

Committee: Governance, Audit & Performance

Date: Monday 30th
November 2020

Title: 2020/21 Corporate Risk Register Update

Report Author: Paula Evans, Customer Services and
Performance Manager

pevans@uttlesford.gov.uk

Oliver Knight, PFI & Performance Officer

oknight@uttlesford.gov.uk

Summary

1. This report presents an update of the 2020/21 Corporate Risk Register along with information pertaining to its ongoing development and evolution. The 2020/21 Corporate Risk Register has been thoroughly updated as a result of the Covid-19 pandemic to reflect the current circumstances. It also provides further details of how risks are being managed at a service area level during the 2020/21 performance year within the authority.

Recommendations

2. None

Financial Implications

1. There are no direct financial implications associated with this report other than the risk directly addressing Financial Control (**20-CR-01**).

Background Papers

2. None

Impact

- 3.

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

4. Appendix A shows the 2020/21 Corporate Risk Register (CRR), its current risk scores and information regarding the status of any control (mitigating) actions.
5. 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.
6. 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.
7. 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.

COVID-19 Pandemic - Review of Corporate Risk Register

8. The CRR is presented to the Governance Audit and Performance Committee on a bi-annual basis. The 2019/20 Corporate Risk Register was last planned to be presented to the Governance, Audit & Performance Committee in March 2020; however this meeting was cancelled due to the onset of the COVID-19 pandemic.
9. This report presents the first update of the Corporate Risk Register since the pandemic, and as such, the 2020/21 Corporate Risk Register has been reviewed thoroughly to ensure it reflects the current corporate position. As a fundamental component of this, the wording for most risk entries has also been reviewed and revised. The structure of the risks remains predominantly the same; identifying the basis of the risk occurring, its causative event and potential impacts, however particular emphasis has been placed on the risk occurring in light of current circumstances with regards to any changes.

10. Each risk has further been reviewed by the Corporate Management Team during October 2020 to clarify current controls and risk scores, and to identify any further control actions which still need to be implemented. A written progress update has also been included; providing detail on relevant risk mitigation measures.

Service-Level Risk Management

11. 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 risks and any control actions.
12. As part of the 2020/21 Service Planning process, the council has refreshed its approach to reviewing service-level risks. Managers have recently been asked to provide end of Quarter 2 2020/21 updates on both service-level risks and service plan actions. As a fundamental component of this process, managers have been requested to review and update where relevant, all current scores, controls and further actions. It is intended that this will be reported in December 2020 to the Corporate Management Team; providing re-assurance that service-level risks are being managed to an acceptable level.

Other Points

13. Members are asked to note the inclusion of a new risk to the CRR; **20-CR-11**. This was initially included in the CRR 2019/20 update presented to Governance, Audit & Performance Committee in March 2020; a meeting which was cancelled at beginning of the COVID-19 pandemic. This risk has been introduced by CMT following a review of the Fraud Risk Assessment and Action Plan in November 2019. Service-Level risks have been introduced for relevant service areas at higher risk of fraud such as Revenues, Benefits, Housing and Finance.
14. The Performance Team intend to refresh UDC's Risk Management Policy during Quarter 4 2020/21 & Quarter 1 2021/22. This policy update will enable inclusion of the new service-level risk management process introduced for the 2020/21 year, and incorporate lessons learnt regarding risk management during the COVID-19 pandemic.

Risk Analysis

14.

Risk	Likelihood	Impact	Mitigating actions
If risks are not properly identified or managed then	2 – The Corporate Risk register	3 – The Corporate Risk Register	The Council's Risk Management Policy and Corporate Risk

<p>preventable problems could occur and affect the council's finances, reputation or resources. Conversely opportunities to improve these aspects may be underutilised.</p>	<p>ensures a continuing and ever-evolving focus on the key risks affecting the council.</p>	<p>focuses upon key issues at all levels of the organisation.</p>	<p>Register ensure effective risk management is placed centrally within its operations.</p>
---	---	---	---

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.

Appendix 1 – 2020/21 Corporate Risk Register