

**Executive Board**  
**20 September 2022**

<b>Subject:</b>	Corporate Risk and Assurance Update
<b>Corporate Director(s)/Director(s):</b>	Clive Heaphy, Corporate Director for Finance and Resources
<b>Portfolio Holder(s):</b>	Councillor Adele Williams, Portfolio Holder for Finance
<b>Report author and contact details:</b>	Shail Shah, Head of Audit and Risk <a href="mailto:shail.shah@nottinghamcity.gov.uk">shail.shah@nottinghamcity.gov.uk</a> Caroline Stevens, Principal Risk Specialist <a href="mailto:caroline.stevens@nottinghamcity.gov.uk">caroline.stevens@nottinghamcity.gov.uk</a>
<b>Other colleagues who have provided input:</b>	John Slater, Group Auditor
<b>Subject to call-in:</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>Key Decision:</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>Criteria for Key Decision:</b>	
(a) <input type="checkbox"/> Expenditure <input type="checkbox"/> Income <input type="checkbox"/> Savings of £750,000 or more taking account of the overall impact of the decision	
<b>and/or</b>	
(b) Significant impact on communities living or working in two or more wards in the City <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>Type of expenditure:</b> <input type="checkbox"/> Revenue <input type="checkbox"/> Capital	
<b>Total value of the decision:</b> Nil	
<b>Wards affected:</b> All	
<b>Date of consultation with Portfolio Holder(s):</b> 21 March 2022	
<b>Relevant Council Plan Key Outcome:</b>	
Clean and Connected Communities	<input checked="" type="checkbox"/>
Keeping Nottingham Working	<input checked="" type="checkbox"/>
Carbon Neutral by 2028	<input checked="" type="checkbox"/>
Safer Nottingham	<input checked="" type="checkbox"/>
Child-Friendly Nottingham	<input checked="" type="checkbox"/>
Healthy and Inclusive	<input checked="" type="checkbox"/>
Keeping Nottingham Moving	<input checked="" type="checkbox"/>
Improve the City Centre	<input checked="" type="checkbox"/>
Better Housing	<input checked="" type="checkbox"/>
Financial Stability	<input checked="" type="checkbox"/>
Serving People Well	<input checked="" type="checkbox"/>

**Summary of issues (including benefits to citizens/service users):**

To highlight to the Executive Board the top corporate risks to the Council, based on discussions at the Corporate Leadership Team (CLT) and the Leadership Group, and with Corporate Directors, including cross-cutting risks and risks escalated from directorates.

**Does this report contain any information that is exempt from publication?**

Appendices 1, 2 and 3 to the report is exempt from publication under Paragraph 3 of Schedule 12A to the Local Government Act 1972 because they contain information relating to the financial or business affairs of any particular person (including the authority holding that information) and, having regard to all the circumstances, the public interest in maintaining the exemption outweighs the public interest in disclosing the information. It is not in the public interest to disclose this information because the report contains sensitive commercial, financial and contractual details that, if disclosed to potential contractors or partners, would be prejudicial to the Council's commercial position and its ability to secure best value.

**Recommendation(s):**

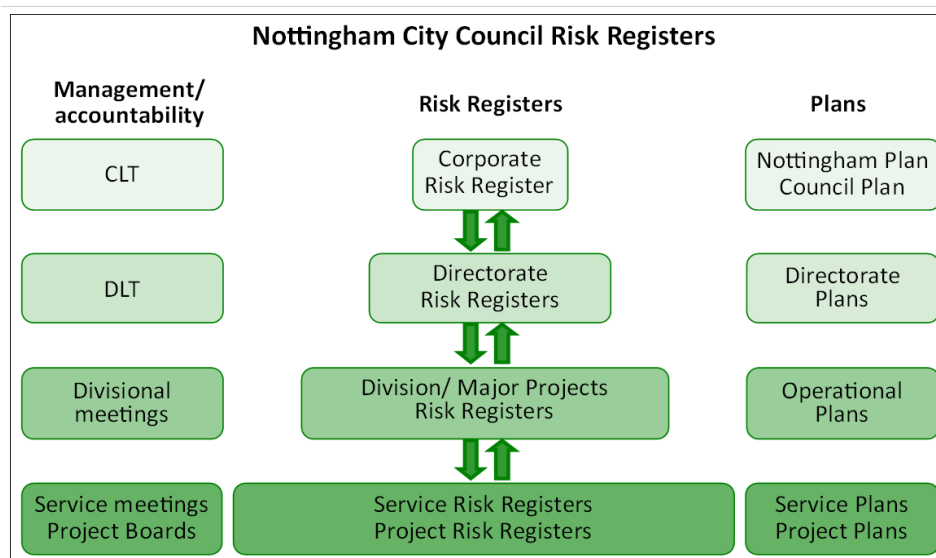
1. To note the Corporate Risk and Assurance Register, and to review the risks and mitigations within the Register and discuss their relevance, their corresponding risk scores and if any risks need to be added or deleted from the Register.

**1. Reasons for recommendations**

- 1.1. This report is presented for the review and discussion of the Corporate Risk and Assurance Register. The Executive Board is recommended to note the latest Register, review the existing mitigations in place for all identified risks and agree any additional risks for inclusion on the Register.

**2. Background**

- 2.1. A risk reporting process is in place to support escalation of risk throughout the Council as required. Risks can move between registers based on seriousness and required oversight and support. The escalation process is shown diagrammatically as follows:



- 2.2. Risks are reviewed by Directorate Leadership Teams (DLT), CLT and Leadership Group quarterly. The corporate Register is also reviewed by Executive Panel, Executive Board and the Audit Committee six-monthly.

### **The Register Update**

- 2.3. The Register was reviewed by CLT on 2 August 2022. A summary of the changes to previous risks is attached as Appendix 1 and the summary Register is attached as Appendix 2, for review of the existing mitigations in place and to agree any further actions needed.

### **Embedding Risk Management**

- 2.4. Following agreement of the risk appetite statements and thresholds for the Council in March 2022, these have been embedded within Risk and Assurance Registers to support risk owners when assessing risk levels and summaries of existing risk against the risk appetite has been presented to all DLTs this quarter. A review of existing corporate risk against the agreed risk appetite thresholds is provided as Appendix 3.
- 2.5. Two further training sessions were delivered to Senior Leadership members in July. These sessions were facilitated by the strategic risk consultant at Zurich and provided an overview of the risk management processes and expectations at the Council, including use of risk appetite. The sessions were well attended and received positive feedback.

### **Next Steps**

- 2.6. Following approval of the Risk Management Policy and Framework in March 2022, additional work and training is planned to further embed risk management across the Council.
- 2.7. Further training for members is planned throughout 2022/23, including:
- further training to Audit Committee members on how to scrutinise risk management approaches;
  - training for Portfolio Holders on risk management in their areas of responsibility; and
  - training for members providing an overview of risk management.
- 2.8. Further training for officers is also planned throughout 2022/23, including:
- further training for Senior Leadership delivered by Zurich scheduled in September 2022;
  - further development of the online training module to incorporate changes in the Risk Management Policy and Framework; and
  - further support and training for divisions and services will be delivered as part of the transformation programme. This will include training sessions and register development across services.
- 2.9. Further development of the Risk and Assurance Register format and presentation is also planned in 2022/23, including working with performance to align reporting.

### **3. Other options considered in making recommendations**

- 3.1. To not present the Corporate Risk and Assurance Register for review: this option is rejected as the process to review of the risks and mitigations within the Register, and to discuss their relevance, corresponding risk scores and if any risks need to be added or deleted from the Register, is a vital component of effective risk management.

### **4. Consideration of Risk**

- 4.1. Risk and assurance is considered throughout the report.

### **5. Finance colleague comments**

- 5.1. Financial implications are highlighted as potential impacts for each risk included within the Register, alongside an assessment of the impact on Finance using the risk matrix. Finance teams have inputted to related risks within the Register.

### **6. Legal colleague comments**

- 6.1. Legal implications are highlighted as potential impacts for each risk included within the Register, alongside an assessment of the impact on Legal/legislation using the risk matrix. Legal teams have inputted to related risks within the Register.

### **7. Procurement colleague comments**

- 7.1. Procurement teams have inputted to related risks within the Register.

### **8. Human Resources colleague comments**

- 8.1. Workforce implications are highlighted as potential impacts for each risk included within the Register, alongside an assessment of the impact on the workforce using the risk matrix. Human Resources teams have inputted to related risks within the Register.

### **9. Equality Impact Assessment (EIA)**

- 9.1. An EIA is not required because the report does not constitute proposals for a new or changing policy, service or function.

### **10. Data Protection Impact Assessment (DPIA)**

- 10.1. A DPIA is not required because the report does not constitute proposals for the collection and management of personal data.

### **11. Carbon Impact Assessment (CIA)**

- 11.1. A CIA is not required because the report does not constitute proposals that impact upon carbon neutrality.

### **12. List of background papers relied upon in writing this report**

- 12.1. None.

### **13. Published documents referred to in this report**

13.1. None.