

# Waverley Borough Council

**Report to: Audit and Risk Committee**

**Date:** 25 March 2024

**Ward(s) affected:** All

**Report of Director: Transformation & Governance**

**Author:** Robin Taylor, Joint Executive Head of Organisational Development

**Tel:** 01483 523108

**Email:** Robin.Taylor@Waverley.gov.uk

**Executive Portfolio Holder responsible:** Councillor Victoria Kiehl, Executive Portfolio Holder for Organisational Development

**Email:** Victoria.Kiehl@Waverley.gov.uk

**Report Status:** Open

**Key Decision:** No

## Risk Management Framework

### 1. Executive Summary

This report provides the Committee with the opportunity to consider the new Risk Management Framework, including the Risk Management Strategy and Policy. The new approach necessitates a review of the Corporate Risk Register, which will be the next stage.

### 2. Recommendation to the Committee

That the Committee:

2.1 considers the Risk Management Framework and makes any observations or comments.

2.2 agrees to endorse the new Risk Management Framework, including a mirrored approach to risk management with Guildford Borough Council.

### **3. Reason(s) for Recommendation:**

3.1 Risk is in the remit of the Audit and Risk Committee. A Southern Internal Audit Partnership audit report produced in March 2023, reviewed Waverley Borough Council's processes and controls for risk management. The audit report went to the Audit and Risk Committee on 11 September 2023. Following the recommendations relating to risk management produced in this report, the Council has developed a new Risk Management Framework.

3.2 In July 2021 both Guildford Borough Council and Waverley Borough Council agreed to explore partnership working, through collaboration, with the aim to cut costs and help protect local services for residents. Both councils agreed to have one Joint Management Team (JMT), which was established in October 2022. The Vision statement for the partnership states the councils will seek opportunities for other ways to collaborate, including harmonising processes where possible. Therefore, a mirrored approach to risk management will ensure best practice at both councils and more efficient use of the risk management framework for officers.

### **4. Exemption from publication**

No

### **5. Purpose of Report**

5.1 The purpose of this report is to present the new Risk Management Framework following the recommendations produced in the Southern Internal Audit Partnership audit report and to seek the endorsement of the Committee.

## **6. Strategic Priorities**

6.1 Risk management is an integral part of good management and governance and is crucial to achieve the Council's strategic priorities. And the Council has a legal duty to have risk management arrangements in place.

6.2 We are committed to ensuring risk management is part of our decision making with structures and processes in place to ensure the risks are identified, assessed, and addressed in a consistent way and in accordance with the appetite and objectives of the Council.

## **7. Background**

7.1 Since the Southern Internal Audit Partnership audit report, officers have reviewed the Risk Management Policy and Toolkit, in partnership with Guildford Borough Council and propose a new Risk Management Framework. Risk register templates will be adjusted accordingly.

## **8. Consultations**

8.1 The Risk Management Framework has been developed with the Joint Executive Head of Organisational Development and relevant officers at both councils. It was then considered by Corporate Management Board on 5 March.

## **9. Key Risks**

9.1 Without a fit-for-purpose and consistent risk management framework the Council risks not meeting the recommendations of the Southern Internal Audit Partnership audit report, and, more importantly, being exposed to unnecessary and unacceptable risks.

9.2 The Council has a legal duty to have risk management arrangements in place, therefore not having a robust risk management framework is a risk to not fulfilling this legal duty.

## **10. Financial Implications**

10.1 Awaiting input from the finance team.

## **11. Legal Implications**

11.1 Awaiting input from the legal team.

## **12. Human Resource Implications**

12.1 Completion, maintenance and oversight of the risk registers will require resource from JMT, Service Leads, the Corporate Policy team and specialists within the organisation. These risk management processes should be seen as important elements of business as usual, much like Service Planning.

## **13. Equality and Diversity Implications**

13.1 The Public Sector Equality Duty has been considered in the context of this report and it has been concluded that there are no equality and diversity implications arising directly from this report.

## **14. Climate Change/Sustainability Implications**

14.1 There are no direct climate change or sustainability implications of this report. The council must manage risk effectively, especially risks relating to programmes and projects, in order to achieve its goal of being net-zero carbon by 2030.

## **17. Summary of Options**

17.1 The first option is the Committee reviews and endorses the new Risk Management Framework.

17.2 Alternatively, the Committee could suggest a different way to meet the recommendations produced by the Southern Internal Audit Partnership audit report.

## **18. Conclusion**

18.1 The recommendations presented in the Southern Internal Audit Partnership audit report presents an opportunity for Waverley Borough Council to improve it's risk management arrangements.

## **19. Background Papers**

19.1 There are no background papers to this report, as all papers are in the public domain. Section 3 of this report details where these papers can be found.

## **20. Appendices**

20.1 Appendix 1: Waverley Borough Council Risk Management Framework.

Please ensure the following service areas have signed off your report.  
Please complete this box, and do not delete.

Service	Sign off date
Finance / S.151 Officer	
Legal / Governance	
HR	
Equalities	
Lead Councillor	

CMB	
Executive Briefing/Liaison	
Committee Services	