

Public Report with Exempt Appendices
Audit Committee

Committee Name and Date of Committee Meeting

Audit Committee – 30 September 2021

Report Title

Assistant Chief Executive Directorate Risk Register

Is this a Key Decision and has it been included on the Forward Plan?

No

Strategic Director Approving Submission of the Report

Jo Brown, Assistant Chief Executive

Report Author(s)

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Ward(s) Affected

All

Report Summary

This report provides an update to the Audit Committee in relation to the current position of the Assistant Chief Executive Directorate Risk Register and risk management activity.

Recommendations

The Audit Committee is asked to note the progress and current position in relation to risk management activity in the Assistant Chief Executive Directorate.

List of Appendices Included

Appendix 1 Assistant Chief Executive Directorate Risk Register

Background Papers

Assistant Chief Executive Directorate Risk Register to Audit Committee in November 2020.

Corporate Strategic Risk Register report to Audit Committee in July 2021.

Consideration by any other Council Committee, Scrutiny or Advisory Panel

No

Council Approval Required

No

Exempt from the Press and Public

Yes.

An exemption is sought for Appendix 1 under Paragraph 3 (Information relating to the financial or business affairs of any particular person (including the authority holding that information)) of Part I of Schedule 12A of the Local Government Act 1972 is requested, as this report contains information that refers to the affairs of third parties.

It is considered that the public interest in maintaining the exemption would outweigh the public interest in disclosing the information because failure to do so may result in disclosure of information about the financial or business affairs of Council suppliers and partners.

Assistant Chief Executive Directorate Risk Register report

1. Background

1.1 The Assistant Chief Executive's Risk Register was last presented to Audit Committee in November 2020.

1.2 The current Assistant Chief Executive Directorate Risk Register has fourteen risk items listed (**Appendix 1**).

1.2 Due to the nature of the work of the Assistant Chief Executive Directorate, a significant number of the Directorate risks (five of the fourteen) also feature on the Council's Strategic risk register, these are referenced below:

- **ACX2 & SLT08**

Building Stronger Communities & Thriving Neighbourhoods

Risk: Failure to enhance community cohesion throughout the borough

- **ACX3 & SLT03**

Tackling Family Poverty

Risk: Families living in poverty are inadequately supported.

- **ACX4 & SLT09**

Hope and confidence in Rotherham

Risk: The Council's communications fail to be of sufficient quality to attract inward investment.

- **ACX5 & SLT11**

Effective partnership working within and beyond Rotherham to maximise benefits to residents, service users and businesses.

Risk: Risk to effective joint working and lack of direction caused by a lack of support and trust from partners for local priorities and better outcomes.

- **ACX30 and SLT36**

Reduction of carbon emissions for the Council and the borough.

Risk: Insufficient resources of the necessary expertise are available to the Council to inform the Carbon Reduction Plan.

2. Key Issues

2.1 There are six Services within the Assistant Chief Executive Directorate:

- Human Resources and Organisation Development
- Policy, Performance and Intelligence
- Neighbourhoods
- Communications and Marketing
- Democratic Services
- Change and Innovation.

The Assistant Director of Human Resources and Organisation Development also manages a service level risk register.

- 2.2 Risks are regularly discussed and reviewed at the Directorate Leadership Team (DLT), by individual members of DLT and, where necessary, risks are escalated to the next strategic level for inclusion on the risk register.
- 2.3 As part of the programme to embed Risk Management into the culture of the Council, all managers from Assistant Chief Executive Directorate are required to attend the mandatory “Risk Management Training for Managers” workshops. New managers are invited to attend workshops as soon as possible after commencement in role.
- 2.4 The attached revision of the Assistant Chief Executive Risk Register, dated 21 September 2021 is aligned to the Year Ahead Plan.
- 2.5 New risk items which have been added or amended since the last report to Audit Committee in November 2020 include:

- **ACX4 & SLT09**

Hope and confidence in Rotherham

Risk: The Council’s communications fail to be of sufficient quality to attract inward investment.

This risk has been reworded.

- **ACEX25**

Management and Delivery of the Vulnerable people resettlement scheme and the asylum programme.

Risk: housing issues and supply issues relating to operation Oak

The above risk has been added to the existing risk item.

- **ACX30 and SLT36**

Reduction of carbon emissions for the Council and the borough

Risk: Insufficient resources of the necessary expertise are available to the Council to inform the Carbon Reduction Plan.

- **ACX31**

Maintaining excellence in service across the payroll and HR shared service centre

Risk: Failure to embed the use of the self-service functionality of the new system will impact on customer perception and service efficiency.

- 2.6 A new Council Plan for 2022-2025 is currently under development and once approved the Assistant Chief Executive Risk Register will be reviewed and aligned to this.

3. Options considered and recommended proposal

- 3.1 Only one of the fourteen risks on the Assistant Chief Executive Directorate risk register is now currently assessed as being a high risk, marked as ‘Red’ on the attached risk register. This is:

- **ACX25**

Management and Delivery of the Vulnerable people resettlement scheme and the asylum programme

Risk: of housing issues following the transfer to the new accommodation provider (Mears) and risk of housing and supply issues relating to operation Oak.

3.2 The above Risk Register entries are closely linked to the Service Plans, team plans, reports and service meeting agendas across the directorate.

3.3 Progress against key actions to mitigate the above risks is monitored through management team meetings.

4. Consultation on proposal

4.1 Risk Registers are subject to review by the Strategic Leadership Team. A strategic Risk Champions Forum has been established and the Assistant Chief Executive Directorate is actively represented at all meetings.

5. Timetable and Accountability for Implementing this Decision

5.1 Not applicable

6. and Procurement Advice and Implications (to be written by the relevant Head of Finance and the Head of Procurement on behalf of s151 Officer)

6.1 There are no direct financial or procurement implications arising from this report. Financial implications linked to risk mitigation are detailed in associated Service Plans and Directorate Plans and are closely scrutinised and monitored.

7. Legal Advice and Implications (to be written by Legal Officer on behalf of Assistant Director Legal Services)

7.1 There are no direct legal implications arising from the Risk Register. Any actions taken by the Council in response to risks identified will take into account any legal implications.

8. Human Resources Advice and Implications

8.1 There are no direct Human Resources implications arising from this report. However, the risks contained in the Assistant Chief Executive Risk Register (Appendix 1) directly link to the Workforce Strategy and the Year Ahead Plan.

9. Implications for Children and Young People and Vulnerable Adults

9.1 Not applicable

10. Equalities and Human Rights Advice and Implications

10.1 Not applicable

11. Implications for CO2 Emissions and Climate Change

11.1 There are no direct CO2 emissions and climate change implications from this report. However, a new risk has been added to the Assistant Chief Executive Directorate Risk Register (Appendix 1) focused on: Insufficient resources of the necessary expertise are available to the Council to inform the Carbon Reduction Plan.

12. Implications for Partners

12.1 The actions relating to any issues affecting partners and other directorates are reflected in the risk register and accompanying risk mitigation action plans.

13. Risks and Mitigation

13.1 The Assistant Chief Executive Risk Register (Appendix 1) details the Directorate level risks and mitigations. Risks and mitigation in respect of HR&OD are further detailed in the service area Risk Register.

14. Accountable Officer(s)

Simon Dennis Acting Head of Policy, Performance and Intelligence

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