

# **Regulation, Audit and Accounts Committee**

**23 July 2018**

## **Quarterly Review of the Corporate Risk Register**

### **Report by Director of Finance, Performance and Procurement**

#### **Executive Summary**

This Committee has responsibility for oversight of the County Council's risk management arrangements.

A new format risk register has been produced, with all risk information updated and transferred to the new version. This activity resulted in several amendments to existing risks, and the inclusion of two additional risks as a consequence of the LGA Peer Review of Adults' Services and review of the Deprivation of Liberty Safeguards (DoLS).

The Risk Management SharePoint page, which acts as a repository for all risk information and documentation, has been updated; with an additional risk management page created on the Council's intranet page (the Point), providing a direct link to this area to improve accessibility.

The storyboarding for the e-learning course has been completed and is currently being developed into software; with completion and course launch in the summer.

#### **Recommendations**

The Committee is asked to review the information detailed in the report, the current Corporate Risk Register and provide comment as necessary.

## **1. Introduction**

1.1 The Committee has responsibility 'to monitor the effective development and operation of risk management in the County Council'. That role, together with a description of the Council's approach to risk management, is set out in the Constitution at Part 4 Section 4. It covers the allocation of responsibilities, including the quarterly review of risk management activity.

## **2. Background and Context**

2.1 At the March 2018 meeting this committee reviewed the Corporate Risk Register and risk management processes. The Corporate Risk Manager presented an amended version of the County Council Risk Management Strategy, with a summary document of the key changes, and asked Members to review and provide comment at the next meeting.

2.2 At the March 2018 meeting the Corporate Risk Manager revealed that a new format risk register was being developed and would be presented as the current, 'live' document at the July 2018 meeting.

2.3 The new corporate risk register presented is a singular document which displays a clear link between impacts and actions, with the updates to these actions justifying the current risk score. The County Council Risk Management Strategy has been amended to reflect the removal of the separate action plan.

2.4 The information transfer to the new format corporate risk register, coupled with changes to risk ownership, presented an opportunity to thoroughly review the risks and associated actions. As a consequence, there were several amendments to the corporate risk register this preceding quarter.

- Corporate risk #9 – Sub-cultures and organisational restructuring
  - Separated in three risks
  - CR9a - Organisational restructuring
  - CR9b - Governance processes and development of sub-cultures (internal partners)
  - CR9c - Governance processes and development of sub-cultures (external partners)
- Corporate risk #14 – Lack of capacity or competition
  - Current score increased from 16 to 20
- Corporate risk #19 – Commercial awareness
  - Removed due to similarity with CR18
- Corporate risk #27 – Demand for Council's services
  - Unmerged
  - CR12 and CR18 retained
  - CR25 and CR27 removed due to similarity with CR12
- Corporate risk #39b – Lack of capacity or competition
  - Current score reduced from 20 to 16
- Corporate risk #55 – Lack of capacity or competition
  - Current score reduced from 25 to 20
- New corporate risk #56 - LGA Peer Review of Adults' Services
- New corporate risk #57 - Backlog of Deprivation of Liberty Safeguards (DoLS) assessments

2.5 During the preceding quarter directorate risk registers were also transferred to the new format risks register; with the same extensive review carried out. The corporate risk register has been reviewed once in the last quarter by the Executive Leadership Team. The directorate risk registers have been reviewed at least monthly by each Director and their management team, with support and guidance from the Corporate Business Managers, particularly during the transfer process. The Corporate Risk Manager has continued to engage monthly with CLT members to discuss owned corporate risks, and quarterly to provide assurance on directorate risks and governance.

2.6 The quality of information contained in the directorate and corporate risk registers has improved significantly; primarily due to the new and uncomplicated format enhancing data capture and analysis. Ensuring risk owners identify specific action owners is encouraging risk awareness through the delegation of responsibility; subsequently promoting a supportive and inclusive culture when managing uncertainties in the council.

2.7 A risk management page has been developed on 'The Point' with a link to the SharePoint page which holds all risk documents. This will provide simple and controlled access to risk registers, the risk management strategy and other useful material and information e.g. where to go for support on risk and upcoming risk management courses.

2.8 The storyboarding for the risk management e-learning course has been completed and submitted to Learning & Development for creation into software. This process may take longer than anticipated due to the implementation of a new authoring tool and the officers inexperience in operating it; however the aspiration remains to launch this course in the Summer. In the interim, all directorates have been offered the opportunity to receive bespoke risk management training/workshops from the Corporate Risk Manager; in a direct learning format.

2.9 Activities the Corporate Risk Manager is going to carry out/continue with this quarter, to ensure continuous improvement and alignment with best practice.

- Continue to attend the Sussex Resilience Forum Risk Group to maintain visibility on National Risks that may impact WSCC and require inclusion on Corporate Risk Register
- Attend the South East Risk Managers Group to share best practice of risk management in the public sector across various local authorities
- Attend appropriate seminars held by professional bodies e.g. Alarm
- Support projects and programmes to provide assurance and support on robust governance
- Engage and support service managers on capturing and communicating risk

2.10 The committee is asked to consider the Corporate Risk Register and future actions and provide comment as necessary.

### **3. Equality Impact Report**

3.1 An Equality Impact Report is not required for this decision as it is a report dealing with internal and procedural matters only, although the Council's responsibilities in relation to the public sector equality duty will be one element of the approach to risk management.

### **4. Resource Implications and Value for Money**

4.1 At this stage, there will be no additional resources required to facilitate the embedding of risk and future actions as current support within the organisation is sufficient. The Corporate Risk Manager is conducting risk workshops in existing management meetings to mitigate resource and scheduling conflicts.

### **5. Risk Management Implications**

5.1 The subject of the report is the CRR. It would be contrary to the interests of the Council not to ensure that its risk management processes and registers were not aligned to Risk Management Strategy.

### **6. Crime and Disorder Act Implications**

6.1 None.

## 7. **Human Rights Act Implications**

7.1 None.

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and Procurement

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### **Appendices**

Appendix A - Corporate Risk Register

### **Background Papers**

None