

Report to: **AUDIT PANEL**

Date: 27 July 2021

Reporting Officer: Kathy Roe – Director of Finance
Martin Nixon – Risk, Insurance and Information Governance Manager

Subject: **CORPORATE RISK REGISTER REVIEW**

Report Summary: To present to the Corporate Risk Register detailed at **Appendix 1** and the draft Risk Management Policy and Strategy detailed at **Appendix 2** for comment and approval.

Recommendations: Members consider and approve the -

1. Corporate Risk Register attached at **Appendix 1**
2. Draft Risk Management Policy and Strategy attached at **Appendix 2**.

Corporate Plan: Managing risks will enable the Council to deliver services safely and in an informed manner to achieve the best possible outcomes for residents

Policy Implications: Effective risk management supports the achievement of Council objectives and demonstrates a commitment to high standards of corporate governance.

Financial Implications: Effective risk management assists in safeguarding assets, ensuring the best use of resources and the effective delivery of services. It also helps to keep insurance premiums and compensation payments to a minimum.
(Authorised by the statutory Section 151 Officer & Chief Finance Officer)

Legal Implications: The Council has a statutory responsibility to have in place arrangements for managing risks, as stated in the Accounts and Audit Regulations 2015 (amended 2016):
(Authorised by the Borough Solicitor)

‘A relevant authority must ensure that it has a sound system of internal control which includes effective arrangements for the management of risk’.

Regularly reviewing the Council’s arrangements for risk and updating them as needed ensures that the Council is managing its statutory responsibility.

Risk management can relate to legal aspects of the council’s business, however, the content of this report does not have any specific legal implications. Legal risks to the organisation are incorporated in the Service plans risk registers.

This report is aimed at addressing the requirement that the Council achieves its strategic aims and operates its business, under general principles of good governance and that it identifies risks which threaten its ability to be legally compliant and operate within the confines of the legislative framework.

Risk Management:

Failure to manage risks will impact on service delivery, the achievement of objectives and the Council's Medium Term Financial Plan.

Background Information:

The background papers relating to this report can be inspected by contacting Martin Nixon, Risk, Insurance and Information Governance Manager



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1. INTRODUCTION

- 1.1 The report presents the revised and updated Corporate Risk Register for the Council for comment, challenge and approval. The report was presented to the Senior Leadership Team on 13 July 2021 and was updated in response to any comments received.

2. WHAT IS RISK MANAGEMENT?

- 2.1 Risk Management is the process of identifying risks, evaluating their likelihood and potential impact and determining the most effective methods of controlling them or responding to them. It is a means of maximising opportunities and minimising the costs and disruption to the organisation caused by undesired events.
- 2.2 Corporate Risks are potential barriers to the council achieving its priorities and have the potential to disrupt large parts of our service.

3. CORPORATE RISK REGISTER

- 3.1 The Corporate Risk Register is attached at **Appendix 1**. It details the risk scores evaluated both in March 2021 and June 2021.
- 3.2 Risk owners (responsible Assistant Directors or Service Unit Managers) have assisted the Risk, Insurance and Information Governance Manager to review the Corporate Risks they have responsibility for. Review comments have been added to the risk register under Appendix 1 alongside each risk.
- 3.3 Service delivery, working practices, and the Council's allocation of financial and staff resources continue to be influenced by the Covid-19 pandemic. This is illustrated by the risk scores still being at higher levels than prior to the March 2020 lockdown, as demonstrated by the 'heat map' comparisons provided under item 3.6.
- 3.4 The key developments highlighted by reviewing the risks in June are detailed below.

Risk	Comment	Risk Rating March 2021	Risk Rating June 2021
2	Not implementing the latest products or best practice in information technology. Lack of dedicated resources to implement Microsoft Office 365 software increases risk that benefits will not be fully realised.	6	12
3	Failure to manage the local home care market and care home capacity. In-house service has been established to support the market, taking care packages at short notice where providers are struggling to set up immediate support.	16	12
8	Negative impact of Coronavirus on health and wellbeing objectives. Daily monitoring of data and Covid rates to inform ongoing strategy to contain Covid surveillance in place to monitor Variants of Concern (VOC) and Variants under Investigation (VUI).	25	25
9	Vulnerable adults are put at risk due to poor systems/processes and reduced service provision.	12	9

Risk	Comment	Risk Rating March 2021	Risk Rating June 2021
	Extensive vaccination programme has reduced the risk of Covid infection so now in a position to support more face-to-face assessments and meetings with service users.		
22	The community cohesion activities undertaken do not have the required results. Tameside are ahead of the curve in terms of managing Covid rates, the speed of delivery and high uptake of the vaccine by communities.	12	6

3.5 This analysis shows that there are currently a total of 10 Red risks across the register. Although this is a reduction from the 19 Red risks reported in May 2020, this still demonstrates the disruption caused by the pandemic when compared to the pre-Covid level of 4 Red risks in October 2019.

3.6 The Corporate risks are summarised in the risk heat maps below:-

Heat Map 1 – March 2021 (23 Risks)

	Impact level				
	Insignificant (1)	Minor (2)	Medium (3)	Major (4)	Major Disaster (5)
Likelihood					
Almost Certain (5)					1
Very likely (4)			5	8	1
Likely (3)		1	1	1	2
Unlikely (2)				1	1
Very Low (1)				1	

Heat Map 2 – June 2021 (23 Risks) RISK MISSING ONLY ADDS UP TO 22

	Impact level				
	Insignificant (1)	Minor (2)	Medium (3)	Major (4)	Major Disaster (5)
Likelihood					
Almost Certain (5)					1
Very likely (4)			4	6	1
Likely (3)			2	2	2
Unlikely (2)			1	3	
Very Low (1)				1	

4. REFRESHED RISK MANAGEMENT POLICY AND STRATEGY

4.1 The Draft Risk Management Policy and Strategy is attached as **Appendix 2**.

4.2 The draft document includes revised contents in line with the ISO3000:2018 Risk Management Standard, and guidance provided under the ALARM (Association of Local Authority Risk Managers) 'Risk Management Toolkit'

Updated contents include –

- Revised definition of risk management.
- Roles and Responsibilities changed to fit latest organisational structure.

- Risk Register template modified to include new risk scoring matrix and requirement to record Inherent and Residual risk scores.
- Risk Scoring descriptors added to provide guidance to risk owners on correct use of 1-5 Impact and Likelihood scoring categories.

4.3 The Template was agreed by a working group which met prior to the Covid Pandemic and meets the requirements of both the Council and the Tameside and Glossop Clinical Commissioning Group (CCG). However, as the CCG is currently going through organisational change, it is recommended that the document is approved for the Council only at this stage until clarification of the structure and future process are known.

5. RECOMMENDATIONS

5.1 As set out on the front of the report.