

Audit, Risk and Governance Committee

Meeting to be held on Monday, 18 October 2021

Electoral Division affected: (All Divisions);
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Corporate Risk and Opportunity Register Quarter 3 2021/22

(Appendices A and B refer)

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Executive Summary

This report provides an updated (Quarter 3) Corporate Risk and Opportunity Register and Summary Risk profile for the committee to consider and comment on.

Recommendation

The committee is asked to:

- i) Note the Corporate Risk and Opportunity Register, as set out at Appendix A; and
- ii) Note the Summary Risk Profile, as set out at Appendix B.

1. Background and Advice

This is the first time the committee has reviewed the corporate register following its suspension as a result of the pandemic. Therefore, the current risk entries in the corporate register reflect the governance issues for 2021/22, as set out in the Annual Governance Statement 2020/21 that was agreed by this committee earlier this year. The Corporate Register is used to monitor progress against those governance issues and quarterly progress reports are also presented to the Corporate Management Team (CMT) and the Cabinet Committee on Performance Improvement.

Following a review of directorate risk registers, the Corporate Management Team have included an additional risk on the corporate register that focuses on demand for client led services together with some opportunities. The updated register is attached as Appendix A.

There is a separate risk register for the Pension Fund and the full register is reviewed by the Local Pension Board and presented to the Pension Fund Committee

every six months. Any risks currently on the Fund risk register which relate to the Authority as a shareholder of the Local Pensions Partnership, will be included on future corporate registers presented to this committee.

2. Review of the Risk Management Process

Prior to lockdown, the Corporate Management Team agreed that the way risk information was presented did not necessarily lend itself to decision making as the information was difficult to digest and suggested that a review be undertaken.

As a result of the review, the following recommendations were implemented:

- Directorate level risk registers were introduced that would be updated quarterly and presented to directorate senior management team meetings for monitoring and discussion. Directorate risks and opportunities would continue to be assessed quarterly and any having a residual (target) risk (this is the score after mitigation actions have been put in place) or opportunity score of 12 or above would be presented to the Corporate Management Team for consideration and possible inclusion on the corporate register.
- The risk registers have been reformatted so that they are easier to digest. Additional information has been included, such as target (residual) scores and target dates, together with control and mitigation owners, to improve transparency and accountability.
- The introduction of a Summary Risk Profile. This document will:
 - Show the target dates by which the risk rating would become acceptable;
 - Allow progress monitoring on a quarterly basis (using RAG rating). This will highlight and provide the information on which management decisions can be made; and
 - Provide clearer accountability for actions.

The summary risk profile is attached at Appendix B.

3. A summary of the key risks and opportunities

Corporate Risks

CORP1 – Reshaping the County Council

This risk remains on the register but has been updated to reflect the current position. Whilst this risk still focuses on ensuring we have the capacity and skills to ensure we are sufficiently innovative/radical to transform services at the required pace, in order to achieve the scale of change needed to deliver a balanced budget, the focus is now on:

- The change programme, including capacity to deliver;
- Our Ways of working;
- Improved partnership working;
- A new County Council; and
- Financial Sustainability.

CORP2 – Family Safeguarding Model

Work continues to implement the new Family Safeguarding model to ensure children and families receive timely and effective support. This is making good progress against the implementation plan.

CORP3 – Special Educational Needs and Disability Improvement Plan

Continued positive progress in delivery of the Improvement Plan with accelerated improvement plans agreed and the risks being managed.

CORP4 – Integration & Innovation

Responding to the Government legislative proposals for greater collaboration across the health and social care sector. The Adult Social Care and Health Partnership Board has agreed a joint work programme. Engagement with members and senior officers is taking place.

CORP5 – ICT Provision

This risk focuses on the transition from Oracle R12 to Oracle Fusion, the use of data to plan and improve service provision and improving the council's core systems to promote innovation and implement best practice.

CORP6 – Covid 19 Impact on Services & Communities

This risk focuses on the council's response to the pandemic and the demand the response has put on both staff and service delivery. Parts of the organisation are still responding to the crisis whilst others have returned to business as usual as part of the recovery. A phased return to the office is underway.

CORP7 – Impact on Community and Services

The demand for client-based services continues to increase so there is a risk that this may result in increased budget pressures and poor outcomes for those people in receipt of our services.

Opportunities

CO1 – Strengths Based Working

New ways of working in Adult Social Care as a result of covid being a catalyst for change - The 'lessons learned' have provided a platform for future ways of working. We have made a significant number of changes that we will endeavour to maintain.

CO2 – Environmental Improvements

Reduce the Authority's Carbon Footprint and reduce the impact on air quality from operations, especially in urban areas to improve health outcomes.

Consultations

N/A

Implications:

This item has the following implications, as indicated:

Risk management

Good governance enables an authority to pursue its vision effectively as well as underpinning that vision with sound arrangements for control and management of risk. An authority must ensure that it has a sound system of internal control which includes effective arrangements for the management of risk. Failure to develop and maintain a Corporate Risk and Opportunity Register means the council would be negligent in its responsibilities for ensuring accountability and the proper conduct of public business.

Local Government (Access to Information) Act 1985

List of Background Papers

Paper	Date	Contact/Tel
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N/A

Reason for inclusion in Part II, if appropriate

N/A