CUSTOMER SERVICE AND TRANSFORMATION RISK REGISTER UPDATE

To:	**General Purposes Committee**
Date:	**1 July 2014**
From:	**Corporate Director, Customer Service and Transformation**
Electoral division(s):	**All**
Forward Plan ref:	**Not applicable** *Key decision:* **No**
Purpose:	**To provide the General Purposes Committee with details of Customer Service and Transformation Directorate risks.**
Recommendation:	**It is recommended that the General Purposes Committee:**
	Notes the position in respect of the Customer Service and Transformation Risk Register.

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1. BACKGROUND

1.1 In accordance with best practice the Council operates a risk management approach at corporate and directorate levels across the Council seeking to identify any key risks which might prevent the Council's priorities, as stated in the Business Plan and in subsequent service plans, from being successfully achieved. This is outlined in Item 13a on the Committee's agenda, in relation to the Corporate Risk Register.

1.2 Under the Council's Committee system, Service Committees will receive regular updates on the directorate-level risks which relate to them.

2. CUSTOMER SERVICE AND TRANSFORMATION DIRECTORATE RISK REGISTER

2.1 Customer Service and Transformation operates risk management in accordance with the Council's Risk Management Procedures document whereby risks are reviewed at Directorate and service team level on a quarterly basis at least. The nature of the service means that some risks are relevant across the whole organisation, and some are more specific to functions purely within the directorate.

2.2 The Directorate's Corporate Risk Group member co-ordinates risk management across the Directorate liaising with representatives from services and teams to ensure this approach functions effectively.

2.3 Risk registers are maintained at each level of the Directorate as appropriate, in accordance with the requirement of the Procedures document to manage risk at the lowest appropriate level. Risks are identified on the basis that if the risks were to occur they would severely impact on the Directorate's ability to meet its defined objectives. The key stages of the detailed risk management process once a risk is identified are:

- Possible causes of the risk are recorded. This stage helps to identify the mitigations required to manage the risk effectively and the impacts on the Council if the risk was to occur are recorded. This highlights the significance of the risk and aids its scoring.
- The risk is scored at an inherent level, i.e. the base level of risk before any mitigation is considered.
- Mitigations in place are identified and the risk is rescored to give a residual risk score, i.e. the current risk score.
- Management review the residual risk score to determine if that level of risk is appropriate having regard to the Council's defined risk appetite of a maximum risk score of 15.
- If the level of risk is deemed to be inappropriate, management will determine actions which when implemented will move the risk level to an appropriate level. Each action will be assigned an owner and a target date for delivery. This will be reviewed on regular basis as part of the quarterly review of risk registers.
- As actions are implemented, management will update the residual risk score as appropriate.

2.4   Following the review of by the CS&T Management Team (CS&TMT) in June, to coincide with the Corporate Director coming into post. CS&TMT is confident that the Risk Register is a comprehensive expression of the main risks faced by the Council and that mitigation is either in place, or in the process of being developed, to ensure that each risk is appropriately managed.

2.5   The Risk Register is presented at **Appendix 1** and illustrates that there are seven directorate level risks, of which none are currently at red residual level. The Register will illustrate for each red residual risk (and any others as appropriate) that actions are planned to mitigate the risk to within the Council's defined risk appetite.

3.   ALIGNMENT WITH PRIORITIES AND WAYS OF WORKING

3.1   Risk management seeks to identify and to manage any risks which might prevent the Council from achieving its three priorities of:

- Developing the local economy for the benefit of all
- Helping people live healthy and independent lives
- Supporting and protecting vulnerable people

4.   SIGNIFICANT IMPLICATIONS

4.1   Resource Implications

Effective risk management should ensure that the Council is aware of the risks which might prevent it from managing its finances and performance to a high standard. The Council is then able to ensure effective mitigation is in place to manage these risks.

4.2   Statutory, Risk and Legal Implications

The Risk Management process seeks to identify any significant risks which might prevent the Council from achieving its plans as detailed in the Council's Business Plan or from complying with legislative or regulatory requirements. This enables mitigation to be designed to control each risk, either to prevent the risk happening in the first place or if it does to minimise its impact on the Council.

4.3   Equality and Diversity Implications

There are no significant implications within this category.

4.4   Engagement and Consultation Implications

The Corporate Risk Register has been subject to review by the Officer Risk Champions Group and Strategic Management Team

4.5   Localism and Local Member Involvement

There are no significant implications within this category.

4.6   Public Health Implications

There are no significant implications within this category.

Source Documents	Location
Customer Service and Transformation Risk Register	Internal Audit and Risk Management