

Subject:	Strategic Risk Review 2013-14 & Risk Management Action Plans – Updated October 2013		
Date of Meeting:	19 November 2013		
Report of:	Executive Director Finance & Resources		
Contact Officer:	Name:	Jackie Algar	Tel: 29-1273
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Ward(s) affected:	All		

FOR GENERAL RELEASE**1. SUMMARY AND POLICY CONTEXT:**

- 1.1 The Audit & Standards Committee has a role to monitor and form an opinion on the effectiveness of risk management and internal control. As part of discharging this role, it reviews the Strategic Risk Register, recently updated by the Executive Leadership Team (ELT) as attached at Appendix 1.
- 1.2 The Strategic Risk Assessment Report at Appendix 2, provides further details on the actions taken (mitigating controls) and planned actions (“solutions”) to manage specific strategic risks.

2. RECOMMENDATIONS:

- 2.1 That the Audit & Standards Committee notes the revised Strategic Risk Register (Appendix 1).
- 2.2 That the Audit & Standards Committee notes the Risk Management Action Plans or “Risk MAPs” contained in the Strategic Risk Assessment Report October 2013 (Appendix 2).

3. RELEVANT BACKGROUND INFORMATION/CHRONOLOGY OF KEY EVENTS:

- 3.1 The Strategic Risk Register details the current prioritised issues which may affect the achievement of the council’s priorities, including in relation to its work with other organisations across the city. It is reviewed and agreed by the ELT and reviewed every six months (usually May and November).
- 3.2 This Strategic Risk Register provides evidence of a risk aware and risk managed organisation. Generally, it reflects risk scenarios that will be common to comparable local authorities in this current period of change and financial challenge for the public sector and considers how these relate specifically to the city council.

3.3 Summary of the main changes made to the Strategic Risk Register:

There are 11 strategic risks in total.

No risks were removed or replaced by ELT on this occasion.

3 NEW RISKS

- SR16 – Health & Social Care Modernisation/Integration
- SR17 – School Places Planning
- SR18 – Effective use of technology

1 RISK WITH AN INCREASED RISK SCORE

- SR10 – Information Governance Management. The residual risk score has been increased from Amber (Likelihood = 3 Possible x Impact = 3 Moderate) to Red (Likelihood = 4 Likely x Impact = 4 Major) due to increasing security demands required by the Cabinet Office which must be met if an organisation is to access the Public Service Network to share information which is necessary for service delivery. There has already been significant work to address Information Governance but requirements continually rise and need to be met.

7 RISKS WITH NO CHANGE TO RISK SCORE as circumstances continue to evolve

- SR2 Financial Outlook
- SR4 Economic Resilience
- SR8 Becoming a more Sustainable City
- SR11 Welfare Reform
- SR13 Keeping vulnerable adults safe from harm and abuse
- SR14 Pay & Allowances Modernisation
- SR15 Keeping children safe from harm and abuse

3.4 Strategic Risk Management Action Plans for all Strategic Risks have been updated following ELT's review and are reported as Appendix 2 to this report.

4. **COMMUNITY ENGAGEMENT AND CONSULTATION**

4.1 Consultation has taken place with the council's Executive Leadership Team, the Corporate Management Team and representatives of all the political parties.

4.2 The Strategic Risk Register will be sent to the City Management Board partners for information which reflects the city wide performance & risk management approach.

5. **FINANCIAL & OTHER IMPLICATIONS:**

Financial Implications:

5.1 The Strategic Risk Register reflects a number of risks which have potential significant financial implications for the authority either directly or indirectly. The risk owners are responsible for overseeing the effective management of the risks through the Risk Management Action Plans and for highlighting financial risks

through the budget monitoring process and budget strategy development.

Finance Officer Consulted: James Hengeveld

Date: 17/10/13

Legal Implications:

- 5.2 This report comes before Audit & Standards Committee in order for the Committee to discharge its function of providing independent assurance of the adequacy of the council's risk management and associated control environment. Having reviewed the latest Strategic Risk Register and the Risk Management Action Plans or "Risk MAPs" contained in the Strategic Risk Assessment Report, the Committee may, if it considers it appropriate, make recommendations to Full Council, Policy & Resources Committee, one or more officers or another relevant body in the council.

Lawyer Consulted:

Oliver Dixon

Date: 14/10/13

Equalities Implications:

- 5.3 There are no direct equalities implications. Equalities will be incorporated as appropriate across all Strategic Risks and Risk MAPs by the officers responsible for taking actions.

Sustainability Implications:

- 5.4 The risk management methodology includes identification and management of sustainability issues. There is a specific Strategic Risk, SR 8, which relates to Sustainability. However, Sustainability will be incorporated as appropriate across all Strategic Risks and Risk MAPs.

Any Other Significant Implications:

- 5.5 None.

SUPPORTING DOCUMENTATION

Appendices:

1. Strategic Risk Register 2013/14 – reviewed by ELT September 2013.
2. Strategic Risk Assessment Report – October 2013.

Documents in Members' Rooms

1. None.

Background Documents

1. None.