

Report No.

London Borough of Bromley

ES20314

PART ONE - PUBLIC

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**Decision Maker:** ENVIRONMENT AND COMMUNITY SERVICES POLICY  
DEVELOPMENT AND SCRUTINY COMMITTEE

**Date:** Thursday 16<sup>th</sup> November 2023

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

**Title:** ECS RISK REGISTER

**Contact Officer:** Lucy West, Head of Performance Management and Business Support  
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**Chief Officer:** Director of Environment and Public Protection

**Ward:** (All Wards);

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1. Reason for decision/report and options

- 1.1 This report presents the revised Environment and Community Services Risk Register for detailed scrutiny by the PDS Committee.
  - 1.2 This appended Risk Register also forms part of the Annual Governance Statement evidence-base and has been reviewed by: E&PP DMT, Corporate Risk Management Group; and the Net Risk position, by way of a Heat Map, by the Audit and Risk Committee.
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2. **RECOMMENDATION(S)**

**That the Environment and Community Services PDS Committee reviews and comments on the appended Risk Register. It should be noted that each risk has been highlighted as being relevant to one committee only (and therefore should be discussed at the relevant meeting).**

## Impact on Vulnerable Adults and Children

1. Summary of Impact: The appended Risk Register covers services provided by the E&PP Department and some borough-wide risks. Addressing the impact of service provision on vulnerable adults and children is a matter for the relevant procurement strategies, contracts and service delivery rather than this high-level Risk Register report.
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## Transformation Policy

1. Policy Status: N/A
  2. Making Bromley Even Better Priority (delete as appropriate):
    - (1) For children and young People to grow up, thrive and have the best life chances in families who flourish and are happy to call Bromley home.
    - (2) For adults and older people to enjoy fulfilled and successful lives in Bromley, ageing well, retaining independence and making choices.
    - (3) For people to make their homes in Bromley and for business, enterprise and the third sector to prosper.
    - (4) For residents to live responsibly and prosper in a safe, clean and green environment great for today and a sustainable future.
    - (5) To manage our resources well, providing value for money, and efficient and effective services for Bromley's residents.Not Applicable
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## Financial

1. Cost of proposal: N/A
  2. Ongoing costs: N/A
  3. Budget head/performance centre: ECS Portfolio
  4. Total current budget for this head: £47.3m
  5. Source of funding: Existing controllable revenue budget 2023/24
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## Personnel

1. Number of staff (current and additional): 145.6 FTE
  2. If from existing staff resources, number of staff hours: N/A
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## Legal

1. Legal Requirement: Statutory Requirement
  2. Call-in: N/A
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## Procurement

1. Summary of Procurement Implications: Risk management contributes to contract management and good governance.
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## Property

1. Summary of Property Implications: N/A
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## Carbon Reduction and Social Value

1. Summary of Carbon Reduction/Sustainability Implications: N/A
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## Customer Impact

1. Estimated number of users or customers (current and projected): N/A
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## Ward Councillor Views

1. Have Ward Councillors been asked for comments? N/A
2. Summary of Ward Councillors comments:

### 3. COMMENTARY

- 3.1 The Council's aims are set out in [Making Bromley Even Better Corporate Strategy](#) and the Portfolio Plans, and a risk can be defined as anything which could negatively affect the associated outcomes. Some level of risk will be associated with any service provision: the question is how best to manage that risk down to an acceptable level? (this is known as our 'risk appetite')
- 3.2 It follows that the Council should be able to clearly and regularly detail the main departmental risks and related mitigation measures to ensure a) that desired outcomes are achieved and b) to allow for Member scrutiny – the purpose of this report.
- 3.3 Although the appended E&PP Risk Register is comprehensive, departmental risk management activity is certainly not exclusive to this report. For instance:
- major programmes and services (e.g. Tree Management Strategy) will have associated Risk Registers (such registers are reviewed by the relevant Programme / Service Boards);
  - financial risk is addressed in each Portfolio's Budget Monitoring Reports and, more generally, in the Council's Annual Financial Strategy Report;
  - audit risk is captured through the Audit Programme's planned and investigative activity and associated reports and management action requirements;
  - contract risk forms part of the Contracts Database (all contracts are now quantified and ranked according to the risk presented to the Council). The new Environmental Services Contract, therefore, appears both in this Risk Register and the Corporate Contracts Register, due to its size and complexity.
- 3.4 In 2016/17 Zurich Municipal (the Council's insurer) undertook a 'check and challenge' review (involving all management teams) of the Council's general approach and the individual risks. This resulted a new-style of register and a greater consistency of approach across the Council. Zurich attended during 2018/19 to repeat this exercise with all E&PP risk owners.
- 3.5 It was agreed that Risk Registers should be presented to each Departmental Management Team, the relevant PDS committee, and Audit Sub-Committee (now Audit and Risk Management Committee) twice a year (minimum) to allow activity to be scrutinised in a regular and systematic manner. At the request of the Audit and Risk Committee, the November 2022 meeting will receive the Departmental Net Risk position by way of Heat Maps. Individual risks should naturally be reviewed (by Risk Owners) at a frequency proportionate to the risk presented (see appendix).
- 3.6 In addition to its use for management and reporting purposes, the Risk Register also forms part of E&PP's evidence-base for contributing to the Council's Annual Governance Statement (which, itself, forms part of the Council's end-of-year management procedures).
- 3.7 Risks from all three departments are considered at the (officer) Corporate Risk Management Group (CRMG), which reviewed all the Risk Registers when it last met on 27<sup>th</sup> September 2023
- 3.8 At the time of writing, the Council has 126 individual risks (111 departmental plus 15, high-level, Corporate Risks (covering key risks which apply to the Council as a whole).
- 3.9 E&PP Department currently has 24 risks (~19% of the Council's total). The ECS Portfolio currently has 16 risks.
- 3.10 The ECS Risk Matrix is summarised in the Appendix. Each risk is scored using a combination of the 'likelihood' (definite to remote) and 'impact' (insignificant to catastrophic) to produce a 'gross rating' (prior to controls) and 'net rating' (post management controls) – see Appendix.

- 3.11 The risks (including causes and effects) are described in more detail in the appended Risk Register. Each risk is assigned a category (Compliance & Regulation, Finance, Service Delivery, Reputation and Health & Safety) and scored – using a combination of the ‘likelihood’ and ‘impact’ both being assessed on a scale of 1-5 – to produce a gross risk score.
- 3.12 Current controls designed to mitigate the risk are also listed and these, in turn, generally result in a (lower) net risk score. Finally, additional actions are listed for the Risk Owner to consider to further reduce the level of risk (commensurate with their risk appetite). Risk Ownership will be regularly reviewed and adjusted in light of any changes to the LBB Corporate Leadership Team structure.
- 3.13 The ECS Risk Register was last presented at the September 2023 Committee. Key changes to the register since then are as follows:
- **Score Changes:** There have been no score changes to the register.
  - **Current Red Risk Ratings:**
  - Risk 5 (Highways Maintenance) has a Current Risk Rating of 16, which is red. The team are continuing to monitor conditions of the Highways network through surveys and repairs volumes. Further mitigation has been added to the register following the June 2023 committee. The further action includes seeking additional funding for planned works to reduce the demand on reactive maintenance budgets.
  - Risk 14 (Supplier Failure) has a Current Risk Rating of 15, which is red. Contingency plans to be developed in case of supplier failure. Along with, additional suppliers to be commissioned as required.
  - **Addition of New Risks:** There have been no new risks added to the register.
  - **Removal of Risks:** There have been no risks removed from the register.

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

- 4.1 The appended Risk Register covers environmental services, which tend to be universal in nature, rather than being specifically directed towards vulnerable adults and children.

#### 5. TRANSFORMATION/POLICY IMPLICATIONS

- 5.1 The Council’s renewed policy ambition for the borough is set out in [Making Bromley Even Better Corporate Strategy](#) and the various Portfolio Plans. Risk Registers help to deliver these policy aims by identifying issues which could impact on ‘ensuring good contract management to ensure value-for-money and quality services’ and putting in place mitigation measures to reduce risk and help deliver the policy aims and objectives.

#### 6. FINANCIAL IMPLICATIONS

- 6.1 There are no direct financial implications arising from this report, however the Risk Register does identify areas that could have financial risks.

#### 7. PERSONNEL IMPLICATIONS

- 7.1 There are no direct personnel implications, but the Risk Register does identify service areas where recruitment and capacity present challenges (e.g. Staff Resourcing and Capability).

#### 8. LEGAL IMPLICATIONS

- 8.1 There are no direct legal implications, but the Risk Register does identify some regulatory and legal issues: e.g. compliance with Health & Safety law and Industrial Action.

<b>Non-Applicable Sections:</b>	None
Background Documents: (Access via Contact Officer)	None

## 9. PROCUREMENT IMPLICATIONS

9.1 Contract and hence procurement risk is mainly captured in the Contracts Database and Contracts Register Report rather than this Risk Register Report.

## 10. PROPERTY IMPLICATIONS

11.1 There are no direct property implications, but the Risk Register does identify service areas where Property present challenges (e.g. : Disruption to waste services during the Depot Improvement Programme works).

## 11. CARBON REDUCTION/SOCIAL VALUE IMPLICATIONS

12.1 There are no direct carbon reduction/social value implications, but the Risk Register does identify service areas where carbon reduction and social values are reviewed (e.g. : Climate Change).

## 13 CUSTOMER IMPACT

13.1 There are no direct customer impacts, but the Risk Register does identify service areas that could result in customers being impacted.

## 14 WARD COUNCILLOR VIEWS

14.1 There are no direct Ward Councillor views.

<b>Non-Applicable Headings:</b>	None
Background Documents: (Access via Contact Officer)	None

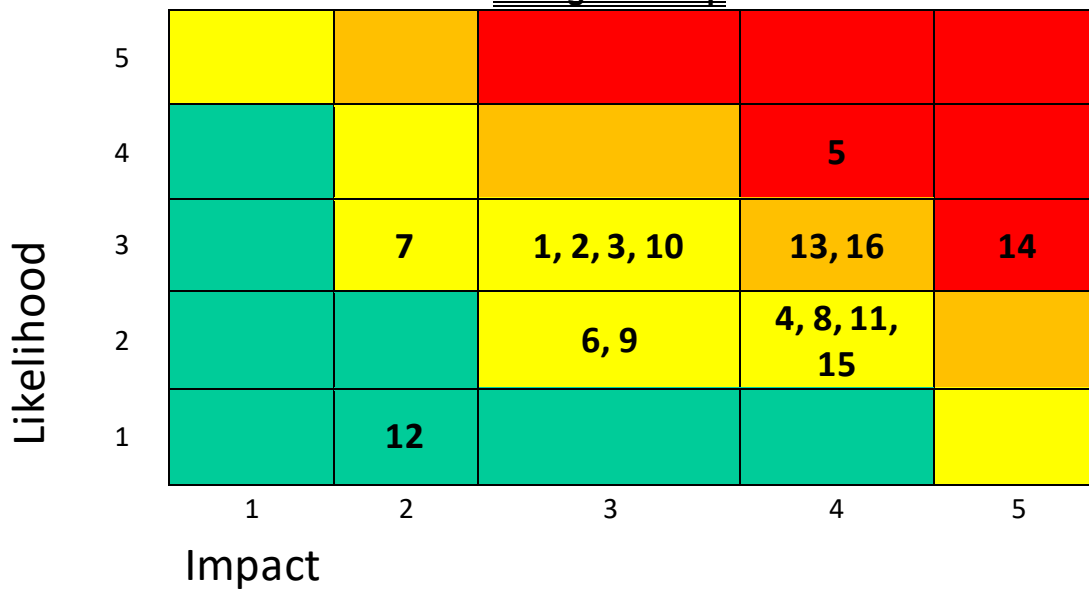
# Appendix 1: Heat Maps and Risk Matrix

Heat Map:

## Environment & Community Services (ECS)

### Risk Register

#### Current Risk Rating Heat Map



Risk Matrix:

Risk No.	Risk Ref	Risk Description	Gross Risk Rating	Current Risk Rating
1	1	Emergency Response	12	9
2	2	Central Depot Access	12	9
3	4	Business Continuity Arrangements	12	9
4	8	Health & Safety (ECS)	12	8
5	12	Highways Management	16	16
6	13	Arboricultural Management	12	6
7	14	Income Variation (Highways, Traffic and Parking)	9	6
8	15	Waste Budget	12	8
9	18	Town Centre Markets	12	6
10	20	Staff Resourcing and Capability	12	9
11	22	Climate Change	12	8
12	26	Income Reconciliation (Waste Management)	6	2
13	40	Disruption to waste services during the Depot Improvement Programme works	20	12
14	42	Supplier Failure (Environmental Service Providers)	15	15
15	43	Horizontal Swing Barriers	12	8
16	44	Arboricultural Management: Service Provider Performance Issues	12	12