

# MUNICIPAL YEAR 2016/2017 REPORT NO. 89

## MEETING TITLE AND DATE:

Audit & Risk Management Committee  
29 September 2016

## REPORT OF:

Director of Finance, Resources and  
Customer Services

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<b>Agenda - Part: 1</b>	<b>Item: 7</b>
<b>Subject:</b> Operational & Strategic Risk Registers Update	
<b>Wards:</b>	
<b>Cabinet Member consulted:</b>	

## 1. EXECUTIVE SUMMARY

- 1.1. This report provides a summary of the Council's departmental (renamed '*operational*') and strategic risk registers as updated in August / September 2016.

## 2. RECOMMENDATIONS

- 2.1. To note the risks recorded in the departmental (renamed '*operational*') and strategic risk registers.
- 2.2. To note the proposed staggered reporting of risk registers to each quarterly Audit & Risk Management Committee meeting.

## 3. BACKGROUND

- 3.1 The Council's Risk Management Strategy allows for the regular review of the operational and strategic risk registers.

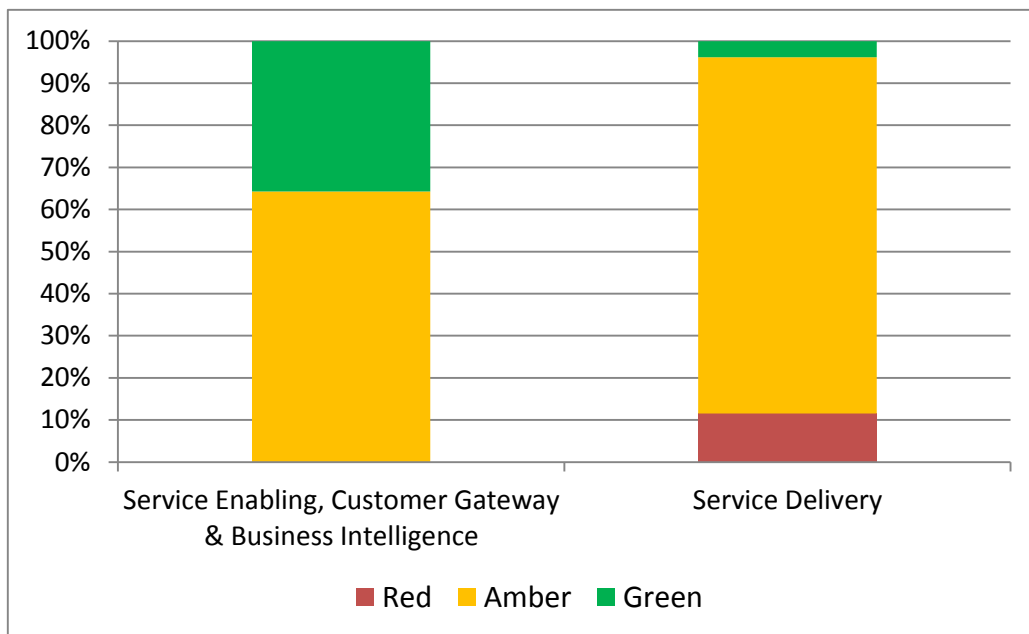
- 3.2 In accordance with the Strategy, the Audit & Risk Management Committee is responsible for monitoring the effective development and operation of risk management in the Council to ensure compliance with the Strategy.
- 3.3 Risk management is integrated into the departmental planning process with threats and opportunities reviewed quarterly or more regularly as required.
- 3.4 The risks, assessments, controls and mitigating actions in the registers presented in this report have been reviewed and agreed by Departmental Management Teams (DMTs) and the Corporate Management Board (CMB).
- 3.5 The Insurance and Risk Management Team continues to provide oversight, challenge and advice to departments regarding effective risk mitigation and governance.

**Operational Risk Registers**

- 3.6 The departmental risk register generally shows DMTs risk registers by department name. To ensure risk registers closely reflect the Council's restructure and operating model, the departmental risk register has been renamed 'operational' risk register.
- 3.7 The table below shows how departments are reflected within the operating model.

Departmental Risk Register	Operating Model
<ul style="list-style-type: none"> <li>• Finance, Resources &amp; Customer Services</li> <li>• Chief Executive</li> </ul>	Service Enabling, Customer Gateway & Business Intelligence
<ul style="list-style-type: none"> <li>• Children's Services</li> <li>• Health, Housing &amp; Adult Social Care</li> <li>• Regeneration &amp; Environment</li> </ul>	Service Delivery

- 3.8 The following graph provides a summary of current risks within each operating area.



3.9 The red risks (assessment score of 16 and above) relate to external pressures beyond the Council’s control such as the effect of the Government’s Housing & Planning bill. However, mitigating actions are in place to reduce the impact on the Council should the risks occur.

3.10 Appendix 1 provides a log of the operational risk register.

**Strategic Risk Register**

3.11 In line with the Risk Management Strategy, the strategic risk register contains those risks that could have a significant impact upon the achievement of the Council’s key objectives.

3.12 The major source of information for the strategic risk register is the operational risk register, specifically those risks with an assessment score of 16 and above (Red risks).

3.13 Appendix 2 provides a detailed summary of the strategic risks.

3.14 Departmental Management Teams will continue the regular review of all risks presented in this report to ensure assessments remain reasonable and all mitigating actions identified are undertaken within a reasonable period of time.

**Reporting of Risk Registers**

3.15 To enable more time for committee members to consider risk reports, a staggered reporting programme as detailed in the table below is proposed.

<b>Risk Register</b>	<b>01 Nov 16</b>	<b>12 Jan 17</b>	<b>7 Mar 17</b>	<b>July 17</b>	<b>Sept 17</b>
Service Enabling, Customer Gateway & Business Intelligence	<i>Review of the Corporate Risk Strategy</i>	✓	-	✓	-
Strategic Risks					
Service Delivery		-	✓	-	✓

3.16 In addition, a representative from relevant service areas will attend each meeting to provide further information and advice, as required, on presented risks.

#### **4. ALTERNATIVE OPTIONS CONSIDERED**

4.1 There are no alternative options to consider. Not providing an update on the Council's risk registers would be contrary to best practice and the Council's Risk Management Strategy.

#### **5. REASONS FOR RECOMMENDATIONS**

5.1 The Council's Risk Management Strategy allows for the review of the operational and strategic risk registers.

#### **6. COMMENTS OF THE DIRECTOR OF FINANCE, RESOURCES AND CUSTOMER SERVICES AND OTHER DEPARTMENTS**

##### **6.1 Financial Implications**

There are no financial implications arising directly from a review of the Council's operational and strategic risk registers.

##### **6.2 Legal Implications**

The Accounts and Audit (England) Regulations 2011 Section 4(1) requires the Council to have a sound system of internal control which facilitates the effective exercise of the Council's functions and which includes arrangements for the management of risk.

This report has been completed as part of the Council's corporate risk management process.

##### **6.3 Property Implications**

There are no property implications arising directly from a review of the Council's operational and strategic risk registers.

## **7. KEY RISKS**

Any large complex organisation needs to have a well-established and systematic risk management framework in place to identify and mitigate risks it may face.

This report forms a part of the Council's risk management process.

## **8. IMPACT ON COUNCIL PRIORITIES**

### **8.1 Fairness for All**

An effective risk management process ensures full account is taken of any risks to services and other Council activities that might adversely affect the delivery of high quality, affordable, and accessible services to all residents.

### **8.2 Growth and Sustainability**

An effective risk management process will help the Council achieve its objectives in the area of growth and sustainability.

### **8.3 Strong Communities**

An effective risk management process will help the Council achieve its objectives in the area of strong communities.

## **9. EQUALITIES IMPACT IMPLICATIONS**

It is not relevant or proportionate to carry out an equalities impact assessment / analysis for the review of the Council's operational and strategic risk registers.

## **10. PERFORMANCE MANAGEMENT IMPLICATIONS**

An effective risk management process is an essential part of the performance management of the Council's services and activities.

## **11. HEALTH AND SAFETY IMPLICATIONS**

There are no Health and Safety implications arising directly from a review of the Council's operational and strategic risk registers.

## **12. HR IMPLICATIONS**

There are no Human Resources implications arising directly from a review of the Council's operational and strategic risk registers.

### **13. PUBLIC HEALTH IMPLICATIONS**

There are no Public Health implications arising directly from a review of the Council's operational and strategic risk registers.

#### **Background Papers**

None