People Scrutiny Commission

13th December 2021

Report of: Risk and Insurance Senior Officer

Title: People - Risks on the Corporate Risk Management Report – Q1 2021/22

Ward: Citywide

Recommendation

For the People Scrutiny Commission to note the attached People Risks from Corporate Risk Management Report Q1 2021/22 and Appendix A – Risk Summary Report for People scrutiny commission that contains a summary of People risks contained within the Corporate Risk Report that went to Cabinet on 14th September 2021.

1. Policy

1.1.   The Accounts and Audit Regulations 2015 require the council to have in place effective arrangements for the management of risk. These arrangements are reviewed each year and reported as part of the Annual Governance Statement (AGS). The Council is required to comment on the effectiveness of its arrangements in this regard. The statement must also identify any significant governance issues that may have resulted from failures in governance and risk management.

1.2.   Risk Management is an integral part of good governance to which the Council is committed. Risk Management provides the framework and processes that enables the Council to manage uncertainty in a systematic way. As part of the Risk Management arrangements the Council reviews the Risk Management Assurance Policy on an annual basis.

1.3.   It is considered good practice to regularly review and update the Risk Management Assurance Policy to ensure it strengthens the Council's approach to its risk management and assurance arrangements.

1.4.   Ensuring that the Corporate Risk Report (CRR) is soundly based will help the council 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.

1.5.   The CRR provides assurance to management and Members that the Bristol City Council's significant risks have been identified and arrangements are in place to manage those risks within the tolerance levels agreed.

1.6.   The CRR is a management tool and needs regular review to ensure that the occurrence of obstacles or events that may put individual's safety at harm, impact upon service delivery and the council's reputation are minimised, opportunities are maximised and when risks happen, they are managed and communicated to minimise the impact.

1.7.   The CRR has been prepared and presented in line with the Risk Management Assurance Policy that was approved by Cabinet in January 2019.

2. Consultation

Internal - First to fourth tier managers, Extended Leadership Team, Corporate Leadership Team, Cabinet Member, Finance, Governance and Performance.

External - None

3. Context

Corporate Risk Register (CRR)

3.1.   The Corporate Risk Report (CRR) is a key document in the council's approach to the management of risk; it captures strategic risks set out in the Corporate Strategy 2018-2023. It also provides a context through which Directorates construct their own high-level risk assessments and is used to inform decision

making about business planning, budget setting, transformation and service delivery.

3.2.   The CRR provides assurance to management and Members that Bristol City Council's significant risks have been identified and arrangements are in place to manage those risks within the tolerance levels agreed. It should be noted that 'risk' by definition includes both threats and opportunities, which is reflected in the CRR.

3.3.   The Accounts and Audit Regulations 2015 require the council to have in place effective arrangements for the management of risk. These arrangements are reviewed each year and reported as part of the Annual Governance Statement (AGS). Ensuring that the Service Risk Registers (SRR), Directorate Risk Reports (DRR) and the Corporate Risk Reports (CRR) are soundly based will help the council 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.

3.4.   The registers and reports are a management tool. They need regular review to ensure that the occurrence of obstacles or events that may put individual's safety at harm, impact upon service delivery and the council's reputation are minimised, opportunities are maximised and when risks happen, they are managed and communicated to minimise the impact.

3.5.   The CRR summary of risks is attached to this report at Appendix A is the latest position following a review by managers and Directors.

Summary of People Corporate Risks:

3.6.   The CRR sets out the critical, significant and high rated risks both threats and opportunities. All other business risks reside on the Service Risk Registers and reported through the DRRs.

3.7.   The Q1 21-22 Corporate Risk Report (CRR) as at 30 June 2021 contained the following risks that are the responsibility of the People directorate:

Threat Risks	Opportunity Risks	External / Contingency Risks
• 1 critical • 4 high • 1 medium • 0 new • 1 improving • 2 deteriorating • 0 closed	• 0 significant • 0 high • 0 medium • 0 new • 0 improving • 0 deteriorating • 0 closed	• 0 critical • 0 high • 0 medium • 0 new • 0 improving • 0 deteriorating • 0 closed

3.8.   A summary of risks (Threat and Opportunities) for this reporting period are set out below.

3.9.   There is one critical threat People risks on the Corporate Risk Report – CRR9 Safeguarding Vulnerable Children

3.10.   There is one improving threat risks – CRR42 Provision of Leisure Services.

3.11.   There are two deteriorating threat risks – CRR9 Safeguarding Vulnerable Children and CRR23 Adult and Social Care (ASC) Transformation programme 2020/21 – 2021/2022.

3.12.   All risks on the CRR have management actions in place.

3.13.   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.

Risk Management Framework

3.14.   Risk management is the culture, process and structures that are directed towards effective management of potential opportunities and threats to the council achieving its priorities and objectives and a key element of the council's governance framework. The Annual Governance Statement (AGS) declaration highlighted several opportunities to enhance Risk Management. Areas for improvement included:

- Increasing the level of engagement and ownership by Service Managers.
- Enhancing the engagement of Members in the risk management process.
- Engagement with the timeliness, completion, and accuracy of Service Risk Registers.
- Accuracy of Corporate and Directorate Risk Reports.
- Risk Management training and awareness.
- Risk Management within Decision Making, Business Case approvals, Project Management and Procurement Frameworks.
- Maintaining the focus of the process on reducing risk against the council's Corporate Plan 2018-23.

3.15.   The risk management framework and process continues to be developed.

3.16.   Upcoming plans for 2021/22 include:

- Risk data migration Q1 2021/21 and roll out of new system
- eLearning will roll out on the new Learning and Development platform which will be mandatory for key staff.
- Annual Risk Management Maturity Assessment.
- Approach to management of risk reporting to CLB.
- Reviewing and updating the Risk Management Assurance Policy.

4.   **Proposal**

- People Scrutiny Commission receive and note the Risk Management update.
- People Scrutiny Commission review and comment upon the Corporate Risk Report (CRR) as a source of assurance that risk management arrangements are in place.

5.   **Other Options Considered**

5.1.   None necessary. Having robust risk management processes in place is a requirement of the City Council. The CRR has been developed in line with the Risk Management Assurance Policy.

6.   **Risk Assessment**

6.1. The Risk Management Assurance Policy and the CRR will further develop risk

management assessment within the City Council, and help the management of risk arrangements embed.

7. Summary of Equalities Impact of the Proposed Decision

No Equality Impact anticipated from this report.

8. Legal and Resource Implications

Legal
Not Applicable

Financial
Not Applicable

Land
Not Applicable

Personnel
Not Applicable

Appendices:

Appendix A - Corporate Risk Report Resource Risks Only

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985
Background Papers:
Risk Management Assurance Policy.