

Public Report with Exempt Appendices
Audit Committee

Committee Name and Date of Committee Meeting

Audit Committee – 27 September 2022

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)

Tanya Lound, Corporate Improvement and Risk Officer

tanya.lound@rotherham.gov.uk

Simon Dennis, Corporate Improvement and Risk Manager

Simon.dennis@rotherham.gov.uk

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 September 2021.

Corporate Strategic Risk Register report to Audit Committee in July 2022.

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 September 2021.
- 1.2 The current Assistant Chief Executive Directorate Risk Register has sixteen 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 (four of the sixteen) also feature on the Council's Strategic risk register, these are referenced below:

- **ACX2 & SLT08 Building Stronger Communities & Thriving Neighbourhoods.**
Risk detail: Failure to enhance community cohesion throughout the borough.
- **ACX3 & SLT03 Delivery of the Council's corporate priorities in the context of the cost-of-living crisis.**
Risk detail: Failure to deliver the Council Plan and Year Ahead Delivery Plan due to the pressures generated by the cost-of-living crisis.
- **ACX4 & SLT09 Hope and confidence in Rotherham.**
Risk detail: The Council's communications fail to be of sufficient quality.
- **ACX5 & SLT11 Effective partnership working within and beyond Rotherham to maximise benefits to residents, service users and businesses.**
Risk detail: Lack of direction, trust and support from organisations which sit on the strategic partnerships leading to ineffective joint working and failure to deliver on local priorities.

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

- 2.4 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.
- 2.5 The attached revision of the Assistant Chief Executive Risk Register, dated 14 September 2021 is aligned to the new Council Plan and Year Ahead Delivery Plan.
- 2.6 Risk items which have been added or amended since the last report to Audit Committee in September 2021 include:

Risk No	Business objective	Risk Detail	Change since last report
ACX3 (SLT03)	Delivery of the Council’s corporate priorities in the context of the cost-of-living crisis.	Failure to deliver the Council Plan and Year Ahead Delivery Plan due to the pressures generated by the cost-of-living crisis.	<i>Risk previously focused on tackling family poverty, however refocused to reflect the current situation.</i>
ACX4 (SLT09)	Hope and confidence in Rotherham.	The Council’s communications fail to be of sufficient quality.	<i>Risk wording updated to remove reference to attracting inward investment.</i>
ACX25	Management and Delivery of the resettlement schemes. Impact of the asylum dispersal programme, including hotel accommodation.	Failure to meet Council pledge to resettle people on UKRS and Afghan schemes due to lack of suitable affordable housing in Rotherham. Wider dispersal patterns to areas without support networks or cultural /religious infrastructure. Ukrainian refugee routes announced by government - arrivals into the area without planning and further responsibilities on RMBC re key services, safeguarding, homelessness and integration. Risk that Home Office use of local hotels as contingency accommodation for asylum seekers in the Borough causes issues with pressure on services.	<i>Business objective and risk reworded.</i>
ACX32	Delivery of the Workforce Plan.	Failure to deliver key workforce priorities will have a detrimental impact on	<i>New risk added.</i>

		delivery of Council services and Council Plan priorities.	
ACX33	Compliance with the Equalities Framework and ensuring equalities are embedded in all aspects of Council operation and decision making.	Failure to achieve equalities “excellent” standard.	<i>New risk added.</i>
ACX 35	Thriving Neighbourhoods - Councillors as Community Leaders	Lack of development or support for Councillors which will allow them to maximise their role as community leaders.	<i>New risk added.</i>
ACX 36	Thriving Neighbourhoods – Co-ordination of services at neighbourhood level.	Capacity of council services and partners to respond to local priorities and issues.	<i>New risk added.</i>

2.7 Risk items removed since the last report to Audit Committee in September 2021 include:

Risk No	Business objective	Risk Detail	Reason
ACX24	Ensuring the Thriving Neighbourhood’s Strategy is effectively implemented.	Failure to take account of the new ward boundaries in service design.	<i>New ward boundaries in place and risk now out of date. New risks added instead to reflect the current position.</i>
ACX28	Delivery of the Year Ahead Plan – New Ways of Working.	Failure to deliver the updated flexible working and OD strategies.	<i>Superseded with ACX32.</i>
ACX30 (SLT36)	Reduction of carbon emissions for the Council and the borough.	Insufficient resources of the necessary expertise are available to the Council to inform the Carbon Reduction Plan.	<i>Risk transferred to the Regeneration and Environment Directorate Risk Register.</i>

3. Options considered and recommended proposal

3.1 Only one of the sixteen risks on the Assistant Chief Executive’s Directorate Risk Register is currently assessed as being a high risk, marked as ‘Red’ on Appendix 1. This is:

- **ACX25 Management and Delivery of the resettlement schemes. Impact of the asylum dispersal programme, including hotel accommodation.**
Risk detail: Failure to meet Council pledge to resettle people on UKRS and Afghan schemes due to lack of suitable affordable housing in Rotherham.

Wider dispersal patterns to areas without support networks or cultural /religious infrastructure.

Ukrainian refugee routes announced by government - arrivals into the area without planning and further responsibilities on RMBC re key services, safeguarding, homelessness and integration.

Risk that Home Office use of local hotels as contingency accommodation for asylum seekers in the Borough causes issues with pressure on services.

3.2 The Assistant Chief Executive's Risk Register and 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 monthly.

4. Consultation on proposal

4.1 The Corporate Strategic Risk Register is reviewed quarterly by the Strategic Leadership Team, and the Assistant Chief Executive's Risk Register is reviewed monthly at the Directorate Leadership Team meeting. A strategic Risk Champions Forum is also in place 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. Financial 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 mitigations 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 Assistant Chief Executive's Directorate Risk Register. Any actions taken by the Council in response to risks identified will consider 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, Council Plan, and the Year Ahead Delivery Plan.

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

9. Implications for Children and Young People and Vulnerable Adults

- 9.1 There are no direct implications arising from this report. Children and young people and vulnerable adult implications linked to risk mitigations are closely scrutinised and monitored.

10. Equalities and Human Rights Advice and Implications

- 10.1 An equalities risk has been added to the Assistant Chief Executive's Risk Register (Appendix 1): ACX33 Compliance with the Equalities Framework and ensuring equalities are embedded in all aspects of Council operation and decision making. Risk detail: Failure to achieve equalities "excellent" standard.

11. Implications for CO2 Emissions and Climate Change

- 11.1 There are no direct CO2 emissions and climate change implications from this report.

12. Implications for Partners

- 12.1 Actions relating to issues affecting partners are reflected in the risk register and closely scrutinised and monitored.
- 12.2 The Assistant Chief Executive's Risk Register (Appendix 1) and Corporate Strategic Risk Register also includes a risk (ACX5 and SLT11) focussed around: lack of direction, trust and support from organisations which sit on the strategic partnerships leading to ineffective joint working and failure to deliver on local priorities.

13. Risks and Mitigation

- 13.1 The Assistant Chief Executive's 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)

Fiona Boden Head of Policy, Performance and Intelligence

Report Author: *Tanya Lound, Corporate Improvement and Risk Officer*
tanya.lound@rotherham.gov.uk tanya.lound@rotherham.gov.uk

Simon Dennis, Corporate Improvement and Risk Manager
simon.dennis@rotherham.gov.uk

This report is published on the Council's [website](#).