

Draft Day 1 escalation process for consideration of risks at corporate risk level

Each legacy council will continue to manage its service/ directorate risks according to its locally agreed risk management arrangements, until harmonisation work is undertaken at the appropriate time post-Vesting Day.

In the meantime, it is important that a process is in place to escalate risks that legacy councils have highlighted as being high risk ('red' rated) and/or that have exceeded the legacy council's risk tolerance level. This will enable oversight and awareness of legacy risks and a route for discussion and potential inclusion on the corporate risk register.

The table below sets out the proposed escalation process. The management structures for East Surrey Council (ESC) have recently been proposed, and we have therefore included the types of meetings where risk discussions may take place within the management structure. Governance arrangements to report risks internally and externally through committee are yet to be confirmed.

	Escalation steps	Risk meeting format
1	A risk in a legacy council's service risk register is reviewed. The score means the risk is 'red' rated and/ or exceeds the tolerance threshold under the legacy risk management arrangements.	N/A
2	The legacy council manager responsible for that risk escalates to their service manager. They review the risk and agree that the risk score is correct and exceeds the tolerance threshold.	One to one meeting between legacy council manager and service manager, or sooner if required.
3	The service manager discusses with the managers from other legacy councils to gather information about a potential wider risk across East Surrey.	Service management board meeting, or sooner if required.
4	The service manager escalates to the Director for that service area. They review the risk and agree that the risk score is correct and exceeds the tolerance threshold.	One to meeting between service manager and their Director, or sooner if required.
5	The Director escalates to the Executive Director. They review the risk and agree that the risk score is correct and exceeds the tolerance threshold.	One to meeting between Director and their Executive Director, or sooner if required.
6	The Executive Director escalates to the Senior Leadership Team. They review the risk and agree that the risk score is correct and exceeds the tolerance threshold. The Chief Executive decides that the risk should be included on the Corporate Risk Register and confirms the senior officer responsible for the risk.	Senior Leadership Team meeting with responsibility for risk management, or sooner if required.
7	The senior officer responsible for the risk briefs the relevant Executive Member.	Executive Member portfolio briefing meeting, or sooner if required.
8	Risk is added to the Corporate Risk Register. The senior officer responsible for the risk manages, monitors and updates the risk for reporting to Executive Committee.	N/A