Stockton-on-Tees
BOROUGH COUNCIL

Resources
Finance

RISK MANAGEMENT
ANNUAL REPORT
2008 - 2009

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1. INTRODUCTION

1.1 It is impossible for an organisation, whether it is a public or a private body, to achieve effective governance without an awareness of the risks and opportunities it faces in striving to achieve its strategic and operational objectives.

1.2 While recognising that the Council has to deliver services in an increasingly risk-averse society, risk management is regarded as a tool for maximising opportunities as well as safeguarding against potential threats.

1.3 Risk management is the systematic identification, analysis and economic control of opportunities and risks that challenge the assets, reputation and objectives of an organisation.

1.4 The process enables the Council to effectively manage strategic decision-making, service planning and delivery to safeguard the wellbeing of its stakeholders and increase the likelihood of achieving objectives.

1.5 Good risk management practice offers a number of benefits. More particularly, it provides a means of securing and improving strategic, operational and service performance and financial management. It can also help to minimise untoward events which might result in financial losses, service disruption, bad publicity, threats to public health or claims for compensation.

1.6 There is a strong and direct link between the effectiveness of the Council's risk management procedures and its overall performance. Additionally, the discipline is an essential element of good management and a sound system of internal control, and therefore necessary to enable the Council to demonstrate that it has robust systems of Corporate Governance.

1.7 The Risk Management and Insurance Team works proactively to embed the effective management of risk into the Council's processes. This is achieved through the likes of awareness raising exercises, workshops, training, the development of systems and procedures and the provision of supporting guidance material and advice. The function also ensures that risk issues are reviewed regularly at all levels of the Council.

1.8 This fourth Risk Management Annual Report summarises key risk management activity that has taken place over the last 12 months. It goes on to outline risk management policies and practices now in place

and the key issues that will be addressed in 2009/10. Also included is the latest version of the Corporate Risk Register with amendments made over the final quarter of the year ending 31st March 2009.

1.9   The purpose of the report is to demonstrate that on the basis of these processes and the evidence of their effectiveness, it can be concluded that the arrangements for managing risks within the Council are sound and support assurances to this effect in the Annual Governance Statement.

2. THE CONTEXT OF RISK MANAGEMENT IN STOCKTON

2.1 As an organisation concerned with service provision and economic development of the Borough it is essential that the risks to achieving our objectives be managed so that we have the confidence to make decisions with less chance of unwanted surprises.

2.2 By effectively managing our risks and the threats and opportunities which flow from them we will be in a stronger position to deliver our business objectives, provide improved services, enjoy better relationships with stakeholder groups and, achieve better value for money.

2.3 Risk Management is therefore at the heart of what we do and the Council's risk management arrangements and aims for achieving these objectives include having:

- a clear policy, strategy and procedures that are widely disseminated and understood, and are reviewed periodically to ensure that they are promoting effective practice

- effective management of strategic and operational risks, including senior management and members regularly considering and updating the corporate risk register

- effective management of directorate risks by management teams through the use of risk registers, including procedures for the escalation of risks that could impact on the achievement of corporate priorities

- systems for the consideration and management of risks arising from Council involvement in partnerships

- effective management of risks in delivering projects and explicit consideration of risks by senior management and members when making key decisions and initiating significant projects or activities

- a clear understanding that risk management is part of the process for finding innovative solutions and is about carefully considering the risks, as well as the benefits they may bring

- robust and consistent arrangements for embedding officer and member understanding and ownership of risk management

- sufficient dedicated resource to support the development of risk management across the Council

- integrated links to other corporate processes such as performance management and financial management to prevent risk management being regarded as a periodic, stand-alone, administrative activity separate from day to day management

2.4 Stockton's risk management policy and strategy are kept under regular review to ensure that they are fit for purpose, reflect the business needs of the authority, and remain challenging and responsive to Government direction and requirements.

2.5 Strategic risk is concerned with the management of risks to the achievement of strategic (business) objectives. The management of operational risk is dealt with primarily in directorates and concerns the management of day-to-day risks, including the likes of health and safety, professional, human resources, business continuity and environmental risk exposures. These are addressed by the relevant corporate and directorate specific policies and training.

2.6 The structures and processes currently employed to manage risk within the Council are as more particularly described below:

2.7 The Cabinet Member for Corporate Management and Finance is the Member Champion for risk management and works closely with the Corporate Director of Resources to provide management lead and ensure that corporate risks are identified and managed.

2.8 Each directorate/business unit completes a quarterly risk return which provides details of the changes to their risk profile over the previous three months and feeds into the Corporate Risk Register (CRR). The Corporate Risk Manager and his team then work with risk owners where further input and advice are required prior to review by the Risk Action and Corporate Governance Groups.

2.9 The CRR sits above the more detailed directorate registers and is a forward-looking evaluation of the Council's most significant risks and opportunities relating to the achievement of its strategic objectives. Every risk/opportunity is allocated to a particular owner or group of individuals that is responsible for reviewing the risk and controls on a quarterly basis in conjunction with their Service Group Management Team. The registers provide a snapshot of the risk universe at the time in question, helping management to make informed decisions.

2.10 The Corporate Management Team (CMT) also plays a significant role in the risk management process by undertaking its own quarterly robust review of the CRR before submission to the Audit Committee for final approval and reporting on to full Council.

2.11   These methodologies provide for a systematic and consistent approach to identifying corporate responsibility risks and opportunities, reviewing existing controls, setting associated objectives and targets for further risk reduction where possible and, determining appropriate time-bound actions to meet goals and improve performance.

2.12   The strategy underpins our approach to risk management both internally and within the wider environment in which the Council functions along with the framework for ensuring that risk management is truly embedded.

2.13   The profile and engagement in risk management continues to grow in importance within Stockton and the discipline is now fully integrated into the service policy making, financial planning and management processes of the Council. Also, there is increasing evidence of the contribution that the programme is making to the achievement of corporate objectives, the delivery of innovative projects, targeting of resources and improvement in service delivery.

2.14   The substantial progress made in these areas is evidenced by the Council having achieved the highest level rating possible in all 5 themes of the Audit Commission's Use of Resources Auditor Judgements issued in December 2008 and, in its Comprehensive Performance Assessment results published in March 2009.

3. PROGRESS DURING 2008/9

3.1 The positive progress in risk management activities during 2008/09 has included:-

3.2 **External Assessments** - The revised CPA Use of Resources 'harder test' framework introduced in 2005 raised the standard significantly in terms of strategic risk management requirements. Nevertheless, the Audit Commission acknowledged that the Council's systems of risk management were well developed and embedded and awarded a score of 3/4 for this element. This was improved upon in the following year to achieve the highest possible rating of 4, and in 2007/8 the annual assessment score has been successfully maintained at this level.

3.3 The latest assessment relating to the financial year 2007/8 is based on the Key Lines of Enquiry for that year and found that the Council had improved further on an already strong performance across use of resources criteria and specifically in relation to risk management as follows:

"The Council has a strong risk management culture. Risks are identified in service delivery plans and feed into performance improvement plans. Risks are linked to the MTFP, Council Plan and Community strategy. The Corporate Risk Register is reviewed by the Risk Management Group in detail, and then goes to the Corporate Governance Group, CMT, Audit Committee, Executive Scrutiny and Cabinet. All reports to members include a risk management implications section and major projects and strategic decisions include risk assessments and sustainability impact appraisals."

3.4 **Internal Assessments –** During the year an internal audit review was carried out on the risk management arrangements. The audit work was to ensure that control systems adequately meet the following risks:

- The risk management framework in place within SBC may not be proper, comprehensive and robust
- The process in place for identifying, evaluating and controlling risk may be unsatisfactory
- The process for monitoring and reporting risks may be ineffective

Each of these areas was given a Full Assurance assessment – a sound system of controls is being applied consistently.

The report made three recommendations to further strengthen the controls, all of which have subsequently been addressed.

3.5 **Improving the framework for identifying and managing risk across the authority** – During 2008/9 the Council's computerised risk profiling system, MKInsight, has been further developed and expanded and now includes most of the service group risk registers which were formerly recorded on spreadsheets. This provides a mechanism to ensure that risk owners are prompted for updates ahead of deadline dates in their action plans to help ensure that risks are regularly reviewed in accordance with the corporate timescales. Also, the depth and quality of management information has been significantly enhanced for analysis and reporting purposes.

3.6 Further development of the MKInsight is planned in conjunction with colleagues in Internal Audit with whom the software application is jointly operated. This will enable us to continue sharing knowledge about the Council's business activities, risks and effectiveness of controls. It will also help to achieve a consistent approach that supports service managers and the risk-based approach to audit planning.

3.7 **Continuing the development of risk reporting & monitoring processes and strengthening risk management arrangements at the operational level of the authority** - As the Council's risk management culture has evolved and been progressively enhanced becoming more fully embedded, a greater degree of sophistication of measuring consistency has been possible. This led to a corporate risk management exercise in early 2008 involving all Service Group Management Teams to examine the situation in more detail.

3.8 The outcomes were later reviewed by the Extended Management Team and an improvement action plan was drawn up aimed at achieving a greater degree of uniformity and consistency of approach in the future. The situation was re-examined by senior managers in December 2008, when the latest version of the Corporate Risk Register was scrutinised. The conclusions reached from the exercise were that there had been a marked improvement in the risk identification and assessment processes and that the content of the register fairly and properly reflected the Council's risk profile

3.9 **Local Resilience Forum -** Together with its neighbouring Teesside authorities and the emergency services, the Council is a member of the Cleveland Local Resilience Forum. These organisations are termed Category 1 Responders and work alongside other representatives of the multi-agency planning framework. They are tasked to ensure that there is an appropriate level of preparedness for an effective, integrated response to serious or major civil incidents, emergencies or disasters that may have a significant impact upon communities in the Tees Valley region.

3.10   The Corporate Risk and Insurance Manager represents Stockton on the Local Resilience Risk Assessment Working Group and, of necessity, the main focus of the work again in 2008/9 has been undertaking assessments of specific community risk vulnerabilities to meet legal requirements under the Civil Contingencies Act. These are assimilated into the Community Risk Register and used also for the purposes of developing action plans to control and minimise the identified risk exposures.

3.11   The work also involves liaising closely with Stockton's Emergency Planning Officer and Service Managers to ensure that the Council has appropriate contingency arrangements in place to properly fulfil its statutory responsibilities.

3.12   The first draft of the Community Risk Register was completed in 2005/6 and the Risk Assessment Working Group has carried out regular reviews since that time in conjunction with the Cleveland Emergency Planning Unit. There are currently 89 risks in the register, of which 20 are led by the local authorities. The latter meet four times a year to amend and update the detailed individual risk sub-category assessments and the latest version of the Community Risk Register is available for viewing on the Cleveland Emergency Planning website.

3.13   **Flu Pandemic** – The threat of a flu pandemic is included in the Community Risk Register and has been recognised as a serious risk for some years. Indeed, it is now identified in the National Risk Register as the highest risk facing the UK.

3.14   In its role as a main service provider and Category 1 Responder, the Council has developed plans for continuing its business should a pandemic occur. The Response Plan forms part of a framework of plans prepared by the Cleveland Local Resilience Forum's partners and was tested in February 2009. Although further work and refinement is still required on these, they are considered generally fit for purpose.

3.15   The risk of a flu pandemic is included in the Council's profile of significant risks and is mitigated by the Response Plan and the Corporate/Service Business Continuity Plans which contain recovery strategies for each critical service.

3.16   **Insurance –** Whilst working on the business case for developing the Stockton/Darlington Councils' partnership initiative on shared services, risk assessments identified that both Councils had concerns over escalating external risk management and insurance costs. A subsequent feasibility study determined that there were realistic prospects of achieving worthwhile savings by the joint procurement of these services using a consortia purchasing model to deliver the benefits. Accordingly, a full joint marketing exercise was duly carried out, the outcomes of which included substantial reductions in external insurance premium costs for both authorities.

3.17 The were accomplished without compromising the scope and quality of the insurance cover, and with significantly lower stop loss limits, long-term agreement and consortia discounts and, a second year fixed term rates guarantee.

3.18 Part of the tender process was an assessment of the Councils' risk management processes and it has been acknowledged that the results of this contributed to the achievement of the improved renewal terms.

3.19 The exercise successfully demonstrates the benefits derived from adopting a forward-looking evaluation of the threats facing the Council and identifying and taking advantage of opportunities to overcome these and deliver strategic objectives.

3.20 In addition to external policy and internal fund management, the Insurance Service continues to experience significant pressures and demands arising from a more robust approach adopted by many third party (claimant) solicitors when making claims against the Council. Whilst there has been only a relatively small variation in the total annual claim numbers, settlement costs continue to rise exponentially reflecting higher awards of damages and associated legal costs. A summary insurance claims comparison is included at Appendix A of the report.

3.21 **Benchmarking with other public sector organisations** - The Council participates in a regional risk management benchmarking group to compare risk management approaches, practices and performance against neighbouring local authorities and other public sector bodies in the following areas:

- Risk Management Strategy
- Elected Member Involvement
- Corporate Governance
- Risk Identification
- Consultation
- Communication

3.22 Comparisons of this nature are a requirement of the Code of Audit Practice for the Comprehensive Performance Assessment. The survey is also intended to assist the respondents in identifying best practice and thereby advance initiatives within their own organisation, whilst measuring their risk management performance relative to other similar authorities.

3.23 This exercise is undertaken annually and on this occasion seven authorities participated. Stockton was rated second highest with a score of 92.67% against a top score of 93.39%. The full results of the previous and latest surveys are shown in Appendix A of the report.

3.24 As a corollary of the above it is pleasing to report that the Council has suffered no major service interruptions in 2008/9 as a result of failing to identify or manage risk.

3.25 **Risk Management Services Customer Satisfaction Survey** - Each year the Risk Management Section also undertakes an annual survey of client departments across the Council to obtain feedback on their level of satisfaction with the services provided. This is based upon responses to a questionnaire covering 18 elements of the service which are rated on a range of scores between 1 and 5. The current target level of achievement is 4 and this has again been exceeded as shown in the latest results included at Appendix A of the report.

Other on-going strategic and operational activities include:

3.26 **Partnership and Project Management Risks** - Further improvement of the corporate approach to obtain assurance that significant partnership and the Council's major project risks are identified and reviewed using the associated guidance toolkits and well-established risk management procedures.

3.27 **Annual Assurance Statements** - Seeking confirmation in Senior Manager's Annual Assurance Statements that processes are in place to ensure that controls identified to support the positioning of risks in their risk registers are working effectively.

3.28 **Building Schools for the Future** - The Council's Risk Manager has been a member of the BSF Project Team from the outset and has been heavily involved in setting up the framework, systems and procedures for identifying, managing and reporting on risk. The process is now well embedded across all project areas and groups and provides assurance that that risks are being effectively managed and are being aligned with the Project Board's and the Council's executive management teams' agendas and to help drive informed decision-making and hence bring everyone closer to achieving their objectives.

3.29 **Business Continuity Plans** As indicated previously; these have been prepared for all of the Council's key services and for the authority as a whole. Some pilot testing has been undertaken and progress is being monitored through the Policy Officers' Group which has operational links with the Risk Action Group to help ensure development continues in accordance with good practice guidelines. Although much work continues to be needed in this important area, BC is a continual process to maintain services ongoing awareness of measures needed to ensure that the consequences of any business interruption event is minimised.

3.30 **Training and Support -** The Council's Risk Management Team, together with specially commissioned external specialists, have continued to provide various forms of training to both members and

officers during 2007/8. These have included quarterly Managing Risk and Opportunity training days and two workshops with members to provide them with a better understanding and awareness of risk management and the significant business risks facing the Council. There has also been a facilitated session for senior managers as part of the Extended Management Team's work programme, locally held workshops and seminars on topical risk management issues provided by ALARM (The Association of Local Authority Risk Managers) and, more focused training for elected members appointed to the Audit Committee.

3.31 The quarterly Managing Risk and Opportunity training courses introduce risk management concepts and explain Stockton's approach by means of relevant case study and worked examples. Extracts from the evaluations from these courses and the Member briefing are set out in Appendix A of the report and demonstrate that the events were well received and valued by the attendees. It is intended that these training opportunities be delivered again during 2009/10.

3.32 The risk management site on the intranet has been updated and maintained to provide further advice and guidance and contact details, and all relevant information can be accessed by members and officers. The comprehensive support material available includes Guidance on the Identification and Assessment of Strategic Risks, Risk Management Guidance Notes for Elected Members and Guidance for Elected Members Appointed to Joint/Outside Bodies as well as risk assessment forms and other useful information.

3.33 Plans for development of an electronic self-tuition (e-learning) module aimed at widening awareness of the principles and benefits of risk management are progressing and it is intended that this will ultimately be available to both members and staff via a web-browser link from the intranet.

3.34 In addition to the above, there has also been continued good work and achievements in developing risk solutions through numerous operational risk management initiatives including the following:

- Providing support and advice on managing risk in play provision for parks and outdoor spaces e.g. Romano Park Regeneration Scheme.
- Advising on risk transfer arrangements under the insurance and indemnity clauses of significant contract agreements.
- Preparing guidance on requirements for legal liability insurance and levels of indemnity for use in partnership and project agreements and contracts with other outside organisations.
- Risk Management planning and support for large scale community events e.g. SIRF, Christmas Festival and Market, the Infinity Bridge opening celebrations and Spring Festival.

- Advising on risk management aspects of policy and strategy reviews e.g. Highways Winter Maintenance Programme.
- Consultancy services for the management of risks on trips for schools and other services.
- Contract pre-qualification questionnaire evaluations.
- Joint working on reviews and risk assessments of the current economic recession and the affects on the local community.
- Facilitating on Absence Management, Procurement and Partnership risk management workshops organised by ALARM NE Region.
- Planning, guiding and co-ordinating the authority-wide corporate manslaughter risk exposure and assessment exercise.
- Continued monitoring and review of the 12 high level strategic development projects linked to the Council Plan.
- Providing support and advice to the newly set up Motor Fleet Working Group reviewing the management of council-owned, private and leased vehicles used for business purposes.

4. KEY ISSUES FOR 2009/10 AND ONWARDS

4.1 **Corporate Risk Profile –** The first version of the Council's corporate risk register was produced during 2002/2003 in conjunction with its external advisors Marsh UK Ltd. To ensure that the register remained a dynamic up to date document relating to real and present issues, it has been reviewed on a regular basis since that time.

The reviews have confirmed that the majority of risks the Council faces remain relatively constant. However, evolving issues and risks within individual areas inevitably need to be reflected and amendments made or further actions undertaken.

Given the length of time since the production of the Council's original base risk profile, the Corporate Risk Management Group will be considering the need to review the profile in 2009/10 to determine if the catalogue of risks is still fit for purpose in its current form.

4.2 **Comprehensive Area Assessment (CAA)** - The CAA has now replaced the Comprehensive Performance Assessment (CPA) and has been effective from April 2009. This new regime is based on a combination of risk assessment, largely risk-triggered inspection, and audit. Children's Services Joint Area Reviews (JAR) and Annual Performance Assessments (APA), and social care star ratings were also discontinued from the same date.

4.3 The locality based risk assessment included within the CAA will be part of the information to be published annually and it will cover risk related to outcomes, services and organisations in the area and the extent to which these risks are being effectively managed as opposed to the current focus on the Council's performance delivery in the CPA.

4.4 The approach to risk is likely to be different to that in previous years and the Risk Management Team is keen to explore joint working with those responsible for risk management within our CAA partner organisations.

4.5 **Risk Management Funds –** As part of the major re-tendering exercise for external insurance services in 2008/9 an annual £10,000 premium discount was negotiated with the successful insurers, to be used exclusively for the procurement of risk management support services. To date this has been expended in part on buying in the services of professional training providers to provide specialist input to courses for members and officers. There are commitments also to help fund the implementation of a risk management programme for schools in 2009/10.

4.6 **Other issues for the year ahead include:**

- Ensuring that risk management is used effectively throughout the Council, so that its community ambitions are achieved.
- Continuing to review and develop corporate risk management strategy and risk management processes in line with good practice and good governance.
- Continuing to embed and support risk management processes to enhance the existing good management practices of the Council.
- Effectively supporting the Chief Executive Officer and Corporate Directors in maintaining the Corporate Risk Register and their Portfolio risk registers.
- Further extending and embedding risk management into the school environment.
- Progressing work on the risk management e-learning initiative to help maintain core competency across the Council.
- Refining the training programme as appropriate and updating the accompanying guidance material.
- Further enhancing and developing the MKInsight software application.
- Considering ways of further assisting Community and Voluntary Groups in improving their risk management practices should it be required.

5. UPDATE OF THE CORPORATE RISK REGISTER QUARTER 4 – MARCH 2009

5.1   The Council's practice of producing and regularly reviewing and updating the Corporate Risk Register is part of an ongoing process designed to identify and prioritise the risks to the achievement of the authority's policies, aims and objectives. It evaluates the likelihood of those risks being realised, the impact should they occur, and records the measures in place to manage them efficiently, effectively and economically to minimise potential adverse outcomes.

5.2   At the end of each quarter the Corporate Risk Register (CRR) is refreshed and revised to ensure its continuing relevance to corporate objectives. The previous version of the register recorded the position as at 31st December 2008. All Service Groups have been contacted subsequently and their returns show that there have been some minor changes to the Authority's risk profile over the months in question. More particularly, two risks have been deleted, one new risk has been added, and a number of the current entries have been updated.

5.3   The deleted risks are those numbered 9 and 18 in the December 2008 register. The former related to issues around the Billingham Town Centre Regeneration Project and the latter, to the Council's Employee Recruitment and Retention Programme. In both cases recent positive developments and progress with the action plans for managing the risks have successfully mitigated the risk exposures, such that the ratings have now fallen below the threshold level for corporate reporting.

5.4   The new entry at number 9 in the register relates to concerns that the owner of Billingham House will not complete the proposed demolition works by the end of December 2009 in compliance with the Section 79 Notice that has been served. This would result in a continuing negative impact on the neighbouring community because of the state of disrepair of the building and the Council having to instigate prosecution proceedings for breach of the Notice. Further details in this regard are included in the risk entry at Appendix B.

5.5   The other amendments notified for Quarter 4 are confined to updates of the general management details and arrangements for existing entries in the register.

5.6   For purposes of record, all of the changes referred to above have been incorporated in the latest version of the Corporate Risk Register which is included at Appendix B of the report.

5.7   The updated version of the Risk Register will be made available in the Members' Library and an electronic copy incorporating the supporting risk assessment details (accessed by double-clicking the embedded risk issue logo) is to be placed on the intranet (Toolkit/Risk Management and Insurance/Risk Management/Corporate Risk Register).

PERFORMANCE INDICATORS

1. ALARM North East Risk Management Benchmarking Surveys:

Authority – (Type)	2006/07	2007/08	2008/09	Latest Ranking
(A) - Unitary	87.97	89.10	93.39	1
(B) - Unitary : **Stockton Borough Council**	84.43	88.38	**92.67**	**2**
(C) - Police	-	86.9	92.06	3
(D) - Unitary	-	-	90.50	4
(E) - Unitary	87.97	89.10	89.89	5
(F) - Unitary	76.79	83.21	81.12	6
(G) - Unitary	-	84.87	79.67	7

2. Customer Satisfaction Survey Results:

Satisfaction surveys are based on 18 questions with a range of scoring between 1 to 5, with 5 being "Excellent", 3 "Met Demand" and 1 being "Poor".

	2004/05	2005/06	2006/7	2007/8	2008/9
% less than 2.5	**0**	**0**	**0**	**0**	**Results not available until later in year**
Average	**4.2**	**4**	**4.4**	**4.2**	

3. Training Course Evaluations:

As has been the practice in previous years, four corporate 'Managing Risk and Opportunity' one-day training events were offered during 2008/9. There is still room for improvement in the levels of attendance at these events and this is disappointing, particularly as responses from participants have been positive and generally favourable as regards the benefits derived from the training content. These are evidenced by the following extracts from the training evaluations:

Course Objectives:

	Yes %	No %
Did you find the course enjoyable?	98	2
Were the course objectives clearly set out?	100	-
Do you think the objectives were achieved?	100	-

Delivery of Training:

		Strongly agree > > > Strongly disagree			
		1	2	3	4
Presentation was clear and understandable	%	82	12	6	
Resources were appropriate and comprehensive	%	74	22	4	
Training was delivered to an appropriate level	%	76	18	6	
Length of course was acceptable	%	69	25	6	
		< 94% >			

4. Training Course Endorsements

Managing Risk and Opportunity:

o Informative and presented in a clear format and interactive manner.
o Course was interesting and enjoyable.
o Very thorough step by step approach with exercises to highlight learning.
o Raised awareness of what risk management is and how it should be applied.
o Very interactive with a lot of encouragement to contribute & use personal experiences.

Members' Risk Management Briefings

o The seminar was really worthwhile. I would recommend that all elected councillors should attend.
o Interesting, excellently presented.

o The objectives were clearly explained and the discussion really helped as well.
o I now understand the broad spectrum of risk assessment and management.
o Interesting, relevant and informative.

5. Insurance Claims Summary

Types of Claims	Nos. of Claims Received		
	2006/07	**2007/08**	**2008/09**
Public & miscellaneous Liability	469	418	362
Employers Liability	30	24	21
Motor Vehicle	142	153	188
Property	65	44	31
Miscellaneous non-Liability	8	3	4
Uninsured Loss Recovery	29	51	56
Annual Grand Total	**743**	**693**	**662**

Stockton -on-Tees
Borough Council

CORPORATE RISK REGISTER

Quarter 4 March 09

APPENDIX B

			RISK IDENTIFICATION & ASSESSMENT						RISK MANAGEMENT				
Service	Corp. Risk No.	Business / Service Objective	Impact Score X Likelihood Score = RISK Score [Risk Score: >20=Catastrophic, 16-20= High, < 16 Medium, Low]					Measures already in place to control risk	Measures planned for next year	Effectiveness of proposed controls	Target Date	Officer Responsible
			Risk Issue	Risk Type	Previous Risk Score	Present Risk Score	Risk Category					
Corporate	1		Impact of an outbreak of **pandemic influenza** on business critical services provided by the Council http://sbcintranet/library/64521/73047/110026/118803/118808?view=Display1	Managerial Reputaion Environmental	I = 5 X L = 4 = 20	I = 5 X L = 4 = **20**	**High**	The Council has developed plans for continuing its business should a pandemic occur. The Response Plan forms part of a framework of plans prepared by the Cleveland Local Resilience Forum's partners and was tested in February 2009.The Corporate/Service BCP's contain recovery strategies for each critical service.	Further development and enhancement of existing measures in conjunction with Service Groupings, national and regional agencies		Ongoing	Mike Batty/Tony Beckwith
CESC Children & Young Peoples Operations / Strategy and Adult Operations / Strategy	2	CESC 14	Serious injury or death leading to a **Serious Case Review** Through either a failing in policies/procedures, personnel or partnerships, clients under our care (either directly or through contracted services) are exposed to dangers sufficient to cause death or serious injury. http://sbcintranet/library/64521/73047/110026/126619/126695.xls?view=Display	Professional Managerial Reputation Financial Social Legal	I = 5 X L = 4 = 20	I = 5 X L = 4 = **20**	**High**	Adult Protection / vulnerable adults training, CP procedures, LSCB, CSCI inspections, contracting arrangements. There has been an increase in the volume of referrals to the services and subsequent increase in activity. Additional resources have been made available to address the situation, but difficulties remain in the recruitment and retention of experienced staff.	The likelihood has increased as a result of an increase in the volume of referrals to the services and subsequent increase in activity and difficulties in recruitment and retention of experienced staff. Duty Team is now in place for children's services which will be monitored and progress reviewed at the end of Q1 2009/10 (6 month position) with a view to dropping the likelihood to 3.		Review June 09	Tony Beckwith

			RISK IDENTIFICATION & ASSESSMENT						**RISK MANAGEMENT**				
Service	*Corp. Risk No.*	*Business / Service Objective*	Impact Score X Likelihood Score = RISK Score [Risk Score: >20=Catastrophic, 16-20= High, < 16 Medium, Low]					*Measures already in place to control risk*	*Measures planned for next year*	*Effectiveness of proposed controls*	*Target Date*	*Officer Responsible*
			Risk Issue	*Risk Type*	*Previous Risk Score*	*Present Risk Score*	*Risk Category*					
DNS Housing Regen.	**3**	SIP 4.1	Implement the masterplan for the **Parkfield** Housing Market Renewal area. Failure to obtain sufficient funding / support to deliver the masterplan (to purchase both residential and commercial units), Credit crunch/housing market slump Constraints on site of Lord's Tavern of potential Aldi supermarket. * Deliver large scale housing regeneration in **Mandale** - Long term sustainability and the need to ensure the area continues to thrive and not go into decline again. Credit crunch / housing market slump. Barratt / Haslam unable to purchase 08/09 land and provide Capital receipt of £1.5m. Barratt or Haslam to go bankrupt. * Deliver large scale housing regeneration in **Hardwick** - Credit crunch /housing market slump. Barratt / Haslam unable to purchase land valued at £2.8m. Barratt / Haslam go bankrupt Delay with completion of new primary school Implement Masterplan for Housing Regeneration RIAF - Stockton Intranet	Professional/ Managerial Environmental Reputation Financial Legal	I = 5 X L = 4 = 20	I = 5 X L = 4 = **20**	**High**	Housing Regeneration Steering Group Mandale / Hardwick and Parkfield Steering Groups Ongoing discussions with Barratt / Haslam Ongoing discussions with SBC Finance. Advice from scheme Legal advisers Marketing Campaign to boost sales New Affordable Homeownership Team established to develop options to assist homeownership Meeting with Chief Executive (CX) and Corporate Director of Resources (CDR)	**Actions :** Ongoing discussions with Barratt / Haslam, SBC finance, and scheme legal advisers. Working with Homes & Communities Agency to develop Joint Venture (JV) model to get best value for Council out of the scheme.PR campaign to boost Sales. Action plan and community / economic development work. Regular Monitoring of school progress. Development of Rent to Buy scheme. **Q4 update** : Developers have again advised that the Mandale scheme is performing well in the current economic climate. We are finalising a further land sale to Keepmoat and Nomad which will complete in Q1 of 2009/10. this further re-enforces partners commitment to deliver the scheme and demand. The land price is fixed as per the Devlopment agreement. sales at Hardwick have slowed, however there is still build activity on site. There have been ongoing discussions with the developers and we are anticipating that the assembled land will be purchased by the developers on 1st July 2009 (£2.4 million capital receipt), again the land price is fixed. At Parkfield Phase 2 we are still in discussions with the Homes and Countryside Agency (HCA) regarding further funding, this has not yet been confirmed but confirmation is expected in early 2009/10.		Review June 2009	Sharon Thomas
Children & Young Peoples Operations / Strategy and Adult Operations / Strategy	**4**	CESC 04	**BSF Programme** continuity/failure/late delivery http://sbcintranet/library/64521/73047/110026/126619/127168.xls?view=Display	Professional Managerial Reputation Financial Social Legal	I = 4 X L = 4 = 16	I = 4 X L = 4 = **16**	**High**	Project Board established & meeting monthly. Project Team and its Task Groups meet regularly. Liaison with 4P's (*local government project delivery specialist*) and PfS (*Partnerships for school*) is regular and robust. The programme is reviewed regularly against the set guidance and criteria laid down by the PfS. Processes developed to ensure progress is maintained. A BSF risk register has been developedand is continually reviewed with input from corporate and task group leaders. The programme remains in a strong position and is on target to provide BSF Outline Business case to PfS/DCFS in Sept'09. There are many significant matters in development which have potential to cause delays, hence the rating of 16	Attempt to develop alternative options to those already published to try and find a compromise plan that will satisfy the current concerns. Lobby PfS, OSC and DCSF (*Dept for Children, families & schools*) to seek variance to funding & development guidance. Continue to review progress and maintain target dates for key milestones		Review Dates : June' 09	Lionel Danby Julia Morrison Peter Seller

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Corporate	**5**		The effects and unpredictability of the current **economic downturn** and global recession on the local economy jobs and residents, and on the ability of SBC to deliver the Council Plan and Strategy. http://sbcintranet/library/64521/73047/110026/126619/126627.xls?view=Display1	Professional/ Managerial Environmental Reputation Financial Legal Environmental	I = 4 X L = 4 = 16	I = 4 X L = 4 = 16	**High**	The Council's budgetary preparations, the built in flexibility of the medium term financial and service plans and the progressive implementation of the efficiency, improvement and transformation programme. Use of discretionary housing benefit payments scheme. Working with National Government, regional and local partners to put in place measures to help mitigate some of the effects of the economic downturn. Identifying and utilising all available relief and enterprise funding to mitigate the impact of redundancies by providing advice, support and training to those people affected. Fortnightly meetings between the Association of NE Councils and the regional Government Minister to monitor the economic conditions. Vigilant monitoring and continual review of the economic situation by CMT and Cabinet. Regional funding from ONE to provide financial support to companies experiencing trading difficulties and working closely with other agencies and business partners to develop solutions and practical ongoing support. Pilot skills-swap schemes. The multi-agency TV Housing Recovery Task Force has been established to respond to worsening housing market and to explore and implement means of mitigating some of the effects. Enhanced services from SDaIS for the provision of help and advice to members of the community and wide publicity of local support services through Stockton News and the local media. The positive impact on the local economy of delivering public sector funded schemes e.g. The Infinity Bridge, Splash extension, refurbishment of Billingham Forum, upgrade of the Tees White Water Course.	Numerous Council led and multi-agency strategies have already been implemented. These are being continually enhanced and new ones developed to eliminate the risks where possible, and to reduce those with immutable presence to the lowest possible levels. Vigilant monitoring, tracking and review processes with monthly reporting to the CMT and to Cabinet and active risk management at all service levels.		Monthly	Lead Officer - Richard Poundford

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CESC Adult Strategy & Children & Young People's Strategy	6	CESC 12	**Placement for people with Complex needs** Overspend in relation to budget due to unpredictability of demand in relation to specialist placements for: · Children who are difficult to place, including adoptive placements; · High cost transitions to adult services · Particular intensive LD placements; and · Having to move children out of the area due to lack of choice over provision. This includes local and out of area placements. http://sbcintranet/library/64521/73047/110026/126619/126630.xls?view=Display1	Social Economic Reputational Service Quality Financial	I = 4 X L = 4 = 16	I = 4 X L = 4 = **16**	**High**	Gate keeping via internal Resource Panel and Multi-agency Panel (MAP), and adult multi disciplinary panel.	Growing demand pressures against finite capacity. Needs to be seen in context with CESC02 (Demographic changes and demand for services){ *Corporate Risk Register - Risk No 8- Score 16*} and CESC07 (Finance & Resource availability in all CESC Services) {*score 12 in Service Group Risk Register* }		Review June 09	All Heads of Service
CESC Adult Strategy	7	CESC 10	**Personalisation Agenda** Implementation of the Personalisation agenda as outlined in "Putting People First". In particular, the impact of anticipated risks around funding for services, staff roles and development, safeguarding and market management. Currently, the key risk centres around how the development of the RAS will match to use of resources, and result in an increase in cost for the delivery of key services across all client groups http://sbcintranet/library/64521/73047/110026/126619/126636.xls?view=Display1	Social Economic Reputational Service Quality Financial	I = 4 X L = 4 = 16	I = 4 X L = 4 = **16**	**High**	RAS finance group established reporting to Personalisation Board. Links into regional and national steering groups and guidance. Finance Officer appointed to take forward RAS work locally. Discussions with Internal Audit taking place to raise profile and highlight risks. Awareness raising events being organised for SBC staff and contracted providers.	Implement Personalisation Action Plan The impact of anticipated risks around funding for services, staff roles and development, safeguarding and market management. The key risk centres on how the development of the RAS will match to use of resources, and result in an increase in cost for the delivery of key services across all client groups.		Review June 2009	Pete Smith
CESC Children & Adult Strategy	8	CESC 02	**Demographic changes** and demand for Services - Growing over 85s and more children with complex needs and the subsequent increase in demand levels for Services http://sbcintranet/library/64521/73047/110026/126619/126639.xls?view=Display1	Social Economic	I = 4 X L = 4 = 16	I = 4 X L = 4 = **16**	**High**	Panels established for Childrens and Adults services (LD & MH) Eligibility criteria Commissioning arrangements to increase specialist childrens services capacity (e.g. fostering, adoption, low secure provision) Development of preventative services for older people (e.g. intermediate care and more robust care management systems Financial reporting Actions within SIPs & BUPs	Performance Indicator - Demographic changes and impact of Personalisation needs to be considered in PID Risk remains high with evidence of increased demand for services across Children's Services as well as Adults. This links into CESC07 (Finance & resource availability) { *score 12 in Service Group Risk Register* } and CESC12 (People with complex needs){ *Corporate Risk Register - Risk No 6- Score 16*} as a risk over capacity and resources to meet demand. Will need to be reviewed as local actions we could take to mitigate risks are repeated in the other areas.		June' 09	Peter Seller Ruth Hill

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DNS RED	**9**	RED 2.2 & 2.3.11	The demolition works to **Billingham House** are not started in adequate time to achieve demolition (by 31st December 2008) 1) The land/building owner fails to comply with an agreed Section 79 Notice to demolish Billingham House by 31st December 2008 resulting in a continued negative impact on the neighbouring community because of the state of disrepair of the building. The Council would be 'forced' to pursue this breach via prosecution for non-compliance. 2) The land owner commences work but does not complete by 31st December 2008 or leaves site before completion. RED Major Regeneration Schemes RIAF - Stockton Intranet	Professional/ Managerial Environmental Reputation Financial Legal Social	I = X L=	I = 4 X L= 4 = **16**		Project team assigned to drive forward the aims of the Council. Witness statement completed and referred to Litigation.	Continue to seek evidence from Bizzy B that they are progressing with programme. Meet with them regarding their future plans for the site (in order to bring about regeneration) Q4 update : In January and February 2009 the Council requested progress updates from Bizzy B regarding the refurbishment proposals and confirmation that the building has been certified asbestos-free. No information has been forthcoming and the Council has advised Bizzy B that case for prosecution of their non-compliance with the Section 79 notice is being prepared. There is a window up until 12 June 2009 for the Council to lodge a prosecution case with the Courts (six months after the end of the Section 79 demolition programme), however, the Council will lodge its case in May 2009 to ensure that this deadline is not missed, while allowing as much time as possible for the refurbishment proposals to be negotiated. The case may conclude in September 2009 if Bizzy B plead not guilty, however, the building is neither demolished nor refurbished as required by the notice, so it is likely that they will be found guilty. If this is the case they will be fined up to £2500 plus £2 per day for every further day that they are in breach of the notice.		Review Date June 09	Louise McDonald

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DNS RED	**10**	2.2	**Northshore:** Failure to progress the project to the required timescale and quality. Detrimental rather than beneficial effect on the Town Centre	Professional/ Managerial Environmental Reputation Financial Legal Social	I = 4 X L = 4 = 16	I = 4 X L = 4 = **16**	**High**	The North Shore Board oversees the project and is updated on progress every 4-6 weeks. A detailed risk register is scruitinised at this meeting and measures taken to alleviate the risks within it. Progress and issues surrounding the project is reported to Cabinet CMT ,DMT and the SBC Major Projects Steering Group.	Regular meetings with Tees Valley Regeneration (TVR) / developers to assess the progress, the RED Head of Service now attends monthly progress meetings with the developers. Difficult as the market conditions are main reason for the risk on this project. Q4 update : The planning application is on course to be determined in May 2009. Interest in the scheme is still heavily influenced by the economic downturn, but the predicted start on site date of April 2010 remains unchanged.		Review Date June 2009	Tim Gibson
			RED Major Regeneration Schemes RIAF - Stockton Intranet									

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DNS RED	**11**	2.3	**Stockton Riverside:** Failure to progress the project to the desired timescale and quality. Detrimental rather than beneficial effect on the Town Centre. Missing the opportunity to maximise the potential of Stockton Riverside and link the Town Centre to the Riverside and Northshore also poses a risk. Major risk is the failure to deliver the new Riverside Reallignment at the junction with Bridge Road either through Compulsory Purchase Order (CPO) or negotiated acquisition. RED Major Regeneration Schemes RIAF - Stockton Intranet		I = 4 X L = 4 = 16	I = 4 X L = 4 = **16**	**High**	Progress, resource requests and issues surrounding the project are reported to Cabinet,CMT ,DMT and the SBC Major Projects Steering Group. Regular meetings are undertaken with our main partners and funders ONE.	The project team is being driven by the RED Head of Service. The project team meets regularly to review progress on all matters. Regular meetings with ONE to assess the progress take place. Reports to the Major Projects Steering Group. Q4 update : Report to May 2009 Cabinet and revised economic assessment work is to be undertaken to produce an investment strategy for the Stockton Riverside/Town Centre area. This will assess the key interventions proposed for the area assessing the economic impact and setting down phasing and prioritisation.		Ongoing Review Date June 2009	Tim Gibson

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DNS RED	12	2.4	**TS KELLINGTON** Failure to remove the Kellington from the river in the short term may result in her sinking and causing environmental pollution plus possibly incurring substantial financial cost to the Council. There is also a risk to the regeneration of Stockton Riverside due to the negative effect of the vessel. RED Major Regeneration Schemes RIAF - Stockton Intranet		I = 4 X L = 4 = 16	I = 4 X L = 4 = **16**	High	Regular project meetings with partners where risks are considered and addressed. Project updates are taken to the SBC Major Projects Steering Group.	The project team is being spearheaded / driven by the Acting Director of DANS. The project team meets regularly to review progress on all matters. Regular meetings with Ministry of defence / British Waterways Board (BWB) to assess progress take place. Also reported to the Major Projects Steering Group. **Q4 update** : Emergency action is being taken to keep the Kellington afloat, following a suspected vandal attack on or around the 4th April 2009. The incident has called for emergency action and all the key stakeholders have moved very quickly to resolve the situation. Able UK have also responded in order to bring forward their dismantling operation upon stabilisation of the vessel, which could be as early as wc 13.04.09. The Environment Agency have stated that the current condition of the Kellington warrants commencing with full disposal without an Environmental Permit which was a previous requirement. All key stakeholders have been working together for some time to achieve the removal of the Kellington from the river in the safest and most environmentally possible manner this will now commence with immediate effect. A method statement for disposal in situ has been prepared by Able UK. 22.05.09 Dismantling work ongoing, risk of vessel breaking up is reducing, so score reduced from 20 to 16.		Review Date June 2009	Tim Gibson

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Risk Management and Insurance Section

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DNS RED	13	RED 2007-8/1	A Grade 2* listed building (**Brunswick Chapel**) located on Dovecot Street has been deemed structurally unstable, and we as a Council have a statutory obligation to look after listed buildings. RED Major Regeneration Schemes RIAF - Stockton Intranet		I = 4 X L = 4 = 16	I = 4 X L = 4 = **16**	**High**	Stockton Council served a notice under the Dangerous Structures Act and the building has been vacated. A Repairs Notice, through the Planning Act, has been served on the owner. Over two months have elapsed since this notice was served and, as no actions have been taken to secure the building, the Authority can now chose to instigate Compulsory Purchase Order proceedings. The Authority also has the power to serve an Urgent Works Notice through the Planning Act. If the owner was unable to fund the works then it would be the responsibility of the Authority to fund the work and then attempt to recover it. The highways have closed off in the neighbouring streets to make the public highway safe. Engineers (Stockton Council, owners, and English Heritage) have designed a solution to support the building externally to make it safe to the public, but this has not been put in place and the building remains unsupported. Listed buildings consent exists for demolition of the roof and erection of a structural scaffolding, but costsings for this method of working indicate that it will not be economical without significant grant funding., beyond that available under the Stockton in Heritage Partnership scheme. English Heritage have indicated that they are unhappy with an alternative, cheaper methodology but a final funding decision is awaited.	Whilst continuing to make efforts to facilitate a sale Stockton Council is commissioning a future use study in order to complete an English Heritage Acquisition Grant application. Such a grant would underpin costs should compulsory purchase be pursued. **Q4 update** Revised to reflect current position of back-to-back deal and English Heritage input		Review June 2009	Nigel Laws / Fiona Short

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PP & C	14	PPC6	Delivery of the **Local Area Agreement** and achievement of the associated targets over the period of the LAA 2008-11 including attainment of the reward elements of the LAA including the Working Neighbourhood Fund reward. http://sbcintranet/library/64521/73047/110026/126619/126659.xls?view=Display1		I = 4 X L = 4 = 16	I = 4 X L = 4 = **16**	**High**	Performance Management of the LAA has been integrated into the council and LSP's performance management arrangements. Negotiations with GONE are taking place on measures where no target currently exists and/or where it may be possible to renegotiate a target. Progress against target in the first half of the year was strong and each measure has had an economic impact assessment. Data collection systems are being assessed for their robustness as part of an ongoing programme of joint audits between Internal Audit and The Intelligence & Improvement Team.	Continued monitoring of performance, checking of data collection systems and discussions with GONE. Further work to be carried out to quality assure action plans to achieve targets in light of changing circumstances now that some data is available for most measures.		June '09	Kate Fulton Lesely King
Resources	15		**Equal Pay Claim** http://sbcintranet/library/64521/73047/110026/126619/126662.xls?view=Display1	Professional/ Managerial. Legal. Financial Reputational	I = 4 X L = 4 = 16	I = 4 X L = 4 = **16**	**High**	The council remains vulnerable to potential tribunal claims once the Single Status agreement has been implemented in relation top equal value claims from former APT&C colleagues. In additionthe new School Support staff Negotiating Body may enhance risks of potential claims when it produces its grades/salaries at a national level for staff in schools.	Implementation of Single Staus Agreement resulting in 'Equality Proof ' pay & grading structure. Completion of JE appeals process. Strict controls on changes in jobs (Honoraria and re-grades)		Review June 09	Denise McGuire

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Resources (HR)	**16**	16	**Health and sickness absence** Health & Sickness absence RIAF - Stockton Intranet	People	I = 4 X L = 4 = 16	I = 4 X L = 4 = **16**	**High**	Creation of an absence management team to provide: * Performance monitoring on a monthly basis between HR and Managers/CMT * Provide information with regard to notifiable absences to HR/Advisory/Occ Health and managers * Revised processes and procedures including triggers of 3 occasions and/or 10 days absence. * Notify Managers of these triggered absences on the first day of that trigger. * Provide immediate input to the computerised payroll system of absence to ensure correct pay and eliminate overpayments. * Training and awareness for all managers/supervisors	Review impact of performance monitoring of new procedures. Complete Final Rollout to schools - this has been completed either via day 1 or Sims reporting. Continue to monitor accuracy of sickness input - error rate for 08/09 0.47 . Continue to provide managers with timely information relating to sickness The Employee Health Team are to continue to focus on employees who have had in excess of 5 periods of absence in the last 12 months. The wellbeing Team continue to support any employee experiencing any notified health related problem. A programme of health promotion events will continue to be delivered.		Review Sept. 09 Target Date 31.03.10	Gavin Morrigan Susan Coulson
Resources (HR)	**17**		**Single Status** http://sbcintranet/library/64521/73047/110026 /126619/126669.xls?view=Display1	Professional/ Managerial. Legal. Financial People	I = 4 X L = 4 = 16	I = 4 X L = 4 = **16**	**High**	Single Table Bargaining process used to come to Single Status Agreement. Appeals process developed	Implementation of single staus agreement. Job Evaluation Team put in place. Processing of appeals against Job Evaluation Scores. Completion of outstanding issues around terms and conditions for employees with special circumstances.		Review June 09	Denise McGuire