

# BRIDGEND COUNTY BOROUGH COUNCIL

## REPORT TO AUDIT COMMITTEE

30 JANUARY 2020

### REPORT OF THE INTERIM HEAD OF FINANCE

#### CORPORATE RISK ASSESSMENT, CORPORATE RISK MANAGEMENT POLICY AND INCIDENT AND NEAR MISS REPORTING PROCEDURE

##### 1. Purpose of Report

- 1.1 The purpose of the report is to provide the Audit Committee with the outcome of the Corporate Risk Assessment 2020-21 in **Appendix A**, inform the Committee of the changes to the Council's Risk Management Policy in **Appendix B** and provide an update on reported Incident and Near Miss occurrences in **Appendix C**.

##### 2. Connections to Corporate Improvement Objectives / Other Corporate Priorities

- 2.1 This report assists in the achievement of the following corporate priority/priorities:
- Smarter use of resources – ensuring that all its resources (financial, physical, human and technological) are used as effectively and efficiently as possible and support the development of resources throughout the community that can help deliver the Council's priorities.

##### 3. Background

- 3.1 Good governance requires the Council to develop effective risk management processes, including assessment of corporate risks.
- 3.2 The Audit Committee's Terms of Reference requires the committee to review, scrutinise and issue reports and recommendations on the appropriateness of the Council's risk management, internal control and corporate governance arrangements.
- 3.3 The Corporate Risk Assessment is considered and reviewed by the Corporate Management Board, Senior Management Team and Audit Committee, as part of the Council's quarterly Corporate Performance Assessment process, and is used to inform the Overview and Scrutiny Committees' Forward Work Programme and the budget process.
- 3.4 The Corporate Risk Assessment 2020-21 is aligned with the Council's Medium Term Financial Strategy and Corporate Plan.

- 3.5 Each year the Council agrees a risk management timeline. This is shown as Appendix 2 within the Corporate Risk Management Policy attached as **Appendix B**.
- 3.6 The Council introduced an Incident and Near Miss Reporting Procedure which was presented to Audit Committee on 17 January 2019. It was agreed that Audit Committee would receive a copy of the report on incidents and near misses on an annual basis to assist it in its governance function.
- 3.7 It is noted that the Corporate Overview and Scrutiny Committee will also receive a report of incidents and near misses on an annual basis to consider in order to ensure that it is satisfied with the action taken to prevent reoccurrence.

#### **4. Current situation / proposal**

- 4.1 The risk assessment at **Appendix A** has been reviewed in consultation with Corporate Management Board and the Senior Management Team. It identifies the main risks facing the Council, their link to the priority themes, the likely impact of these on Council services and the wider County Borough, what is being done to manage the risks and where responsibility lies for the Council's response. The risk assessment is aligned with the Medium term Financial Strategy.
- 4.2 The Corporate Risk Management policy at **Appendix B** has been amended to include a timeline for 2020-21 in Appendix 2 of the aforementioned document.
- 4.3 This is the first year since inception of the Incident and Near Miss Reporting Procedure. Since January 2019 only three 'Incidents and Near Miss' happenings have been reported. **Appendix C** provides details of these incidents. There were two green and one amber incident, there were no red incidents reported during the period.
- 4.4 Corporate Management Board have received an update on the number of Incident and Near Miss occurrences reported to the Insurance Officer and are of the opinion that the process is not embedded enough, and that there are potentially different processes within each Directorate. A scoping exercise will therefore need to be undertaken to identify the current method of capturing this information within Directorates to be able to consider how the information collected could dovetail into the Incident and Near Miss Reporting procedure and process for reporting. Corporate Management Board believe that the Senior Management Team will need to give further consideration to any additional Incident and Near Miss reporting training that managers may need.

#### **5. Effect upon Policy Framework & Procedure Rules**

- 5.1 This Incident and Near Miss procedure has links with the Council's Corporate Risk Management Policy.

#### **6. Equality Impact Assessment**

- 6.1 Equality issues permeate many of the risks identified and where appropriate equality impact assessments are undertaken within the process of approving the mitigating actions.

## **7. Wellbeing of Future Generations (Wales) Act 2015 Implications**

7.1 The well-being goals identified in the Act were considered in the preparation of this report. It is considered that there will be no significant or unacceptable impacts upon the achievement of well-being goals/objectives as a result of this report.

## **8. Financial Implications**

8.1 There are no financial implications directly associated with the risk assessment, Corporate Risk Management Policy or Incident and Near Miss Reporting Procedure. Implementation actions will be progressed within approved budgets.

## **9. Recommendation**

It is recommended that Audit Committee:-

9.1 consider the Corporate Risk Assessment 2020-21 (**Appendix A**) and the updated Corporate Risk Management Policy (**Appendix B**), including the timeline at Appendix 2.

9.2 note the Incident and Near Miss Reporting occurrences reported in the last 12 months (**Appendix C**).

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**Interim Head of Finance**  
**30 JANUARY 2020**

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## **Background documents**

None