

# Report to Resources Overview and Scrutiny Panel

Agenda  
Item:

**A.6**

Meeting Date: Thursday 13th April 2017

Portfolio: Cross Cutting

Key Decision: Not Applicable:

Within Policy and

Budget Framework NO

Public / Private Public

Title: CORPORATE RISK REGISTER

Report of: The Deputy Chief Executive

Report Number: CS 09 17

## Purpose / Summary:

The purpose of this report is to update members of the Resources Overview & Scrutiny Panel on the Corporate Risk Register.

## Recommendations:

The Panel is asked to scrutinise and comment on the Corporate Risk Register, as set out in Appendix 1.

## Tracking

Executive:	Not applicable
Overview and Scrutiny:	Not applicable
Council:	Not applicable

## **1. BACKGROUND**

- 1.1** In accordance with the Council's Risk Management Policy, the Corporate Risk Register (CRR) has been submitted to the Resources Overview & Scrutiny Panel (ROSP) for monitoring on a six monthly basis. This report contains the Corporate Risk Register in Appendix 1.

## **2. PROPOSALS**

### **2.1 Corporate Risk Register – progress since last report to ROSP on 20<sup>th</sup> October 2016**

The Corporate Risk Management Group (CRMG) is responsible for delivering and reviewing the Risk Management Strategy, maintaining and improving risk management processes as well as the Council's Corporate Risk Register.

At the September 2016 meeting of the CRMG it was agreed that this Group would meet twice a year, once in March/April following the meeting of full Council that agrees the budget for the next financial year and again in October to review the actions and position from the earlier meeting. Special meetings will be called by the Chair should risks be escalated and require an intervention from the CRMG or Senior Management Team.

It is recognised that the City Council's Risk Management Policy and Risk Management Strategy both need to be reviewed and if appropriate updated. This will happen at the CRMG meeting in April. An update will be brought to a future meeting of ROSP for consideration by members.

Since the recent development of the four SMT boards, the Panel is asked to note that "Risk Management" sits within the remit of the Business Management Board. This sub group will be chaired by the Council's Section 151 Officer and will consider risks at an operational/directorate level. Issues raised here can be escalated to the CRMG when deemed appropriate.

Updates of operational risk registers have taken place during this period and have been completed within specified timescales as set out in the City Council's Risk Management Policy.

The Senior Management Team is due to consider potential future risks at its special meeting on 4<sup>th</sup> April. An update will be brought to a future meeting of the ROSP for review by members.

The Corporate Risk Register was last reviewed by the CRMG in September 2016. A revised (March 2017) update against each of the following corporate risks and control strategies is set out below. Appendix A also displays these risks in the usual format:

**1) Delivering the Carlisle Plan – there is a risk that we do not have the optimum balance of resources targeted to deliver the activities and projects delivering the Carlisle Plan**

The development of our Carlisle Plan ‘on a page’ (attached at Appendix B) and the approval of the 2017/18 Council budget have provided assurance that the Council has sufficiently balanced the allocation of resources to our key priorities for this financial year.

We are therefore recommending that the target risk score has been achieved. We will continue to monitor the risk for a further cycle whilst new service plans are completed.

**2) Preparing for the future funding of local government from 2019 – there is a risk that the Council fails to properly take account of the government changes to future local government funding and does not effectively prepare for these changes**

The Senior Management Team and in particular the Corporate Support & Resources directorate are rightly focussed on monitoring the development of government/local taxation and grant plans for District councils. At present we don't yet have a sufficiently clear picture of post 2019 funding. In addition to this work the SMT are also working on developing our income streams via the Commercial Strategy sub group of the Business Management & Development Board.

**3) Council's income targets- there is a risk that the Council's income from chargeable services does not meet Medium Term Financial Plan projections and that the Council does not take advantage of other commercial opportunities.**

During the past 12 months the Council has closely monitored income targets and these have largely fallen in line with expectations. SMT have also set up a new cross Council officer group designed to explore and act on commercial opportunities. This group will assist the Council to (where appropriate) maximise its income potential .

In light of the above CRMG recommends that this be removed from the CRR and kept under review in each Directorate. If income concerns become apparent as part of the budget process, the corporate nature of this risk will be revisited.

This risk will now be removed from the Corporate Risk Register.

The CRMG and SMT are also still monitoring the two previous corporate risks related to asset disposal and acquisitions of revenue producing property. These risks will be reviewed again at the next meeting of the CRMG on 19<sup>th</sup> April 2017.

### **3. CONSULTATION**

- 3.1** Senior Management Team meeting on 4<sup>th</sup> April 2017  
Corporate Risk Management Group meeting on 19<sup>th</sup> April 2017

### **4. CONCLUSION AND REASONS FOR RECOMMENDATIONS**

- 4.1** The Panel is asked to scrutinise and comment on the Corporate Risk Register as set out in Appendix One.

### **5. CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES**

- 5.1** The Corporate Risk Register is reviewed quarterly, it is the strategic risk assessment for the Carlisle Plan.

**Contact Officer: Darren Crossley**

**Ext: 7004**

**Appendices  
attached to report:**

**Note: in compliance with section 100d of the Local Government (Access to Information) Act 1985 the report has been prepared in part from the following papers:**

- None

## **CORPORATE IMPLICATIONS/RISKS:**

**Chief Executive's -**

**Deputy Chief Executive –**

**Economic Development –**

**Governance –**

**Local Environment –**

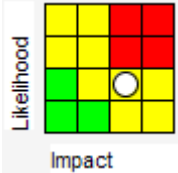
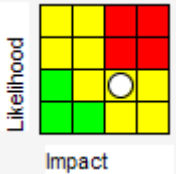
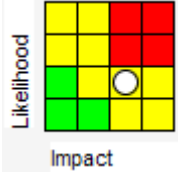
**Resources -**

## Corporate Risk Register – April 2017

Note: Amendments in the last quarter are marked in red italics. The inclusion of the previous and current risk matrices shows the effect that the control strategies have had on risk ratings since the last update. A target risk matrix shows the risk level that the Council is aiming to achieve from the successful implementation of the control strategies and the date for when this will be achieved.

### Delivering the current Carlisle Plan

'There is a risk that we don't have the optimum balance of resources targeted to deliver the activities and projects delivering the Carlisle Plan'

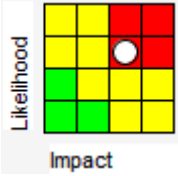
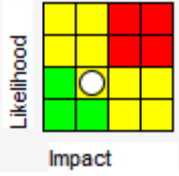
Present and Previous Matrices	Assessment Dates	Present and Previous Risk Scores	Current Action Status / Control Strategy	Target Risk Matrix
	March 2017	6	<b>Recent progress and further mitigating action to be taken</b> Resources continue to be placed appropriately to best meet the Council's overall aims and objectives as set out in the Carlisle Plan. Service standards and progress against the Carlisle Plan continue to be monitored and reported quarterly to each Overview and Scrutiny Panel. The approval of the 2017/18 budget also provides assurance that resources are being effectively targeted to our priorities.	
	September 2016	6		

Current Impact Description	High
Current Likelihood Description	Reasonably probable
Risk Score	6

Target Risk Date	01-Apr-2017
Target Risk Score	6

Lead Officer	Jason Gooding
Portfolio Holder	Leader's
Overview and Scrutiny Panel	All

<b>Title</b>
<b>Preparing for the future funding of local government from 2019</b>
<b>Description</b>
<b>There is a risk that the Council fails to properly take account of the government changes to future local government funding from 2019 and does not effectively prepare for these changes.</b>

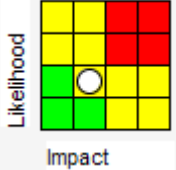
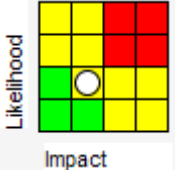
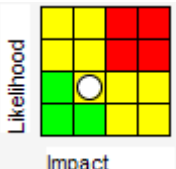
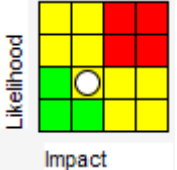
<b>Present Matrix</b>	<b>Assessment Date</b>	<b>Control Strategy</b>	<b>Target Risk Matrix</b>
	March 2017	The Senior Management Team and in particular the Corporate Support & Resources directorate are rightly focussed on monitoring the development of government/local taxation and grant plans for District councils. At present we don't yet have a sufficiently clear picture of post 2019 funding. In addition to this work the SMT are also working on developing our income streams via the Commercial Strategy sub group of the Business Management & Development Board.	

<b>Impact Description</b>	<b>3</b>
<b>Likelihood Description</b>	<b>3</b>
<b>Risk Score</b>	<b>9</b>

<b>Target Risk Date</b>	<b>30-Sept-2017</b>
<b>Target Risk Score</b>	<b>4</b>

<b>Lead Officer</b>	Jason Gooding
<b>Portfolio Holder</b>	Finance, Governance & Resources
<b>Overview and Scrutiny</b>	Resources

<b>Council's Income Targets</b>
<b>'There is a risk that the Council's income from chargeable services eg car parking does not meet MTFP projections and that the Council does not take advantage of other commercial opportunities'</b>

<b>Present and Previous Matrices</b>	<b>Assessment Dates</b>	<b>Present and Previous Risk Scores</b>	<b>Current Action Status / Control Strategy</b>	<b>Target Risk Matrix</b>
	March 2017	4	During the past 12 months the Council has closely monitored income targets and these have largely fallen in line with expectations. SMT have also set up a new cross Council officer group designed to explore and act on commercial opportunities. This group will assist the Council to (where appropriate) maximise its income potential.	
	September 2016	4	In light of the above CRMG recommends that this be removed from the CRR and kept under review in each Directorate. If income concerns become apparent as part of the budget process, the corporate nature of this risk will be revisited.  This risk will now be removed from the Corporate Risk Register.	

<b>Current Impact Description</b>	High
<b>Current Likelihood Description</b>	Reasonably probable
<b>Risk Score</b>	4

<b>Target Risk Date</b>	01-Apr-2017
<b>Target Risk Score</b>	4

<b>Lead Officer</b>	Jason Gooding
<b>Portfolio Holder</b>	Finance, Governance & Resources
<b>Overview and Scrutiny Panel</b>	Resources



# Carlisle Plan 2015-18: Plan on a Page November 2016 - March 2018 v1.0

## Vision

To improve the health, wellbeing and economic prosperity of the people of Carlisle. We will work in partnership to further establish our position as the regional centre and focus for investment, ensuring that residents can share in the benefits through increased opportunities and greater choice of jobs, range of housing, and a quality environment.

## Principles

**Clarity      Confidence      Commitment**

## Priorities

Support business growth and skills development to improve opportunities and economic prospects for the people of Carlisle

Further develop sports, arts and cultural facilities to support the health and wellbeing of our residents

Continue to improve the quality of our local environment and green spaces so that everyone can enjoy living, working in and visiting Carlisle

Address current and future housing needs to protect and improve residents' quality of life

Promote Carlisle regionally, nationally and internationally as a place with much to offer - full of opportunities and potential

## Key Actions/ Projects

### BUSINESS PROPERTY & INFRASTRUCTURE

- Complete the Durrhill Industrial Estate infrastructure improvements (November 2016)
- Promote development opportunities for City Council property assets at Caldew Riverside and English Street, with Cumbria County Council (ongoing)
- Support the delivery of a Carlisle Enterprise Zone at Kingmoor Park (ongoing)
- Support the development of Carlisle Airport as a regional gateway (ongoing)

### STRATEGY & PLANNING

- Identify and deliver further projects aligned with the Cumbria Local Enterprise Partnership's Strategic Economic Plan (ongoing)
- Progress the Borderlands Initiative (ongoing)
- Maintain an up to date Infrastructure Delivery Plan and develop proposals to address identified issues (ongoing)
- Develop a Carlisle South Masterplan covering housing, urban design, employment land, transport and infrastructure (ongoing)
- Work with the Environment Agency and partners on future flood plans (ongoing)

### SKILLS DEVELOPMENT

- Continue to support the delivery of the city region Skills Plan aligned to business growth, sustainability requirements and the LEP Skills Strategy (ongoing)

### WORKING WITH BUSINESS

- Proactively develop business support through supporting the Growth Hub (ongoing)

### SERVICE & FACILITIES DEVELOPMENT

- Develop and deliver the proposed new leisure contract to improve facilities at The Sands Centre in line with the City Sports Facilities Development Plan and enhance the leisure services across the city (November 2017)
- Deliver a renewed Old Fire Station 2017/18 Business Plan and Development Strategy (March 2018)
- Monitor and support the Tullie House Trust 2017/18 Business Plan and associated development plans (September 2017)
- Work with Community Centres to develop enhanced business plans, broadband and Wi-Fi services at appropriate sites (March 2018)

### HEALTHY CITY PROGRAMME

- Continue to work with key partners to deliver the World Health Organisation Phase VI Healthy City Action Plan (March 2018)
- Continue to support and develop the Food City Partnership: Local Healthy Eating Options; Carlisle Food Charter; food sector supply chain development; food skills; education and tourism (March 2018)
- Work with partners to develop and deliver a Healthy Workforce programme (from January 2017)

### RETHINKING WASTE

- Modernise the fleet of waste and recycling vehicles to improve services to residents and reduce the environmental impact of our collection service (May 2017)
- Optimise income achieved from the sale of recyclable materials collected (October 2017)
- Complete a comprehensive waste collection round review for all streams of waste, taking into account new housing developments (March 2017)
- Provide quality, clean local environments for people to enjoy with the involvement of local communities, supported by robust enforcement action against those who drop litter, fly-tip or allow their dogs to foul (ongoing)

### CITY CENTRE PUBLIC REALM

- Complete the delivery of a programme of public realm improvements throughout the city: fingerpost signage; interpretation boards and gateway signage (2017)
- Complete the capital improvements to the public realm along Castle Way (March 2017)

### QUALITY OF OUR LOCAL ENVIRONMENT

- Annually review the air quality in Carlisle and work with partners to deliver an Air Quality Action Plan to reduce outdoor air pollution to a safe level (March 2018)

### PARKS AND OPEN SPACES

- Continue to implement the Green Infrastructure Strategy to make our green spaces safe and exciting for our residents and visitors, enhancing Carlisle's reputation as a green, welcoming city for people and business that encourages inward investment, raise property values and increase productivity (ongoing)
- Encourage uptake and better management of allotments to provide space for growing fresh and healthy food (ongoing)
- Deliver the Play Area Strategy to encourage outdoor play through the provision and access to high quality play facilities for our children (ongoing)
- Maintain the 'Gold' standard achieved by our Bereavement Services for quality in crematorium and cemetery management (August 2017)

### HOUSING STRATEGY

- Prepare and publish an updated Housing Strategy (June 2017)
- Develop and implement a Housing Delivery Action Plan (June 2017)

### HOMELESSNESS STRATEGY

- Work together with partners to monitor progress against Carlisle's Interagency Homelessness Strategy 2015-20 (March 2020)

### HOUSING QUALITY/ACCESS

- Improve standards in the private rented sector (including student accommodation) through inspections, advice and, where necessary, enforcement (March 2018)
- Continue to develop and promote the Council's Empty Homes Service by delivering advice and information to empty homes owners (March 2018)
- Deliver the City Council's annual mandatory Disabled Facilities Grant Programme in respect of applications received and revise the Regulatory Reform Order Strategy to improve expenditure compatible with the discretionary grant (March 2018)
- Develop local solutions to ensure opportunities to maximise the delivery of affordable homes which respond to locally evidenced needs (ongoing)
- Work with landowners, developers, and partner agencies (e.g. HCA) to accelerate the delivery of sites (ongoing)

### TOURISM

- Redevelop the Discover Carlisle website (November 2017)
- Continue to support the delivery of a high quality events programme (2016/17/18) across Carlisle to raise the profile of the city, attract more visitors, celebrate diversity and increase pride in the city (ongoing)
- Deliver the Heritage Cities Visit Britain Project to provide an augmented reality Roman themed experience in Bitts Park (July 2017)

### BUSINESS GROWTH

- Work with Carlisle Ambassadors to raise the profile of Carlisle through business engagement. (ongoing)
- Encourage Carlisle Ambassadors to engage partners in promoting the Carlisle story/offer (ongoing)
- Deliver the Cumbrian "Better Business for All Programme" in 2017 through the Cumbria Public Protection Group (March 2018)

**CARLISLE**  
CITY COUNCIL



[www.carlisle.gov.uk](http://www.carlisle.gov.uk)