

# Progress Report - Risk Management

Appendix 2

Components of Risk Management	Progress To date
<p><b>Risk Management Strategy</b></p>	<ul style="list-style-type: none"> <li>• The Council adopted a formal 'Risk &amp; Opportunity Management Strategy' in 2003. The Strategy has been subject to annual review and was last formally updated in 2006 when it was approved by Council Executive on the 7<sup>th</sup> June 2006.</li> <li>• The latest review of the Strategy considered developing a joint strategy document with the NHS Primary Care Trust. A decision was taken that the Council and PCT would maintain separate Strategy documents but the Council's risk management processes including the risk register template would be adopted.</li> <li>• The Cabinet Member for Resources &amp; Support Services will approve the Council's Risk Management Strategy in December 2010.</li> </ul>
<p><b>A. Risk Management Training &amp; Guidance</b></p>	<p><b><u>Members</u></b></p> <ul style="list-style-type: none"> <li>• Corporate Audit Committee briefing carried out in September 2009.</li> <li>• Proportionate risk management training for all Members will be provided following the 2011 elections. The Risk Management component of the Member Induction Pack to be updated.</li> </ul> <p><b><u>Officers</u></b></p> <ul style="list-style-type: none"> <li>• Risk Management briefings are provided to Strategic Director Management Teams quarterly. These meetings are used to discuss 'Service Risk Management' and 'Corporate Risks'. The results of quarterly 'desktop' risk register assessments completed by the Risk Management Team are reported.</li> <li>• To assist in the embedment of risk management processes risk management officers have provided training / briefing to individual Service Managers.</li> <li>• Risk Management is a component of the Council's Corporate Induction Course for new employees. A general introduction into the Council's risk management framework / processes is followed by an afternoon of workshops in relation to a number of cross organisational 'risk management' areas including Information Governance, Equalities, and Health &amp; Safety. There have been 6 courses during the last year - 20/11/09, 23/03/10; 4/05/10, 20/07/10, 14/09/10 and 23/11/10.</li> </ul> <p><b><u>Guidance</u></b></p> <ul style="list-style-type: none"> <li>• Risk Management Guidance is available through the 'Risk &amp; Opportunity Management' intranet pages.</li> <li>• This includes an introduction to the subject and then more detailed guidance on 'Decision Making' and 'Risk Registers'.</li> </ul>

<b>B. Service Risk Registers</b>	<ul style="list-style-type: none"> <li>Registers are maintained by all Council Services (Divisional Directors) and these are accessible through the Council's intranet (Risk Register Holding Area).</li> <li>Quarterly 'desktop' risk register assessments are carried out and reported to management and other officers with a role in maintaining risk registers. The objective of the assessments are to improve the use of the risk register templates and through this produce improved risk registers focussing on key risks and action plans.</li> <li>Services are required to review and monitor these on at least a quarterly basis and Divisional Directors are asked to complete a quarterly 'sign-off' routine using the Council's Performance Management System (QPR) to confirm the proper maintenance of Service Risk Registers.</li> </ul>
<b>C. Corporate Risk Register</b>	<ul style="list-style-type: none"> <li>The Corporate Risk Register is subject to quarterly review and update.</li> <li>The current and previous versions of the Corporate Risk Register are accessible to specified Officers through the Council's intranet (risk register holding area). This ensures that it is easily accessible for maintenance purposes.</li> <li>Risks can only be entered onto the Corporate Risk Register at the request of 1<sup>st</sup> tier Officers/Cabinet Members.</li> <li>Corporate risks and actions can be updated at any time but these are formally reviewed quarterly through input by Strategic &amp; Divisional Directors.</li> <li>There are currently 15 risks on the Corporate Risk Register. The Register was recently (November 2010) made available to the Council's External Auditors to assist their audit planning process.</li> </ul>
<b>D. Reporting on Risk Management</b>	<ul style="list-style-type: none"> <li>Cabinet and Strategic Directors Group – Integrated Performance Report includes a Risk Management report.</li> <li>Strategic Directors Group – Currently discussing future of risk management reporting to ensure SDG receive at least a quarterly update on the Corporate Risk Register.</li> <li>Corporate Audit Committee – provide a status report on risk management.</li> <li>External Audit reviews the adequacy of Risk Management and report on its findings through the Use of Resources Assessment. A specific key line of enquiry exists for Risk Management &amp; Internal Control. The Council received a Level 3 or good assessment although the process has now been abolished.</li> <li>The Council reviews its risk management arrangements formally on an annual basis through the Annual Governance review and reports its findings through to the Audit Committee.</li> </ul>
<b>E. Project Risk Management</b>	<ul style="list-style-type: none"> <li>Risk Management has been incorporated within the Councils' Project Management Handbook.</li> <li>Development &amp; Major Projects (D&amp;MP) forms the Council's Centre of Excellence for project management. D&amp;MP have adopted the use of the Council's revised risk register template.</li> </ul>

<b>F. Partnership Risk Management</b>	<ul style="list-style-type: none"> <li>• A Partnership Toolkit has been developed in consultation with the Divisional Director Policy &amp; Partnerships and it's accessible through the Council's internet web pages.</li> <li>• Transformation Service is working closely with Mouchel to maintain an operational IT risk register.</li> <li>• Tourism, Culture &amp; Leisure Services maintains a risk register for the Aquaterra Partnership (Leisure Partnership).</li> </ul>
<b>G. Decision Making</b>	<ul style="list-style-type: none"> <li>• Guidance on risk management in decision making is available through the Council's Information Service (Intranet).</li> <li>• A proportionate risk assessment is required to be carried out for all formal decisions and member reports.</li> <li>• The Council's reporting templates include a 'Risk Management' Section. Guidance provided states that significant risks in relation to the reported issue should be recorded in the 'Risk Management' section. Cabinet members and statutory officers have been reminded of the need to review the risk assessments and work with report authors to improve the risk assessments if deemed necessary.</li> </ul>