

Regulation, Audit and Accounts Committee

18 July 2022

Quarterly Review of Corporate Risk Management

Report by Director of Finance and Support Services

Summary

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

A risk relating to postponing the re-procurement of care and support at home services has been added to the corporate risk register this quarter. Risks relating to the financial sustainability of council services, and recruitment and retention of skilled staff have increased in severity. The risk of failing to deliver existing work plans due to responding to COVID19 impacts, and risk that children and young people will not be cared for in the required settings have reduced in severity.

COVID-19 response and management of related risks has now been integrated into business-as-usual activity, leading to the Tactical Management Group (TMG) being stood down.

All future Risk Management Lunch 'n' Learn sessions will be delivered as a webinar and this course is now available to staff in Districts and Boroughs, and other partnering organisations, at nil cost. The follow-on course (Risk Management in Practice) has been designed for face-to-face delivery using a combination of instruction via PowerPoint and syndicate/group work and will involve staff working through the WSCC risk management process using a generic scenario.

Recommendation

- (1) The Committee is asked to review the information detailed in the report and the current risk management strategy and provide comment as necessary.
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Quarterly update

1 Introduction

1.1 The Committee has responsibility to monitor the effectiveness of risk management arrangements. 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 During the preceding quarter there have been the following changes to the corporate risk register.

Risk No	Risk	Action	Reason	Current Score
CR11	Recruitment and Retention - unable to recruit and retain sufficient number of skilled staff	Risk severity increased	To reflect current situation across services with R&R of staff	16
CR22	Financial sustainability of council services	Risk severity increased	To reflect uncertainty over DSG funding and impact of Care Act reforms	20
CR68	COVID19 - Services will fail to deliver existing work plans	Risk severity reduced and tolerated	Specific COVID19 activity/response has reduced significantly	10
CR72	Children and young people will not be cared for in settings that best meet their needs	Risk severity reduced	To reflect completion of mitigating actions and number of children currently in unregulated	12
CR74	Overdue re-procurement of care and support at home services	New risk		15

2.2 The following table summarises risks on the corporate risk register with the current severity graded above the tolerance threshold:

Risk No	Risk	Score - Prev Qtr	Score
CR39a	Cyber-security	25	25
CR58	Failure of social care provisions	25	25
CR22	Financial sustainability	12	20
CR11	Recruitment and retention	12	16

2.3 The corporate risk register continues to be reviewed quarterly by ELT, with any actions promptly addressed.

2.4 The directorate risk registers have been reviewed at least quarterly by each Director and their management team, with support from the Corporate Risk Manager. The Corporate Risk Manager has continued to engage quarterly with Directorate leadership teams to discuss corporate and other directorate/service risks, and risk governance.

- 2.5 COVID-19 response has now been integrated into business-as-usual activity, leading to the Tactical Management Group (TMG) being stood down. Therefore, specific COVID-19 risks will now be considered and managed by services and reported/escalated to ELT if required (as per WSCC Risk Management Framework).
- 2.6 Capital Programme risks are reported through their respective programme board. There is ELT representation on these boards ensuring that significant concerns to the successful delivery of the programmes and/or associated projects are discussed, communicated to ELT, and reflected in the corporate risk register if required. The Corporate Risk Manager has continued to provide support to projects and programmes, and their risk registers.
- 2.7 The Risk Management Lunch 'n' Learn sessions are now delivered as a webinar, with the course content amended to facilitate this delivery method. This course is now available for staff in Districts and Boroughs, and other partnering organisations, at nil cost. The follow-on course (Risk Management in Practice) has been designed for face-to-face delivery using a combination of instruction via PowerPoint and syndicate/group work and will involve staff working through the WSCC risk management process using a generic scenario. To support staff in better managing their risks the Corporate Risk Manager has produced a variety of resources, which have been communicated to all staff and added to the WSCC Risk Management SharePoint site.
- 2.8 An annual review of the WSCC Risk Management Strategy (Appendix B) has been conducted, with amendments listed on page iv of the strategy (Documents Amendment History). The changes have also been highlighted in the body of the strategy. The committee are requested to review and provide comment as necessary.
- 2.9 The quality and currency of information contained in the corporate and directorate risk registers will continue to be reviewed and updated. The Corporate Risk Manager is continuing to challenge whether identified actions will sufficiently address the concerns, and within a suitable timeframe.
- 2.10 Ongoing activities the Corporate Risk Manager is undertaking to ensure continuous improvement and alignment with best practice include:
- Attend the Southeast 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, CMI
 - Support projects and programmes to provide assurance and support on robust governance
 - Engage and support Directors, Assistant Directors, service managers and their teams on capturing and communicating risk
 - Attendance at/facilitating various internal boards, meetings and working groups

- 2.11 At this stage, there will be no additional resources required to facilitate the embedding/management of risk and future actions as current support within the organisation is sufficient. The Corporate Risk Manager is conducting risk workshops and risk training sessions in existing management meetings or during lunchtimes where possible to mitigate resource and scheduling conflicts. However, the 'Risk Management in Practice' course will take place during working hours, and participants will be responsible for ensuring their attendance doesn't significantly impact their role requirement.
- 2.12 The committee is asked to consider the information in this report and provide comment as necessary.

3 Risk implications and mitigations

- 3.1 The subject of the report is the corporate risk register. 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.

4 Policy alignment and compliance

- 4.1 Equality duty and human rights assessment. 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.

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Director of Finance and Support Services

Appendices

Appendix A – Corporate Risk Register

Appendix B - WSCC Risk Management Strategy

Background papers

None