

TEWKESBURY BOROUGH COUNCIL

Report to:	Audit and Governance Committee
Date of Meeting:	24 July 2019
Subject:	Corporate Risk Register
Report of:	Head of Corporate Services
Corporate Lead:	Chief Executive
Lead Member:	Lead Member for Corporate Governance
Number of Appendices:	1

Executive Summary:

Tewkesbury Borough Council has a risk management framework and this is set out in the risk management strategy approved by Executive Committee on 16 January 2019. Risk management is an intrinsic element of good, effective management and should not be seen as a 'bolt on'. The strategy sets out the risk management approach around the identification, analysis, prioritisation and management of risk. A key element of the strategy is capturing key corporate risks through a Corporate Risk Register. This register is presented at each Audit and Governance Committee.

Recommendation:

To CONSIDER the risks contained within the Corporate Risk Register and assurance that the risks are being effectively managed.

Reasons for Recommendation:

Risk management is an integral part of the Council's overall governance framework. It is within the Terms of Reference of the Audit and Governance Committee to gain assurance that key risks are effectively managed.

Resource Implications:

None arising directly from this report.

Legal Implications:

None arising directly from this report.

Risk Management Implications:

If the Council does not have in place a Corporate Risk Register, it cannot demonstrate that corporate risks are formally considered, scored and managed.

Performance Management Follow-up:

The corporate risk register is considered at each Audit and Governance Committee and prior to this by Corporate Management Team on a monthly basis.

Environmental Implications:

None.

1.0 INTRODUCTION/BACKGROUND

1.1 The Council's risk management strategy formalises the Council's risk management arrangements and sets out the risk management approach around the identification, analysis, prioritisation and management of risk. A key element of the strategy is the maintenance of a Corporate Risk Register that captures the Council's key corporate risks. The register is a high-level document to record in a proportionate manner the key risks facing the Council, their risk score and high-level management controls that are in place to manage individual risks. The scoring matrix within the strategy provides guidance on scoring those risks.

2.0 CORPORATE RISK REGISTER

2.1 The register is a useful tool to demonstrate in a concise manner that corporate risks are being considered and managed. The headings within the register and the scoring of risk are all detailed within the risk management strategy. Succinctly, the scoring is based around three stage:

- Gross risk score (the inherent risk without any mitigating controls in place)
- Current risk score (the assessed risk after the application of controls)
- Target risk score (proposed risk score by applying future controls, if the current risk score is deemed to be too high)

2.2 The format of the register is one which is commonly used throughout local government. There is no statutory requirement to have a register in place but it is seen as good practice. It also helps the Audit and Governance Committee fulfil its risk management responsibilities. Internal Audit will support the Audit and Governance Committee in gaining assurance that the risks are being effectively managed. Days have been allocated within the current Internal Audit Work Plan to review the register and give assurance to the Committee around such things as:

- Is the register complete? Are there any risks missing?
- The controls detailed in the register – are they actually in place and working effectively?
- Future actions – is there assurance they will be implemented within appropriate timescales?

2.3 The register in its current format was first presented at Audit and Governance Committee on 12 December 2018. The risk register template includes a 'comments' box below each risk. This provides opportunity for each risk owner to provide an update on the status of that risk. For example, if the risk score has been downgraded as a result of effective control action being implemented, or, alternatively, if the risk score has increased. An increase could happen through a number of scenarios, for example if an internal audit has concluded that a mitigating control is not effective.

2.4 The risk register is presented at Corporate Management Team on a monthly basis and further reviewed by the Corporate Governance Group. This group is chaired by the Borough Solicitor. Other attendees are the Lead Member for Corporate Governance, a representative from the Counter Fraud Unit, Head of Corporate Services and Head of Finance and Asset Management. Following recent review by the Corporate Management Team, a new risk has been added to the register. This risk in relation to the delivery of the Garden Town project is shown in bold on the risk register. The risk register can be found in Appendix 1.

3.0 KEY UPDATES ON THE REGISTER

3.1 Summarised below are key actions arising since the register was last presented at Committee:

Risk identified	Key action arising
Ref 3. (cyber security)	<ul style="list-style-type: none"> • Cabinet Office issued on 2 July 2019 the certificate to confirm Public Sector Network Compliance. • Cyber security awareness training to be programmed in for members. (joint session with fraud awareness)
Ref 4. (business continuity)	<ul style="list-style-type: none"> • Finalisation of Corporate Business Continuity Plan.
Ref 5. (GDPR)	<ul style="list-style-type: none"> • Further awareness training to be rolled out to Officers and Members. • Finalisation of a Corporate Retention Policy.
Ref 6. (emergency planning)	<ul style="list-style-type: none"> • Arrangements are currently subject to internal audit review.
Ref 7. (Javelin Park)	<ul style="list-style-type: none"> • Tewkesbury Borough Council collections to be delivered w/c 8 July 2019. As Javelin Park is now operational, this risk will be removed from the register.
Ref 8. (waste partnership)	<ul style="list-style-type: none"> • Report to Overview and Scrutiny Committee on 23 July 2019 proposing the formation of a Depot Services Working Group.
Ref 9. (Swindon Road depot)	<ul style="list-style-type: none"> • Initial discussions have taken place regarding the re-location of the depot.
Ref 13. (Growth Hub)	<ul style="list-style-type: none"> • Growth Hub Navigator now a permanent role.
Ref 14. (Fraud and Corruption)	<ul style="list-style-type: none"> • Fraud awareness training to be held for Members (joint session with cyber security).

4.0 OTHER OPTIONS CONSIDERED

4.1 None.

5.0 CONSULTATION

5.1 None.

6.0 RELEVANT COUNCIL POLICIES/STRATEGIES

6.1 Risk Management Strategy.

7.0 RELEVANT GOVERNMENT POLICIES

7.1 None.

8.0 RESOURCE IMPLICATIONS (Human/Property)

8.1 None.

9.0 SUSTAINABILITY IMPLICATIONS (Social/Community Safety/Cultural/ Economic/ Environment)

9.1 None.

10.0 IMPACT UPON (Value For Money/Equalities/E-Government/Human Rights/Health And Safety)

10.1 Mitigation of risk will help the Council achieve its objectives.

11.0 RELATED DECISIONS AND ANY OTHER RELEVANT FACTS

11.1 None.

Background Papers: None

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Appendices: Appendix 1 – Corporate Risk Register