

Report of the Director of Corporate Services

Audit Committee – 15 December 2015

RISK MANAGEMENT UPDATE

Purpose:	To update Members on the process of Risk Management, reporting and mitigation across the Council.
Policy Framework:	None.
Reason for Decision:	This report is presented for information purposes.
Consultation:	Legal Services and Corporate Equalities Unit.
Recommendation:	The Report is noted.
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Legal Officer:	Sharon Heys
Access to Services Officer:	Sherill Hopkins

1.0 Introduction

- 1.1 A report was presented to Audit Committee in October 2014 regarding the Council's risk management arrangements.
- 1.2 This report summarises the overall approach, discusses responsibility for managing risks and assurance activities and describes some current and future actions.

2.0 Risk Management

- 2.1 All individual risks have a 'responsible officer' identified and whose job it is to monitor and control each risk on a periodic basis.
- 2.2 Risk registers are made up of collections of individual risks. The Council has three main levels of risk register: corporate, directorate and service. There is also an Information Management Risk Register. A copy of the Corporate Risk Register is at Appendix A.

- 2.3 Corporate Risks are those that have a potential impact on the council as a whole whereas directorate and service risks affect departments and service units respectively. Information Management Risks relate to risks around information security and sharing. Risks Registers are collectively and periodically reviewed at the appropriate forum.
- 2.4 The Corporate and Directorate Risk Registers are monitored and controlled on a monthly basis at Executive Board and at the Performance & Financial Monitoring Meetings respectively. Service risk registers are effectively the responsibility of each Head of Service to maintain. The Information Management Risk Register is managed at the Information Management Meetings.
- 2.5 The review of risks and risk registers allow for risks to be monitored, controlled and updated, new risks to be identified, spent risks to be removed or, in the case of service and directorate risks, to be escalated to another risk register, e.g. if it was determined that a risk would be better managed at a different level within the Council.

3.0 Responsible Officers

- 3.1 It is a vital component of successful risk management that all responsible officers are responsible and accountable for effectively monitoring, evaluating and managing their risks both individually and collectively through the appropriate forum. It is important that this responsibility is not devolved to other people or to any particular team since this would blur lines of responsibility and accountability.

4.0 Assurance Checks

- 4.1 It is appropriate however that occasional assurance checks are undertaken from time-to-time to ensure that the system is working effectively. To date, assurance has been mainly focused on ensuring that Corporate and Directorate risks are being reviewed on a monthly basis at Executive Board and P&FM meetings respectively whereas any observations on the management of individual risks has been raised at P&FM meetings. A checklist was also circulated to responsible officers and Heads of Service for them to complete and use in order to ensure that Service Risks are also being managed and that there is a consistent and systematic approach in place to reviewing risks across the Council.
- 4.2 There is an assurance check of all risk registers currently underway, which is being undertaken using the checklist. The results from this check will be supplied to responsible officers, Executive Board and P&FMs as appropriate. A more in-depth review of the Council's risk management process will also take place in the New Year. Internal Audit is currently reviewing the Council's risk management arrangements as part of their audit cycle; this report will be used when undertaking the review of risk management arrangements.

5.0 Equality & Engagement Implications

5.1 There are no equalities implications directly arising from this report.

6.0 Financial Implications

6.1 There are no financial implications directly arising from this report.

7.0 Legal Implications

7.1 There are no legal implications directly arising from this report.

Background Papers: None

Appendices: Appendix A – Corporate Risk Register

Appendix A – Corporate Risk Register

Risk Register - Risk List - Windows Internet Explorer

http://staffnet01/RiskRegister/Default.aspx

Richard Rowlands

Filter by ResponsibleOfficer: All Archived Risks [Filter](#) [Save Reports](#)

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Previous	Next	Risk Id	Risk Title	View	Edit	Responsible Officer	Date Last Updated	Updated By	Overall RAG	Audit
		CR 42	Asset Disposal Targets	View	Edit	martin nicholls	04/12/2015	CCOS\MARTIN.NICHOLLS	R	View History
		CR 43	Workforce: insufficient workforce capacity and capability to deliver corporate plan objectives	View	Edit	steve rees	27/11/2015	CCOS\DEAN.TAYLOR	A	View History
		CR 44	Poverty	View	Edit	chris sivers	24/11/2015	CCOS\CHRIS.SIVERS	A	View History
		CR 45	Safeguarding	View	Edit	chris sivers	24/11/2015	CCOS\CHRIS.SIVERS	R	View History
		CR 46	Sustainable Swansea	View	Edit	dean taylor	27/11/2015	CCOS\DEAN.TAYLOR	R	View History
		CR 47	Financial Control	View	Edit	mike hawes	12/08/2015	CCOS\MIKE.HAWES	A	View History
		CR 48	Resilience	View	Edit	dean taylor	27/11/2015	CCOS\DEAN.TAYLOR	A	View History
		CR 50	Health & Safety Strategy	View	Edit	martin nicholls	04/12/2015	CCOS\MARTIN.NICHOLLS	A	View History
		CR 51	Failure to Provide Additional Gypsy Traveller Site Provision	View	Edit	phil roberts	13/10/2015	CCOS\PHIL.ROBERTS	R	View History
		CR 53	Equal Pay	View	Edit	steve rees	10/09/2015	CCOS\STEVE.REES	A	View History
		CR 54	Single Status	View	Edit	steve rees	10/09/2015	CCOS\STEVE.REES	G	View History
		CR 55	Welfare Reform	View	Edit	chris sivers	24/11/2015	CCOS\CHRIS.SIVERS	A	View History
		CR 58	Failure to deliver City Centre Regeneration	View	Edit	phillip holmes	26/11/2015	CCOS\PHILLIP.HOLMES	A	View History
		CR 59	Pupil attainment standards fall as a consequence of increasing demands and reducing resources in schools.	View	Edit	chris sivers	24/11/2015	CCOS\CHRIS.SIVERS	A	View History
		CR 60	Sustainable Waste Management Grant	View	Edit	chris howell	29/10/2015	CCOS\CHRIS.HOWELL	R	View History
		CR 61	Legal challenge to Council decision making process	View	Edit	chris sivers	24/11/2015	CCOS\CHRIS.SIVERS	R	View History

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