

Meeting:	Audit and governance committee
Meeting date:	Wednesday 23 January 2019
Title of report:	Corporate risk register
Report by:	Directorate services team leader

Classification

Open

Decision type

This is not an executive decision

Wards affected

(All Wards);

Purpose and summary

To consider the status of the council's corporate risk register in order to monitor the effectiveness of the performance, risk and opportunity management framework. Since the corporate risk register was last reported to committee, five new risks have been added:

- CR048 – Delayed Transfer of Care
- CR.049 – Market Workforce Economy
- CR.050 – Market Capacity
- CR.051 – Human Rights claims
- CR.052 – IG Toolkit

One risk has been removed from the corporate risk register since last reported to committee:

CR.021 – Welfare Reform

Recommendation(s)

That:

the committee determine any recommendations it wishes to make to ensure effective risk management.

Alternative options

1. The committee could choose not to monitor the risk register; this would not be recommended as monitoring provides assurance that risk is being managed effectively within the council.

Key considerations

2. The committee's role is to ensure that risks have been rated in accordance with the performance, risk and opportunity management (PROM) framework. The committee currently receives the corporate risk register every six months.
3. The corporate risk register is compiled from risks identified at a directorate level which have been escalated as per the PROM, along with those high-level generic risks which require strategic management. Entries within the corporate risk register reflect those risks identified by management board and are endorsed by cabinet, thereby strengthening their strategic perspective, management response and controls.
4. The inclusion of risks within any level of risk register indicates that officers are aware of potential risks and mitigation strategies and controls are in place.
5. Each entry within the corporate risk register is scored to provide an assessment of the level of risk. All risks are scored based on an assessment of the impact and likelihood, adopting the scoring criteria within the PROM. These assessments are made at two points: before any actions are in place (inherent risk); and after identified controls are in place (residual risk).
6. Whatever level of residual risk remains, it is essential that the controls identified are appropriate, working effectively and kept under review.
7. Five new risks have been added to the register at appendix 1. These are:

CR048 – Delayed Transfer of Care
CR.049 – Market Workforce Economy
CR.050 – Market Capacity
CR.051 – Human Rights claims
CR.052 – IG Toolkit
8. One risk has been removed from the register at appendix 1:

CR.021 – Welfare Reform

This is because Universal Credit has started to be rolled out, and whilst there is still some uncertainty as to the full implementation process nationally, the framework is now in place. This risk has now been superseded by the new risk regarding the uncertainty of long-term social care funding, which is currently being considered under the social care green paper, and is currently a directorate risk..
9. At the meeting of 21 March 2018, the committee requested directorate risk registers so that assurance could be provided that the escalation / de-escalation of risk was being appropriately assessed in line with the PROM framework. Following the meetings on 30 July and 19 September, the committee requested that the directorate registers continue to be presented alongside the corporate risk register. Whilst the three directorate risk

registers are attached as appendices 2-4, they currently reflect the previous organisational structure and will be aligned to the new structure in time for the next report.

Community impact

10. In accordance with the principles of the council's adopted code of corporate governance, the council must ensure that it has an effective performance management system that facilitates effective and efficient delivery of planned services. Effective risk management is an important component of this performance management system.

Equality duty

11. Under section 149 of the Equality Act 2010, the 'general duty' on public authorities is set out as follows:

A public authority must, in the exercise of its functions, have due regard to the need to -

- (a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under this Act;
- (b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
- (c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

12. There are no equality duty implications arising from this report.

Resource implications

13. There are no resource implications arising from this report.

Legal implications

14. There are no legal implications arising from this report.

Risk management

15. There are no risks arising directly from this report. By reviewing the corporate risk register greater assurance is given that the council is managing risks appropriately.

Consultees

16. None.

Appendices

Appendix 1	Corporate risk register
Appendix 2	Adults and wellbeing risk register
Appendix 3	Children's wellbeing risk register

Background papers

None identified.