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**Meeting:** Audit Committee  
**Date:** 27 January 2010  
**Subject:** Progress on Strategic and Directorate Risk Registers  
**Report of:** Director of Corporate Resources  
**Summary:** This report provides an update on the progress made to produce the strategic, directorate and service risk registers.

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**Advising Officer:** Clive Heaphy, Director of Corporate Resources  
**Contact Officer:** Nick Murley, Assistant Director Audit & Risk  
**Public/Exempt:** Public  
**Wards Affected:** All  
**Function of:** Audit

## **CORPORATE IMPLICATIONS**

### **Council Priorities:**

The Corporate Risk Management Strategy sets the framework for the organisation to manage its risk which is critical to the effective overall management of the Council and hence will support all of the council priorities.

### **Financial:**

None directly from this report

### **Legal:**

None directly from this report

### **Risk Management:**

The strategic risks along with mitigating control are set out in the appendix.

### **Staffing (including Trades Unions):**

The Council needs to ensure that people issues are high on the agenda, with a fit for purpose people strategy (this is under development and will be implemented in March 2010), and that managers are trained to manage individuals and teams effectively. Resourcing and workforce plans, as well as a comprehensive learning and development programme will underpin and support the people strategy. Additionally, managers will be supported by HR professionals when undertaking change programmes.

**Equalities/Human Rights:**

Central Bedfordshire Council has a duty to promote equality and to tackle discrimination relating to age, disability, gender, gender reassignment, race, religion or belief, and sexual orientation. Equality legislation can impact on every aspect of Council activity relating to service users, local communities, staff, stakeholders and contractors. Failure to comply with equality legislation can expose the Council to the risk of litigation and scrutiny by the Equalities and Human Rights Commission. Individual employees, voluntary organisations or customers can also take legal action against councils which can result in court judgements or out of court settlements.

The People section of the Risk Registers address the need to ensure that staff and managers are trained and supported to meet the requirements of equality legislation.

**Community Safety:**

None directly from this report

**Sustainability:**

None directly from this report

**RECOMMENDATION:**

**That the Audit Committee note the progress made on the Strategic and Directorate Risk Registers in line with the Corporate Risk Management Strategy**

**Background**

1. The Corporate Risk Management Strategy for Central Bedfordshire Council was approved by the Shadow Executive on the 17 March 2009. It was endorsed by the Audit Committee in April 2009, who also approved the working practices in support of the strategy.
2. As part of that strategy, the Executive have responsibility to approve and monitor a Strategic Risk Register of the Council. The Audit Committee have the responsibility to make sure that adequate working arrangements are in place to implement the strategy. This includes making sure that both the Strategic Risk Register and operational registers are in place.

**Strategic Risk Register**

3. The first strategic register was approved by the Executive on the 12 January 2010. It captured a number of strategic risks affecting the council's core business but also identified a number of transitional risks that the council is still facing as a result of local government reorganisation that we are expecting will fall away over time.

4. The core risks captured were as follows:
  - Adult Social Care – service improvement and safeguarding vulnerable adults
  - Children, Families and Learning – Service improvement and safeguarding Children
  - Growth Agenda
  - Recession
  - Climate Change
  - Waste
  - Financial
  - People
  - Partnerships/Programmes/Projects
  - Contracts/Commissioning
  - Information Management
  
5. The transitional risks identified were as follows:
  - Health & Safety
  - Service Level Agreements
  - Technological – systemic failure of ICT
  - Interim Accommodation Strategy
  - Business Continuity
  - Emergency Planning
  
6. The detailed strategic register sets out the individual risk, explaining in more detail the likely impact and then provides information on the risk control measures that are in place to mitigate the effect. A risk score, the product of the probability and impact, is presented representing how effective our current controls that are in place. A residual score is then presented assuming all of the controls are in place. The risk control owners are also set out in the register along with an expected completion date.

### **Directorate and Service Risk Registers**

7. In parallel to the creation of the Strategic Risk Register, the Risk Management team have been actively meeting with Directors, Assistant Directors and Heads of Service to facilitate the production of both directorate and service risk registers.
  
8. Appendix A sets out the progress made to date in each directorate.
  
9. The same format used to create the Strategic Risk Register has been used to generate the directorate and service registers. Clear links have been made between service risk and if pronounced have fed up into the directorate risk register. Similarly consistent risks identified at a directorate level have fed into the Strategic Risk Register.

10. The aim is to have the service risk registers completed by the end of January 2010 and the directorate registers by the end of February 2010. This information will then inform the review of the Strategic Risk Register by CMT in April 2010.

### **Conclusion and Next Steps**

11. All the registers being created will form an important management tool moving forward and should focus attention on the mitigating the risk where possible. The registers will be reviewed on a frequent basis by the service areas and directors.
12. The Strategic Risk register will be reviewed by CMT on a quarterly basis, the next review being April 2010, and by the Executive twice a year.
13. Information from the directorate and service registers has been used to create the strategic register and will also inform the strategic internal audit plan.

### **Appendices:**

Appendix A - Status of Directorate and Service Risk Registers

### **Background Papers:**

Corporate Risk Management Strategy – Shadow Executive 17 March 2009

Risk Management Strategy and Working Practices – Audit Committee 6 April 2009

Strategic Risk Register – Executive 12 January 2010

**Location of papers:** Priory House, Chicksands, Bedfordshire