

Decision Maker: **AUDIT AND RISK MANAGEMENT COMMITTEE**

Date: **Tuesday 7 November 2023**

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

Title: **RISK MANAGEMENT**

Contact Officer: Francesca Chivers, Head of Audit and Assurance
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Chief Officer: Director of Finance

Ward: (All Wards);

1. Reason for decision/report and options

This report provides Members of the Audit and Risk Management Committee with the most recent iteration of the Corporate Risk Register for review, including additional commentary on net 'High' risks.

It also provides summary heat maps for Departmental Risk Registers.

2. **RECOMMENDATIONS**

Members are asked to review and comment on the Corporate Risk Register and Departmental Heat Maps.

Impact on Vulnerable Adults and Children

1. Summary of Impact: The Adults Care and Health Risk heat map is attached as Appendix D. The Children, Education and Families Risk heat map is attached as Appendix E.
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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:
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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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Impact on the Local Economy

1. Summary of Local Economy Implications: None
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Impact on Health and Wellbeing

1. Summary of Health and Wellbeing Implications: None
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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 Audit and Risk Management 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 forms part of the standard six-monthly risk reporting to Audit and Risk Management Committee. The Corporate Risk Register is presented in full as **Appendix B** whilst the departmental risk registers are summarised as heat maps (**Appendices D to K**). The risk assessment guidance is attached at **Appendix A**.
- 3.2 Each heat map shows the net score for each risk (after controls have been applied). The individual risks and their gross and net scores are listed underneath for reference, alongside changes to net rating since the previous report. Departmental Risk Registers are also presented to the relevant Policy, Development and Scrutiny (PDS) Committees.
- 3.3 As requested at the Audit and Risk Management Committee meeting of 4th July 2023, risk owners have provided additional commentary for risks with a net 'High' rating. This commentary is attached as **Appendix C**.
- 3.4 Whilst Internal Audit coordinates the risk management process and reports to Audit and Risk Management Committee, each Director retains responsibility for the risks and controls within their division. Similarly, the Corporate Risk Register is owned by Chief Officer Executive and the Corporate Leadership Team as a collective and each risk has an accountable owner. The Corporate Risk Register is reviewed on a quarterly basis by Chief Officer Executive and Corporate Leadership Team and was last reviewed in September 2023.
- 3.5 Key changes to the Corporate Risk Register (**Appendix B**) at the last review are as follows:
- No risks have been added or removed
 - The gross and net scores for the 'Recruitment and Retention' risk have reduced which reduces the overall risk from 'High' to 'Medium':

| | July 2023 | September 2023 |
|--------------------|------------------|-----------------------|
| Gross Score | 25 | 12 |
| Net | 16 | 9 |

- 3.6 The Director of Human Resources, Customer Services and Public Affairs has advised that the scoring has been reduced to reflect the current position as per the available data however the situation could change and therefore will continue to be closely monitored.
- 3.7 There have been minor changes to some causes, effects, controls and actions to better reflect the current situation and the arrangements that are in place.
- 3.8 The Corporate Risk Management Group (CRMG) meets three times per year to scrutinise the risk registers and discuss cross-cutting risk areas. CRMG is made up of representatives from each division together with officers in key risk-related roles, such as Information Governance, Health and Safety, Business Continuity and Insurance. The CRMG met most recently in September 2023. A further meeting has been set up for December 2023 as a 'collective challenge' session to scrutinise departmental risk registers.

4. IMPACT ON VULNERABLE ADULTS AND CHILDREN

4.1 The Adults Care and Health risk heat map is attached as Appendix D. The Children, Education and Families risk heat is attached as Appendix E.

5. TRANSFORMATION/POLICY IMPLICATIONS

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

6. FINANCIAL IMPLICATIONS

6.1 The Finance risk heat map is attached as Appendix H. Where applicable, the risk category in all registers is reflected as 'Financial, Operational'.

7. PERSONNEL IMPLICATIONS

7.1 The Human Resources risk heat map is attached as Appendix J. Where applicable, the risk category in all risk registers is reflected as 'Personnel, Operational'. The Council takes seriously the health and safety of its staff and third parties' staff on Council premises and hence every reasonable/proportionate step will be taken to fulfil the Council's moral and legal duty of care.

8. LEGAL IMPLICATIONS

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

9. PROCUREMENT IMPLICATIONS

9.1 Where applicable, the risk category 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.

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| Non-Applicable Headings: | Customer Impact Ward Councillor Views |
| Background Documents: (Access via Contact Officer) | None |