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<b>Report to:</b>	Audit & Governance Committee	<b>Date of Meeting:</b>	10 <sup>th</sup> September 2014
<b>Subject:</b>	Risk Services Update Apr – Sept 2014	<b>Wards Affected:</b>	None Directly
<b>Report of:</b>	Head of Corporate Finance & ICT		
<b>Is this a Key Decision?</b>	No	<b>Is it included in the Forward Plan?</b>	No
<b>Exempt/Confidential</b>	No		

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**Purpose/Summary**

To present to Members of the Audit & Governance Committee an update relating to Risk Management Services.

**Recommendation(s)**

Members are requested to:-  
i) Note the report

**How does the decision contribute to the Council’s Corporate Objectives?**

	<b><u>Corporate Objective</u></b>	<b><u>Positive Impact</u></b>	<b><u>Neutral Impact</u></b>	<b><u>Negative Impact</u></b>
1	Creating a Learning Community		✓	
2	Jobs and Prosperity		✓	
3	Environmental Sustainability		✓	
4	Health and Well-Being	✓		
5	Children and Young People	✓		
6	Creating Safe Communities	✓		
7	Creating Inclusive Communities		✓	
8	Improving the Quality of Council Services and Strengthening Local Democracy	✓		

**Reasons for the Recommendation:**

The terms of reference for this Committee includes responsibility for Risk Management, including the review of the effectiveness of the Council’s Risk Management framework and review of the Corporate Risk Register. The recommendations are made in order to highlight to the Audit and Governance Committee how Risk and Audit will ensure that Sefton Council achieves effective corporate risk management

**Alternative Options Considered and Rejected:**

None

**What will it cost and how will it be financed?**

(A) Revenue Costs N/A

(B) Capital Costs N/A

**Implications:**

The following implications of this proposal have been considered and where there are specific implications, these are set out below:

<b>Financial</b>	
<b>Legal</b>	
<b>Human Resources</b>	
<b>Equality</b>	
1. No Equality Implication	<input type="checkbox"/>
2. Equality Implications identified and mitigated	<input type="checkbox"/>
3. Equality Implication identified and risk remains	<input type="checkbox"/>

**Impact of the Proposals on Service Delivery:**

The Council can only achieve effective governance with an awareness of the risks and opportunities it faces in striving to achieve its strategic and operational objectives. The Council needs an effective strategy to manage those risks in order to provide the Council with a means of improving strategic operational and service performance which will improve service delivery to the community.

**What consultations have taken place on the proposals and when?**

The Head of Corporate Finance and ICT (FD 3139/14) and Head of Corporate Legal Services (LD 2431/14) have been consulted and any comments have been incorporated into the report.

**Implementation Date for the Decision**

Immediately following the Audit & Governance Committee meeting.

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**Background Papers:**

There are no background papers available for inspection

## **1. Introduction/Background**

1.1 This Committee has responsibility under its terms of reference:-

*“To monitor the effective development and operation of risk management and corporate governance in the Council”*

To this end this report is provided to update Members on the changes that have occurred within the first period of 2014/15 (April to August 2014) in Risk Management, Emergency Planning, Health and Safety and Insurance services

## **2. Risk Management**

2.1 The Corporate Risk Register (CRR) has been reviewed in detail and in consultation with each of the risk owners.

2.2 The CRR has been submitted in a separate report which is contained within Part 2 of the meeting as a confidential item.

## **3. Emergency Planning**

3.1 A series of training sessions for Heads of Service and Directors took place during May and July to introduce the newly revised Merseyside Emergency Response Manual (MERM). All of these officers perform the duty of Emergency Duty Coordinator for the council on a weekly rota; as such they need to be aware of the arrangements outlined in the MERM in order to fulfil the Council's linkage to any multi agency response to an incident as required. Sessions also included an overview of the Joint Emergency Services Interoperability Programme (JESIP) which is a national programme of change currently being trained into the blue light services to enhance a joined up approach to emergency response.

3.2 These sessions were well attended with much opportunity for open discussion during which suggestions and ideas were put forward by all to support further training and development of the EDC role.

3.3 During September and October there will be a number of National Exercises taking place;

- i) Exercise Dragon 10<sup>th</sup> & 11<sup>th</sup> September 2014 Marine / Shoreline Pollution
- ii) Exercise Joint Endeavour 18<sup>th</sup> September 2014 JESIP
- iii) Exercise Cygnus 14/15/16 October 2014 Pandemic Flu

Some officers of the Council will participate either as players or observers at these events and the Risk & Resilience officers have been involved in various planning exercises and consultation meetings to prepare for this.

3.4 No major incidents to declare to date.

## **4. Health & Safety**

- 4.1 Work on the Health & Safety Audit Plan has begun, the plan runs from June 2014 to March 2015, in order to bring the reporting in line with the Internal Audit Plan which runs from April to March. Progress against the plan is outlined at Annex A to this report.
- 4.2 The Health and Safety Advisers continue to attend Departmental Committees and liaise with trade unions over how the Corporate Health and Safety Plan is implemented throughout the organisation.
- 4.3 The team have undertaken a number of awareness sessions including delivering joint briefing sessions with legal on corporate manslaughter to senior managers; the team have also planned a Health and Safety conference entitled Getting the Balance Right has been planned for Head Teachers at the beginning of October which will see a number of outside speakers including a representative from HSE provide update and awareness sessions to Head Teachers.
- 4.4 Several training sessions have been planned for frontline staff on accident investigation and reporting. The aim is to improve the quality of information collated so that immediate and root causes can be identified and preventive measures can be taken. This will in turn reduce risks and support the defence of insurance claims.

## **5. Insurance**

- 5.1 The Council has in place a Long Term Agreement for Insurance cover, however, this requires an annual renewal process to ensure appropriate cover is in place, this is currently underway, this could mean changes to the premiums dependant on required coverage, this will be reported to the next Audit & Governance Committee as renewal date is 29<sup>th</sup> September 2014.
- 5.2 As monies for insurances were devolved to schools the Council were required to provide coverage under a Service Level Agreement as with other services. All schools with the exception of Roman Catholic Schools for Material Damage have now agreed to a 3 year SLA effective from 1st April 2014. (Roman Catholic Schools are insured via the Archdiocese for Material Damage).
- 5.3 The Insurance Team continue to work with Departments and external partners to ensure Claims Handling contracts are fully utilised and to enable a more efficient and effective approach to the handling and investigation of claims reported.

## **6. Response to Issues Raised**

- 6.1 At the previous meeting of this Committee a request was made to outline what will be covered under the Intervention and Prevention Audit and the Audit of Vulnerable Children: the areas to be covered are outlined below.

### Intervention & Prevention

The audit will review the pressures that social care staff may be under whilst dealing with verbal and potential physical abuse during the course of their duties.

The audit will be scoped to allow direction to be given to the auditor in the areas of most need. It will consider whether existing systems and procedures are sufficient to provide the necessary control measures to ensure that risks of potential harm to employees are mitigated.

### Vulnerable Children

This audit will focus on work related stress amongst children's social workers, the review will examine the systems / processes in place to consider whether these are sufficient to provide the necessary control measures to ensure that risks arising from work related stress are mitigated. The auditor will incorporate the Health & Safety Executives (HSE) Management Standards Indicator Tool into the stress audit.