
Report to Regulation, Audit and Accounts Committee

1 Feb 2023

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 new risk relating to the threat of Fire and Rescue Service (FRS) strike action has been added to the corporate risk register. The risks relating to corporate leadership, governance, and culture, and the increasing demand on senior officers due to COVID-19 have been closed and removed from the corporate risk register. The risk of failing to deliver the His Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) improvement plan has been removed from the corporate risk register and de-escalated to the FRS risk register for monitoring.

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.

Due to the impact of COVID-19 the Risk Management Lunch 'n' Learn sessions were delivered as a webinar, with the course content amended to facilitate this method. Face-to-face delivery of this course has now been re-introduced, with two courses scheduled for the 23/24 training year.

Recommendations

- (1) The Committee is asked to review the information detailed in the report and provide comment as necessary.

Quarterly update

1 Introduction

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 Since the previous Regulation, Audit and Accounts Committee (RAAC) on 22 September 2022 there have been the following changes to the Corporate Risk Register (CRR).

Risk No	Risk	Action	Reason	Current Score
CR75	FRS Industrial Action	New risk		20
CR60	HMICFRS improvement plan	Risk de-escalated to FRS risk register	Cabinet agreed to close the improvement programme and manage outstanding issues through normal FRS management channels	15
CR65	Corporate leadership, governance, and culture	Risk closed	Recommendations have been carried out. Annual Governance Statement actions covered within CR7 sufficiently address governance and compliance	6
CR70	COVID19 - increasing demand placed on the senior officers	Risk closed	This risk has been at a tolerable level for some time, and no significant impact has been realised. COVID-19 planning and response is embedded within business as usual activity.	12

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
CR11	Recruitment and retention	25	25
CR39a	Cyber-security	25	25
CR58	Failure of social care provisions	25	25
CR22	Financial sustainability	20	20
CR75	FRS Industrial Action	New	20

2.3 The corporate risk register continues to be reviewed quarterly by Executive Leadership Team (ELT), with any actions promptly addressed.

2.4 The directorate risk registers have been reviewed at least quarterly by each Director/Assistant 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 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.
- 2.6 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 the Council's Risk Management Framework).
- 2.7 Capital risks are managed through various project hubs and the Capital programme, all reporting to the Capital and Assets Board. The Board is chaired by a member of ELT with other relevant ELT and senior officers in attendance and ensures that significant concerns to the successful delivery of the programme and/or capital 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.
- 2.8 Due to the impact of COVID-19 the Risk Management Lunch 'n' Learn sessions were delivered as a webinar, with the course content amended to facilitate this method. Face-to-face delivery of this course has been re-introduced, with two courses scheduled for the 23/24 training year. Both formats of this course are available for staff in district and borough councils, and other partnering organisations, at nil cost. The follow-on course (Risk Management in Practice) is being designed for face-to-face delivery using a combination of instruction via PowerPoint and syndicate/group work and will involve staff working through the Council's 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 Council's Risk Management SharePoint site.
- 2.9 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, Chartered Management Institute
 - Support projects and programmes to provide assurance and support on robust governance, including bespoke training sessions
 - 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
- 2.10 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.

- 2.11 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.

Taryn Eves, **Director of Finance and Support Services**

Appendices

Appendix 1 – Corporate Risk Register

Background papers

None