

**Report To:** Audit Committee

**Date of Meeting:** Thursday, 10 March 2022

**Report Title:** Risk Registers

**Report By:** Tom Davies, Chief Auditor

**Key Decision:** N

**Classification:** Open

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### **Purpose of Report**

The purpose of the report is to inform the Audit Committee of the risks and countermeasures in place for the council.

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### **Recommendation(s)**

1. To review the risks and comment as appropriate.

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### **Reasons for Recommendations**

As part of the Corporate Risk Management Strategy agreed by Cabinet, the Risk Registers are to be reviewed by the Audit Committee each year.

## Introduction

1. The (draft) Risk Registers were last presented to Audit Committee on 2 June 2021. They were in a new improved format and the Audit Committee identified a need for Risk Management in the Council.

## Risk Management Training

2. Zurich Risk Management Services (part of our Insurers) provided 3 training sessions during the period November – December 2021. It was funded through an allowance that our Insurer (Zurich) has provided for managing risks. A total of 50 people (staff and councillors) were trained.

3. The objectives of the course were:

**Council Goals:** To understand the importance and relevance of Risk Management in achieving council goals.

**Risk Management:** To gain a high level of overview of Risk Management principles and the Risk Management process. Practical tips for inclusion into the day-to-day management activities,

**Identifying Risks:** Thinking about what risks the sector and the Council are facing.

4. The training was designed to be interactive with various break-out sessions and exercises. It focused on the practical risks facing the sector and placed particular emphasis on the distinction between Issues and Risks (Issues being immediate but Risks being a point in the future (potentially)) and Risk Avoidance vs Risk Mitigation.
5. The training provided a good introduction for attendees who perhaps hadn't received any form of Risk Management training before and also especially, a good refresher to our Risk Management procedures for assessing the level of risks.
6. Now that the course has been delivered, it will be easy to provide again at a more convenient time when there is a perceived need.

## Audit Committee Risk Management Dashboard

7. It is useful and good governance practice for those charged with governance to see an overview of the risks across the whole organisation as well sight of the Strategic Risks and the High Priority Operational Risks.
8. An Audit Committee Risk Management Dashboard showing a helicopter view of all of the High Priority Risks and High Priority Residual Risks (those are red risks even after Risk Avoidance measures) can be seen at Appendix A.
9. Other dashboard reports can be produced in the future, for example, the change in the number of residual red risks from one period to another, if the Audit Committee would find them useful.

## Audit Committee Risk Report

10. The Audit Committee Risk Report can be seen at Appendix B.
11. There has been a new improved procedure introduced recently where a team of senior managers meet monthly to discuss the Risk Registers before they are submitted to CMG for review. The idea is to highlight any Red Risks of concern. Loss of Key Personnel / Experience Housing initiatives costs were highlighted the last time. These are both being managed appropriately.
12. In Timetable of Next Steps

Action	Key milestone	Due date (provisional)	Responsible
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## Wards Affected

(None);

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## Policy Implications

Reading Ease Score: 45.7

Have you used relevant project tools?: n/a

**Please identify if this report contains any implications for the following:**

Equalities and Community Cohesiveness	N
Crime and Fear of Crime (Section 17)	N
Risk Management	Y
Environmental Issues & Climate Change	N
Economic/Financial Implications	N
Human Rights Act	N
Organisational Consequences	N
Local People's Views	N
Anti-Poverty	N
Legal	N

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## Additional Information

Appendix A – Audit Committee Risk Management Dashboard

Appendix B – Audit Committee Risk Register

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## Officer to Contact

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