

Escalation of Risk Protocol

When does a risk need to be escalated?

- When the risk tolerance ¹level is breached – this will be informed by risk evidence²
- When risk mitigation cannot be resolved within the portfolio and;
 - a Council Plan/Strategy priority is compromised and/or
 - service operations or performance will be seriously compromised and/or
 - the financial, legal or reputational position of the Council might be compromised and/or
 - an emergency situation might develop

What is the process for dealing with escalation?

1. Accountable officers escalate risk to their respective Senior Management Team when risk cannot be mitigated or its rating managed/lowered
2. Senior Management escalate to the Chief Executive Officer/Chief Officer Team if the risk cannot be mitigated or its rating managed/lowered
3. The Chief Executive Officer/Chief Officer Team escalate to Cabinet and Overview and Scrutiny where they believe the risk in its current state/predicted state is of corporate significance



¹ Risk tolerance is the level of risk that the Council is willing to accept to achieve its service delivery.

² Risk evidence is used to manage risk, this includes performance indicators, financial data, actions and milestones.

Reassurance of process & management

- Officer 1:1s Chief Officers/line reports with Chief Executive
- Chief Officers to determine if aggregate risk needs to be referred to COT & corporately owned
- Risk Management is a standing item on all Senior Management Team Meetings (SMTs) agendas
- Revised Risk Management user guide 2021 reported to Audit Committee – for periodic reviews.
 - Case studies pulled out and challenged/scrutinised.
- Mid-year and Annual review by Audit Committee – Forward work Programme and Date to be confirmed
 - Mid-year to ensure that the process is robust and effective in risk management.
 - Annual to ensure that developments over time have been captured and included in this document for consistency of approach.
- Periodic review of portfolio risks (operational and strategic)
- Periodic reviews by internal audit