

Executive Board – 19th September 2023

Subject:	Corporate Risk and Assurance Register
Corporate Director(s)/Director(s):	Ross Brown, Corporate Director, Finance & Resources
Portfolio Holder(s):	Cllr Wynter, Portfolio Holder for Finance and Resources
Report author and contact details:	Shail Shah, Head of Audit and Risk Email: Shail.Shah@nottinghamcity.gov.uk Debbie Bowring, Corporate Risk & Assurance Manager Email: debbie.bowring@nottinghamcity.gov.uk
Other colleagues who have provided input:	Corporate Leadership Team Departmental Leadership Teams
Subject to call-in:	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Key Decision:	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Criteria for Key Decision:	
(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
and/or	
(b)	Significant impact on communities living or working in two or more wards in the City <input type="checkbox"/> Yes <input type="checkbox"/> No
Type of expenditure:	<input type="checkbox"/> Revenue <input type="checkbox"/> Capital If Capital, provide the date considered by Capital Board Date:
Total value of the decision:	None
Wards affected:	All wards
Date of consultation with Portfolio Holder(s):	7 th September 2023
Relevant Council Plan Key Outcome:	
Green, 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"/>
Living Well in our Communities	<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"/>
Serving People Well	<input checked="" type="checkbox"/>
Summary of issues (including benefits to citizens/service users):	
Highlight to Executive Board the top corporate risks to the Council, based on discussions at CLT, Performance Clinics and with Corporate Directors, including cross cutting risks and risks escalated from directorates.	
Does this report contain any information that is exempt from publication?	
Appendix 1, 2 and 3 to this report are exempt from publication under paragraph number three of Schedule 12A to the Local Government Act 1972 because it contains 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 this may lead to potential for commercial disadvantage if sensitive commercial, financial or contractual information became available to potential contractors or partners

Recommendation(s):

1 That Executive Board reviews the risks and mitigations within the Corporate Risk and Assurance Register and discuss their relevance, their corresponding risk scores and if any risks need to be added or deleted from the register.

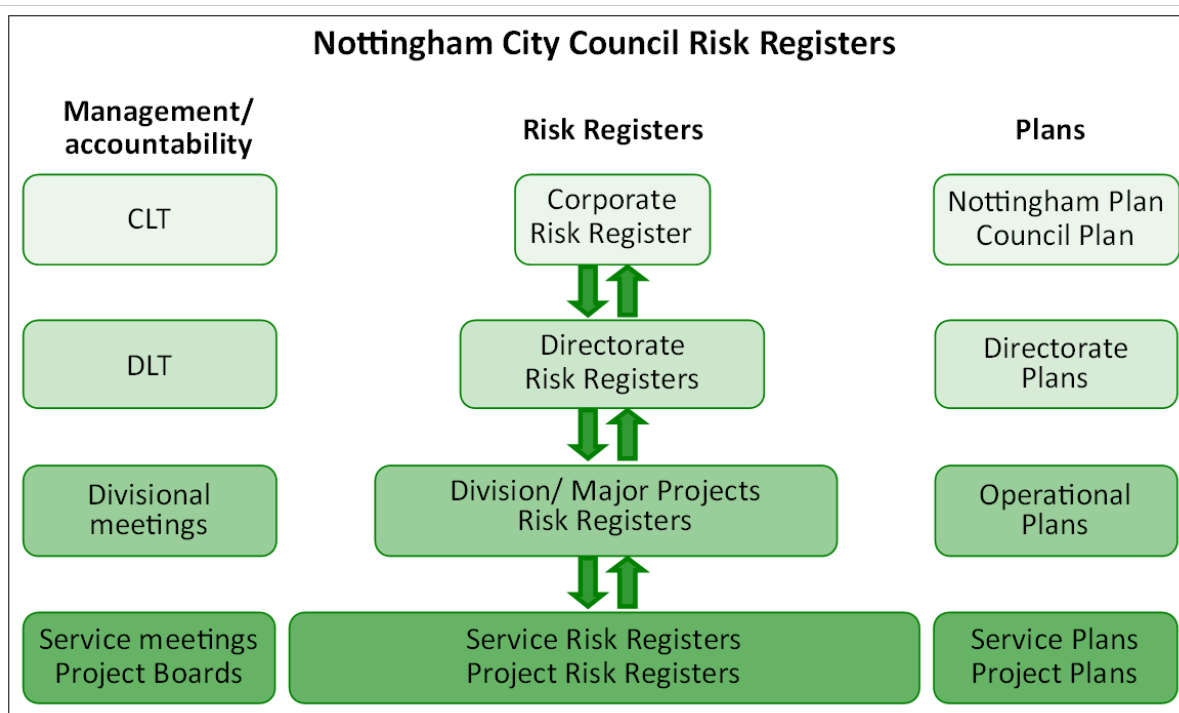
1. Reasons for recommendations

1.1 Executive Board is recommended to note the latest Corporate Risk and Assurance Register, review the existing mitigations in place for all identified risks and agree any additional risks for inclusion on the register.

2. Background (including outcomes of consultation)

2.1 Corporate Risk and Assurance Register Update

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:



Risks are reviewed by Directorate Leadership Teams, CLT quarterly. The corporate register is also reviewed by Executive Panel, Executive Board and Audit Committee twice yearly.

The Register Update

The Corporate Risk and Assurance Register was reviewed by CLT on 29th August 2023. A summary of the changes to previous risks is attached as Appendix 1 and the summary Corporate Risk and Assurance Register is attached as Appendix 2 for review of the existing mitigations in place and to agree any further actions needed.

Embedding Risk Management

Following agreement of the risk appetite statements and thresholds for the Council, 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.

We continue to provide support to services in the form of attendance at Performance Clinics to look at the risks in detail and ad hoc risk workshops where required.

Next Steps

Following approval of the Risk Management Policy and Framework, additional work and training is ongoing and planned to further embed risk management across the Council.

- **Audit Committee members training completed** – 25th July 2023. Attendance was 8 out of 9 members.
- **Further SLMG officer training completed** – 9th June & 13th June 2023. Attendance was 10. This included new colleagues to the council or those that did not attend during the training that was held last year. Further training to be held for new SLMG officers October / November 2023.
- **Training for Portfolio Holders completed** – 3rd August 2023. Attendance was 6. We will be looking to hold a further training session for those Portfolio Holders that were unable to attend the session.
- **Development of the online training module** to incorporate changes in the Risk Management Policy and Framework.
- **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

3. Other options considered in making recommendations

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 Corporate level risks to the Council are included within the report.

5. **Finance colleague comments (including implications and value for money/VAT)**

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. **Crime and Disorder Implications (If Applicable)**

7.1 N/A

8. **Social value considerations (If Applicable)**

8.1 N/A

9. **Regard to the NHS Constitution (If Applicable)**

9.1 N/A

10. **Equality Impact Assessment (EIA)**

10.1 Has the equality impact of the proposals in this report been assessed?

No

An EIA is not required because this report does not relate to a new policy or service.

Yes

11. **Data Protection Impact Assessment (DPIA)**

11.1 Has the data protection impact of the proposals in this report been assessed?

No

A DPIA is not required because this report has no data protection implications

Yes

12. **Carbon Impact Assessment (CIA)**

12.1 Has the carbon impact of the proposals in this report been assessed?

No

A CIA is not required because this report has no impact on carbon assessment

Yes

13. List of background papers relied upon in writing this report (not including published documents or confidential or exempt information)

13.1 None

14. Published documents referred to in this report

14.1 None