	FINANCE & AUDIT SCRUTINY	Agenda Item No. 6

Title	Review of Health & Community Protection Services Risk Register
For further information about this report please contact	Marianne Rolfe , Head of Health & Community Protection Tel: 01926 456700 Email: Marianne.rolfe@warwickdc.gov.uk or Richard Barr, Audit & Risk Manager Tel: 01926 456815 email:richard.barr@warwickdc.gov.uk
Wards of the District directly affected	Not applicable
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	~~Yes~~/No If yes state why
Date and meeting when issue was last considered and relevant minute number	**12 January 2016, Agenda Item No. 5** Finance & Audit Scrutiny Committee (last service risk register review)
Background Papers	WDC risk management policy & guidelines

Contrary to the policy framework:	~~Yes~~/No
Contrary to the budgetary framework:	~~Yes~~/No
Key Decision?	~~Yes~~/No
Included within the Forward Plan? (If yes include reference number)	~~Yes~~/No
Equality Impact Assessment Undertaken	~~Yes~~/No (If No state why below)
Not applicable as no direct service implications	

Officer/Councillor Approval		
Officer Approval	**Date**	**Name**
Chief Executive/Deputy Chief Executive	20/09/17	Chris Elliot/ Andrew Jones
Head of Service	20/09/17	Marianne Rolfe
CMT	20/09/17	Chris Elliot/ Andrew Jones
Section 151 Officer		Mike Snow
Monitoring Officer	20/09/17	Andrew Jones
Finance		Mike Snow
Portfolio Holder(s)	06/10/17	Cllr Andrew Thompson
Consultation & Community Engagement		
Final Decision?	Yes~~/No~~	
Suggested next steps (if not final decision please set out below)		

1.   **Summary**

1.1   This report sets out the process for the review by Finance & Audit Scrutiny
      Committee of the Health & Community Protection Services Risk Register.

2.   **Recommendation**

2.1   That Finance & Audit Scrutiny Committee should review the Health &
      Community Protection Services Risk Register attached at Appendix 1A and
      make observations on it as appropriate.

3.   **Reasons for the Recommendation**

3.1   To enable members to fulfil their role in managing risk (see section 8, below).

4.   **Policy Framework**

4.1   **Fit for the Future (FFF)**

      The Council's FFF Strategy is designed to deliver the Vision for the District of
      making it a Great Place to Live, Work and Visit. To that end amongst other
      things the FFF Strategy contains several Key projects.

      The FFF Strategy has 3 strands – People, Services and Money and each has an
      external and internal element to it. The table below illustrates the impact of
      this proposal if any in relation to the Council's FFF Strategy.

FFF Strands		
People	**Services**	**Money**
External		
Health, Homes, Communities	**Green, Clean, Safe**	**Infrastructure, Enterprise, Employment**
Intended outcomes: Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	Intended outcomes: Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	Intended outcomes: Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels
Impacts of Proposal		
Managed the risks associated with service delivery in order to ensure the delivery of the intended outcomes	Managed the risks associated with service delivery in order to ensure the delivery of the intended outcomes	Managed the risks associated with service delivery in order to ensure the delivery of the intended outcomes
Internal		
Effective Staff	**Maintain or Improve Services**	**Firm Financial Footing over the Longer Term**
Intended outcomes: All staff are properly trained	Intended outcomes: Focusing on our customers' needs	Intended outcomes: Better return/use of our assets

All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	Continuously improve our processes Increase the digital provision of services	Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money
Impacts of Proposal		
Managed the risks associated with service delivery in order to ensure the delivery of the intended outcomes	Managed the risks associated with service delivery in order to ensure the delivery of the intended outcomes	Managed the risks associated with service delivery in order to ensure the delivery of the intended outcomes

4.2 Supporting Strategies

Each strand of the FFF Strategy has several supporting strategies and the relevant ones for this proposal are contained within the WDC Risk Management Policy & Guidelines.

4.3 Changes to Existing Policies

No proposed changes to existing policies.

4.3 Impact Assessments – An impact assessment has not been carried out as this report does not require a change or amendment of policy.

5. **Budgetary Framework**

5.1 Although there are no direct budgetary implications arising from this report, risk management performs a key role in corporate governance including that of the Budgetary Framework. An effective control framework ensures that the Authority manages its resources and achieves its objectives economically, efficiently and effectively.

5.2 The risk register sets out when the realisation of risks might have financial consequences. One of the criteria for severity is based on the financial impact.

6. Risks

The risks are contained in the Service's Risk Register, set out as Appendix 1A.

7. Alternative Option(s) considered

7.1 This report is not concerned with recommending a particular option in preference to others so this section is not applicable. In this section the reporting officer would set out the alternative options which have been considered before making their recommendation. This section is required because it is a requirement of any Executive decision taken to consider and record alternative options before taking the decision.

8.   **Responsibility for Risk Management**

8.1   In its management paper "Worth the risk: improving risk management in local government", the Audit Commission sets out clearly the responsibilities of members and officers: "Members need to determine within existing and new leadership structures how they will plan and monitor the council's risk management arrangements. They should:
- decide on the structure through which risk management will be led and monitored;
- consider appointing a particular group or committee, such as an audit committee, to oversee risk management and to provide a focus for the process;
- agree an implementation strategy;
- approve the council's policy on risk (including the degree to which the council is willing to accept risk);
- agree the list of most significant risks;
- receive reports on risk management and internal control – officers should report at least annually, with possibly interim reporting on a quarterly basis;
- commission and review an annual assessment of effectiveness: and
- approve the public disclosure of the outcome of this annual assessment, including publishing it in an appropriate manner.

8.2   The role of senior officers is to implement the risk management policy agreed by members. It is important that the Chief Executive is the clear figurehead for implementing the risk management process by making a clear and public personal commitment to making it work. However, it is unlikely that the Chief Executive will have the time to lead in practice and, as part of the planning process, the person best placed to lead the risk management implementation and improvement process should be identified and appointed to carry out this task. Other people throughout the organisation should also be tasked with taking clear responsibility for appropriate aspects of risk management in their area of responsibility."

9.   **Background**

9.1   Executive agreed on 11th January 2012 that:
a) Portfolio Holders should review their respective Service Risk Registers
b) quarterly with their service area managers.
c) Portfolio Holder Statements should include each service's top three risks.
d) Executive should note the process for the review by Finance & Audit
e) Scrutiny Committee of service risk registers.
f) The relevant Portfolio Holders should attend the Finance & Audit Scrutiny
g) Committee meetings at which their respective service risk registers are
h) reviewed.

9.2   The full framework endorsed by Executive at that meeting is set out as Appendix 3.

9.3   Risk registers are in place for all significant risks facing service areas in the provision of their services. In addition to service risk registers for all service areas there is the Significant Business Risk Register that contains the organisation's corporate and strategic risks (the latest version of this being presented to the January Executive meeting).

10   **Health & Community Protection Service Risk Register**

10.1   The latest version of the Health & Community Protection Risk Register is set out as Appendix 1A to this report. The register is regularly reviewed and updated.

10.2   Health & Community Protection also maintain a summary table as a supplement to the Risk Register to manage their key risks more closely. This is set out as Appendix 1B.

10.3   The scoring criteria for the risk register are subjective and are based on an assessment of the likelihood of something occurring, and the impact that might have. Appendix 2 sets out the guidelines that are applied.

10.4   In line with the traditional risk matrix approach, greater concern should be focused on those risks plotted towards the top right corner of the matrix whilst the converse is true for those risks plotted towards the bottom left corner of the matrix. If viewed in colour, the former-described set of risks are within the area shaded red, whilst the latter-described set of risks are within the area shaded green; the mid-range are in the area seen as yellow.

10.5   **Overview of Health & Community Protection Services Risk Management**

10.6   The Health & Community Protection Risk Register is owned and managed by the Portfolio Holder & the Health & Community Protection Management Team. The register is reviewed on a monthly basis by the Management Team and is discussed on a regular basis by Head of Health & Community Protection and Portfolio Holder at their one-to-one meetings.

10.7   Amendments to existing risks are made to the register as appropriate and when any new risks are identified. Any changes to risks are shown on the matrix attached as Appendix 1B, allowing officers to track the history of the risk and the impact of mitigation.

10.8   The Risk Register includes the significant business risks across the service; some of these are common across the service and others, given the broad range of services, are specific to a particular part of the service. Sitting beneath this Risk Register are a series of detailed risk assessments within each part of the service which identify the day to day risks which exist within the service. In general terms these are health & safety risks relevant to the type of service being provided. There are also the Service Area Crisis Plan and Business Continuity Plans which address emergency situations.

10.9   **Health & Community Protection Service Risks**

10.10   Health & Community Protection is responsible for the provision of a wide range of services. The risk register (Appendix 1A) includes generic risks at the start of the document. These are divided in to various categories. Service-specific risks are then listed, relevant to the various sections of the service.

10.11   There are 46 risks contained in the Risk Register; 24 are service-specific risks and 22 are generic risks. There are currently 1 risks in the "red zone". One risks has moved from the "red" to the yellow since the last review. The table in Appendix 1B summarises changes since the last review.

10.12   The three main risks within the service are considered to be:-

- **GR 1– staff resources and loss of key staff**. There are a number of reasons for this, not least the recent departmental restructure, carried vacancies (3 of which active recruitment is underway and 1 of which are awaiting persons to start their employment, 1 of which non active recruitment until the supervisor post is filled).
- **GR2 - Health and Safety risks to staff - evening/ night time enforcement, Lone working, staff safety, Injuries and abuse**. The recent lone worker audit commissioned by SMT has highlighted the risk officers face during lone working. The service as always felt that this is an area of higher risk due to the nature of the work of many of the officers within the service.
- **GD8 - Unable to meet levels of service expected.** The service has experiencing an increased workload in a number of areas due to the increase in workload that is also being experienced in other service areas. In addition the service is carrying a number of vacancies as outlined in GR1.

10.13 **Review of Risk Register by Members**

10.14 It is proposed that Members should review the risk register set out as Appendix 1A, confirming that risks have been appropriately identified and assessed and that appropriate measures are in place to manage the risks effectively. Members may wish to challenge the Portfolio Holder and the Head of Health & Community Protection Services on these aspects and assure themselves that their risk register is a robust document for managing the risks facing the service.