

Subject: Annual Report on Risk Management Arrangements 2020/2021

Report to: Management Team – 13 May 2021

Audit and Risk Committee - 14 June 2021

Report by: Kaye Bate, Corporate Risk Officer



SUBJECT MATTER

This report provides details of the key risk management developments during 2020/2021 for the committees' review.

This report will provide a significant source of evidence to enable the Committee to approve the Annual Governance Statement.

RECOMMENDATION

That Committee note and approve the annual report on the Council's risk management arrangements.

1. INTRODUCTION/BACKGROUND

- 1.1 The purpose of this report is to provide an annual report of key risk management developments across the Council over the last 12 months for the committees' review.
- 1.2 The Chief Executive has strategic responsibility for risk management, supported by the Management Team who act as the Council's strategic risk management group.
- 1.3 Heads of Service and Directors direct the risk management process in their service areas.

2. ANNUAL RISK MANAGEMENT REPORT

- 2.1 This report will provide a significant source of evidence to enable the Committee to approve the Council's Annual Governance Statement.
- 2.2 The report will also help to inform the Committee's view of the adequacy of the Council's risk management arrangements and as such allow it to fulfill its responsibility outlined in its terms of reference.

3. FINANCIAL IMPLICATIONS

- 3.1 None.

4. RISK IMPLICATIONS

- 4.1 See attached report.

5. CONCLUSIONS

- 5.1 Over the last year the Corporate Risk Officer and the Management Team has undertaken further steps towards establishing the Risk Management Framework which together with the culture ensures effective and consistent risk management is an integral part of the authority's activities.
- 5.2 Fundamental to the successful implementation of risk management is an adherence to the principles as set out within the framework. At the time of writing, there are no significant non-compliance issues to report with regards to corporate risk management.
- 5.3 Whilst this AGS makes an assessment of the governance in place during 2020/21, the Coronavirus pandemic (COVID-19) has impacted the financial, operational performance and workforce of the Council at the end of the 2019/2020 financial year and more so in 2020/21.
- 5.4 Work has been undertaken to ensure that there are robust governance arrangements, risk management and internal control measures in place within the Council. Policies and procedures have been reviewed and implemented throughout the Council to ensure the safety and wellbeing of officers, members and customers during the pandemic and preparation for the ways of working following the changes to covid restrictions and returning to the office environment. Systems of internal control were required to be reviewed which resulted in revised working practices and processes at the start of the lockdown and the requirement to introduce alternative / additional control measures. Officers have been re-deployed to assist with the delivery of the service offered by the new Community Team and COVID 19 business grant.
- 5.5 During 2020/21 a review of the impact of the coronavirus was undertaken to ensure that applicable governance and control measures were in place and the impact on the delivery of the usual services and to assess the longer term disruption and consequences arising from the pandemic.

6 BACKGROUND PAPERS

Areas of consideration: e.g. does this report raise any of the following issues and if so, how have these been considered/mitigated against?

Area for consideration	Comment
Monitoring Officer Consultation	No
Section 151 Officer Consultation	No
Existing Council Policies	No
Financial Implications within existing budgets	No
Legal Implications (including human rights)	No
Risk Implications	See attached report
Equality Issues/EQIA assessment	No
Details contained in strategy	
Crime & Disorder	No
Every Child Matters	No

Annual Report on Risk Management Arrangements 2020 / 2021

Executive Summary

Over the last year the Council has continued to improve and embed its risk management arrangements.

This report provides details of the key risk management developments during 2020/2021 for the committees' review.

This report will provide a significant source of evidence to enable the Committee to approve the Annual Governance Statement.

1. Purpose of the report

The purpose of this report is to provide an annual report of key risk management developments across the Council over the last 12 months. This provides the Committee with a significant source of evidence to approve the Council's Annual Governance Statement.

The report will also help to inform the Committee's view of the adequacy of the Council's risk management arrangements and as such allow it to fulfill its responsibility outlined in its terms of reference.

2. Background

The Chief Executive has strategic responsibility for risk management, supported by the Management Team who act as the Council's strategic risk management group.

Heads of Service and Directors direct the risk management process in their service areas.

Over the last year the Corporate Risk Officer and the Management Team has undertaken further steps towards establishing the Risk Management Framework, which together with the culture ensures effective and consistent risk management is an integral part of the authority's activities.

3. Main Issues

Fundamental to the successful implementation of risk management is an adherence to the principles as set out within the framework. At the time of writing, there are no significant non-compliance issues to report with regards to corporate risk management.

The steps taken to embed risk management across the Council are described below.

a. Risk Management Framework

The Risk Management Framework is published on the Councils website, under Your Council / Council Policies, Strategies and Plans / Policies and Strategies. The Risk Management Framework was last reviewed in December 2020.

The framework is reviewed every three years (or more frequently if required by changes to statutory legislation) and relevant parties consulted before submitting to the Audit and Risk Committee. The Risk Management Framework was last approved by the Audit and Risk Committee in March 2020.

On an annual basis details of responsible officers will be reviewed to ensure that they remain relevant and up to date

b. Corporate Risk Register

The Corporate Risk Register, maintained by the Corporate Risk Officer, is now well-established and captures risks identified by Management Team. The Corporate Risk Register is required to be reviewed by Management Team on a quarterly basis and was last reviewed in January 2021. During the year new risks have been identified and included on the register and risk have been removed as they are no longer required to be included and / or they are considered to be a service risk.

Due to the COVID 19 pandemic the Corporate Risk Register was not reviewed by Management Team as per the timetable stated in the Risk Management Framework due to management being required to assist in the national emergency and community response however managers continued to provide updates to the register.

The corporate risk register reflects those key business risks that are required to be managed at a corporate level. As at the 31 March 2021 there were 23 risks on the corporate risk register.

Risk score is calculated by multiplying the likelihood by the impact. The current position of the risk register is shown on the matrix below.

The responsible officer for each risk is identified and any action required to reduce the risk to the corporate appetite has a completion date.

Risks are scored based on the criteria below:

Likelihood:

Likelihood		Description	Probability	Timing
5	Very Likely	The event is expected to occur or has occurred and is continuing to impact	Over 90%	More than once per year
4	Likely	The event will probably occur in most circumstances	56 % to 90 %	Once per year
3	Fairly Likely	The event could occur at some time	16 % to 55 %	At least once between 1 – 5 years
2	Unlikely	Not expected but the event may occur at sometime	5 % to 15 %	At least once between 5 – 10 years
1	Very Unlikely	The event may occur only in exceptional circumstances	Less than 5 %	Probably within 10–15 years

Where the probability and timing score differ, a judgement should be made as to the correct likelihood score.

Impact

Impact Type	1 Negligible	2 Minor	3 Moderate	4 Significant	5 Severe
Financial (loss)	£0k – <£10k	£10k – <£50k	£50k - <£250k	£250k – £1m	Over £1m
Service Provision	No effect	Minimal disruption to the whole organisation / service	Significant disruption of one part of the organisation	Significant disruption to large parts of the organisation or Suspended Short Term	Service suspended long term or statutory duties not delivered
Projects	Minor Delay – days	A few Milestones missed	Significant milestones missed / delayed	A Major Milestone missed	Project does not achieve objectives and misses majority of Milestones
Health & Safety	One Injury or illness requiring First Aid Treatment No lost time injury days	Injury or illness requiring medical treatment Lost time injury <10 days	Serious injury or illness Lost time injury >10 days	Significant / extensive injury or illness Permanent or partial disability	Multiple Loss of Life / Large scale major illness Permanent Total Disability
Objectives	No effect	Some Team Objectives not met	Team objectives not met	Portfolio Objectives not met	Corporate Objectives not met
Morale	No effect	Some hostile relationships and minor non-cooperation	Hostile relationships and major non-cooperation across the organisation	Industrial Action	Mass Staff leaving / unable to attract staff
Reputation	No media attention / minor letters	Adverse local media Leader	One off national media exposure	Prolonged Adverse National exposure	Extensive coverage in National Press and on TV. Requires resignation of Senior Officer / Member
Government Objectives	No effect	Poor Assessments(s)	Service taken over temporarily	Service taken over temporarily	Service taken over permanently
Statutory / Legal	No impact / breach	Warning received	Breach Challenging Improvement Notice	Enforcement Action Improvement Notice	Prosecution Fine
Community Risk	Insignificant impact to health, persons displaced disruption to community services, economy and environment	Minor impact to health, persons displaced disruption to community services, economy and environment	Damage to specific location or number of locations, fatalities and some casualties, displacement of > 100 people for 1 – 3 days, Limited impact on economy and environment	Significant damage, 100 to 500 people displaced for longer than 1-week, significant impact on community services and environment	Significant of fatalities and injuries, extensive damage to property, displacement of >500 people for prolonged duration, serious damage to infrastructure, serious long-term impact on environment

Identify the impact most relevant to the risk being evaluated (it is not necessary for all points in each category to apply).

Risk Matrix

		IMPACT OF RISK				
		1	2	3	4	5
		Negligible	Minor	Moderate	Significant	Severe
LIKELIHOOD OF RISK	5	Very Likely Medium 5	High 10	High 15	Very High 20	Very High 25
	4	Likely Very Low 4	Medium 8	High 12	High 16	Very High 20
	3	Fairly Likely Very Low 3	Medium 6	Medium 9	High 12	High 15
	2	Unlikely Very Low 2	Very Low 4	Medium 6	Medium 8	High 10
	1	Very Unlikely Very Low 1	Very Low 2	Very Low 3	Very Low 4	Medium 5

Risk Rating Actions:

Very High 20 - 25	Risk outside risk appetite. Action required to reduce rating to an acceptable level
High 10 - 16	Risk outside risk appetite. Action required to maintain or reduce rating.
Medium 5 - 9	Acceptable with some mitigating and contingency planning. Routine reviews should be carried out to ensure there is no change which makes them more severe
Very Low 1 - 4	Within risk appetite but kept under review. No further action required unless risk become more severe

The risk matrix below shows how the risks identified in the Corporate Risk Register are distributed. As at the 31 March 2021 there were 23 risks included on the Corporate Risk Register. The risks considered to be outside the Councils risk appetite have action plans in place to mitigate or reduce the risk. The risks that fall within the risk appetite or acceptable have action plans in place to reduce the risk further.

RISK MATRIX

Likelihood	5		10b Business Continuity – Brexit – Impact of a failure to conclude a post Brexit EU trade deal	1 – Reduction in financial resources 2 – Reduced spending in Great Yarmouth	23 - COVID 19 - Impact of response and recovery actions on the residents and businesses of the Borough
	4	19 – Change Management	18b – Sufficient resources and resilience to ensure effective contract management 20 – Tree and Land Management	5 - Local/National Economy 8b – Cyber Security 22 – IT systems capability and interaction	3 - Flooding 4 – Flood defence and coastal protection
	3		6a – Compliance with General Data Protection Regulations (GDPR) 7 - Information Security 8a - Data quality 11 – Management of Major Projects 16 - Infrastructure not being able to meet demand 17 - No 5-year Local Plan and timescale Local Plan can be delivered 18a – Sufficient resources and resilience to ensure effective procurement	12a – Reliance on key individuals and capacity of teams 12b - Resilience and capacity of staff 13 – Unforeseen changes in government policies 14 - Delivery of long term strategic objectives 21 – Loss of Reputation	
	2		17 - Business improvement in the major leisure facilities under delivers	6b – GDPR impact on Payment Card Industry data security standards PCIDSS 9 - Event Management – for large scale events held in the Borough 10a - Business Continuity 15 - Lack of community cohesion / community tensions	
	1				
		1	2	3	4
Impact					

b. Member Involvement

The Corporate Risk Register is presented to the Audit and Risk Committee on a half yearly basis following the review by the Management Team. The Corporate Risk Register was last reviewed by the Committee in February 2021. Due to the COVID 19 pandemic the Corporate Risk Register was not reviewed by the Audit and Risk Committee as per the original timetable stated in the Risk Management Framework due to the scheduling of committee meetings having to be amended in response to the priorities of the pandemic and including assisting with the national emergency and community response.

c. Department / Service Risks

The roles and responsibilities of Directors and Heads of Service include the following:

Risk is an agenda item on all service/management team meetings to identify any emerging risk and changes.

Key risks to service objectives, project, partnership and change management processes under their control are identified, recorded and managed.

Managers carry out risk assessments as a routine part of service planning and management activities.

Director of Finance is notified of any significant changes in service provision likely to arise if a risk materialises to enable him/her to ensure that appropriate and adequate insurance and financing measures are in place.

Those risks having a corporate impact are reported for consideration for inclusion in Corporate Risk Register.

d. Corporate Risk Group

A Corporate Risk Group was created in October 2016. The purpose of the Group is an advisory group to provide a focus to the Councils overall approach to risk management. The group meet on a quarterly basis although a meeting can be called by any group members at any time. Due to COVID 19 pandemic and the requirement of officers to provide assistance and support for the national emergency and community response the first meeting during the year was held in January 2021 however the Corporate Risk Officer continued to delivered the work plan during this time.

The Group consists of Officers from services whose work has a direct bearing upon the Council's corporate risk and the required outcomes are:

- To provide an officer coordinating group with an overview of corporate risk
- To provide a review mechanism for Council activities that contribute to corporate risk
- To ensure that the Council have a suitable Risk Management Framework to address, mitigate and manage existing and emerging risks at all organisational levels and within projects and partnerships
- To ensure suitable process is in place to escalate risk into the Corporate Risk Register from service level (e.g. service, project and partnership registers) and equally to move risks down from the Corporate Risk Register
- To make recommendations and to report back to Management Team as required
- To raise awareness of risk management issues throughout the Council and with external partners and to encourage members, employees and partners to manage risks effectively.
- To promote good risk management and ensure effective governance arrangements in all service areas.
- To regularly review the Corporate Risk Register and Partnership Register.

e. Partnerships

The Council are involved in a number of partnerships, forums and groups in order to assist with the delivery of community strategies and in helping to promote the well-being of the area.

A Partnership Group has been created with a small number of public sector partners. The purpose of the group is to identify gaps in delivery or opportunities to deliver better outcomes through working together more effectively and provide guidance on the governance arrangements that should be in place for specific partnerships.

In recognition of the need to ensure that all partnerships continue to perform well, deliver value for money and support the council's strategic objectives a Partnership Governance Framework was written and approved by Management Team and the Audit and Risk Committee in December 2018. The framework defines and standardises the councils' approach to managing partnerships, in order to strengthen accountability and manage risk.

The framework will be reviewed at least every 3 years, by the Corporate Risk Officer (or more frequently if fundamental changes are required). On an annual basis details of responsible officers will be reviewed to ensure that they remain relevant and up to date.

Great Yarmouth Borough Council has adopted the Audit Commission definition of partnership which is:

‘an agreement between two or more independent bodies to work collectively to achieve an objective’

The framework provides guidance to officers on:

- What partnership working is
- How to enter into a new partnership
- How to set up a new partnership
- How to maintain appropriate governance arrangements in existing partnerships
- How to exit from a partnership

The framework does not cover:

- Procurements (unless they are delivering major services in a strategic arrangements)
- Informal discussion / consultation groups
- Short term arrangements

In support of the Partnership Governance Framework a Partnership Register is maintained.

The partnership register main functions are:

- To provide an overview of the partnerships that the Council has and how these link to the council's Strategic, Corporate / Contractual and Operational objectives
- To provide a framework to allow a robust challenge and scrutiny of the partnerships and membership of outside bodies to take place
- To identify any group relationship (for accounting purposes) and/or any governance issues for exception reporting.

It is intended that partnerships will be managed at the service level but with an overview and challenge at corporate leadership level.

The Partnership Register is maintained by the Corporate Risk Officer and is reviewed by Management Team on a quarterly basis. As at the 31 March 2021 there were 42 partnerships on the register that the council are involved in or lead on.

The Partnership Register will be presented to the Audit and Risk Committee on a half yearly basis following the review by Management Team.

At the time of writing we are not aware of any significant non-compliance issues to report with regards to partnership management however work is required to strengthen some of the controls / governance arrangements within some partnerships.

Due to the COVID 19 pandemic the Corporate Risk Register was not reviewed by Management Team and the Audit and Risk Committee as per the timetable stated in the Partnership Governance Framework due to re-prioritising and management being required to assist in the national emergency and community response. However, during the year, the layout and the contents of the register was reviewed.

f. Health and Safety

Corporate health, safety and welfare advice to the Council is carried out by a Corporate Health and Safety Advisor who sits under Environmental Services. The role is carried out two days a week with additional support bought in from Norfolk County Council. The advisor reports to the Corporate Health and Safety Group. This is an operational working group convened to raise/address concerns around health and safety within the Council, to raise the profile of health, safety and welfare management and ensure that actions in the Council's existing Policies are implemented.

i) Work Completed in 2020/21

Due to the COVID pandemic a significant amount of the work that has been carried out has been to comply with our duty to ensure that our workplaces are COVID secure and that employees can carry out site visits safely during the pandemic and this has resulted in a number of actions identified in the previous work plan being carried over to this year.

In the last twelve months, the following work has been completed: -

- A COVID-19 risk assessment was undertaken for all our buildings and a COVID compliance team was established to ensure all service areas were COVID compliant
- A Working-Safely document was produced to provide advice to employees returning to work. This covers the safety measures that the Council have introduced to ensure are buildings are COVID secure
- COVID-19 Guidance on Carrying out Essential Visits was completed and sent to all managers
- COVID-19 Guidance for First Aiders was developed to ensure first aiders are safe when delivering first aid
- A COVID-19-Guide for New and Expectant Mothers was also developed
- A COVID-19 Guide to PPE also completed as well as information on face coverings
- Information and guidance was developed for employees who may be required to deal with cleaning the building following any employee who has Coronavirus symptoms
- Managers bulletins continue to be produced on a monthly basis to support managers in carrying out the monthly management cycle checks. In addition, staff receive health and safety bulletins monthly these bulletins have focused on COVID related issues including Working Safely at Home as well as Mental Health and Wellbeing.
- COVID audits have been completed on all our front facing buildings that have opened to members of the public
- The Health and Safety Officer continues to offer support to all service areas to ensure they are COVID compliant
- Work has also been undertaken to ensure that any events organised within the borough either by the council or external organisers are COVID compliant
- A revisit health and safety audit was undertaken at the Waterways prior to it being handed over to the Access Community Trust
- The warning marker and accident procedure was reviewed and is waiting implementation by ICT
- New induction training was developed with HR and rolled out to new members of staff
- Body cameras were rolled out for use by the Civil Enforcement Officers and Rangers

In addition, the following policies were reviewed:

- Fire Safety
- Legionella
- Bomb, Suspicious Packages and Terrorism

ii) Priorities for action for the next year 2021/22

A work plan has been developed with the input of Corporate Health and Safety Group and the risk priorities for this year have been identified following a review of incident statistics, organisational activities, internal health and safety policies and Health and Safety Executive guidance on priorities for action.

The following activities are the priority for the next year; however, this will be dependent on the work required during the ongoing COVID pandemic: -

- Continue to review guidance in respect of COVID and provide ongoing advice to all service areas
- Monitoring health and wellbeing performance and implementing actions to improve performance in this area. This piece of work has been carried forward again due to the pandemic
- Lone Worker device re-procurement. This was postponed for a year due the Corporate Health and Safety Officer role being vacant for several months
- Simplifying the incident and warning marker procedure. Anecdotal evidence suggests some incidents are not being reported as the current incident reporting procedure is complex and time consuming
- Review of PPE procurement to ensure uniformity across the council. This was carried forward from last year.

In addition, audits will be carried out in the following areas:

- Crematorium
- Work at height and confined spaces.

The work plan for 2021/22 has also identified that the following policies need to be reviewed and implemented:

- Work Equipment
- Manual Handling
- Health and Safety Policy
- Driving Policy
- Stress Policy

Work will also need to be undertaken to rebrand existing policies with the new Council logo.

iii) Guidance and Information

The managers safety bulletin has been replaced by a safety bulletin that is provided to all staff. In the last year this has focussed primarily on providing advice and guidance in respect of COVID-19.

Managers are now contacted separately to ensure they are informed of monthly management health and safety checks that need to be completed.

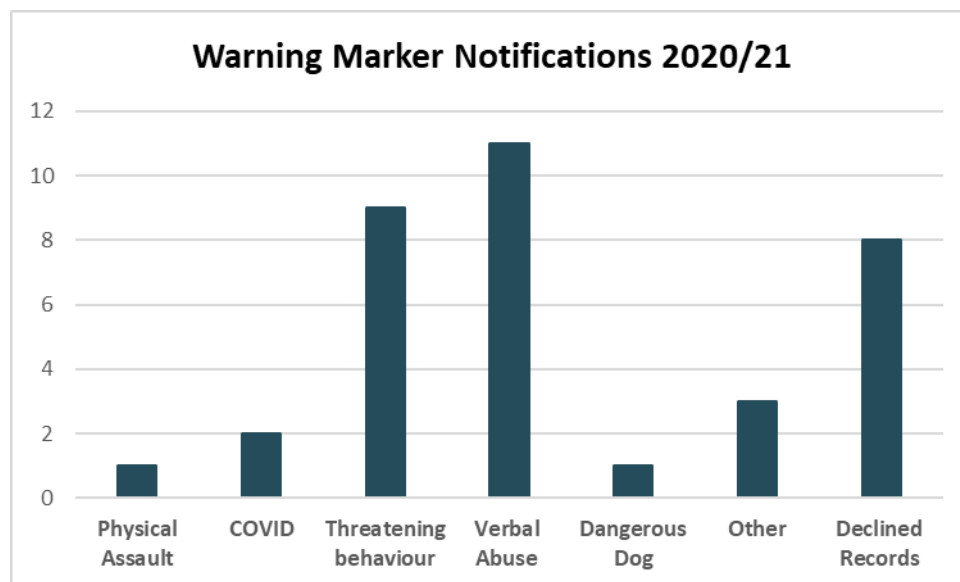
iv) Health and Safety Co-ordinators

The Health and Safety Coordinators role have carried out some tasks during the last year however this has been limited due to them not being in the office. A review of the support they can provide during the ongoing pandemic will be undertaken.

v) Warner Marker System

The warning marker system is now managed by Environmental Services. The Warning Marker System (WMS) contains names and/or addresses of persons who have initiated incidents of violence, aggression or threatening behaviour against employees. A review of the way the system is currently operated is being undertaken, alongside a review of the incident reporting procedure.

During 2020/21 There were a total of 35 warning marker requests received and these are broken down by type as follows: -



Included within this are declined records. These are warning marker notifications that the warning marker panel decided did not meet the criteria to be added to the warning marker system.

vi) Incident and accident reporting

As to be expected due to many staff working from home and not carrying out visits there was a significant reduction in the number of reported incidents. The accidents and incidents were reported in the last year: -

- There were 9 accidents which resulted in injury or ill health
- There was no specific trends this year in the types of accidents being reported
- There was one Reporting of Injuries Diseases and Dangerous Occurrences Regulations (RIDDOR) reportable incident.
- There were no reported accidents to members of the public
- There were 10 reported incidents of abuse to staff, a reduction of 14 on the previous year, 9 of these were verbal abuse wither face to face or over the telephone.

7 Employee enquiries and complaints

Corporate Health and Safety have addressed a wide range of employee enquiries and complaints including: Fire, DSE and COVID-19 as well as providing support to service areas in relation to Council asset issues.

8 Other Work

The Corporate Health and Safety advisor has been involved with contributing to guidance on Event Safety for the Great Yarmouth Event Safety Advisory Group and managing event notifications to ensure events in the borough are carried out safely.

g. Risk Management Software

The council does not use any specialised software for monitoring its risks. The Corporate Risk Register is maintained on an excel spreadsheet.

i. Financial Risk Management

Risk management techniques have continued to form part of annual budget-setting processes. The reserves policy also uses risk to inform the determination of the minimum level of reserves required each year. Risk assessment continues to inform decisions made around Treasury Management.

j. Project Risk Management

The incorporation of risk management within all projects is now a requirement within the Project Management Office (PMO). The PMO ensures compliant and effective delivery of all Corporate Projects, managed within PRINCE2 project management principles. The Project Management Office is overseen by the Strategic Director (LB), managed directly by the Programme and Project Manager, with corporate projects being led by a Project Manager and Project Sponsor and where applicable external project management support. Recent personnel changes has meant there are some gaps in resourcing, however, the Council is looking to appoint two Senior Project managers to ensure the team continues to drive forward the projects for the Council. The Executive Leadership Team (ELT) continues to provide strategic oversight and Project Sponsors. The eligible document management for projects is now in place to mitigate any potential issues with audit.

Alongside that, the Council 'Corporate Project Board' (CPB) continues to operate and meet on a regular basis. The CPB has overarching oversight of the projects and ensures quality delivery against the project, programme and budget. Highlight reports are submitted routinely and include risks and issues which are closely monitored. Additional procedures have been put into place and will be managed by the Project Support Officer alongside the Project Managers to ensure a robust risk approach is taken for each individual project. Project documentation is stored on a project SharePoint site, alongside a project performance section including risk and issue monitoring and regularly reviewed. Links to project templates and framework are on the Loop for all staff access.

k. Business Continuity

The Business Continuity function is a managed service supplied by Norfolk County Council who provide a Resilience Officer based in Great Yarmouth (working remotely during the pandemic). The service agreement was renewed from 1st April 2021.

Key deliverables:

- Since early March 2020 the focus has been on the response to the COVID 19 pandemic which has involved a fundamental change in operational procedures including remote working - an important business continuity strategy. This response is ongoing and expected to extend to the remainder of 2021 as social distancing restrictions unwind, vaccination continues, and outbreak management activities are embedded in business as usual activities.

- Resilience processes, priorities and plans will be reviewed and amended as the pandemic moves from Response to Recovery. This work will be scheduled in the second half of 2021 and will focus on Business Continuity, Emergency Response and interaction with the Norfolk Resilience Forum and Norfolk Public Health.
- The Councils' capability to work remotely throughout the response to the pandemic, supported by GYBC IT strategy, and ability to manage response structures has ensured that services and staff have been highly resilient.

l. Insurance

Insurance arrangements are reviewed on an annual basis to ensure that adequate cover is in place and the Authorities assets protected and changes are made, as required during the insurance year.

Claims are handled promptly. The Risk and Insurance Section will liaise with other departments to gather information required by the insurance company.

The insurance contract ended on 31 March 2021 therefore the insurance programme was put out to tender and the new insurance contract commences on 1 April 2021. This is a long-term agreement for 3 years with the option to extend for +1 +1.

The council's insurance programme will be placed with five insurers – albeit QBE Europe and HSB Engineering are both via RMP:

QBE Europe	HSB Houghton Engineering	Alesco
Blackwall Green Europe	Zurich Municipal Insurance	

By placing the insurance programme with the insurers above we were required to appoint a Broker, Arthur J Gallagher is the appointed broker for the Council.

A dedicated insurance page is available for staff on the council's internal web page, The Loop.

The Councils website provides details of how to make a claim and an online claim form is available to complete.

Insurance advice has been provided in connection with the COVID 19 pandemic, which have range from the cover in place, extension of cover and advice on revision or creation of policies and procedures.

The Corporate Risk Officer is a member of the Events Safety Advisory Group and provides guidance / advice in connection with events held in the borough as well as providing insurance advice on various projects / capital programmes in the borough.

m. Communication and Training

The Risk Management Framework is available to all staff, the public and other stakeholders and published on the Council's Internet and staff internal web page, The Loop.

A dedicated risk management page is available for staff on the council's internal web page, The Loop.

The Council has recently invested in an e-learning package, for mandatory training, which is available to staff.

An annual reminder is sent to the Management Team to raise awareness of the Risk Management Framework, its purpose and officer's roles and responsibilities.

The COVID 19 lockdown / pandemic has prevented further training being scheduled / provided during the year.

n. Internal and External Audit reports

Internal Audit will review risk during any audit they undertake, and this report will need to be read in conjunction with the Head of Internal Audit Annual Report and Opinion. The recommendations and issues raised will be addressed during the year and progress / implementation reported back to the Internal Auditors.

Internal Audit has four categories by which they classify internal audit assurance over the processes they examine. Detailed below are the reports issued along with the Audit Opinion of the controls in place and the number of recommendations made as a result of their findings:

Audit Area	Assurance Level	Recommendations			
		Urgent	Important	Needs Attention	Op
GY2101 Assurance Mapping	N/A	N/A	N/A	N/A	N/A
GY2102 Corporate Governance	Reasonable	0	1	2	0
GY2103 Procurement and Contract Management	N/A	N/A	N/A	N/A	N/A
GY2104 Accounts Payable	Substantial	0	0	1	0
GY2105 Housing Rents	Reasonable	0	1	5	1
GY2106 HR and Payroll	Reasonable	0	4	5	0
GY2107 Key Controls and Assurance					
GY2108 Coronavirus Response and Recovery	N/A	N/A	N/A	N/A	N/A
GY2109 Housing Needs and Allocations and Homeless	N/A	N/A	N/A	N/A	N/A
GY2110 Remote Access	Substantial	0	0	0	3

Of the 5 assurance audits completed within the year a total of 5 resulted in a positive assurance grading being given.

The Head of Internal Audit Annual Report and Opinion 2020/21 gave a **reasonable opinion** on the framework of governance, risk management and control.

4. Conclusions

In our view, the progress outlined demonstrates that the Council continues to improve upon its risk management arrangements. The COVID 19 pandemic has had an impact on the delivery of the action plan however a significant amount of the work has been carried out to ensure that our workplaces are COVID secure and to enable employees to carry out site visits safely during the pandemic. Procedures have been reviewed to enable home working and to ensure that applicable governance and control measures were in place during the pandemic. This helps support the risk management evidence provided in the Annual Governance Statement.

Progress on issues to be addressed in Annual Report on Risk Management Arrangements 2020/2021

	Issues to be addressed	Progress update	Responsible Officer	Due Date
1	Heads of Service to be contacted to identify further risk management training requirements and to implement the training suggestion of the Corporate Risk Group	On hold due to COVID 19	Corporate Risk Officer	Ongoing
2	Discussion to be held with insurance provider to identify insurance related training that can be provided to staff.	On hold due to COVID 19 and possible change of insurers due to the retendering of the insurance programme.	Corporate Risk Officer	Ongoing
3	Fraud Alerts received are to be published on the council's intranet and awareness emails to be sent to all staff as they provide important advice and guidance for individuals and organisations of the ongoing threat from criminal fraudsters.	On hold due to COVID 19 and other work priorities. IT department include fraud alerts within the IT newsletter to staff	Corporate Risk Officer	Ongoing
4	Once approved by ELT further work will be undertaken to raise the profile to ensure compliance with Partnership Governance Framework and so all applicable governance and risk management arrangements are applied and consistently used across the organisation.	Partnership Governance Framework and Partnership Register has been approved by ELT and Audit & Risk. The Corporate Risk Officer will update in accordance with the review process documented in the Partnership Governance Framework. Action completed	Corporate Risk Officer	31 March 2021
5	Health & Safety Audits will be undertaken for: <ul style="list-style-type: none"> Working at Height in and confined spaces The Waterways, to ensure identified actions from the previous audit have been completed. Crematorium Norse waste management (ensuring that the risk to members of the public in relation to vehicle movements are managed effectively) Tree safety management (in-house). 	Waterways revisit Audit completed prior to handover from GYBC. All other work on hold due to COVID.	Corporate Health and Safety Officer	31 March 2021
6	The following policies to be reviewed and implemented: <ul style="list-style-type: none"> Work Equipment Audit 	Fire completed Manual Handling and Work Equipment part completed	Corporate Health and Safety Officer	31 March 2021

	<ul style="list-style-type: none"> • Manual Handling Audit • Fire and Evacuation Audit • Homeworking 			
7	The contract for the Lone Worker Device expires in September 2020 and requires re-procurement. The Council will be trialling a number of alternative lone solutions.	Contract extended to Sept 2021	Corporate Health and Safety Officer	1 October 2020
8	Conflict resolution training to be provided to relevant officers.	Quotes obtained and training to be arranged Work In progress	Corporate Health and Safety Officer	31 March 2021
9	ICT Team to undertake work in connection with the on-line Warning Marker System	Delayed due to COVID 19 – new system should be available by December 2020	Corporate Health and Safety Officer	31 March 2021
10	Template of suite of documents to be used when setting up, delivering and monitoring projects have been produced. Cascade briefings are to be scheduled as Covid-19 response work dissipates and the Council go back to normalisation and recovery.	Cascade briefings are to be scheduled as Covid-19 response work dissipates and the Council go back to normalisation and recovery.	Head of Inward Investment	31 March 2021
11	The Councils insurance contract expires on 31 March 21. To continue to monitor impact of COVID 19 and the impact on delivery of this project.	Insurance programme put out to tender and new contract to be in place on 1 April 2021 Action completed	Corporate Risk Officer	1 April 2021

Key risk management developments 2020/2021:

The Risk Management Framework was reviewed, and Heads of Service and Directors were reminded of their roles and responsibilities. The Corporate Risk Register has been reviewed by Management Team and Audit and Risk Committee during the year however not within the timescale stated in the Risk Management Framework due to the work required to assist with the national pandemic and community response and the inability to hold virtual meetings. However, managers have continued to provide updates required to the register.

Action Plans are in place for all risk include on the Corporate Risk Register in order to reduce the risk to an acceptable level or to reduce the risk further. During the year new risks have been identified and included on the register and the risks rating reduced for some risks due to the implementation of the action plan and further control measures in place. The layout of the Corporate Risk Register was reviewed at the request of ELT.

Due to COVID 19 pandemic and the requirement of officers to provide assistance and support for the national emergency and community response the first meeting of the Corporate Risk Group was held in January 2021 however the Corporate Risk Officer has continued to delivered the work plan during this time.

<p>The Partnership Governance Framework and Partnership Register have been reviewed by Management Team and Audit and Risk Committee during the year however not within the timescale stated in the Partnership Governance Framework due to the work required to assist with the national pandemic and community response and the inability to hold virtual meetings . However, officer have continued to provide updates to the Corporate Risk Officer. The Partnership Register contents, and layout was reviewed during the year.</p>
<p>The Corporate Health and Safety Group meet on a quarterly basis and continue to monitor progress with priorities and work plan.</p>
<p>Safety Bulletins have been provided to all staff during the year and have primarily focused on providing advice and guidance in respect of COVID 19.</p>
<p>The Health and Safety Coordinators role continue to support the managers in carrying out the health and safety tasks in the monthly management cycle however this has been limited due to them currently not being in the office.</p>
<p>The Corporate Health and Safety Officer has delivered the following work in the last twelve months:</p> <ul style="list-style-type: none"> • A COVID-19 risk assessment was undertaken for all our buildings and a COVID compliance team was established to ensure all service areas were COVID compliant • A Working-Safely document was produced to provide advice to employees returning to work. This covers the safety measures that the Council have introduced to ensure are buildings are COVID secure • COVID-19 Guidance on Carrying out Essential Visits was completed and sent to all managers • COVID-19 Guidance for First Aiders was developed to ensure first aiders are safe when delivering first aid • A COVID-19-Guide for New and Expectant Mothers was also developed • A COVID-19 Guide to PPE also completed as well as information on face coverings • Information and guidance was developed for employees who may be required to deal with cleaning the building following any employee who has Coronavirus symptoms • Managers bulletins continue to be produced on a monthly basis to support managers in carrying out the monthly management cycle checks. In addition, staff receive health and safety bulletins monthly these bulletins have focused on COVID related issues including Working Safely at Home as well as Mental Health and Wellbeing. • COVID audits have been completed on all our front facing buildings that have opened to members of the public • The Health and Safety Officer continues to offer support to all service areas to ensure they are COVID compliant • Work has also been undertaken to ensure that any events organised within the borough either by the council or external organisers are COVID compliant • A revisit health and safety audit was undertaken at the Waterways prior to it being handed over to the Access Community Trust • The warning marker and accident procedure was reviewed and is waiting implementation by ICT • New induction training was developed with HR and rolled out to new members of staff • Body cameras were rolled out for use by the Civil Enforcement Officers and Rangers
<p>The following policies were reviewed and/or introduced:</p> <ul style="list-style-type: none"> • Fire Safety • Legionella • Bomb, Suspicious Packages and Terrorism

Corporate Health and Safety have addressed a wide range of employee enquiries and complaints including: Fire, DSE and COVID 19 as well as providing support to service areas in relation to Council asset issues.
The Corporate Health and Safety advisor has been involved with contributing to guidance on Event Safety for the Great Yarmouth Event Safety Advisory Group and managing event notification to ensure that events in the borough are carried out safely.
Risk management techniques continue to form part of the annual budget setting process.
The 'Corporate Project Board' (CPB) has overarching oversight of the projects and ensures quality delivery against the project, programme and budget. Highlight reports are submitted monthly and include risks and issues which are closely monitored. Project documentation will be stored in a project SharePoint site, alongside a project performance section including risk and issue monitoring and regularly reviewed.
<p>The Business Continuity function is supplied by Norfolk County Council who provide a Resilience Officer based in Great Yarmouth, work undertaken during the year:</p> <ul style="list-style-type: none"> • Since early March 2020 the focus has been on the response to the COVID 19 pandemic which has involved a fundamental change in operational procedures including remote working - an important business continuity strategy. This response is ongoing and expected to extend to the remainder of 2021 as social distancing restrictions unwind, vaccination continues, and outbreak management activities are embedded in business as usual activities. • Resilience processes, priorities and plans will be reviewed and amended as the pandemic moves from Response to Recovery. This work will be scheduled in the second half of 2021 and will focus on Business Continuity, Emergency Response and interaction with the Norfolk Resilience Forum and Norfolk Public Health.
The insurance contract ended on 31 March 2021, therefore the insurance programme was put out to tender and the new contract commences on 1 April 2021. During this process the insurance arrangements were reviewed to ensure that there was adequate cover in place and the Councils assets protected.
The Corporate Risk Officer, Health and Safety Advisor and Resilience Officer are involved with contributing to guidance via the Great Yarmouth Event Safety Advisory Group, as well as providing advice on various projects / capital programmes in the borough.
The Corporate Risk Officer, Health and Safety Advisor and Resilience Officer have been significantly involved work in response to and providing advice and guidance to employees, volunteers and Councillors in connection with the COVID-19 pandemic. This work is expected to extend for a prolonged period and include a recovery phase.

Issues to be addressed in Annual Report on Risk Management Arrangements 2021/2022:

	Issues to be addressed	Responsible Officer	Due Date
1	Heads of Service to be contacted to identify further risk management training requirements and to implement the training suggestion of the Corporate Risk Group	Corporate Risk Officer	Ongoing
2	Discussion to be held with insurance provider to identify insurance related training that can be provided to staff.	Corporate Risk Officer	Ongoing

3	Fraud Alerts received are to be published on the council's intranet and awareness emails to be sent to all staff as they provide important advice and guidance for individuals and organisations of the ongoing threat from criminal fraudsters.	Corporate Risk Officer	Ongoing
4	<p>The Corporate Health and Safety Officer priorities are:</p> <ul style="list-style-type: none"> • Continue to review guidance in respect of COVID and provide ongoing advice to all service areas • Monitoring health and wellbeing performance and implementing actions to improve performance in this area. This piece of work has been carried forward again due to the pandemic • Lone Worker device re-procurement. This was postponed for a year due the Corporate Health and Safety Officer role being vacant for several months • Simplifying the incident and warning marker procedure. Anecdotal evidence suggests some incidents are not being reported as the current incident reporting procedure is complex and time consuming • Review of PPE procurement to ensure uniformity across the council. This was carried forward from last year. 	Corporate Health and Safety Officer	31 March 2022
5	<p>Health & Safety Audits will be undertaken for:</p> <ul style="list-style-type: none"> • Crematorium • Work at height and confined spaces 	Corporate Health and Safety Officer	31 March 2022
6	<p>The following policies to be reviewed and implemented:</p> <ul style="list-style-type: none"> • Work Equipment • Manual Handling • Health and Safety Policy • Driving Policy • Stress Policy 	Corporate Health and Safety Officer	31 March 2022
7	A review of the support that the Health and Safety Coordinators can provide to support the ongoing pandemic is to be undertaken.	Corporate Health and Safety Officer	31 March 2022
8	The contract for the Lone Worker Device devices expires in September 2021 and requires re-procurement. The Council will be trialling a number of alternative lone solutions.	Corporate Health and Safety Officer	1 October 2021
9	Conflict resolution training to be provided to relevant officers.	Corporate Health and Safety Officer	31 March 2022
10	A simplified accident reporting form was introduced, and procedure will be introduced which will encourage the reporting of near misses as well as accidents. This will also streamline the system which will be linked to the warning marker reporting procedure. ICT Team to complete reworking of the system to allow it to be implemented.	Corporate Health and Safety Officer	30 September 2021

11	Revise Business Continuity documentation to incorporate working from home as the key strategy, moving away from physical work area recovery. Document the risk of IT network failure and mitigating actions to address this risk.	Resilience Officer	31 October 2021
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5. Recommendations

The Committee is requested to note and approve the annual report on the Council's risk management arrangements.

Corporate Risk Officer
June 2021