

Report to: Audit and Governance Committee



Date of Meeting 23 September 2021

Document classification: Part A Public Document

Exemption applied: None

Review date for release N/A

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## Risk Review Summer 2021 Part 1

### Report summary:

Risk information for the 2021/22 financial year is supplied to allow the Audit and Governance Committee to monitor the risk status of Strategic and Operational Risks. This follows the full review of risks by responsible officers during May/June 2021

### Is the proposed decision in accordance with:

Budget Yes  No

Policy Framework Yes  No

### Recommendation:

**That the Audit and Governance Committee considers the current status of risks following the full risk review undertaken in May/June 2021.**

### Reason for recommendation:

To ensure that the Risk Management Policy and Guidance is being followed and all risks are being monitored and control actions implemented.

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### Portfolio(s) (check which apply):

- Climate Action and Emergencies
- Coast, Country and Environment
- Council and Corporate Co-ordination
- Culture, Tourism, Leisure and Sport
- Democracy and Transparency
- Economy and Assets
- Finance
- Strategic Planning
- Sustainable Homes and Communities

**Equalities impact** Low Impact

**Climate change** Low Impact

**Risk:** High Risk; Failure to identify, assess, monitor, review and manage risks could impact negatively (i.e. financial, reputational, operationally) on the council.

- **Links to background information**
- [Appendix A – Operational Risks Housing and Finance Service summer 2021](#)
- [Appendix B – Strategic Risks summer 20201](#)
- [Appendix C – Explanations and definitions](#)

**Link to [Council Plan](#):**

Priorities (check which apply)

- Outstanding Place and Environment
- Outstanding Homes and Communities
- Outstanding Economic Growth, Productivity, and Prosperity
- Outstanding Council and Council Services

**Report in full**

1. As part of our corporate governance it is appropriate that we maintain and manage a risk register. The risk register allows us to highlight any risks to our organisation and set out how we are going to mitigate against their impact and likelihood.
  2. Our risk management policy requires all risks identified by the council to be reviewed bi-annually. Through the month of May the risk owners were tasked with reviewing their risks in the SPAR system.
  3. The operational risk register contains 81 risks which have all been reviewed but for this meeting only part of the register has been provided. For this report the focus is on the Housing and Finance Services as well as the strategic risk register. The rest of the operational risk register will be provided at the next meeting.
  4. The operational risk register for the Housing and Finance service is provided for the Committee to review at [Appendix A](#). This is listed by service area and includes all of the control actions. There are 32 operational risks for these services, all of which have been reviewed and re-scored in light of all mitigating actions being undertaken and in relation to the on-going pandemic. The services were asked to highlight any new and emerging risks with no new risks being put forward at this review
  5. In the operational risk registers for Housing and Finance Services there is only one risk currently scored as high,
- **Failure to maintain gas safety, fire risk, asbestos register, solid fuel servicing, and legionella testing to meet legal requirements.** - We have adopted policies and procedures covering compliance issues, and contracts have been framed to ensure continuing compliance. This work is a priority for the Service. We have appointed a Compliance Manager who monitors programmes and raise alerts when problems occur. We have performance indicators showing the real time compliance position. There is a requirement to be constantly vigilant. We need sufficient, suitably qualified staff in post and working to clear policies and programmes, to ensure compliance with building and tenant safety standards.
6. The tables below set out the number of risks in each service by score.

Finance	High	Medium	Low
<i>Risks by score</i>		4	8

Housing	High	Medium	Low
<i>Risks by score</i>	1	15	4

7. For information the rest of the scoring for the other services has also been provided. Please contact the Management Information Officer if you wish to view any other part of the risk register before the next meeting.

<b>Economy</b>	<b>High</b>	<b>Medium</b>	<b>Low</b>
<i>Risks by score</i>	1	9	5

<b>Environment</b>	<b>High</b>	<b>Medium</b>	<b>Low</b>
<i>Risks by score</i>	1	9	3

<b>Governance &amp; Licensing</b>	<b>High</b>	<b>Medium</b>	<b>Low</b>
<i>Risks by score</i>		6	6

<b>Organisational Development</b>	<b>High</b>	<b>Medium</b>	<b>Low</b>
<i>Risks by score</i>		2	8

8. As part of this review our strategic risks have been reviewed by their owners and are also submitted for Committee’s consideration.

There are 10 risks on the strategic register none of these risks are currently showing as high risk. More details for each risk can be seen in [Appendix B](#).

**Medium risk:**

- Risk: Adequacy of financial resource planning to deliver the Council's priorities
- Risk: Adequate emergency planning and business continuity
- Risk: Delivery of Growth Point
- Risk: Failure to adequately protect staff health and safety at work
- Risk: Failure to ensure the Council's sustainability
- Risk: Increased homelessness
- Risk: Failure to ensure that our corporate property portfolio is fully compliant with legal requirements.
- Risk: Major disruption in continuity of computer and telecommunications services
- Risk: Retaining and strengthen a collective approach to decision making to ensure we avoid poor decision making effecting our performance and our reputation

<b>Strategic Risks</b>	<b>High</b>	<b>Medium</b>	<b>Low</b>
<i>Risks by score</i>	0	8	2

There are no new risks on the strategic risk register.

9. An explanation and definitions of all the risks including the risk matrix can be found in [Appendix C](#).

**Financial implications:**

No direct financial implications

**Legal implications:**

There are no direct legal implications