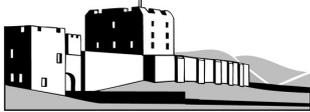


CARLISLE  
CITY COUNCIL



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## AUDIT COMMITTEE

### *Committee Report*

**Public**

**Date of Meeting:** 30 November 2010

**Title:** Corporate Risk Management

**Report of:** The Strategic Director and Deputy Chief Executive

**Report reference:** CE 35/10

**Summary:** The purpose of this report is to update Members on the Council's Corporate Risk Register.

**Recommendations:** The Committee is asked to note the contents of the report as an indication of the continuing commitment to sound governance arrangements for corporate risk management.

**Contact Officer:** Sarah Mason

**Ext:** 7053

**CITY OF CARLISLE**

To: Audit Committee  
Date: 30 November 2010

CE 35/10

**1. Background**

In accordance with the Council's Risk Management Policy, the Corporate Risk Register is submitted to the Resources Overview and Scrutiny Panel (ROSP) for consideration on a quarterly basis.

This report contains the Risk Register (see Appendix 1) that was presented to ROSP on 3/11/10 and is the one that to which ROSP minutes from November 2010 refer to.

**2. Comments on the Corporate Risk Register**

The current risks associated with delivering the Corporate Plan have recently been reviewed and updated by the Senior Management Team and the Corporate Risk Management Group.

The risk register shows both the current and previous risk matrices. Please note that initiatives to reduce risk are incremental and thus changes to the risk scores over the short term are unlikely. The Corporate Risk Register now identifies a target risk; a certain level of risk will need to be tolerated in order to deliver the Council's key objectives and promote change.

'Delivering key objectives' risk has been deleted from the Register. This is considered a summary risk and the risks associated with delivering the key objectives are already covered in the Corporate Risk Register.

**3. Recommendations**

The Committee is asked to note the Corporate Risk Register as an indication of the continuing commitment to sound governance arrangements for corporate risk management and note the enhancements as set out in section 2 above..

Jason Gooding  
Deputy Chief Executive

# Corporate Risk Register

September 2010

## Appendix 1



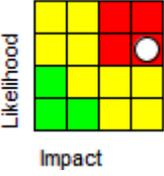
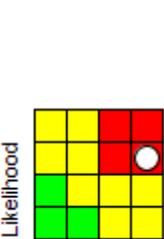
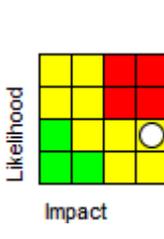
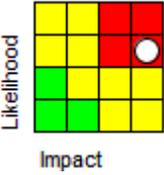
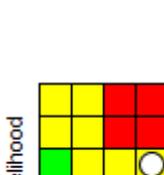
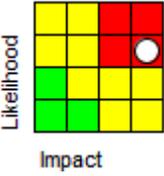
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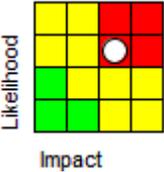
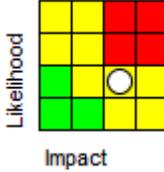
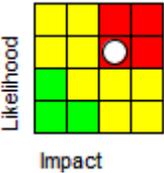
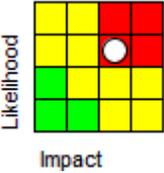
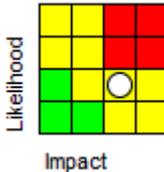
Note: Amendments in the last quarter are marked in *red italics* (or italics only on the printed version)

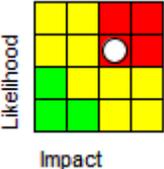
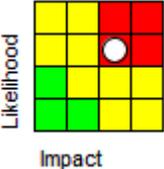
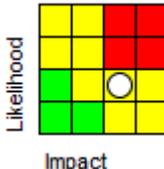
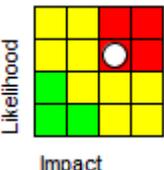
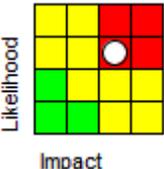
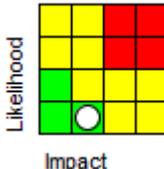
The inclusion of the previous and current risk matrices shows the effect that the control strategies have had on risk ratings since the last quarterly update.

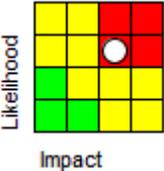
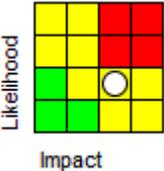
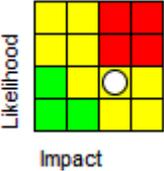
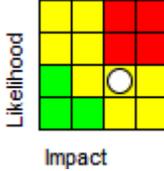
*A target risk matrix shows the risk level that the Council is aiming to achieve from the successful implementation of the control strategies and the date for when this will be achieved.*

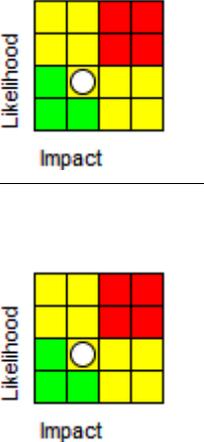
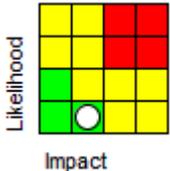
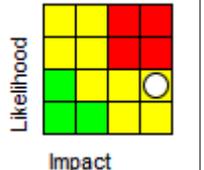
Title and Description	Current and Previous Risk Matrices	Matrix Review Dates	Current Risk Rating	Rating Description	Current Action Status / Control Strategy	<i>Target matrix and date</i>	Managed By/ <i>Portfolio Holder(PH)</i>
<p><b>Limited Resources</b></p> <p>There is a risk that scarce resources are not directed to priority areas within the Council's key objectives of local environment and local economy</p>		<p>Sept 2010</p> <p>June 2010</p>	<p><b>12=</b></p>	<p><b>Impact</b> Critical</p> <p><b>Likelihood</b> Reasonably probable</p>	<p>To make sure that the Transformation Programme, the Medium Term Financial Plan and the Annual Budget are coherently focussed toward the appropriate allocation of resources to deliver the organisation's key objectives.</p> <p><i>It is anticipated that it will take 2 budget cycles to be confident in delivering the required efficiencies.</i></p>	<p>March 2012</p>	<p>Deputy Chief Executive</p> <p>PH: Governance &amp; Resources</p>

Title and Description	Current and Previous Risk Matrices	Matrix Review Dates	Current Risk Rating	Rating Description	Current Action Status / Control Strategy	Target matrix and date	Managed By/ Portfolio Holder(PH)
<p><b>Strategic Housing Authority</b></p> <p>There is a risk that the Council fails to deliver in it's role as a strategic housing authority in achieving a balanced housing market</p>		Sept 2010	12=	<p><b>Impact</b> Critical</p>	<p><i>Revise the Council's Housing Action Plan to reflect the new Government's approach to housing and current/anticipated local circumstances.</i></p>		Strategic Director
		June 2010		<p><b>Likelihood</b> Reasonably probable</p>	<p><i>Ensure that the emerging Local Development Framework Core Strategy is aligned to the Housing Action Plan and LSP Economic Development Strategy.</i></p>		PH: Community Engagement
<p><b>Use of Resources and Assets</b></p> <p>There is a risk that the Council fails to adequately use resources and assets to stimulate, support and sustain economic growth in the area.</p>		Sept 2010	12=	<p><b>Impact</b> Critical</p>	<p>To put in place fit for purpose arrangements for the management of our strategic operation and investment. These will form the subject of the asset management strategy.</p>		Deputy Chief Executive
		June 2010		<p><b>Likelihood</b> Reasonably probable</p>		PH: Governance & Resources	

Title and Description	Current and Previous Risk Matrices	Matrix Review Dates	Current Risk Rating	Rating Description	Current Action Status / Control Strategy	<i>Target matrix and date</i>	Managed By/ <i>Portfolio Holder(PH)</i>
<p><b>Effective and Efficient Neighbourhood services</b></p> <p>There is a risk that the Council fails to deliver effective and efficient neighbourhood services, and improve residents' perception of Carlisle through local environment issues.</p>		Sept 2010	9=	<b>Impact</b> High  <b>Likelihood</b> Reasonably probable	To develop and implement a cost efficient approach to neighbourhood management with key Council Partners.		Assistant Director (Local Environment)  PH: Community Engagement
	June 2010	March 2012					
<p><b>Workforce Planning</b></p> <p>There is a risk that the Council is unable to continue to deliver and develop services due to lack of skills/capacity within the workforce.</p>		Sept 2010	9=	<b>Impact</b> High  <b>Likelihood</b> Reasonably probable	Workforce Planning Group established; Organisational Devt strategy being developed to address authority-wide issues; Workforce planning tools being developed to identify and address current workforce planning issues.		Chief Executive  PH: Performance & Development

Title and Description	Current and Previous Risk Matrices	Matrix Review Dates	Current Risk Rating	Rating Description	Current Action Status / Control Strategy	<i>Target matrix and date</i>	Managed By/ <i>Portfolio Holder(PH)</i>
		June 2010			<i>Skills and capacity issues being addressed through the transformation programme. Learning and development initiatives to support this are ongoing.</i>	Sept 2011	
<p><b>Supporting Employment</b></p> <p>There is a risk that the Council fails to adequately support employers during the economic downturn.</p>		Sept 2010	9=	<p><b>Impact</b> High</p> <p><b>Likelihood</b> Reasonably probable</p>	The review of Carlisle's economic development strategy will focus the City Council and other Partners on their role in supporting city employers and encouraging new development in the area.		<p>Strategic Director</p> <p>PH: Economic Development</p>
		June 2010		March 2011			
<p><b>Vision for the City</b></p> <p>There is a risk that there is no clear consensus/ vision for the City's economy and no agreed strategy with Partners.</p>		Sept 2010	9=	<p><b>Impact</b> High</p> <p><b>Likelihood</b> Reasonably probable</p>	The review of the work of Economic Development and Carlisle Renaissance will be integrated toward a new Strategy and Action Plan. This will be prepared for the new working group and inform the		<p>Chief Executive</p> <p>PH: Promoting Carlisle</p>

Title and Description	Current and Previous Risk Matrices	Matrix Review Dates	Current Risk Rating	Rating Description	Current Action Status / Control Strategy	<i>Target matrix and date</i>	Managed By/ <i>Portfolio Holder(PH)</i>
		June 2010			delivery board that succeeds Carlisle Renaissance.	March 2011	
<p><b>Equality</b></p> <p>There is a risk that the Council fails to meet Equality framework targets.</p>	 	<p>Sept 2010</p> <p>June 2010</p>	<b>6=</b>	<p><b>Impact</b> High</p> <p><b>Likelihood</b> Remote</p>	The comprehensive equality framework is currently being worked on, to be adopted by the Council in preparation for IDeA in October 2010. This will include peer assessment as part of CIEP.		<p>Deputy Chief Executive</p> <p>PH: Performance &amp; Development</p>

Title and Description	Current and Previous Risk Matrices	Matrix Review Dates	Current Risk Rating	Rating Description	Current Action Status / Control Strategy	Target matrix and date	Managed By/ Portfolio Holder(PH)
<p><b>Community involvement in decision making</b></p> <p>There is a risk that communities are not sufficiently engaged in the Transformation programme.</p>		<p>Sept 2010</p> <p>June 2010</p>	<p><b>4=</b></p>	<p><b>Impact</b> Marginal</p> <p><b>Likelihood</b> Remote</p>	<p>Having a clear engagement strategy so that those decisions that will affect the community are timely and appropriate.</p>	 <p>March 2011</p>	<p>Assistant Director (Community Engagement)</p> <p>PH: Community Engagement</p>
<p><b>The following risk can be deleted from the Corporate Risk Register</b></p>							
<p><b>Delivering Key Objectives</b></p> <p>There is a risk that Members, employees and Partners do not deliver the Council's key objectives of local environment and local economy.</p>		<p>15 Jun 2010</p>	<p><b>8</b></p>	<p><b>Impact</b> Critical</p> <p><b>Likelihood</b> Remote</p>	<p>The Transformation Programme is being explicitly designed to deliver the Council's objectives as described in the Corporate Plan.</p>		<p>Chief Executive</p>

