

Report To: **AUDIT PANEL**

Date: 1 November 2016

Reporting Officer: Ian Duncan – Assistant Executive Director (Finance)
Wendy Poole – Head of Risk Management and Audit Services

Subject: **RISK MANAGEMENT**

Report Summary: To present to members for comment, challenge and approval the Corporate Risk Register attached at **Appendix 1**.

Recommendations: That the report is noted and Members approve the Corporate Risk Register at **Appendix 1**.

Links to Community Strategy: Managing risks will enable the Council to deliver services safely and in an informed manner to achieve the best possible outcomes for residents.


Policy Implications: Effective risk management supports the achievement of Council objectives and demonstrates a commitment to high standards of corporate governance.

Financial Implications: Effective risk management assists in safeguarding assets, ensuring the best use of resources and the effective delivery of services. It also helps to keep insurance premiums and compensation payments to a minimum.
(Authorised by the Section 151 Officer)

Legal Implications: Demonstrates compliance with the Accounts and Audit Regulations 2015 and the Code of Corporate Governance.
(Authorised by the Borough Solicitor)

Risk Management: Failure to manage risks will impact on service delivery, the achievement of objectives and the Council's Medium Term Financial Strategy.

Access to Information: The background papers can be obtained from the author of the report, Wendy Poole, Head of Risk Management and Audit Services by contacting:

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1. INTRODUCTION

- 1.1 This report presents the revised and updated Corporate Risk Register for comment, challenge and approval.
- 1.2 Risk Management is facilitated by the Risk Management and Audit Service under the direction of the Head of Risk Management and Audit Services. All risks are owned by the members of the Executive Team, with support from Assistance Executive Directors, managers and staff.

2. CORPORATE RISK REGISTER

- 2.1 The updated Corporate Risk Register is attached at **Appendix 1**.
- 2.2 The Senior Management Team have been consulted in compiling the risk register and their comments have been incorporated into the updated risk register.
- 2.3 The following risks have been merged to remove duplication:-
 - **ICT Risk – May 2016**
The ICT development programme does not keep pace with organisational priorities and challenges facing Council services during the future changes to location and premises. Technical solutions and enhanced performance capacity are not available at the required pace to support major transformational change, budget savings and delivery of business as usual.
 - **ICT Risk – May 2016**
The supporting ICT provision for Council services is not resilient, and does not assure the basic requirements in terms of operational functionality and data security. Major ICT failure or lack of system integrity - Loss of all ICT systems due to an incident which affects the server room/data centre or system failure isolated to a specific system.
 - **ICT Merged Risk – October 2016**
The supporting ICT provision for Council services is not resilient, it does not keep pace with organisational priorities and change and does not assure the basic requirements in terms of operational functionality and data security. Major ICT failure or lack of system integrity - Loss of all ICT systems due to an incident which affects the server room/data centre or system failure isolated to a specific system.
 - **Emergency Planning/BCP Risk – May 2016**
More frequent extreme weather due to climate change - more frequent occurrences e.g. Flooding, Heat waves, heavy snow and wind damage due to storms.
 - **Emergency Planning/BCP Risk – May 2016**
Delivery of Services – Failure to provide an appropriate civil contingencies response to an incident or emergency affecting the community or the Council.
 - **Emergency Planning /BCP Risk – October 2016**
Failure to provide an appropriate Civil Contingencies response to an incident or emergency affecting the community or the Council, including extreme weather conditions due to climate change.

- 2.4 The following risks have been removed as they have been successfully managed:-
- Collection rates for Council Tax, NNDR and Sundry Debtors are affected by the economic climate.
 - Adverse impact on the organisation due to the review of revised Employee Terms and Conditions.
- 2.5 The following new risks have been added to the register:-
- Failure to manage the local home care market to deliver appropriate and timely care packages.
 - Insufficient care home capacity in the local market to provide appropriate placements for people requiring long term care.
 - Failure to open a new secondary school in September 2018.
- 2.6 The Corporate Risk Register will continue to be presented to the Senior Management Team on a quarterly basis and regular updates provided to the Audit Panel. It has also been agreed to separate the risk register into corporate and operational risks recognising that they are different but not of lower or greater weight.

3. SERVICE AREA RISK REGISTERS

- 3.1 Operational risk registers at Assistant Executive Director Level have been supported by the Senior Management Team and work will now commence to facilitate the production of these registers within service areas during Q3.
- 3.2 The template used for the Corporate Risk Register will be adopted.

4. RECOMMENDATIONS

- 4.1 Members note the report.
- 4.2 Members approve the Corporate Risk Register at **Appendix 1**.