

BRIDGEND COUNTY BOROUGH COUNCIL

REPORT TO THE GOVERNANCE AND AUDIT COMMITTEE

28 JANUARY 2022

REPORT OF THE CHIEF OFFICER – FINANCE, PERFORMANCE AND CHANGE

CORPORATE RISK ASSESSMENT 2022-23

1. Purpose of report

- 1.1 The purpose of this report is to provide the Governance and Audit Committee with an updated Corporate Risk Assessment 2022-23 and updated Corporate Risk Management Policy, and to provide an update on Incident and Near Miss occurrences.

2. Connection to corporate well-being objectives / other corporate priorities

- 2.1 This report assists in the achievement of the following corporate well-being objective under the **Well-being of Future Generations (Wales) Act 2015**:
 1. **Smarter use of resources** – ensuring that all resources (financial, physical, ecological, human and technological) are used as effectively and efficiently as possible and support the creation of resources throughout the community that can help to deliver the Council's well-being objectives.

3. Background

- 3.1 Good governance requires the Council to develop effective risk management processes, including an assessment of corporate risks.
- 3.2 The Governance and Audit Committee's Terms of Reference require 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 (CMB), Senior Management Team, and Governance and Audit Committee, as part of the Council's quarterly Corporate Performance Assessment framework, and is used to inform the Overview and Scrutiny Committees' Forward Work Programme and the budget process.
- 3.4 The 2022-23 Corporate Risk Assessment is aligned with the Council's Medium Term Financial Strategy and Corporate Plan.

4. Current situation/proposal

- 4.1 The Corporate Risk Assessment attached at **Appendix A** has been reviewed in consultation with the Corporate Management Board. It identifies the main risks facing the Council, their link to the corporate well-being objectives under the Well-being of Future Generations (Wales) Act 2015, the likely impact of these risks on Council

services and the wider County Borough and identifies what is being done to manage the risks and who is responsible for the Council's response. The risk assessment is aligned with the Medium-Term Financial Strategy. There are currently 12 Risks on the Corporate Risk Register, of these risks, 7 risks are scored as high, 4 risks are scored as medium, and 1 is scored as low.

The Corporate Risk Assessment has been amended as follows:

- No new Risks have been added since the last Governance and Audit Committee review
- The Risks have been re-numbered in line with the recommendation from this year's South West Audit Partnership (SWAP) Internal Audit report to recognise the department, the year the risk was identified, and the risk number. This numbering will be used by all departments going forward.
- Risk COR-2019-02 has been updated to include reference to the Climate Emergency.
- Risk SS-2019-01 has been updated to reflect the ongoing safeguarding actions.
- Risk reference 'COR-2020-03'-'Public Health/Protecting the Public' (formerly risk 12) has been amended to reflect that Welsh Government funding is available to support the ongoing actions.

- 4.2 The Corporate Risk Management Policy attached as **Appendix B** has been amended to make reference to the new internal Risk Management guidance document which has been approved by CMB. The Risk Management guidance has been developed in response to the demand for a simple 'how to' guide to risk management which includes information on the Council's Risk Management Strategy, provides guidance on the specific risk management responsibility of staff and links with the Project Management Toolkit, including how risks should be recorded and reviewed within the Council. The Corporate Risk Management Policy has been updated to reflect the roles and responsibilities as set out in the Risk Management guidance document. The Corporate Risk Management Policy timeline has also been amended for 2022-23.
- 4.3 The Insurance team maintains a log of near misses in line with the current Near Miss Reporting procedure. Annually, the Governance and Audit Committee are asked to consider a report of incidents and near misses which have been reported in the year to ensure that it is satisfied with the action taken to prevent reoccurrence. There were no incidents reported during the period January 2021 to December 2021.
- 4.4 A recent internal audit of risk management services has identified that there is a general lack of understanding of the expectations of the Incidents and Near Miss Policy related to non-Health and Safety risks in the authority and that the number of non-injury near misses or incidents being reported suggests that the policy is not being applied (only 2 incidents reported in 2020-21). In response to this a Near Miss Reporting E-learning module has been developed to promote awareness of the policy and procedure that needs to be followed. Officers are currently in the process

of identifying the key staff that will need training and e-learning roll-out will follow in the coming months. The E-Learning module which has been developed should improve awareness of the need to report this type of incident.

5. Effect upon policy framework and procedure rules

5.1 There is no impact upon policy framework and procedural rules.

6. Equality Act 2010 implications

6.1 Equality issues in relation to protected characteristics as identified in the Equality Act permeate many of the risks identified and, where appropriate, Equality Impact Assessments (EIA) are completed within the process of approving the mitigating actions.

7. Well-being 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 Corporate Risk Assessment. Implementation actions will be progressed within approved budgets.

9. Recommendations

9.1 It is recommended that the Committee:-

- consider the Corporate Risk Assessment 2022-23 (**Appendix A**) and approve the updated Corporate Risk Management Policy (**Appendix B**), including the timeline at **Appendix 2** within **Appendix B**.

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Chief Officer – Finance, Performance and Change
28 January 2022

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Background documents:

None