

<b>REPORT TO:</b>	<b>GENERAL PURPOSES AND AUDIT COMMITTEE</b> <b>11 July 2019</b>
<b>SUBJECT:</b>	<b>Corporate Risk Register</b>
<b>LEAD OFFICER:</b>	<b>Lisa Taylor, Director of Finance, Investment &amp; Risk and Interim Section 151 Officer</b>
<b>CABINET MEMBER</b>	<b>Councillor Simon Hall, Cabinet Member for Finance &amp; Resources</b>
<b>WARDS:</b>	<b>All</b>
<b>CORPORATE PRIORITY/POLICY CONTEXT:</b>	
<p>This report presents the corporate risk register as at 11 July 2019 as part of the General Purposes and Audit Committee's role of overseeing the risk management framework and receiving assurance that significant corporate (Red) risks are identified and mitigated by the organisation. This process will ensure that the risk management function will continue to contribute to the achievement of the Council's vision, key priorities and objectives.</p> <p>In line with the Council's commitment to openness and transparency, the corporate risk report will appear in Part A of the agenda unless there is specific justification for any individual entries being considered under Part B (set out under Paragraph 3 of Schedule 12A of the Local Government Act 1972 as amended).</p>	
<b>FINANCIAL SUMMARY: No additional direct financial implications.</b>	
<b>FORWARD PLAN KEY DECISION REFERENCE NO.: N/A</b>	

## **1.1 RECOMMENDATIONS**

The Committee is asked to:

Note the contents of the corporate risk register as at 11 July 2019

## **2. EXECUTIVE SUMMARY**

- 2.1 The report updates the General Purposes & Audit Committee Members on the corporate risk register (the register) as at 11 July 2019.

### 3. DETAIL

#### Risk Register Report

- 3.1 The register presented details all the current corporate risks rated at a total risk score of 20 and above (Red Risks).
- 3.2 The following risk(s) have been escalated since the report was last considered by Members.
- **FIR0021: Funding levels provided through the Government Grant are significantly lower than forecast or anticipated, resulting in severe limitations being placed on the Council's Medium Term Financial Strategy.**  
The risk was formulated and entered onto the corporate risk register as the continuing uncertainty surrounding the government grant settlement is impacting the Council's medium term financial strategy planning. It was deemed appropriate to score the risk at the highest rating on the corporate risk score matrix due to the severity of the impact on the Council's ability to deliver its services with the settlement provided by central government. All active lobbying to the Home Office has so far not yielded an improvement or positive result for the Council on the level of grant awarded.
- 3.3 There have not been any risk(s) de-escalated since the report was last considered by Members.
- 3.4 In line with the Council's commitment to openness and transparency, the register will appear with the corporate risk report in Part A of the agenda unless, in accordance with the Access to Information Procedure Rules in the Council's Constitution there is specific justification for any individual entries being considered under Part B (set out under Paragraph 3 of Schedule 12A of the Local Government Act 1972 as amended).
- 3.5 It should be noted that some of the grounds for exemption from public access are absolute. However, for others such as that in para.3, 'Information relating to the financial or business affairs of any particular person (including the authority holding that information)', deciding in which part of the agenda they will appear, is subject to the further test of whether, in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

### 4. FINANCIAL CONSIDERATIONS

- 4.1 There are no additional financial considerations arising from this report.

*(Approved by Lisa Taylor – Director of Finance, Investment & Risk and Interim S151 Officer)*

## 5. COMMENTS OF THE MONITORING OFFICER

- 5.1 The Director of Law and Governance comments that there are no additional legal considerations arising out of the recommendation in this report.

*(Approved by: Sean Murphy, Director of Law and Governance and Deputy Monitoring Officer)*

## 6. HUMAN RESOURCES IMPACT

- 6.1 There are no additional Human Resources implications arising from this report.

*(Approved by: Sue Moorman, Director of HR)*

## 7. EQUALITIES, ENVIRONMENTAL AND CRIME AND DISORDER REDUCTION IMPACTS

- 7.1 None

## 8. RISK ASSESSMENT

- 8.1 No further risk issues other than those detailed in the report.

- 8.2 The corporate Risk Management Team (RMT) incorporates a '**horizon scan**' strategy in respect of the risk management activities undertaken as part of the Council's Risk Management Framework.

- 8.3 The horizon scan strategy is implemented through the distillation of cross – organisational & external professional networks maintained by the RMT. This strategy incorporates a multi-faceted approach including:

- Intelligence sharing (especially in respect of significant events / incidents) with other local authorities such as the Local Government Association;
- Collaborative working particularly the London Boroughs network, London Councils and the Greater London Authority;
- Research conducted via professional and generic media mechanisms for example The Association of Local Authority Risk Mangers, CIPFA;
- Regular attendance at DMT's / DLT's on a quarterly basis;
- Participation in the relevant 'working group' activities / projects for example major systems implementation such as Oracle Cloud, or policy/legislative change implementation such as IR35 compliance; and
- The ability to 'add value' and strategic direction and guidance is an integral aspect of the risk management consultancy available to senior officers.

**9. FREEDOM OF INFORMATION/DATA PROTECTION CONSIDERATIONS**

9.1 Information contained in the Council’s Risk register or held in relation to the Council’s risk management procedures may be accessible under the Freedom of Information Act subject to the application of any relevant exemptions, such as commercial sensitivity and whether disclosure was in the ‘public interest’.

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**BACKGROUND DOCUMENTS:** Appendix 1 Corporate Risk Register