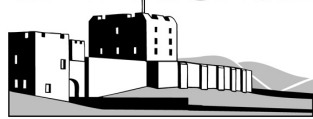


**CARLISLE**  
**CITY COUNCIL**



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## **AUDIT COMMITTEE**

### ***Committee Report***

**Public**

**Date of Meeting:** 14<sup>th</sup> January 2011

**Title:** Corporate Risk Management

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

**Report reference:** CE 42/10

**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: 14 January 2011

**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) to be presented to ROSP on 6<sup>th</sup> January 2011.

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

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

The risk register shows both the current (December 2010) and previous (September 2010) risk matrices. Initiatives to reduce the risks continue to be developed and opportunities for new ways of working with Partners and communicating with residents are being developed.

The 'Equality and Diversity' risk – the risk that the Council fails to meet Equality framework targets - has been deleted from the Register. The Council reached the required standard through self assessment and peer assessment for the 'Achieving' level of the Equality Framework for Local Government. The target of reaching this standard by March 2011 has been exceeded; this standard was attained on the 19th October 2010.

**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 comments as set out in section 2 above.

# Corporate Risk Register

## December 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.

Risk	Description	Present and Previous Risk Matrices	Current Risk Rating	Rating Description	Current Action Status/Control Strategy	Target matrix and date	Managed By/ Portfolio Holder(PH)
<b>Limited Resources</b>	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.	<div> <p>Likelihood</p> <p>Impact</p> <p><b>08 Dec 2010</b></p> </div> <div> <p>Likelihood</p> <p>Impact</p> <p><b>21 Sep 2010</b></p> </div>	<b>12=</b>	<b>Impact</b> Critical  <b>Likelihood</b> Reasonably probable	To make sure that the Transformation Programme, and 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. It is anticipated that it will take 2 budget cycles to be confident in delivering the required efficiencies. <i>Two year (2011/12 and 2012/13 budgets) RSG settlement is in line with Council projections for transformational savings requirements.</i>	<div> <p>Likelihood</p> <p>Impact</p> <p><b>March 2012</b></p> </div>	Deputy Chief Executive  PH: Governance & Resources

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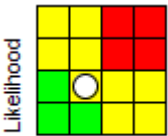
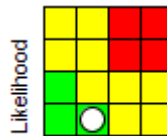
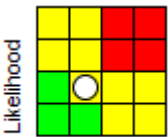
Risk	Description	Present and Previous Risk Matrices	Current Risk Rating	Rating Description	Current Action Status/Control Strategy	Target matrix and date	Managed By/ Portfolio Holder(PH)
<b>Use of Resources and Assets</b>	There is a risk that the Council fails to adequately use resources and assets to stimulate, support and sustain economic growth in the area.	<div> <div>Likelihood</div> <div>Impact</div> <div>09 Dec 2010</div> </div> <div> <div>Likelihood</div> <div>Impact</div> <div>21 Sep 2010</div> </div>	<b>12=</b>	<b>Impact</b> Critical  <b>Likelihood</b> Reasonably probable	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. The Business Plan is to be considered at full Council on 11th Jan 2011 and it is anticipated that the likelihood score will be reduced following this meeting.	<div> <div>Likelihood</div> <div>Impact</div> <div>April 2011</div> </div>	Deputy Chief Executive  PH: Governance & Resources
<b>Strategic Housing Authority</b>	There is a risk that the Council fails to deliver in its role as a strategic housing authority in achieving a balanced housing market.	<div> <div>Likelihood</div> <div>Impact</div> <div>15 Dec 2010</div> </div> <div> <div>Likelihood</div> <div>Impact</div> <div>21 Sep 2010</div> </div>	<b>12=</b>	<b>Impact</b> Critical  <b>Likelihood</b> Reasonably probable	<i>The Carlisle Strategic Housing Partnership has now been re-launched and is now focusing on:</i> <i>- Supporting vulnerable and homeless people</i> <i>- Providing decent homes</i> <i>- Developing the housing market</i> <i>These key foci are all working with a full understanding of the current changes in housing capital grants and government welfare reform. The impact of significantly reduced capital resources announced in the 2011/12 RSG settlement on the partnerships' desired outcomes will need to be assessed.</i>	<div> <div>Likelihood</div> <div>Impact</div> <div>March 2012</div> </div>	Strategic Director  PH: Housing

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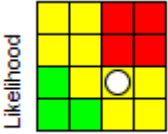
Risk	Description	Present and Previous Risk Matrices	Current Risk Rating	Rating Description	Current Action Status/Control Strategy	Target matrix and date	Managed By/ Portfolio Holder(PH)
<b>Effective and Efficient Neighbourhood services</b>	There is a risk that the Council fails to deliver effective and efficient neighbourhood services, and improve residents' perception of Carlisle through local environment issues.	<div> <div>Likelihood</div> <div>Impact</div> <div>09 Dec 2010</div> </div> <div> <div>Likelihood</div> <div>Impact</div> <div>21 Sep 2010</div> </div>	<b>9=</b>	<b>Impact</b> High  <b>Likelihood</b> Reasonably probable	To develop and implement a cost efficient approach to neighbourhood management with key Council Partners. <i>This work is to be co-ordinated by the Assistant Director (Local Environment).</i>	<div> <div>Likelihood</div> <div>Impact</div> <div>March 2012</div> </div>	Assistant Director (Local Environment)  PH: Community Engagement
<b>Supporting Employment</b>	There is a risk that the Council fails to adequately support employers during the economic downturn.	<div> <div>Likelihood</div> <div>Impact</div> <div>09 Dec 2010</div> </div> <div> <div>Likelihood</div> <div>Impact</div> <div>21 Sep 2010</div> </div>	<b>9=</b>	<b>Impact</b> High  <b>Likelihood</b> Reasonably probable	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. <i>This review falls under the remit of the Economic Development Directorate.</i>	<div> <div>Likelihood</div> <div>Impact</div> <div>March 2011</div> </div>	Strategic Director  PH: Economic Development

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Risk	Description	Present and Previous Risk Matrices	Current Risk Rating	Rating Description	Current Action Status/Control Strategy	Target matrix and date	Managed By/ Portfolio Holder(PH)
<b>Vision for the City</b>	There is a risk that there is no clear consensus/vision for the City's Economy and no agreed strategy with Partners.	<div> <div>Likelihood</div> <div>Impact</div> <div>08 Dec 2010</div> </div> <div> <div>Likelihood</div> <div>Impact</div> <div>21 Sep 2010</div> </div>	<b>9=</b>	<b>Impact</b> High  <b>Likelihood</b> Reasonably probable	The review of the work of Economic Development and Carlisle Renaissance <i>has been</i> integrated. A new strategy and action plan <i>is under development. This will support the work of the Economic Development and Enterprise Group of the Carlisle Partnership.</i>	<div> <div>Likelihood</div> <div>Impact</div> <div>March 2011</div> </div>	Chief Executive  PH: Promoting Carlisle
<b>Workforce Planning</b>	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.	<div> <div>Likelihood</div> <div>Impact</div> <div>08 Dec 2010</div> </div> <div> <div>Likelihood</div> <div>Impact</div> <div>21 Sep 2010</div> </div>	<b>9=</b>	<b>Impact</b> High  <b>Likelihood</b> Reasonably probable	Workforce Planning Group established; Organisational Development strategy being developed to address authority-wide issues; Workforce planning tools being developed to identify and address current workforce planning issues. Skills and capacity issues being addressed through the transformation programme. Learning and development initiatives to support this are ongoing.	<div> <div>Likelihood</div> <div>Impact</div> <div>Sept 2011</div> </div>	Chief Executive  PH: Performance & Development

Risk	Description	Present and Previous Risk Matrices	Current Risk Rating	Rating Description	Current Action Status/Control Strategy	Target matrix and date	Managed By/ Portfolio Holder(PH)
Community involvement in decision making	There is a risk that communities are not appropriately engaged in decision making.	 <p>08 Dec 2010</p>	4=	<b>Impact</b> Marginal  <b>Likelihood</b> Remote	<i>An Engagement Strategy is currently under development. This will be used to inform with the savings strategy in 2011/12 budget and other broader engagement work.</i>	 <p>March 2011</p>	Assistant Director (Community Engagement)  PH: Community Engagement
		 <p>21 Sep 2010</p>					

## Agenda Item No:

Risk	Description	Present and Previous Risk Matrices	Current Risk Rating	Rating Description	Current Action Status/Control Strategy	Target matrix and date	Managed By/ Portfolio Holder(PH)
The following risk can be removed from the Corporate Risk Register							
<b>Equality &amp; Diversity</b>	There is a risk that the Council fails to meet Equality framework targets.	 <b>21 Sep 2010</b>	<b>6</b>	<b>Impact</b> High  <b>Likelihood</b> Remote	<i>The Council reached the required standard through self assessment and peer assessment for the 'Achieving' level of the Equality Framework for Local Government. The target of reaching this standard by March 2011 has been exceeded; this standard was attained on the 19th October 2010.</i>		Deputy Chief Executive  PH: Community Engagement



