

People Scrutiny Commission

27th March 2017



Report of: Strategic Director - People

Title: Directorate Risk Register Review March 2017

Ward: Citywide

Officer Presenting Report: John Readman, Strategic Director - People

Contact Telephone Number: 0117 35 37960

Recommendation

The Commission review and scrutinise the Directorate Risk Register as at 15th March 2017 which is attached to this report.

Summary

This report presents the Directorate Risk register as at 15th March 2017.

The significant issues in the report are:

- Corporate Risk in the context of Directorate risk consideration (Paragraph 4)
- Process for review of Directorate risks. (Paragraph 5.2)
- Issues arising from the Directorate Risk Register (Paragraph 5.5)
- The full directorate risk register (Appendix 1)



Policy

1. *The Audit Committee is responsible for providing independent assurance to the Council regarding the effectiveness of its strategic risk management arrangements. The Council has a Risk Management Policy which requires strategic risks to the Council, and details of how they are managed to be recorded in strategic risk registers – the Corporate and Directorate Risk Registers. Whilst the Corporate risk Register is scrutinised by the Audit Committee on a six monthly basis, it was agreed at Overview and Scrutiny Management Board, that the Directorate Risk Registers will be scrutinised by each Directorate scrutiny twice a year. They will however also be provided once each year to Audit Committee, for information (not scrutiny) to provide the Audit Committee with assurance that Directorate Risk Registers are in place and effectively scrutinised.*

Consultation

2. **Internal**
Directorate Leadership Team / Risk Owners / Cabinet Members – People, Education & Skills and Health & Wellbeing
3. **External**
Not applicable
4. **Background – Risk Management and the Corporate Risk Register**
 - 4.1. Risk is defined in the Risk Management Policy as ‘the chance of something happening that will impact (positively or negatively) on the achievement of the Council’s Objectives’. Risk Management is the planned and systematic approach to the identification, evaluation, prioritisation and control of risks and opportunities facing the Council Management.
 - 4.2. Risk Assessment is the measure of likelihood and impact on objectives of an uncertain action of event.
 - 4.3. The Corporate Risk Register (CRR) is an integral element of the Council’s Strategic Risk Management arrangements and aims to support the delivery of the Council’s objectives by setting out the strategic high level risks facing the Council in delivering its plans and how they are ensuring these risks are effectively managed.
 - 4.4. The CRR is used by the Strategic Leadership Team to monitor risk levels and take assurance that all necessary steps are being taken to ensure the risks are managed to a level acceptable to them.
5. **The Directorate Risk Register**
 - 5.1. As well as Corporate Risks, Directorate Risk Registers (DRR) detail risks faced by each Directorate. The DRR is owned by the Strategic Director and is used by the Directorate Leadership Team to ensure and monitor that risks are effectively managed.
 - 5.2. The Directorate Risk Register is updated using the following principles:

- DLT Risk identification and assignment of a risk owner who is responsible to ensure each risk is effectively managed
- Detailed work with the Risk Owner to determine key current mitigations and further actions to ensure the risk is properly managed
- Re-review by DLT to ensure risk levels are correctly identified and target risk levels are acceptable

- 5.3.** The People Directorate Risk Register is attached as Appendix 1 for Scrutiny. The register uses the risk management methodology in the risk management policy agreed by the SLT and the Audit Committee in November 2014. Appendix 2 provides helpful extracts from that policy to assist Members in understanding risk levels recorded in the register. The risk matrix, Guidance parameters used to measure impact and Guidance parameters used to measure likelihood.
- 5.4.** The timing of presentation of the Directorate Risk Register to Scrutiny is such that the commission are also receiving information concerning Directorate performance at this meeting. It is envisaged that both the risk and performance information provided to the Committee should be reviewed together to aide effective challenge to both sets of information.
- 5.5.** The People Directorate Scrutiny Commission last received the Directorate Risk Register on 26th September 2016. The following paragraphs summarise the key changes to the risk environment since then:
- a. No new risks have been identified and added to the register since the last review.
 - b. One risk has been removed from the register around the Coordination of Case Management Systems across Children’s Adults and Education Services.
 - c. Risk mitigations and actions have been updated to reflect the current status and work in progress.
 - d. Risk levels have remained unchanged except in relation to Risk 1 where the current risk has reduced and Risk 3 where the Target Risk has increased.

Other Options Considered

- 6.** None necessary

Risk Assessment

- 7.** Robust and effective strategic risk management arrangements are essential in helping the Council manage its business and deliver its priorities.

Public Sector Equality Duties

None necessary for this report

Legal and Resource Implications

Legal

None sought

Financial

(a) Revenue

None arising from this report

(b) Capital

None arising from this report

Land

Not applicable

Personnel

Not applicable

Appendices:

Appendix 1 – People Directorate Risk Register

Appendix 2 – Risk Matrix, Guidance parameters used to measure impact and Guidance parameters used to measure likelihood

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

Background Papers:

None