

Public Report with Exempt Appendices  
Audit Committee

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**Committee Name and Date of Committee Meeting**

Audit Committee – 10 January 2023

**Report Title**

Finance & Customer Services Risk Register

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

No

**Strategic Director Approving Submission of the Report**

Judith Badger (Strategic Director, Finance & Customer Services)

**Report Author(s)**

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**Ward(s) Affected**

All Wards

**Report Summary**

This report provides an update to Audit Committee on the current position of the Finance & Customer Services Directorate Risk Register and Risk Management activity within the Directorate.

**Recommendations**

Audit Committee is asked to note the progress and current position in relation to Risk Management activity in the Finance & Customer Services Directorate.

**List of Appendices Included**

Appendix 1: Finance & Customer Services Risk Register as of 21 December 2022

**Background Papers**

Finance & Customer Services Directorate Risk Register report to Audit Committee 11 December 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.

## Finance & Customer Services Directorate Risk Register Update

### 1. Background

1.1 There are four Services within the Finance & Customer Services Directorate:

- Financial Services
- Customer, Information and Digital Services
- Legal Services
- Internal Audit

1.2 The Finance & Customer Services Directorate level risk register currently has 8 risk items listed (**Appendix 1**) of which 1 is included on the Corporate Risk Register. It was last presented to Audit Committee on 11 December 2021.

1.3 The corporate risk in question is:

- SLT16 (FCS1) – Directorates failing to deliver services within budget. Finance Settlements from Government being inadequate to meet service costs and demand increases. Economic factors impacting negatively on Business Rates and Council Tax income.

1.4 Risks are regularly discussed and reviewed at the Directorate Leadership Team (DLT) and, where necessary, risks are escalated to the next strategic level for inclusion on the appropriate risk register.

1.5 Risks are owned and updated by the relevant Assistant Director/M3 Manager. Updated risk registers are uploaded and retained on the corporate SharePoint system which is accessed via the intranet.

1.6 As part of the ongoing programme to embed Risk Management into the working culture of the council, all M2 and M3 managers within Finance & Customer Services are encouraged to attend corporate Risk Management training. New and/or redeployed managers are asked to attend future training events.

### 2. Key Issues

2.1 There are currently no red rated risks included within the Finance & Customer Services Directorate risk register.

2.2 Risk Register entries are closely linked to the Service Plans, Team Plans, Reports and Service meeting agendas across the directorate.

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

2.4 One new risk has been added since the last report to Audit Committee in December 2021, this being:

- FCS16 – Ongoing rise in household living costs/inflation with consequent impact on disposable income and financial security of Rotherham residents and businesses.

### **3. Options considered and recommended proposal**

3.1 This report is presented to enable Audit Committee to fulfil its responsibility for overseeing the Council's Risk Management arrangements.

### **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 Finance & Customer Services 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**

6.1 The risks contained in the register require ongoing management action. In some cases, additional resources may be necessary to implement the relevant actions or mitigate risks. Any additional costs associated with the risks are reported to Finance & Customer Services DLT if required.

### **7. Legal Advice and Implications**

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.

### **9. Implications for Children and Young People and Vulnerable Adults**

9.1 The Finance & Customer Services Risk Register incorporates risks that are of significance with regards to children and vulnerable adults and sets out the mitigating actions that are being undertaken to deal with these risks.

## **10. Equalities and Human Rights Advice and Implications**

10.1 Proposals for individual risks within the register incorporate equalities and human rights considerations where appropriate.

## **11. Implications for CO2 Emissions and Climate Change**

11.1 There are no CO2 emissions or climate change implications from this report

## **12. Implications for Partners**

12.1 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 Finance & Customer Services Risk Register (**Appendix 1**) details the Directorate level risks and mitigations.

## **14. Accountable Officer(s)**

Judith Badger                      Strategic Director, Finance & Customer Services

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