MEETING TITLE AND DATE: Audit & Risk Management Committee 01 November 2017 **REPORT OF:** Executive Director of Finance, Resources and Customer Services Contact officer and telephone number: Vivian Uzoechi (Insurance & Audit Manager) - 020 8379 4615 E mail: vivian.uzoechi@enfield.gov.uk Christine Webster (Head of Audit & Risk Management) - 020 8379 5837 E mail: christine.webster@enfield.gov.uk	**Agenda - Part:**	**Item:** 5
	Subject: Service Enabling Risk Register (CEX and FRCS) **Wards:**	
	Cabinet Member consulted:	

1. EXECUTIVE SUMMARY

1.1. This report presents registers for the Service Enabling operating areas *(Chief Executive's and Finance, Resources & Customer Services Departments).*

2. RECOMMENDATIONS

2.1 To note the risks recorded in the Service Enabling registers.

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 The risks, assessments, controls and mitigating actions in the registers presented in this report have been reviewed and agreed by Departmental Management Teams

(DMTs) who are responsible for ensuring that there is a dynamic management of risk across their departments.

3.4 The Insurance and Risk Management Team continues to provide oversight, challenge and advice to departments regarding effective risk mitigation and governance.

Service Delivery Operating Area Risks

3.5 The Service Enabling risk register consists of 9 risks as detailed in the table and heat map below. 4 (44%) of risks in the register are assessed as low (Green), 5 (56%) as medium (Amber). There are no high (Red) risks in the service enabling operating areas.
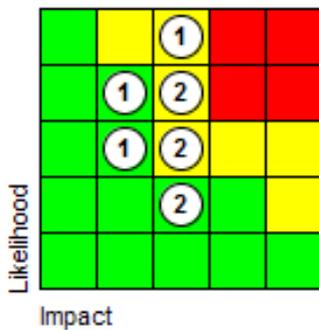
Risk Title	Current RAG	Direction of Travel
FRCS1617 - 1 Resourcing	🔺	↔
FRCS1617 - 2 Value for Money	✅	↔
FRCS1617 - 3 Market impact	🔺	↔
FRCS1617 - 4 Staffing	✅	↔
FRCS1617 - 5 Controls & Assurance	✅	↔
FRCS1617 - 7 Information Security	✅	↔
CEX001 Adverse media relations	🔺	↔
CEX004 Workforce and Succession Planning	🔺	↔
CEX009 Use of Digital Solutions	🔺	↔

3.6 The Service Enabling risk register is provided in Appendix 1.

Strategic Risk Register

3.7 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.

3.8 The major source of information for the strategic risk register is the operational registers, specifically 'Red' risks with an assessment score of 16 and above.

3.9 The 'Red' risks that make up the strategic risk register were reported to members at the last Audit & Risk Management Committee meeting on 28 September 2017.

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

3.11 The following representatives from relevant service areas are in attendance to address questions about their register:
- Chief Executive's – Alison Trew
- Finance, Resources & Customer Services – James Rolfe

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.

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 EXECUTIVE 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 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 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 priorities.

8.3 Strong Communities

An effective risk management process will help the Council achieve its priorities.

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 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 risk registers.

12. HR IMPLICATIONS

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

13. PUBLIC HEALTH IMPLICATIONS

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

Background Papers

None