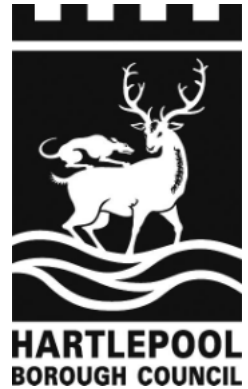


# CABINET AGENDA



**Monday, 22 February 2010**

**at 9.00 am**

**in Committee Room B, Civic Centre, Hartlepool**

**MEMBERS: CABINET:**

The Mayor, Stuart Drummond  
Councillors Hall, Hargreaves, Hill, Jackson, Payne, and Tumilty

**1. APOLOGIES FOR ABSENCE**

**2. TO RECEIVE ANY DECLARATIONS OF INTEREST BY MEMBERS**

**3. MINUTES**

- 3.1 To receive the Record of Decision in respect of the meeting held on 15 February (*to be circulated in advance of this meeting*)

**4. BUDGET AND POLICY FRAMEWORK**

No items

**5. KEY DECISIONS**

- 5.1 Extra Care Housing: Provision Of Care & Support Services – *Director of Child and Adult Services*  
5.2 Provision Of Domiciliary Care Services – *Director of Child and Adult Services*  
5.3 Cleveland College Of Art And Design: Expansion Plans – Potential Sale Of Leadbitter Buildings, Archive Building And Municipal Buildings – *Director of Regeneration and Neighbourhoods*

**6. OTHER ITEMS REQUIRING DECISION**

6.1 Review Of Risk Management Strategy – *Assistant Chief Executive*

**7. ITEMS FOR DISCUSSION**

No items

**8. ITEMS FOR INFORMATION**

No items

**9. REPORTS FROM OVERVIEW OF SCRUTINY FORUMS**

No items

# **CABINET REPORT**

22 February 2010



**Report of:** Director of Child & Adult Services

**Subject:** EXTRA CARE HOUSING:  
PROVISION OF CARE & SUPPORT SERVICES

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## **SUMMARY**

### **1. PURPOSE OF REPORT**

To seek approval of the tendering process for the provision of care and support services within Housing Hartlepool extra care housing schemes.

### **2. SUMMARY OF CONTENTS**

The report provides background information on the development of extra care housing in Hartlepool and the proposal for the letting of the contract for the provision of care and support to residents of the schemes.

### **3. RELEVANCE TO CABINET**

The further development of extra care housing, with the associated care and support, will have a significant impact on the future provision of care services in Hartlepool.

### **4. TYPE OF DECISION**

Key Decision – test ii applies

### **5. DECISION MAKING ROUTE**

Cabinet – 22 February 2010

**6. DECISION REQUIRED**

Cabinet is requested to approve the tendering process for the provision of care and support services within Housing Hartlepool extra care housing schemes.

**Report of:** Director of Child and Adult Services

**Subject:** EXTRA CARE HOUSING:  
PROVISION OF CARE & SUPPORT SERVICES

---

**1. PURPOSE OF REPORT**

- 1.1 To seek approval of the tendering process for the provision of care and support services within Housing Hartlepool extra care housing schemes.

**2. BACKGROUND**

- 2.1 As part of the Council's Housing Care and Support Strategy it was identified that there was a requirement for specialist housing, in the form of extra care accommodation.
- 2.2 One of the principles of extra care housing is the availability of on-site care and support 24 hours a day, 7 days a week. This is intended to promote independence and reduce the need for individuals to enter residential care.
- 2.3 Hartlepool's first extra care development at Hartfields Retirement Village, provides a significant number of people with care and support but there is a need for more extra care housing to support the increasing number of older people with housing and care needs.
- 2.4 In 2008, the Council, Primary Care Trust and Housing Hartlepool were successful in securing £3 million of Department of Health funding to develop a 60 unit facility at Orwell Walk. The development will be ready for residents in Autumn this year. At the same time officers developed proposals with Housing Hartlepool to convert three existing sheltered housing schemes to extra care. These are Albany Court, Bamburgh Court and Richard Court.
- 2.5 Albany Court and Bamburgh Court have been successfully converted and Richard Court is being reconfigured with an expected completion date of Autumn 2010.
- 2.6 The housing related support required for residents of all four schemes will be provided by Housing Hartlepool under existing contractual arrangements funded through Supporting People.
- 2.7 The personal care and support required is to be subject to a competitive tendering process and the remainder of this report will set out the proposed approach.

### **3. PROPOSAL**

- 3.1 As part of the Orwell Walk extra care development, a Steering Group has been established that consists of representatives from Housing Hartlepool, Hartlepool Borough Council, NHS Hartlepool, North Tees and Hartlepool NHS Foundation Trust, 50+ Forum and Frank Haslam Milan (the developers). The Group is chaired by Councillor Gerald Wistow.
- 3.2 The proposal for the letting of the contract for care and support has been considered and accepted by the Steering Group subject to Cabinet approval.
- 3.3 It is proposed that a contract for the care and support to all four Housing Hartlepool extra care sites be awarded following a competitive tender process. To ensure an appropriate balance of price and quality it is intended to use a 'price/performance' approach with a 60:40 ratio for quality and price respectively.
- 3.4 The estimated volume of care hours over the 4 schemes is between 1,000 and 1,600 hours per week. This will be dependent upon the needs of individual residents.

### **4. FINANCIAL CONSIDERATIONS**

- 4.1 The volume of care and support described earlier in this report is likely to have a gross cost of between £675,000 and £1,100,000 per annum. Residents will make a contribution to the cost of their care depending on their ability to pay (in line with the Council's Contribution Policy).
- 4.2 The net costs will be met from existing budgets with a reduction in the use of care homes. Individuals will have a supported self assessment and be allocated a personal budget reflecting their needs which they will use to purchase the care and support required.

### **5. RECOMMENDATIONS**

- 5.1 Cabinet are requested to approve the tendering process for the provision of care and support services within Housing Hartlepool extra care housing schemes.

CONTACT OFFICER: Phil Homsby, Strategic Commissioner (Older People)

# **CABINET REPORT**

**22 February 2010**



**Report of:** Director of Child and Adult Services

**Subject:** PROVISION OF DOMICILIARY CARE SERVICES

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## **SUMMARY**

### **1. PURPOSE OF REPORT**

To seek Cabinet approval of the tendering process for the Provision of Domiciliary Care Services contracts for Older People and other Vulnerable Adults.

### **2. SUMMARY OF CONTENTS**

This report provides an overview of the existing contractual arrangements for domiciliary care services in Hartlepool, the views of users of the services and details of the proposed tender process to be followed for the award of contracts that are to commence in October 2010.

### **3. RELEVANCE TO CABINET**

The provision of domiciliary care has a significant impact on the lives of older people and other vulnerable adults.

### **4. TYPE OF DECISION**

Key Decision – Key Test ii

### **5. DECISION(S) REQUIRED**

Cabinet are requested to approve the tendering process for the Provision of Domiciliary Care Services contracts for Older People and other Vulnerable Adults.

**Report of:** Director of Child and Adult Services

**Subject:** Provision of Domiciliary Care Services

---

**1. PURPOSE OF REPORT**

- 1.1 To seek Cabinet approval of the tendering process for the Provision of Domiciliary Care Services contracts for Older People and other Vulnerable Adults.

**2. BACKGROUND**

- 2.1 The current contractual arrangements commenced in October 2004 and will end on the 30 September 2010. The contracts were initially awarded for 4 years and an option to extend for a further 2 years, following satisfactory performance by the providers, was taken.
- 2.2 Three providers were awarded contracts and each provider was allocated a geographical area of the Borough (North, South and Central) that aligned to the Council's Locality Teams. A requirement of the contract was that the providers should accept all packages offered to them within 48 hours of the referral.
- 2.3 Services are outcome focused with the person receiving the service and the provider agreeing the most suitable way of meeting the person's needs.
- 2.4 As part of the contract the providers agreed to be audited on an annual basis and as part of that audit process feedback was sought from users of the service. The subsequent report was used to assess the performance of the provider and highlight any areas where an action plan, if required, was needed to improve performance.
- 2.5 Collectively, the three providers have supported older people and other vulnerable adults in their own homes for an average of 4,500 hours per week in 2008/09 and 4,900 hours per week in 2009/10. This increase reflects an ageing population and the success of rehabilitation and reablement services in supporting people to maintain their independence.
- 2.6 There are seven other providers who provide specialist support on a spot-purchase basis, however this equates to less than 1,600 hours per week between them and these arrangements are not part of this tender process.



### **3. QUALITY OF CURRENT ARRANGEMENTS**

- 3.1 All providers of domiciliary care are regulated by the Care Quality Commission who rate each provider 'poor', 'adequate' 'good' or 'excellent', Two of the main providers are rated 'excellent' and the third 'good'.
- 3.2 In 2008/09 an annual national survey undertaken by all local authorities, the Personal Social Services (PSS) survey, focused on domiciliary care. All recipients of domiciliary care were asked to complete a questionnaire on the quality of the service they received. The survey had a 59% response rate and, overall, 90% of those that responded expressed satisfaction, but indicated that services could still improve.
- 3.3 Areas of improvement, which will be addressed through the new contract include:
- Ensuring that allocated time is provided at the service user's home.
  - Ensuring that people who use the service are always informed regarding changes to their care.
  - Ensuring that good communication routes are implemented.
- 3.4 In addition, during 2007 Anchor Trust were commissioned to carry out a User Led Evaluation of Home Care Services, this survey once again showed that, overall, people were satisfied with the services provided.

### **4. PROPOSALS**

- 4.1 It is proposed to again award contracts relating to geographical areas of the Borough aligned to the integrated health and social care teams.
- 4.2 As the personalisation agenda progresses and individuals have increased choice and control they may choose to purchase services from providers not contracted by the Council. This could impact on commissioning budgets; therefore, these contracts will be awarded as framework contracts without any guaranteed level of service to be purchased by the Council.
- 4.3 The contracts will be focused on the following outcomes but may be subject to review / amendment depending on the changing agenda:
- Living independently
  - Staying healthy and recovering quickly from illnesses
  - Exercising maximum control over their own life
  - Being involved as an active and equal citizen
  - Retaining dignity and respect
  - More personalised care
  - More integration with health services

- 4.4 Additionally, the new contracts will allow changes through the transformation of adult social care and the flexibility offered through direct payments and personal budgets. By developing outcome based services as part of the specification, this will allow flexibility in affecting changes as the needs of the people develop in line with Putting People First agenda. We will also be including people who use services in the process so we will be able to use their experiences in understanding the changing needs.
- 4.5 The tender exercise will ensure the commissioning of a quality, cost effective service and will also ensure a level of competition amongst providers in the region and nationally. The tender process will also evidence that the market has been tested and ensure that benefits are achieved through development and implementation of best practice in Domiciliary Care Services.
- 4.6 The contract proposals have been discussed at various forums including the 50+ Forum and the Older Persons Local Implementation Team (LIT).
- 4.7 The intention is to commission provider(s) of Domiciliary Care Services to provide care and support to enable people to achieve the outcomes that they have identified themselves in their care and support plans whilst remaining within the community.
- 4.8 Using the PSS and Anchor Trust Surveys of people who use services, the commissioners will ensure that the outcomes are able to demonstrate value for money whilst delivering the quality service needed to meet the assessed needs of people using services.
- 4.9 The new contracts and specifications will build on the current arrangements and will be much more focused on individual outcomes and the delivery of quality services.
- 4.10 The development of outcome-focussed standards will drive quality improvements ensuring that the views of people using services are heard and responded to. People using services will be invited to be part of the process via the evaluation panel to ensure that their requirements are understood by the service providers and to ensure transparency of the process.
- 4.11 In determining the appropriate shape of the market it is essential that flexibility is built into the arrangements to ensure that the Council is not put into a position of guaranteeing levels of service it cannot maintain. This is particularly important as the impact of market changes such as extra care housing, direct payments and personal budgets' are not yet fully known.

- 4.12 The tender process will allow an extensive evaluation of organisational values, care practices, policies and procedures, along with an assessment of each provider's commitment to quality assurance and continuous service development. Only organisations willing to work in partnership with the Council for the benefit of people who use services will be selected. This will create an opportunity for closer working relationships and will also provide opportunities to create the flexibility that people sometimes require when needs change or circumstances alter. New contracts will be established to create an atmosphere of trust and encourage a greater understanding between the partners.

## **5. FINANCIAL CONSIDERATIONS**

- 5.1 The forecasted gross annual cost for the services to be delivered by this tender process is £2.3 million per annum. This figure does not take into account the contributions by people using services, these contributions are based on the individual's ability to pay.
- 5.2 This is already accounted for within the current budget.

## **6. RECOMMENDATIONS**

- 6.1 Cabinet is asked to approve the proposed tendering process for the Provision of Domiciliary Care Services contracts for Older People and other Vulnerable Adults

# **CABINET REPORT**

**22 February 2010**



**Report of:** Director of Regeneration and Neighbourhoods

**Subject:** CLEVELAND COLLEGE OF ART AND DESIGN:  
EXPANSION PLANS – POTENTIAL SALE OF  
LEADBITTER BUILDINGS, ARCHIVE BUILDING  
AND MUNICIPAL BUILDINGS

---

## **SUMMARY**

### **1. PURPOSE OF REPORT**

This report informs Cabinet of recent discussions between Cleveland College of Art and Design (CCAD) and the Council and seeks approval for the sale of Council-owned properties, namely the Leadbitter Buildings, the Archive Building and the Municipal Buildings, to the College to accommodate the expansion and enhancement of the College's facilities.

### **2. SUMMARY OF CONTENTS**

The report outlines the expansion plans of the CCAD and how they fit in with the regeneration of Hartlepool. The potential sale of three Council properties in order to facilitate this expansion is discussed, along with the Council's accommodation and property rationalisation programme.

### **3. RELEVANCE TO CABINET**

The report presents a major regeneration initiative for the town and deals with the potential disposal of significant Council assets.

### **4. TYPE OF DECISION**

Key test (i) and test (ii).apply.

**5. DECISION MAKING ROUTE**

Cabinet 22 February 2010.

**6. DECISION(S) REQUIRED**

That Cabinet approves the sale of the three properties to the Cleveland College of Art and Design in accordance with the terms and conditions indicated in this report.

**Report of:** Director of Regeneration and Neighbourhoods

**Subject:** CLEVELAND COLLEGE OF ART AND DESIGN:  
EXPANSION PLANS – POTENTIAL SALE OF  
LEADBITTER BUILDINGS, ARCHIVE BUILDING  
AND MUNICIPAL BUILDINGS

---

## **1. PURPOSE OF REPORT**

- 1.1 This report informs Cabinet of recent discussions between Cleveland College of Art and Design (CCAD) and the Council and seeks approval for the sale of Council-owned properties, namely the Leadbitter Buildings, the Archive Building and the Municipal Buildings, to the College to accommodate the expansion and enhancement of the College's facilities.

## **2. BACKGROUND**

- 2.1 As Members may be aware CCAD is a specialist art and design college covering both Further and Higher Education provision, with almost half of that provision being the Foundation and BA (Hons) Degrees in the higher education (HE) sector. Honours Degree courses include Textiles and Surface Design, Photography and Entertainment Design Crafts, with a number of Foundation Degree courses in related and similar areas.
- 2.2 In 2009-10 student numbers comprise 494 full time equivalents (FTE) on further education (FE) courses (aged 16-18), 92 FTE on FE courses (19+) and 522 HE students. The catchment area is predominantly sub-regional and it is noteworthy that since all HE provision was moved to Hartlepool in 2007, Hartlepool-based HE student numbers have increased from 47 (2006-7) to 81 (2009-10).
- 2.3 As well as its Church Square premises, CCAD operates from sites in Middleborough at Green Lane and Burlam Road. All three properties have various limitations and constraints, and the College has been reviewing its accommodation options in Middleborough and Hartlepool.
- 2.4 Such review work has been in the context of severe limitations on capital funding, with a clear indication that there will be no funds available from the Learning and Skills Council or the Higher Education Funding Council, given national funding constraints.
- 2.5 After reviewing Hartlepool options in consultation with Council officers, the College has proposed the acquisition from the Council of the freehold of the Leadbitter Buildings, the former Archive Building and the Municipal Buildings in Church Square for conversion, alongside enhancement works to the

existing Church Square property, at an estimated total cost of approximately £1.7m. The College would seek to complete the necessary works to the Leadbitter Buildings and the Archive Building to enable those buildings to be used from September 2010 onwards, with the Municipal Buildings being available to the College from January 2012.

### **3. REGENERATION, PLANNING AND ASSET MANAGEMENT CONSIDERATIONS**

- 3.1 Implementation of these proposals would result in the transfer of 124 FTE degree students to Hartlepool and 16 staff (10.6 FTE), but with the potential for further HE growth in future, subject to HE student number allocations.
- 3.2 In regeneration terms, the use of these buildings by the College is wholly consistent with the Central Area Investment Framework completed in 2009 and previously reported to Cabinet. These proposals should reinforce the presence of the College in Hartlepool and assist in the retention of HE and expansion of FE provision in “creative industries” sectors with identified growth potential for business formation and employment growth.
- 3.3 The proposals fully accord with the concept of the “Innovation and Skills Quarter” in this part of the town centre which emerged from the Investment Framework. They would obviously complement the redevelopment of the College of Further Education and, when linked with the presence of such facilities as the Art Gallery and the Studio, contribute to a strong creative industries theme. In terms of ongoing regeneration proposals, the conversion of these buildings coupled with the transport interchange, the proposed redevelopment of the Crown House site in Surtees Street for managed workspace and proposals to improve the public realm in Church Square and pedestrian links across Stockton Street, all serve to add to the momentum for change in this part of the town centre.
- 3.4 In planning and listed building consent terms, the proposed use of these buildings represents a very good “fit” in terms of the buildings’ location, form and character. Informal discussions between the College, their architects and relevant Council officers indicate that acceptable design solutions should be achievable, although the proposals will of course require planning and listed building consent.
- 3.5 As part of the Council’s Business Transformation Programme the Accommodation Strategy has earmarked the disposal of two administration buildings, namely Aneurin Bevan House and 85 Station Lane. These two properties were prioritised as the most marketable at the time, although there are no prospective purchasers in place.
- 3.6 The approach by the CCAD presents an opportunity to secure a purchaser for the properties in question where previously the market had been doubtful.

- 3.7 If the CCAD proposal is accepted our Accommodation Strategy would be amended to retain Aneurin Bevan House and 85 Station Lane for the present (the Council is still required to rationalise property in future years to meet savings targets). Staff from Leadbitter Buildings would move to Bryan Hanson House, as planned, and staff from the Archive Building would move to the Municipal Buildings. The latter move would be until January 2012 under the terms of the sale to CCAD, at which time the Accommodation Strategy will be further developed, as would be required in any event, to release the required space.
- 3.8 The Leadbitter Buildings and the Archive Building can be made available for sale immediately and vacated over the next 2 – 3 months to enable the CCAD to take possession and complete a refit ready for occupation in September 2010.
- 3.9 The Municipal Buildings are required for Council accommodation in the short term, however, it would be possible for the Council to sell all three buildings as a package and rent back the areas we require at the Municipal Buildings until January 2012. The CCAD prefer this arrangement for initial outright purchase and subject to the terms of the rental being agreed, this could be an acceptable situation for the Council. Alternatively, the Council could sell Leadbitter and Archive Buildings and retain the Municipal Buildings with an agreement in place to transfer the Municipal Buildings in January 2012.
- 3.10 The rationalisation of property brings savings in running costs which contribute to the business transformation target savings and these savings are as follows (based on current budget figures): -
- |                      |   |                |
|----------------------|---|----------------|
| Leadbitter Buildings | - | £51K per annum |
| Archive Buildings    | - | £39K per annum |
| Municipal Buildings  | - | £80K per annum |
- 3.11 The car parking associated with the buildings would also be part of the sale agreement, and this would take place on a phased basis in line with the transfer of the buildings.

#### 4. FINANCIAL IMPLCIATIONS

- 4.1 The financial implications can be found attached at the confidential **Appendix 1. This item contains exempt information under Schedule 12A Local Government Act 1972 (as amended by the Local Government (Access to Information) (Variation) Order 2006) namely (para 3), information relating to the financial or business affairs of any particular person (including the authority holding that information.**



## **5. CONCLUSIONS**

- 5.1 The approach by the CCAD to purchase the buildings presents an opportunity to deliver the Council's rationalisation strategy in a difficult property market and significantly contributes to the regeneration of Hartlepool.
- 5.2 Whilst the proposed terms and conditions of the sale have been discussed with the CCAD, time has not allowed them to be fully agreed prior to the writing of the report. Further details will be presented verbally to Cabinet at its meeting.

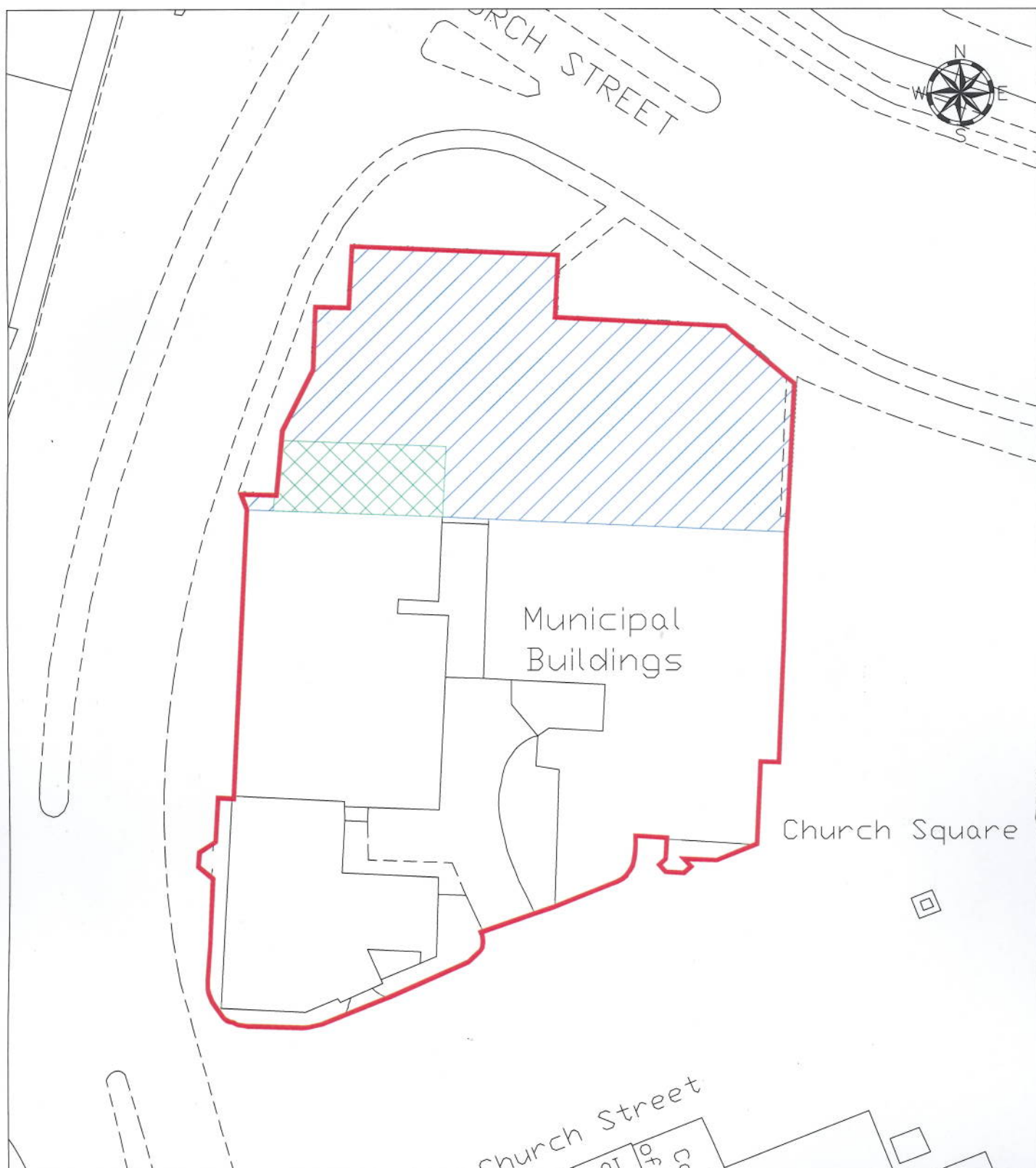
## **6. RECOMMENDATION**

- 6.1 That Cabinet approves the sale of the three properties to the Cleveland College of Art and Design in accordance with the terms and conditions indicated in this report and those to be reported verbally at the Cabinet meeting.

## **7. CONTACT OFFICER**

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|-------------|--|----------|-----------|---------|----------|
| LOCATION    | Land at Church Square/ Stockton Street, Hartlepool | DRAWN BY | CT        | DATE    | 29/01/10 |
|             |  | SCALE    | 1:500     |         |          |
| DEED PACKET | -  | OS MAP   | NZ 5032NE | DRWG NO | E/S/654  |



HARTLEPOOL BOROUGH COUNCIL  
Regeneration & Neighbourhoods  
Procurement, Property & Public Protection

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# **CABINET REPORT**

22 February 2010



**Report of:** Assistant Chief Executive

**Subject:** REVIEW OF RISK MANAGEMENT STRATEGY

---

## **SUMMARY**

### **1. PURPOSE OF REPORT**

To seek Cabinet approval of the review of the Risk Management Strategy.

### **2. SUMMARY OF CONTENTS**

Risk management is the process of assessing and managing risks which could prevent the Council from achieving its objectives.

The Risk Management Strategy describes how risk management is undertaken in Hartlepool Borough Council. The Strategy has been reviewed with only minor amendments being made including taking into account the restructure and the development of the Corporate Risk Management Group.

A briefing note has also been included to inform members of their role within Risk Management.

### **3. RELEVANCE TO CABINET**

How the Council, Members and officers, undertake risk management is an important element in the Council's Organisational Assessment undertaken by the Audit Commission. The Risk Strategy is a key policy document relating to the corporate governance of the Council. Executive members have a key role to play in the risk management process, and are required to periodically review those risks identified within the Strategic Risk Register.

### **4. TYPE OF DECISION**

Non-key

**5. DECISION MAKING ROUTE**

Cabinet on 22 February 2010.

**6. DECISION(S) REQUIRED**

Subject to any amendments they wish to propose, Cabinet is requested to approve the draft the Risk Management Strategy.

**Report of:** Assistant Chief Executive

**Subject:** REVIEW OF RISK MANAGEMENT STRATEGY

---

## **1. PURPOSE OF REPORT**

- 1.1 To seek Cabinet approval of the review of the Risk Management Strategy and to inform members of their role within Risk Management.

## **2. CURRENT POSITION**

- 2.1 The Council's Risk Management Strategy was first agreed by Cabinet in 2004 setting out the arrangements for managing risk across the Authority. In line with the Strategy, this has been reviewed annually, the last review being approved by Cabinet on 21 July 2008. There has been a delay in reviewing the strategy due to the current restructure of the council.
- 2.2 How the Council, Members and officers, undertake risk management is an important element in the annual Organisational Assessment undertaken by the Audit Commission. The Council currently scores 3 out of 4 for this element of the assessment and is rated as "Performing well – consistently above minimum requirements".
- 2.3 Fundamental changes to how we manage risk are not required but we need to seek improvements where they are worthwhile. The Authority's culture already incorporates a strong element of risk management in its day to day operation, reflecting the potentially high-risk environment of a small unitary authority under financial pressure.
- 2.4 The Risk Management Strategy (**Appendix 1**) identifies specific accountabilities and responsibilities for the management of risk at Hartlepool Borough Council. With regards to members, the Corporate Management Team Support Group will be responsible for ensuring that elected Members are made aware and advised of significant risks which may threaten the Council's overall aims and objectives. Officers are responsible for ensuring that a risk assessment is applied to all key decisions of the Council and that risk management implications are clearly identified within reports on key decisions. A guidance note on report writing for Officers is available on the Council's Intranet to ensure that this occurs. A briefing note has also been provided with the report to inform members of their role within Risk Management (**Appendix 2**).
- 2.5 For executive members the briefing note says:

### **Executive – Cabinet and Portfolio Holder**

Cabinet approves the Corporate and departmental plans and various other strategies which set out the Council's objectives. Reports seeking approval of plans and strategies should clearly identify for Members the risks to their successful achievement and execution and how these will be managed.

Cabinet and individual portfolio holders take a wide range of specific decisions. Reports seeking decisions should provide all the relevant information to enable executive members to take well informed decisions.

Cabinet reviews the risk management strategy and the strategic risk register regularly to be satisfied that the arrangements are still appropriate and all the main risks the Council faces are identified and managed. Cabinet currently reviews Strategic risks on a quarterly basis.

### **3 REVIEW OF CHANGES TO THE RISK MANAGEMENT STRATEGY**

- 3.1 There are no major amendments proposed this year. The main reason for the amendments are to take into account the recent changes to the restructure of the council and review of corporate officer groups which resulted in the merging of the risk and performance management groups into the Performance and Risk Management Group.
- 3.2 The other changes were minor and were simply required to keep the document up to date.
- 3.3 The amendments have been agreed by the Corporate Management Team Support Group.

The updated strategy has been attached as **appendix 1** and **appendix 2** is a briefing note for members giving examples of where and how Members play their role within risk management.

- 3.4 **Appendix 3** shows the current Strategic Risk Register as per end of Quarter 3 2010.

### **4. RECOMMENDATIONS**

- 4.1 Cabinet is asked to approve the Risk Management Strategy subject to any amendments they may wish to make, review the current Strategic Risk Register and note the attached briefing paper.

## **HARTLEPOOL RISK MANAGEMENT STRATEGY**

The Council, in conjunction with several Strategic Partners, is responsible for the delivery of a wide range of services to the local community, all of which give rise to some level of risk. It is the policy of Hartlepool Council to take an active and pragmatic approach to the management of risk. This approach acknowledges that the purpose is not to remove all risks (this is neither possible nor, in many cases, desirable), rather it is to ensure that potential 'losses' are prevented or minimised and that 'rewards' are maximised. The overall objectives of the risk management strategy are to:

### **Strategy Objectives:**

- Ensure compliance with statutory obligations
- Protect and enhance service delivery
- Safeguard the Council's employees, service users and others to whom the Council owes a duty of care.
- Protect the property of the council including its buildings, and all other mobile and fixed assets.
- Maintain effective control of public funds
- Enhance and maintain the reputation of the Council
- Support the quality of the environment
- Integrate risk management within the culture of the Authority

### **Objectives will be achieved by:**

Establishing clear roles, responsibilities and reporting lines for risk management.

Implementing and maintaining a robust framework for the systematic identification, analysis and control of significant risks arising out of the Council's activities at both a strategic and operational level by continually developing strategic and departmental risk registers. This process will also include consideration of risks in relation to significant partnership working.

Raising the awareness of the need for risk management amongst Council employees, responsible for delivery of service and also elected Members. This will be achieved through the provision of training designed to explain the drivers and benefits of good risk management, exploring the various 'risk triggers' to be used in the identification of risk and also developing skills in risk assessment, risk control and in the risk management process.

Ensuring that a risk assessment is applied to all key decisions of the Council and that risk management implications are clearly identified within committee reports on key decisions. A guidance note on report writing for Officers is available on the Council's Intranet to ensure that this occurs.

Embedding risk management within the performance management and service planning processes of the Council, by drawing together departmental objectives, risk and control identification, thus ensuring that risk control measures are mapped to budgets and resource allocations, where applicable and are regularly monitored.

Developing arrangements to assess the performance and delivery of risk management and specifically monitoring risk management arrangements on an ongoing basis through the Performance and Risk Management Group and Internal Audits ongoing assessment of risk in relation to their responsibilities under the Accounts and Audit Regulations 2006.

## ACCOUNTABILITY AND RESPONSIBILITIES FOR RISK MANAGEMENT

**The Chief Financial Officer**, in consultation with the **Assistant Chief Executive**, is responsible for advising the Council on risk management and will make the necessary arrangements to facilitate, implement, monitor and audit the Council's risk management strategy.

The **Chief Executive** has overall responsibility for ensuring that the Council manages risks effectively and together with **the Mayor** will be required to sign the Annual Governance Statement, published with the financial statements. (Ref: Account & Audit Regulations 2003).

**Elected Members** should hold the Chief Executive and Corporate Management Team accountable for the effective management of risks. The responsibility for the Risk Management Strategy framework is designated to the Finance and Performance Portfolio Holder. To assist Elected Members with their responsibilities this, Officers should evaluate risks and assess the implications when preparing reports for consideration by Elected Members.

The **Corporate Management Team Support Group (CMTSG)** is responsible for the identification, assessment and control of strategic risks. The CMTSG on an annual basis will review the risks identified and included within the strategic risk register and will consider the adequacy of control measures and responses in place (updating the register as necessary). The CMTSG will receive regular reports from the Performance and Risk Management Group on significant risks identified within the risk registers as well as emerging risks and trends. CMT will also be responsible for ensuring that elected Members are made aware and advised of significant risks which may threaten the Council's overall aims and objectives with a quarterly report going to the Cabinet.

The **Performance and Risk Management Group (PRMG)** is chaired by the **Head of Performance and Partnership** and attended by **Strategic Managers** appointed from each Department. The PRMG will support the development and implementation of corporate risk management within the Council. In particular the PRMG is responsible for:

- Driving the continued implementation of the risk management strategy within the Council.
- Reviewing the strategic and departmental risk registers and propose mitigation action for departments or escalation to CMTSG as part of quarterly risk management report before submission to Cabinet and Portfolio holders
- Identify potential risk areas and slippage in programmes which may compound risk issues.
- Identify and disseminate examples of good practice that can help reduce risk.
- Discuss and take decisions on applications for risk management fund. Split decisions will be referred to CMTSG.



**The Chief Executive and Directors** are responsible for supporting and ensuring the continued implementation of the risk management strategy within their departments. This includes the identification and assessment of both positive and negative risks in their service plans and the development and maintenance of a departmental risk register in line with corporate policy. **A Risk Co-coordinator** is appointed to act as the focal point for communication and to be responsible for driving the risk management strategy within each Department and Chief Executive's Department division. The Risk Co-coordinator will represent the Department or division on the PRMG.

**Management Teams** within each Department will, on a quarterly basis, review the risks identified and included within the departmental risk register and will consider the adequacy of control measures and responses in place (updating the register as necessary). The Management Team will produce a brief report to be presented to PRMG via the Risk Co-coordinator on any significant risks that may impact on the Council's overall objectives or that may impact across other Departments.

**Service Managers** will manage risk within their own service area and report to their Management Team on how risks have been managed and whether any emerging or significant risks need to be considered further.

**All employees** will be responsible for considering risk within their jobs and identifying new or poorly managed risks to their service managers.

## THE RISK MANAGEMENT PROCESS

Hartlepool has adopted the following process (**see Appendices A-C**) to ensure the systematic identification, analysis and control of significant risks arising out of Council activities. The main output of this process is the development of both a Corporate Strategic Risk Register and Departmental Risk Registers, facilitating the implementation of control measures across the Council. The risk registers can include both positive and negative risks, recognising that the purpose is not to remove all risks (this is neither possible nor, in many cases, desirable), rather it is to ensure that potential 'losses' are prevented or minimised and that 'benefits' are maximised.

### Corporate / Strategic Risk Register

The strategic risks to the Council have been identified, initially, through a process of structured interviews with members of the CMT.

Risks are assessed using the matrix and value guides attached as **Appendix A** and the Risk Categories at **Appendix B**. Significant risks are entered into a strategic risk register and the contents of the register will be presented and discussed at Cabinet.

The CMTSG and elected Members will review the Strategic Risk Register on an Annual basis and are responsible for reviewing the adequacy of control measures, updating the register and keeping elected Members informed on key strategic risks. CMT will be consulted where necessary.

The PRMG will be responsible for reviewing the strategic and departmental risk registers with a view to the identification of emerging issues and trends. Also,

considering cross-service issues and risks that need to be reported to CMTSG and elected Members

### **Departmental Risk Registers**

Directors and chief officers are responsible for ensuring that significant risks to their service and their department and service plans are identified and assessed using the process set out on the following page ('Step-by-Step' Risk Assessment Process).

Risks are assessed using the matrix and value guides attached as **Appendix A** and the Risk Categories at **Appendix B**. A record of the risk assessment is made using the form attached as **Appendix C** or entered directly into the Council's Performance and Risk Management system. Training is provided to each service area to assist in this task.

Directors together with Service Management Teams are responsible for regularly reviewing and updating their risk registers. Also for reporting to PRMG significant risks that may impact on the Council's overall objectives or other service areas. Risks are reported to Portfolio Holders as part of the quarterly performance reporting process.

### **Integrated Performance and Risk Management System**

All risks from both the Strategic Risk Register and the Departmental Risk Registers are entered on the integrated Covalent Performance and Risk Management system. This enables each risk to be systematically reviewed throughout the year and reporting to CMTSG and elected Members.

**STEP-BY-STEP RISK ASSESSMENT PROCESS**  
**USE FORM ATTACHED AT APPENDIX C TO RECORD THE ASSESSMENT**

**Step 1 – IDENTIFY SUBJECT OF THE ASSESSMENT**

- Can be a service area, function, project or initiative
- Identify principle service objectives.

**Step 2 – IDENTIFY THE RISKS**

- Risks that threaten the ability to achieve objectives
- Use risk categories listed in **APPENDIX B**

**Step 3 – ASSESS RISKS – NO CONTROLS IN PLACE**

- Assess the risk based on Impact and Likelihood assuming no control measures are in place.
- Use risk matrix and value guides attached as **APPENDIX A**

**Step 4 – IDENTIFY RISK CONTROLS & RESPON. OFFICERS**

- Identify control measures that are in place - designed to reduce the likelihood and impact of the risk.
- Identify officer responsible for monitoring and implementing control measures.
- Identify separately additional or improved risk control measures to be implemented in the future. Identify officer responsible for tracking implementation.

**Step 5 – RE ASSESS RISKS – WITH CONTROLS IN PLACE**

- Repeat Step 3 BUT with control measures in place.
- Use risk matrix and value guides attached as **APPENDIX A**

**Step 6 and Step 7 – ONGOING**

- Review risk register at Management Team meetings updating as required.
- Monitor implementation of new / improved controls
- Report to CRMG significant risks that may impact on the Council's overall objectives or other service areas.

## HARTLEPOOL BC RISK ASSESSMENT MATRIX AND VALUE GUIDES

|                |   | IMPACT  |         |         |         |
|----------------|---|---------|---------|---------|---------|
| LIKELIHOOD     |   | 1       | 2       | 3       | 4       |
|                |   | Low     | Medium  | High    | Extreme |
| Almost certain | 4 | AMBER 4 | RED 8   | RED 12  | RED 16  |
| Likely         | 3 | GREEN 3 | AMBER 6 | RED 9   | RED 12  |
| Possible       | 2 | GREEN 2 | AMBER 4 | AMBER 6 | RED 8   |
| Unlikely       | 1 | GREEN 1 | GREEN 2 | GREEN 3 | AMBER 4 |

Use the following suggested value guides to help rate the level of the **controlled risk**.

### IMPACT

|         |  |
|---------|--|
| Extreme | Total service disruption / very significant financial impact / Government intervention / sustained adverse national media coverage / multiple fatalities.  |
| High    | Significant service disruption/ significant financial impact / significant adverse Government, Audit Commission etc report / adverse national media coverage / fatalities or serious disabling injuries. |
| Medium  | Service disruption / noticeable financial impact / service user complaints or adverse local media coverage / major injuries  |
| Low     | Minor service disruption / low level financial loss / isolated complaints / minor injuries   |

### LIKELIHOOD

Expectation of occurrence ***within the next 12 months*** -

- **Almost certain**
- **Likely**
- **Possible**
- **Unlikely**

## Appendix 1 - Appendix B

### RISK CATEGORIES

Identification of risks can be assisted by the use of various headings or risk categories to help to stimulate ideas and ensure a systematic and comprehensive approach.

The following risk categories should be used to identify risks affecting Hartlepool Council. [Some risks can be described under several of the category headings. Where this is the case, a judgement should be made by the assessor of the most applicable heading and the risk placed in this category].

#### **Political / Legislative (PL)**

E.g. risks associated with - the policies and plans of either central or local government; the local political environment; current or proposed changes in legislation; potential breaches of statutory requirements.

#### **Financial (F)**

E.g. Threats to sources of funding or revenue streams; risk of fraud; fines and compensation payments.

#### **Social (S)**

E.g. risks associated with socio-economic changes such as changes in demographics, ethnic mix, social attitudes and expectations.

#### **Environmental (E)**

E.g. risks associated with environmental changes such as rising sea water and extremes of weather. Also those associated with environmental issues such as waste, energy, recycling and contamination.

#### **Personnel (P)**

E.g. risks associated with the availability, and skills of personnel.

#### **Physical Assets (PA)**

E.g. risks to the physical assets of the Council including premises, plant and equipment.

#### **Information & Technology (IT)**

E.g. threats to data and information such as computer failure, corruption of data. Also, quality of information and risk of data leakage (breach of confidentiality).

#### **Contractors, Partners, Suppliers (CPS)**

E.g. risks associated with key contractual arrangements, stability and performance of partnerships agreements. Level of dependency on partners and key suppliers.

#### **Reputation (R)**

E.g. risks to customer support and confidence in the service or personnel of the Council. Threats to the Council's reputation with external bodies and agencies.

#### **Positive Risks (POS)**

E.g. risks where there is a positive outcome for the council whether it be financial, reputation etc.

| <b>HARTLEPOOL BOROUGH COUNCIL - RISK ASSESSMENT FORM</b> |  |  |   |   |                    |                          |   |   |    |
|--|--|--|---|---|--------------------|--------------------------|---|---|----|
| Department / Service/ Function: ①                        |  |  |   |   |                    | Date:                    |   |   |    |
| Title of risk::  |  |  |   |   |                    |                          |   |   |    |
| Plan outcome to which this risk relates:                 |  |  |   |   |                    |                          |   |   |    |
| Additional description of Risk: ②                        |  |  |   |   |                    |                          |   |   |    |
| Category: [PL] [F] [S] [E] [P] [PA] [IT] [CPS] [R] [POS] |  |  |   |   |                    |                          |   |   |    |
| (Circle most applicable)                                 |  |  |   |   |                    |                          |   |   |    |
| Assessment of Risk (No Controls in place) ③              |  | Impact                                   |   |   |                    | Likelihood               |   |   |    |
|  |  | E  | H | M | L                  | AC                       | L | P | UL |
| Existing Controls Implemented: ④                         |  |  |   |   |                    |                          |   |   |    |
| Assessment of Risk (Control measures in place) ⑤         |  | Impact                                   |   |   |                    | Likelihood               |   |   |    |
|  |  | E  | H | M | L                  | AC                       | L | P | UL |
| Additional/Planned Controls: ④                           |  |  |   |   |                    |                          |   |   |    |
| Description of planned control                           |  | Manager for implementing planned control |   |   |                    | Target Completion Date ④ |   |   |    |
| 1.   |  |  |   |   |                    |                          |   |   |    |
| 2.   |  |  |   |   |                    |                          |   |   |    |
| Manager for risk: ④                                      |  |  |   |   | Assignee for risk: |                          |   |   |    |

① - numbers relate to Steps risk assessment process described in Risk Management Strategy

## **Members' Briefing Note 10/11/09 Risk Management in Hartlepool**

### **Introduction**

This briefing note is to inform Members about how risks are managed within the Council, your role in risk management and where you can find more information about this topic.

### **What is risk management?**

The Audit Commission define risk as **“the threat that an event or action will adversely affect the Council's ability to achieve its objectives and to successfully execute its strategies.”**

Risk management is **“the process by which risks are identified, evaluated and controlled.”**

Control of risks is achieved through the management systems and processes, culture, structures and tasks that, taken together, support people in the achievement of service objectives. An example of how risk is controlled is the processes in place to prevent fraud.

The Audit Commission's view is that **“Good risk management supports the achievement of the Council's objectives and has a vital role to play in ensuring that a council is well run.”**

### **Key building blocks in place**

Over the past few years the Council has put the key building blocks for an effective risk management system in place. These include:

- An effective process for service planning to clearly establish the Council's objectives. This includes the Community Strategy, Local Area Agreement, Corporate Plan, departmental plans and other specific strategies such as the Community Safety Strategy and Children and Young Persons Plan.
- Member and officer risk champions to promote risk management – Finance and Performance Portfolio Holder and Assistant Chief Executive
- Risk Management Strategy, approved by Cabinet, which identifies clear responsibilities for officers and Members and describes how risks are identified, evaluated and controlled and reported to Members
- Lists of strategic and departmental risks (known as risk registers) identifying the main risks that need to be managed by the Council as a whole or within a single department. The registers are updated on a regular basis and reported to Finance and Performance Portfolio Holder, Corporate Management Team and departmental management teams.

### **Key tasks for Members**

Members play a key role in risk management through the decision making and overview and scrutiny processes, in particular through the formal reporting processes to Cabinet, portfolio holders and committees. Reports to Members should provide all the relevant information to enable you to understand the issues and the risks the Council faces. Formal meetings provide members with opportunities to challenge and question the assumptions and controls in place to address the risks.

In addition all members play a community representative role and through their personal contact with their constituents are in a position to identify and raise issues of concern to the public and enable the organisation to maintain its community focus.

Examples of where and how Members play their role in risk management are given below.

### **Full Council**

Full Council approves the key plans and budget that are listed in the Budget and Policy Framework section of the Constitution. A key element of the budget process is about identifying financial risks that the Council faces. For example, the increasing demand for care services resulting from an aging population, and agreeing reserves and contingencies to manage these risks.

### **Executive – Cabinet and Portfolio Holder**

Cabinet approves the Corporate and departmental plans and various other strategies which set out the Council's objectives. Reports seeking approval of plans and strategies should clearly identify for Members the risks to their successful achievement and execution and how these will be managed.

Cabinet and individual portfolio holders take a wide range of specific decisions. Reports seeking decisions should provide all the relevant information to enable executive members to take well informed decisions.

Cabinet reviews the risk management strategy and the strategic risk register regularly to be satisfied that the arrangements are still appropriate and all the main risks the Council faces are identified and managed. Cabinet currently reviews Strategic risks on a quarterly basis.

### **Overview and Scrutiny Members**

Members of O&S committees also have role in risk management. In agreeing an overview and scrutiny programme, prioritising investigations for the coming year, O&S Members consider risks faced by the Council and the wider community. Examples of past investigations that have addressed risks include flooding and hospital closure investigations. O&S Committee recommendations can assist the Council in addressing these risks and bringing them to the attention of partner organisations and the wider public.

### **Audit Committee**

The Committee promotes the independent internal audit function and raises awareness of internal control, reviewing controls and financial operations and developing an anti-fraud culture. The committee is also responsible for approving the Council's Annual Governance Statement. The members of the committee for 2009/10 are councillors Preece (Chair), McKenna (Vice Chair), Akers-Belcher, Hall, Wistow, Turner and Barker

### **How you can find more information**

- Read the [Risk Management Strategy](#) and quarterly reports to [Finance and Performance Portfolio Holder](#)
- Talk to Andrew Atkin, Assistant Chief Executive; Paul Hamilton, Insurance and Risk Manager; Kerry Trenchard, Strategy and Performance Officer

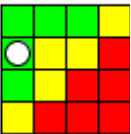
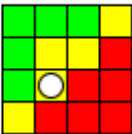
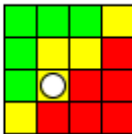


# Status Report for SRR

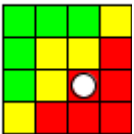
This report shows the status of all risk in all departmental registers and risks within the strategic risk register

**Generated on:** 05 February 2010

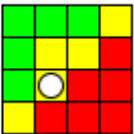
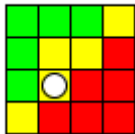
Code & Title **STR Strategic Risk Register**  
Administered By **Adult and Community Services Super User; Dobby, Alan**

| Risk Code | Risk Title   | Current Risk Matrix  | Assigned To   | Managed By    | Last Review Date |
|-----------|--|--|---------------|---------------|------------------|
| STR R042  | Tall Ships races - Hartlepool 2010 (ACS R016)                  | <div><div>Likelihood</div><div>Impact</div></div> | John Mennear  | John Mennear  | 01 Mar 2010      |
| STR R030  | Failure to work in effective partnerships with Health Services | <div><div>Likelihood</div><div>Impact</div></div> | Nicola Bailey | Nicola Bailey | 05 Jan 2010      |
| STR R031  | Potential for cost shunting between NHS and HBC re CHC         | <div><div>Likelihood</div><div>Impact</div></div> | Nicola Bailey | Nicola Bailey | 04 Jan 2010      |

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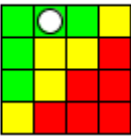
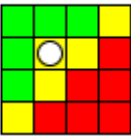
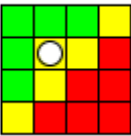
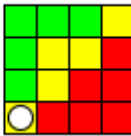
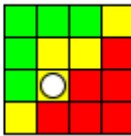
| Risk Code | Risk Title   | Current Risk Matrix   | Assigned To   | Managed By    | Last Review Date |
|-----------|--|---|---------------|---------------|------------------|
| STR R045  | Demographic changes to population causing increased demand |  | Nicola Bailey | Nicola Bailey | 04 Jan 2010      |

**Code & Title STR Strategic Risk Register**  
**Administered By Childrens Services Super User; Smith, Anne**

| Risk Code | Risk Title                                     | Current Risk Matrix   | Assigned To    | Managed By     | Last Review Date |
|-----------|--|---|----------------|----------------|------------------|
| STR R001  | Failure to plan school provision appropriately |  | Nicola Bailey; | Nicola Bailey; | 04 Jan 2010      |
| STR R002  | Failure to appropriately safeguard children    |  | Nicola Bailey  | Nicola Bailey; | 04 Jan 2010      |

## 6.1

**Code & Title STR Strategic Risk Register**  
**Administered By Corporate Strategy Super User**

| Risk Code | Risk Title  | Current Risk Matrix   | Assigned To  | Managed By   | Last Review Date |
|-----------|---|---|--------------|--------------|------------------|
| STR R043  | Fail to maximise benefits of implementing the Business Transformation Programme | <p>Likelihood</p>  | Andrew Atkin | Andrew Atkin | 18 Dec 2009      |
| STR R008  | Loss of Council reputation due to both internal and external factors            | <p>Likelihood</p>    | Andrew Atkin | Andrew Atkin | 18 Dec 2009      |
| STR R033  | National & regional needs imposed which may not reflect Hartlepool needs        | <p>Likelihood</p>    | Andrew Atkin | Paul Walker  | 18 Dec 2009      |
| STR R044  | Failure to mitigate the effects of a malicious attack                           | <p>Likelihood</p>    | Andrew Atkin | Paul Walker  | 18 Dec 2009      |
| STR R007  | Experiencing failure or lack of access to Critical ICT systems                  | <p>Likelihood</p>    | Andrew Atkin | Andrew Atkin | 18 Dec 2009      |

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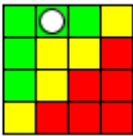
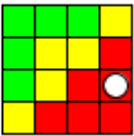
| Risk Code | Risk Title  | Current Risk Matrix | Assigned To  | Managed By  | Last Review Date |
|-----------|---|---------------------|--------------|-------------|------------------|
| STR R034  | Maintaining the 4* rating of the Council will provide opportunities to influence and positively reflect the achievements of the council |                     | Andrew Atkin | Paul Walker | 18 Dec 2009      |
| STR R035  | Change programme / Restructuring of the Authority   |                     | Andrew Atkin | Paul Walker | 18 Dec 2009      |
| STR R036  | Loss of focus on strategic direction and key priorities (political direction)   |                     | Andrew Atkin | Paul Walker | 18 Dec 2009      |

**Code & Title STR Strategic Risk Register**  
**Administered By Corporate Strategy Super User; Finance Division (CED) Super User; Human Resources Super User; Legal Services Super User**

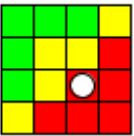
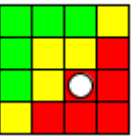
| Risk Code | Risk Title  | Current Risk Matrix | Assigned To                                  | Managed By | Last Review Date |
|-----------|---|---------------------|--|------------|------------------|
| STR R046  | The effects and unpredictability of the current economic downturn and global recession on the local economy jobs and residents and on the ability of HBC to deliver the Council Plan and Strategy |                     | Finance Division (CED) Super User; Mike Ward | Mike Ward  | 23 Nov 2009      |

## 6.1

**Code & Title STR Strategic Risk Register**  
**Administered By Finance Division (CED) Super User**

| Risk Code | Risk Title  | Current Risk Matrix   | Assigned To | Managed By | Last Review Date |
|-----------|---|---|-------------|------------|------------------|
| STR R025  | Absence of robust documentation that sets out the roles and responsibilities of each partner could lead to HBC baring unnecessary responsibility should the partnership fail to deliver |  | Mike Ward   | Mike Ward  | 23 Nov 2009      |
| STR R026  | Sustainability of grant funded services / projects  |    | Mike Ward   | Mike Ward  | 23 Nov 2009      |

**Code & Title STR Strategic Risk Register**  
**Administered By Human Resources Super User**

| Risk Code | Risk Title   | Current Risk Matrix   | Assigned To    | Managed By     | Last Review Date |
|-----------|--|---|----------------|----------------|------------------|
| STR R021  | Future Equal pay claims  |  | Joanne Machers | Joanne Machers | 30 Sep 2009      |
| STR R022  | Current Equal Pay Claims including settlement of, or adverse findings in ET of existing equal pay claims |  | Joanne Machers | Joanne Machers | 01 Apr 2010      |

## 6.1

**Code & Title STR Strategic Risk Register**  
**Administered By Neighbourhood Services Departmental Super User; Smith, Alastair**

| Risk Code | Risk Title  | Current Risk Matrix | Assigned To      | Managed By       | Last Review Date |
|-----------|---|---------------------|------------------|------------------|------------------|
| STR R024  | Failure to maintain trading activity                              | <p>Likelihood</p>   | Keith Smith      | Keith Smith      | 15 Jan 2010      |
| STR R009  | Failure to provide council services during emergency conditions   | <p>Likelihood</p>   | Denis Hampson    | Denis Hampson    | 13 Jan 2010      |
| STR R016  | Failure to deliver efficiency savings through procurement         | <p>Likelihood</p>   | Graham Frankland | Graham Frankland | 07 Jan 2010      |
| STR R017  | Financial Viability and capacity of Building Consultancy services | <p>Likelihood</p>   | Graham Frankland | Graham Frankland | 07 Jan 2010      |
| STR R012  | Lack of resources to maintain building stock                      | <p>Likelihood</p>   | Graham Frankland | Graham Frankland | 07 Jan 2010      |

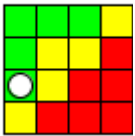
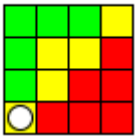
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| Risk Code | Risk Title   | Current Risk Matrix   | Assigned To      | Managed By       | Last Review Date |
|-----------|--|---|------------------|------------------|------------------|
| STR R013  | Failure in asset management planning to make best use of assets in terms of acquisition, disposal and occupation | <div> <div>Likelihood</div> </div> <div> <div>Impact</div> </div> | Graham Frankland | Graham Frankland | 07 Jan 2010      |
| STR R014  | Loss of Civic Centre as key building.  | <div> <div>Likelihood</div> </div> <div> <div>Impact</div> </div> | Graham Frankland | Graham Frankland | 07 Jan 2010      |
| STR R015  | Environmental and financial consequences of climate change   | <div> <div>Likelihood</div> </div> <div> <div>Impact</div> </div> | Graham Frankland | Graham Frankland | 07 Jan 2010      |
| STR R010  | Flu pandemic   | <div> <div>Likelihood</div> </div> <div> <div>Impact</div> </div> | Denis Hampson    | Denis Hampson    | 14 Jan 2010      |

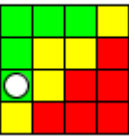
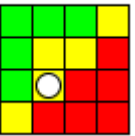
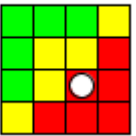
Code & Title **STR Strategic Risk Register**  
Administered By **Neighbourhood Services Departmental Super User; Smith, Alastair; Young\_admin, Ralph**

| Risk Code | Risk Title        | Current Risk Matrix   | Assigned To  | Managed By     | Last Review Date |
|-----------|-------------------|---|--------------|----------------|------------------|
| STR R006  | Contaminated Land | <div> <div>Likelihood</div> </div> <div> <div>Impact</div> </div> | David Wilson | Alastair Smith | 06 Oct 2009      |

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| Risk Code | Risk Title                         | Current Risk Matrix  | Assigned To  | Managed By     | Last Review Date |
|-----------|------------------------------------|--|--|----------------|------------------|
| STR R018  | Failure to operate vehicles safely | <div><div>Likelihood</div><div>Impact</div></div> | Jayne Brown; Paul Robson                                     | Alastair Smith | 12 Jan 2010      |
| STR R019  | Loss of O License                  | <div><div>Likelihood</div><div>Impact</div></div> | Paul Dawson; Dave Morton; John Quinn; Paul Robson; Wilkinson | Alastair Smith | 25 Jan 2010      |

**Code & Title STR Strategic Risk Register**  
**Administered By Regeneration and Planning Services Super User**

| Risk Code | Risk Title  | Current Risk Matrix  | Assigned To | Managed By  | Last Review Date |
|-----------|---|--|-------------|-------------|------------------|
| STR R040  | Failure to facilitate the redevelopment of HCFE   | <div><div>Likelihood</div><div>Impact</div></div> | Jeff Mason  | Dave Stubbs | 05 Jan 2010      |
| STR R039  | Effective delivery of housing market renewal affected by external decisions and funding | <div><div>Likelihood</div><div>Impact</div></div> | Jeff Mason  | Dave Stubbs | 05 Jan 2010      |
| STR R041  | Failure to realise plans for Victoria Harbour regeneration scheme                       | <div><div>Likelihood</div><div>Impact</div></div> | Jeff Mason  | Dave Stubbs | 05 Jan 2010      |



*Cabinet*