

**Decision Maker:** EXECUTIVE, RESOURCES AND CONTRACTS POLICY  
DEVELOPMENT AND SCRUTINY COMMITTEE

**Date:** Information Briefing – Thursday 28<sup>th</sup> July 2022

**Decision Type:** Non-Urgent Non-Executive Non-Key

**Title:** RISK MANAGEMENT

**Contact Officer:** Tasnim Shawkat, Director of Corporate Services and Governance –  
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**Chief Officer:** Director of Finance

**Ward:** All Wards

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1. Reason for report

This report provides the Executive, Resources and Contracts Policy, Development and Scrutiny Committee with the current iteration of the Corporate Risk Register, together with those for the Corporate Services, Finance, and Human Resources and Customer Services departments.

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2. **RECOMMENDATION(S)**

**Members of the Executive, Resources and Contracts Policy, Development and Scrutiny Committee are requested to note the current iterations of the Risk Registers and direct any queries they may have to the relevant Contact Officer**

### Impact on Vulnerable Adults and Children

1. Summary of Impact: There are no direct implications for Vulnerable Adults and Children arising from the attached Risk Register extracts, although failure of the Council to meet its commitments in any risk area could directly impact on life chances
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### Transformation Policy

1. Policy Status: Not Applicable:
  2. Making Bromley Even Better Priority  
To manage our resources well, providing value for money, and efficient and effective services for Bromley's residents.
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### Financial

1. Cost of proposal: Not Applicable
  2. Ongoing costs: Not Applicable
  3. Budget head/performance centre: Not Applicable
  4. Total current budget for this head: £ Not Applicable
  5. Source of funding: Not Applicable
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### Personnel

1. Number of staff (current and additional): Not Applicable
  2. If from existing staff resources, number of staff hours: Not Applicable
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### Legal

1. Legal Requirement: None:
  2. Call-in: Not Applicable: Information Item
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### Procurement

1. Summary of Procurement Implications: Where applicable, the risk category is reflected as Contractual and Partnership.
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### Property

1. Summary of Property Implications: Where applicable, the risk category is reflected as 'Physical', which includes hazards/risks associated with buildings.
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### Carbon Reduction and Social Value

1. Summary of Carbon Reduction/Sustainability Implications: Where applicable, the risk category is reflected as Environmental.
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### Customer Impact

1. Estimated number of users or customers (current and projected): This report is intended primarily for the benefit of members of the Executive, Resources and Contracts Policy, Development and Scrutiny Committee.
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### Ward Councillor Views

1. Have Ward Councillors been asked for comments? Not Applicable
2. Summary of Ward Councillors comments: Not Applicable

### 3. COMMENTARY

- 3.1 This report provides Members of the Executive, Resources and Contracts Policy, Development and Scrutiny Committee with the most recent iterations of the Risk Registers falling within their remit. Each Risk Register has been drawn up in line with the Risk Assessment Guidance depicted in Appendix A.
- Corporate Services (Appendix B)
  - Finance (Appendix C)
  - Human Resources and Customer Services (Appendix D)
  - Corporate (Appendix E)
- 3.2 Each Director retains responsibility for the Risks and Controls within their division, with Internal Audit coordinating the Risk Management process via the Corporate Risk Management Group and the Audit and Risk Management Committee. The Corporate Risk Register identifies the organisation's key risks to the delivery of the Corporate objectives through the 'Making Bromley Even Better' strategy. Risks are elevated to the Corporate Risk Register by the Corporate Leadership Team.
- 3.3 In line with the risk reporting cycle, formal scrutiny of the Registers was undertaken by the Corporate Risk Management Group on 23<sup>rd</sup> May and the Audit and Risk Management Committee on 30<sup>th</sup> June 2022. Risk Registers were last presented in full to the Executive, Resources and Contracts Committee on 18<sup>th</sup> November 2021 and the Red Risks extract on 24<sup>th</sup> May 2022. Since these reports to the Executive, Resources and Contracts Committee, salient amendments have been made to both the Corporate and all three departmental risk registers as set out in Table 1.
- 3.4 The key changes to the Corporate Risk Register are as follows:-

Two 'High' Net Risks have been added:-

- Cyber attack and failure to comply with GDPR (Risk 6)
- Homes for Ukraine (Risk 15). Please note that this risk was added subsequent to finalisation of the Risk Register pack for Audit and Risk Management Committee on 30<sup>th</sup> June.

One 'Significant' Net Risk has been added - Health & Safety (Fire and First Aid) (Risk 14).

One 'Significant' Net Risk has been removed - Impact of COVID-19 pandemic on service delivery (Risk 12), with the impact now managed within business as usual.

One 'Significant' Net Risk has reduced to 'Medium' - Failure to maintain robust Business Continuity and Emergency Planning arrangements (Risk 7)

**Table 1**

<b>Corporate Services Register</b> (For full risk narrative, please see Appendix B)	
<b>Risk 6</b>	Addition of ' <b>Laptop Manufacturer/Provider Issue</b> . Current model of corporate laptop in constraint' risk.  Gross Risk Rating 'Significant' and Net Risk Rating 'Low'.

<b>Risk 7</b>	<p>Addition of '<b>Delay in IT Managed Service re-procurement</b>' risk.</p> <p>Gross Risk Rating 'Medium' and Net Risk Rating 'Low'.</p>
<b>Risk 10</b>	<p><b>Budgetary Overspend</b></p> <p>(Gross Risk Rating 'Significant' and Net Risk Rating 'Medium')</p> <p>Refresh of the Further Action Required.</p>
<b>Risk 15</b>	<p><b>Ineffective governance and management of contracts</b></p> <p>(Gross Risk Rating 'Significant' and Net Risk Rating 'Medium')</p> <p>Refresh of the Causes, Effects and Further Action Required.</p> <p>These amendments have also been reflected in the Corporate Risk Register (Risk 4).</p>
<b>Risk 16</b>	<p><b>Ineffective governance and management of contracts - Contracts Database</b></p> <p>Decrease of the Gross Impact and consequent decrease of the Gross Risk Rating (remains 'Medium'). Decrease of the Net Likelihood, and the Net Impact, and consequent decrease of the Net Risk Rating from 'Medium' to 'Low'.</p> <p>Refresh of the Causes, Effects, Controls and Further Action Required.</p>

## Finance

(For full risk narrative, please see Appendix C)

<b>Risk 5</b>	<p><b>Failure to deliver a sustainable Financial Strategy which meets with Making Bromley Even Better priorities and failure of individual departments to meet budget</b></p> <p>(Gross and Net Risk Ratings 'High')</p> <p>Refresh of the Causes to reflect significant increases to inflation.</p> <p>This amendment has also been reflected in the Corporate Risk Register (Risk 1).</p>
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## Human Resources and Customer Services

(For full risk narrative, please see Appendix D)

<b>Risk 10</b>	<p>Addition of <b>‘Failure to comply with H&amp;S related legislative requirements e.g. Health and Safety at Work etc. Act 1974’</b> risk</p> <p>Gross Risk Rating ‘Significant’ and Net Risk Rating ‘Medium’.</p>
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## Corporate Risk Register

(For full risk narrative, please see Appendix E)

<b>Risk 1</b>	<p><b>Failure to deliver a sustainable Financial Strategy which meets with Making Bromley Even Better priorities and failure of individual departments to meet budget</b></p> <p>(Gross and Net Risk Ratings ‘High’)</p> <p>Refresh of the Causes to reflect significant increases to inflation.</p> <p>This amendment reflects that in the Finance Risk Register section above (Risk 5).</p>
<b>Risk 2</b>	<p><b>Failure to deliver partial implementation of Health and Social Care Integration</b></p> <p>(Gross Risk Rating ‘Medium’, Net Risk Rating ‘Low’)</p> <p>Refresh of the Causes and Controls.</p>
<b>Risk 4</b>	<p><b>Ineffective governance, procurement and management of contracts</b></p> <p>(Gross Risk Rating ‘Significant’ and Net Risk Rating ‘Medium’)</p> <p>Refresh of the Causes, Effects and Further Action Required.</p> <p>These amendments reflect those in the Corporate Services Risk Register (Risk 15).</p>
<b>Risk 6</b>	<p>Addition of <b>‘Cyber attack and failure to comply with GDPR’</b> risk</p> <p>(Gross and Net Risk Ratings ‘High’)</p>

<p><b>Risk 7</b></p>	<p><b>Failure to maintain robust Business Continuity and Emergency Planning arrangements</b></p> <p>(Gross Risk Rating 'Significant')</p> <p>Reduction of the Net Impact and consequent reduction of Net Risk Rating from 'Significant' to 'Medium', and refresh of the Causes, Effects, Controls and Further Action Required.</p>
<p><b>Risk 8</b></p>	<p><b>Failure to deliver effective Children's services</b></p> <p>The Council is unable to deliver an effective children's service to fulfil its statutory obligations in safeguarding and protect those at risk of significant harm or death, sexual exploitation or missing from care.</p> <p>(Gross Risk Rating 'High', Net Risk Rating 'Significant')</p> <p>Refresh of the Controls.</p>
<p><b>Risk 11</b></p>	<p><b>Failure to deliver the Transforming Bromley Programme</b></p> <p>(Gross and Net Risk Ratings 'High')</p> <p>Refresh of the Causes and Effects.</p>
<p><b>Risk 12</b></p>	<p><b>Removal of 'Impact of COVID-19 pandemic on service delivery'</b></p> <p>(Gross Risk Rating 'High', Net Risk Rating 'Significant')</p> <p>Impact now managed within Business as Usual (BAU).</p>
<p><b>Risk 14</b></p>	<p>Addition of <b>'Health &amp; Safety (Fire and First Aid). Non compliance with legislation: Regulatory Reform (Fire Safety) Order 2005, as amended by the Fire Safety Act 2021 and Health and Safety (First Aid) Regulations 1981'</b> risk</p> <p>Gross Risk Rating 'High', Net Risk Rating 'Significant'.</p>
<p><b>Risk 15</b></p>	<p>Addition of <b>'Homes for Ukraine. Inability to effectively manage the volume of people, including unaccompanied minors, who may present as homeless due to cessation of sponsor accommodation safeguarding concerns and the resulting additional pressures placed on the homeless budgets and children's social care'</b> risk</p> <p>Gross and Net Risk Ratings 'High'.</p>

#### **4. IMPACT ON VULNERABLE ADULTS AND CHILDREN**

4.1 There are no direct implications for Vulnerable Adults and Children arising from the attached Risk Register extracts although failure of the Council to meet its commitments in any risk area could indirectly impact on life chances.

#### **5. TRANSFORMATION/POLICY IMPLICATIONS**

5.1 Where applicable, the risk category in all registers is reflected as 'Financial, Operational'.

#### **6. FINANCIAL IMPLICATIONS**

6.1 The Finance department's Gross Red Risks are attached as Appendix C. Where applicable, the risk category in all registers is reflected as 'Financial, Operational'.

#### **7. PERSONNEL IMPLICATIONS**

7.1 The Human Resources' department's Gross Red Risk is attached as Appendix D. Where applicable, the risk category in all risk registers is reflected as 'Personnel, Operational'.

#### **8. LEGAL IMPLICATIONS**

8.1 Where applicable, the risk category in all registers is reflected as 'Legal, Operational'.

#### **9. PROCUREMENT IMPLICATIONS**

9.1 Where applicable, the risk category in all registers is reflected as 'Contractual and Partnership'.

#### **10. PROPERTY IMPLICATIONS**

10.1 Where applicable, the risk category is reflected as 'Physical, Operational', which includes hazards/risks associated with buildings.

#### **11. CARBON REDUCTION/SOCIAL VALUE IMPLICATIONS**

11.1 Where applicable, the risk category is reflected as Environmental.

<b>Non-Applicable Headings:</b>	Customer Impact Ward Councillor Views
Background Documents: (Access via Contact Officer)	None