

# WIRRAL COUNCIL

## AUDIT & RISK MANAGEMENT COMMITTEE

17 SEPTEMBER 2014

<b>SUBJECT</b>	<b>CORPORATE RISK REGISTER</b>
<b>WARD/S AFFECTED</b>	<b>ALL</b>
<b>REPORT OF</b>	<b>CHIEF EXECUTIVE</b>
<b>KEY DECISION</b>	<b>NO</b>

### 1.0 EXECUTIVE SUMMARY

- 1.1 Under the terms of the Council's Constitution one of the functions of the Audit & Risk Management Committee is to provide independent assurance that the Council's risk management framework is effective.
- 1.2 A key output from the Council's risk management framework is the Corporate Risk Register. To support this Committee's work in considering the effectiveness of the framework a report is now presented on a regular basis detailing the key risks facing the authority and how these are being managed.

### 2.0 BACKGROUND AND KEY ISSUES

- 2.1 The Corporate Risk Register summarises those areas of uncertainty which have greatest potential to prevent or frustrate delivery of the Corporate Plan and confirms how the authority is seeking to tackle them. At a strategic level these risks help to inform future priorities and interventions. The actions required to mitigate the risks also influence the content of Directorate Service Plans and the allocation of resources. In that way they are a key component of the corporate planning process and so success in managing these risks is a key factor in overall corporate performance.

#### 2.2 Existing Corporate Risks

- 2.2.1 The Corporate Risk Register presented to this Committee on 23 June 2014 contained 28 risks.

#### 2.3 Review - Quarter One 2014/15

- 2.3.1 Governance arrangements for the register require that it be formally reviewed each quarter. The review is undertaken by the Chief Executive Strategy Group (CESG). This task is informed by a report from the Risk & Insurance Officer which summarises potential new risks for consideration and significant movements in Directorate and Programme risk registers.
- 2.3.2 A thorough refresh of the register had been undertaken on 10 June 2014. The quarter 1 review focussed on significant risks indicated in 2014/15 directorate plans. It was recognised that cross-cutting risks (those common to more than one directorate) were already reflected in the corporate register. There were no individual risks in directorate plans that were considered sufficiently significant to merit addition to the corporate register.

2.3.3 CESH also considered the suggestion made by a member of this committee at its meeting on 23 June 2014 that it might be appropriate for there to be two 'safeguarding' risks one relating to children and young people and another relating to vulnerable adults. However the consensus was that a single safeguarding risk was appropriate particularly given the joint approach to safeguarding.

## **2.4 Review August 2014**

2.4.1 The Chief Executive Strategy Group requested a further review of the register.

2.4.2 To inform this review improved information on the controls for the risks was obtained. Updates on the current status of additional mitigating actions were also collated.

2.4.3 The Group also considered one risk escalated by the Strategic Director of Families & Wellbeing. This concerned the risk associated with a failure to respond a recent clarification of the law made by the Supreme Court. In the case concerned the Court resolved that arrangements made for the care or treatment of individuals lacking capacity to consent to them could amount to a deprivation of liberty. CESH considered that this was an appropriate topic for the Directorate risk register but not at this point for the Corporate Risk Register.

2.4.4 The appendix contains a summary of progress made in relation to the management of the existing corporate risks that is correct as at 29/08/2014.

## **2.5 Next Steps**

2.5.1 To help give the Chief Executive Strategy Group and Members a more objective view of the significance of the corporate risks and the effectiveness of the controls work will be undertaken to identify relevant key risk indicators.

2.5.2 Many of the risks in the register are driven by external factors and as such the Council's ability to control them is limited. It is intended that future reports will comment in greater detail on this point.

## **3.0 RELEVANT RISKS**

3.1 The issues contained in the register are considered by Chief Executive Strategy Group to present the most significant risks to achievement of the objectives and priorities contained in the Corporate Plan. As such failure to manage them effectively could have severe implications for delivery of the Plan.

## **4.0 OTHER OPTIONS CONSIDERED**

4.1 These are not applicable in respect of this report.

## **5.0 CONSULTATION**

5.1 No specific consultation has been undertaken with regard to this report.

## **6.0 OUTSTANDING PREVIOUSLY APPROVED ACTIONS**

6.1 None.

## **7.0 IMPLICATIONS FOR VOLUNTARY, COMMUNITY AND FAITH GROUPS**

7.1 None.

## **8.0 RESOURCE IMPLICATIONS: FINANCIAL; IT; STAFFING; AND ASSETS**

8.1 Whilst there are no direct implications effective management of the corporate risks will help to mitigate negative impacts on the Council's financial IT and human resources.

## **9.0 LEGAL IMPLICATIONS**

9.1 There are none arising directly from this report.

## **10.0 EQUALITIES IMPLICATIONS**

10.1 There are none arising directly from this report.

## **11.0 CARBON REDUCTION AND ENVIRONMENTAL IMPLICATIONS**

11.1 There are none arising directly from this report.

## **12.0 PLANNING AND COMMUNITY SAFETY IMPLICATIONS**

12.1 There are none arising directly from this report.

## **13.0 RECOMMENDATIONS**

13.1 That Members consider the summary of progress made in relation to the management of the existing corporate risks.

13.2 That further reports on the Corporate Risk Register be brought to future meetings of this Committee.

## **14.0 REASONS FOR RECOMMENDATIONS**

14.1 Having an understanding of the Council's principal risks and their controls supports the Committee's responsibility in relation to the adequacy of the Council's risk management framework.

14.2 The provision of regular reports to this Committee on the Corporate Risk Register is a requirement of the Council's Corporate Risk Management Policy.

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## **APPENDIX**

Corporate Risk Register – progress report

## **BACKGROUND PAPERS/REFERENCE MATERIAL**

Reports of the Risk and Insurance Officer – 21 July and 14 August 2014  
Agenda and minutes from the Chief Executive Strategy Group

## **BRIEFING NOTES HISTORY**

<b>Briefing Note</b>	<b>Date</b>

## **SUBJECT HISTORY**

<b>Council Meeting</b>	<b>Date</b>
Audit & Risk Management Committee	23 June 2014
Audit & Risk Management Committee	18 March 2014
Audit & Risk Management Committee	10 June 2013
Cabinet	23 May 2013
Cabinet	2 February 2012