

# People Scrutiny Commission

8<sup>th</sup> March 2021



**Report of:** Executive Director People

**Title:** People Directorate Risk Report Update

**Ward:** Citywide

**Officer Presenting Report:** Jacqui Jenson  
Executive Director People

**Contact Telephone Number:**

## Recommendation

The People Commission are asked to consider the quarter 3 2020-21 review of the People Directorate Risk Report and comment on any areas of interest.

## Summary

The risks defined in this report are captured by service sections within the People Directorate:

The following represent the most the key risks for People as at January 2021:

## Threats

- 1) Safeguarding Vulnerable Children
- 2) Safeguarding Adults at Risk with Care and support needs.
- 3) Adult and Social Care (ASC) Transformation programme 2020/21 – 2021/22
- 4) SEND
- 5) Adult and Social Care major provider/ supplier failure



## 1. Policy

- 1.1. 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 Assurance Policy which requires strategic risks to the Council, and details of how they are managed, to be recorded in the form of the Corporate Risk Report and Directorate Risk Report.
- 1.2. The Corporate Risk Report is scrutinised by the Audit Committee on a quarterly basis, it was agreed at Overview and Scrutiny Management Board, that the Directorate Risk Registers will also be scrutinised by each Directorate scrutiny quarterly. The Directorate Risk Reports will also be available to the Audit Committee to provide the Audit Committee with assurance that Directorate Risk Reports are in place and effectively scrutinised.

## 2. Risk Management and the Corporate Risk Report (CRR)

- 1.3. As part of good governance, the Council manages and maintains a register of its significant risks within the Service Risk Registers (SRR) assigning named individuals as responsible officers for ensuring the risks and their treatment measures are monitored and effectively managed.
- 1.4. The Corporate Risk Report (CRR) is a critical tool for capturing and reporting on risk activity, the organisations risk profile and an integral element of the Council's internal governance and performance frameworks. The attached Directorate Risk Report sets out a summary from the Service Risk Registers (SRR) which are the working documents. The data within the SRRs is used to inform the business of the threats and opportunities it faces in delivering outcomes and services to the Council. It is used to ensure the organisation operates effectively and Leadership Teams take assurance that all necessary steps are being taken to ensure the risks are managed to a level acceptable to them. The Corporate Risk Report was last reported to Cabinet on 26<sup>th</sup> January 2021 and was reported to the Audit Committee on 25<sup>th</sup> January 2021.

## 3. Consultation

- a. **Internal** - First to fourth tier managers, Leadership Team, Corporate Leadership Team, Cabinet Member, Finance, Governance and Performance.
- b. **External** - None

## 4. The People Directorate Risk Report (DRR)

- 4.1. The DRR informs the council on significant risks to the achievement of the People Directorate Objectives to ensure it is anticipating and managing key risks to optimise the achievement of the council's objectives and prioritise actions for managing those risks. The DRR provides assurance to management and Members that the People significant risks have been identified and arrangements are in place to manage those risks within the tolerance levels agreed.
- 4.2. The DRR is an important tool in managing risk. It aims to provide an overview of the significant risks facing People and how they are being managed. The DRR attached to this report at Appendix A is the latest formal iteration following a review by members of the council's People Executive Directors Management Team (EDM) in January 2021. The risk review has included managers from across the Council.
- 4.3. The DRR was reviewed by the People EDM in January 2021. The directorate reports quarterly to Members, ensuring that they are aware of the critical and high level risks facing the directorate and how the council are ensuring these risks are effectively managed.

- 4.4. As strategic planning, resource management and resilience processes are strengthened; the identification, management and communication of risk to the achievement of the Council's strategic priorities and objectives will continue to embed.
- 4.5. The DRR was developed following:
- Risk identification and assignment of a risk owner who is responsible to ensure each risk is effectively managed; current mitigations and further strategies to manage risk are in place to ensure the risk is identified and interventions planned,
  - Review by EDM to ensure risk levels are correctly identified; and tolerance risk levels where stated are acceptable.
- 4.6. The People Directorate Risk Report is attached at Appendix A. The register is presented in the standard format agreed by CLB and uses the risk management methodology in the Risk Management Assurance Policy agreed by Cabinet in January 2019.
- 4.7. Appendix A the risk matrix, guidance parameters used to measure likelihood and impact and the supporting scoring criteria are set out on pages 6 and 7 and will assist Members in understanding risk levels recorded in the report.
- 4.8. The DRR sets out the critical and high rated risks. All other business risks reside on the People Service Risk Registers (SRR). The People Directorate Risk Report (DRR) as June 2020 contains:

Threat Risks
<ul style="list-style-type: none"> <li>• 1 critical</li> <li>• 2 high</li> </ul>

- 4.9. The following paragraphs summarise the key changes to the People Risk Register since its last presentation:

#### **Critical threat risks**

There is one critical threat risks:

- PDRR1: Safeguarding Vulnerable Children. The risk rating being 4x7 (28) critical risk

#### **High threat risks**

There are two high threat risks:

- PDRR2: Safeguarding Adults at Risk with Care and support needs. The risk rating being 3x7 (14) high risk
- PDRR5: Adult and Social Care major provider/ supplier failure. The risk rating being 2x7 (14) high risk

All identified risks were reviewed in light of the revised scoring and set the performance for future reviews. All risks on the People DRR have management actions in place.

As with all risks, it is not possible to eliminate the potential of failure entirely without significant financial and social costs. The challenge is to make every reasonable effort to mitigate and manage risks effectively, and where failure occurs, to learn and improve.

Further details are contained in Appendix A: The summary of the risks are set out on pages 1 to 4 including controls and management actions, a summary of risk performance on page 5, the risk matrix on page 6 and the risk scoring criteria on page 7. A more in-depth risk register is available on request.

## 5. Public Sector Equality Duties

- 5a) Before making a decision, section 149 Equality Act 2010 requires that each decision-maker considers the need to promote equality for persons with the following “protected characteristics”: age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation. Each decision-maker must, therefore, have due regard to the need to:
- i) Eliminate discrimination, harassment, victimisation and any other conduct prohibited under the Equality Act 2010.
  - ii) Advance equality of opportunity between persons who share a relevant protected characteristic and those who do not share it. This involves having due regard, in particular, to the need to --
    - remove or minimise disadvantage suffered by persons who share a relevant protected characteristic;
    - take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of people who do not share it (in relation to disabled people, this includes, in particular, steps to take account of disabled persons' disabilities);
    - encourage persons who share a protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.
  - iii) Foster good relations between persons who share a relevant protected characteristic and those who do not share it. This involves having due regard, in particular, to the need to –
    - tackle prejudice; and
    - promote understanding.
- 5b) No equalities assessment necessary for this report.

### Appendices:

**Appendix A – People Directorate Risk Report** - The summary of the risks are set out on pages 1 to 4 including controls and management actions, a summary of risk performance on page 5, the risk matrix on page 6 and the risk scoring criteria on page 7.

### LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

#### Background Papers:

Risk Management Assurance Policy