

**Committee:** Governance, Audit and Performance Committee

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**Title:** 2019/20 Corporate Risk Register Update

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## Summary

1. This report presents an update of the 2019/20 Corporate Risk Register along with background information pertaining to its development. It also gives details of how risks are managed at a service area level within the authority.

## Recommendations

2. None

## Financial Implications

3. There are no direct financial implications associated with this report other than the risk directly addressing Financial Control (**19-CR-01**).

## Background Papers

4. None

## Impact

- 5.

Communication/Consultation	Internal communication on risk management is required through CMT and SMT meetings.
Community Safety	None
Equalities	None beyond general management of equality and diversity impacts for identified risks.
Health and Safety	Health and Safety risks are managed where appropriate.
Human Rights/Legal Implications	None

Sustainability	None
Ward-specific impacts	None
Workforce/Workplace	None

## Situation

6. Appendix A shows the 2019/20 Corporate Risk Register (CRR), its current risk scores and information regarding the status of any control (mitigating) actions.
7. The CRR consists of a number of strategic cross-cutting risks which if not controlled, could have a serious impact on the council's ability to carry out both its statutory and non-statutory duties to residents.
8. Whilst the Performance Team co-ordinate the review and update process for the CRR, the Chief Executive Officer and Directors have responsibility for the register and specific risks contained therein. Control of the risks and the implementation of associated mitigating actions is co-ordinated through the Corporate Management Team.
9. The council also has a series of service level risks that are identified as part of its annual Service Planning process. These risks are focused on operational threats that could impact day-to-day service provision. Each Service Manager has responsibility for identifying risks within their area(s) of jurisdiction, the associated risk scores and any control actions.
10. As part of the 2020/21 Service Planning process, the council has refreshed its approach to reviewing service level risks. As part of a formal quarterly Performance Review, Service Managers will be asked to review and update their service level risks and control actions which will then be presented to CMT by the Performance Team. This will provide re-assurance to CMT that service level risks are being managed to an acceptable level.
11. The structure, format and control of risks is consistent across both corporate and service level registers; each identifies a cause of a risk occurring, the event that creates the risk and the potential it may have on the council and/or service area. This arrangement has derived from the Risk Management Policy that was introduced in 2017/18.

## Review of the Corporate Risk Register

12. The CRR is presented to the Governance Audit and Performance Committee on a bi-annual basis. Each risk has been reviewed during February 2020 to clarify current controls and risk scores and identify any further control actions still to be implemented. A written progress update for each risk has also been included, providing detail on relevant risk mitigation measures.

13. Following review of the register at the Governance Audit and Performance Committee meeting in September 2019 the following updates have been made:

**19-CR-07: Governance Risk**

CMT members discussed the concerns raised by Cllr Khan regarding this risk and his questioning of whether governance is managed robustly enough through this at a corporate level. A progress update has been given by CMT and incorporated in Appendix A.

**19-CR-09: Local Plan Risk**

Following a request from Cllr Storah to confirm the definition of the risk being managed in this instance, CMT have updated the risk wording to clarify this position. The revised wording is contained in Appendix A.

14. Members are asked to note the inclusion of a new risk to the CRR; **19-CR-11**. This risk has been introduced by CMT following a review of the Fraud Risk Assessment and Action Plan in November 2019. Service level risks will also be introduced for 2020/21 for those service areas at higher risk of fraud such as Revenues, Benefits, Housing and Finance.

**Risk Analysis**

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Risk	Likelihood	Impact	Mitigating actions
If risks are not properly identified or managed then preventable problems could occur and affect the council's finances, reputation or resources. Conversely opportunities to improve these aspects may be underutilised.	2 – The Corporate Risk register ensures a continuing and ever-evolving focus on the key risks affecting the council.	3 – The Corporate Risk Register focuses upon key issues at all levels of the organisation.	The Council's Risk Management Policy and Corporate Risk Register ensure effective risk management is placed centrally within its operations.

1 = Little or no risk or impact

2 = Some risk or impact – action may be necessary.

3 = Significant risk or impact – action required

4 = Near certainty of risk occurring, catastrophic effect or failure of project.