. Exec. Board has agreed to Halton developing a programme of flexible working as an exemplar for local government good practice.	1/3/07
11	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 • Internal procurement Group and Joint Waste Steering Group • Effective Management of agreed Project Plan • Consultation with key stakeholders 	3	3	9	Dick Tregear	3 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.	1/3/07

					<ul style="list-style-type: none"> Review at Regular Intervals. 							
12	Educational Attainment – Failure to close the gap between Educational Attainment in the Borough and Educational attainment nationally undermines the Council's efforts to improve life chances and employment for young people	4	4	16	<ul style="list-style-type: none"> Strategies and Resources in place Effective liaison and communication arrangements with schools Performance monitoring, targeting and management arrangements 	3	3	9	Dwayne Johnson (interim basis only)	3 monthly	Educational attainment has been agreed as a 'priority for action' with Ofsted, CSCI and Audit Commission. Action Plan has been established and is subject to performance monitoring. This remains a challenging and complex agenda.	1/3/07
13	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	4	3	12	<ul style="list-style-type: none"> Redesigned C&YP Strategic Planning Arrangements Clear shared Vision and project plan 'Migration to Children's Trusts' Full engagement of all partners at a senior level (including schools) Clear PMF with outcomes focus 	3	2	6	Dwayne Johnson (interim basis only)	3 monthly	Significant progress has been made. A Children's Alliance Board has been established, with 4 Task Groups (each with a Business Plan) reporting to it. Halton's Safeguarding Board is established completing the transition from ACPC. A performance management framework to deliver Children's Services Integration/Every Child Matters has been agreed by all key	1/3/07

											stakeholders.	
14.	Resilience in the event of Civil Contingencies – Failure to implement robust civil contingency arrangements leads to the Council being unable to sustain a resilient community and services in the event of a major disaster	4	3	12	<ul style="list-style-type: none"> • Existing Emergency Plan • Partnership Working • Performance Management • Implementation Plan • Business Continuity Plans for Services 	3	2	6	Ian Leivesley	3 monthly	A Community Risk Register is now in place. Business Continuity Plans have been produced, with Action Plans to support their delivery, and are currently being updated for 2007/2008. An Avian Flu Contingency Plan is in place. The Council takes an active role in the Local Resilience Forum, It also has strong links with the regional arrangements.	1/3/07