

<b>REPORT TO:</b>	<b>GENERAL PURPOSES AND AUDIT COMMITTEE</b> <b>03 March 2022</b>
<b>SUBJECT:</b>	<b>Corporate Risk Report</b>
<b>LEAD OFFICER:</b>	<b>Richard Ennis Interim Corporate Director Resources (S151 &amp; Deputy Chief Executive)</b>
<b>CABINET MEMBER</b>	<b>Councillor Callton Young, Cabinet Member for Resources &amp; Financial Governance</b>
<b>WARDS:</b>	<b>All</b>
<b>CORPORATE PRIORITY/POLICY CONTEXT:</b>	
<p>As part of the General Purposes and Audit Committee's role of overseeing the risk management framework and receiving assurance that significant corporate (Red) risks are identified and mitigated by the organisation, this report accompanies the appendix document which presents those risks recorded as 'high rated' or RED on the corporate risk register as at March 2022.</p> <p>In line with the Council's commitment to openness and transparency, the corporate risk report will appear in Part A of the agenda unless there is specific justification for any individual entries being considered under Part B (set out under Paragraph 3 of Schedule 12A of the Local Government Act 1972 as amended).</p>	
<b>FINANCIAL SUMMARY:</b> No additional direct financial implications.	
<b>FORWARD PLAN KEY DECISION REFERENCE NO.:</b> N/A	

<p><b>1.1 RECOMMENDATIONS</b></p> <p>The Committee is asked to:</p> <p>Note the contents of the corporate risk register as at March 2022</p>
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## **2. EXECUTIVE SUMMARY**

- 2.1 The report updates the General Purposes & Audit Committee Members on the corporate risk register (the register) as at March 2022.

### **3. DETAIL**

#### **Risk Register Report**

3.1 The register presented details all the current corporate risks rated at a total risk score of 20 and above (Red Risks).

3.2 Since the register was last considered by Members, the following risks have been escalated to Red Status:

MO0002 Saving options for governance review: Risk that Democratic Services are unable to deliver renewal plan targets and (MO0003) Resources in Democratic services are under significant strain combined with increased demands on the service leading to the risk that statutory minimum standards are not met.

3.3 Since the register was last considered by Members, the following risks have been de-escalated from Red status as follows.

EHCS0001 Unaccompanied asylum seeking children (UASC) / 'care leavers looked after' additional financial pressures. Re-rated to high Amber.

PH0001 The Director of Public Health is unable to fulfil all statutory obligations as required under the 1938 Public Health Act. Re-rated to Amber.

ASC0031 Afghan Relocations and Assistance Policy (ARAP) places unsustainable burden on Croydon Council to finance and manage adult social care. Risk currently withdrawn.

EHCS0018 Effective action is not taken to address the underlying causes of social care overspends within Children's Services, specifically in terms of both the demand and the resulting cost pressures. Re-rated to Amber.

PP0009 Corporate financial savings objective is not achieved due to poor programme & project management behaviours. Re rated to Green.

- 3.4 In addition to the changes in the red risks noted above there have been a number of recent changes in relation to risk ownership as per the attached report and all risks are subject to an on-going review in relation current and future control measures. Members are reminded that they can request risk presentations in relation to any risk register entry where more detail/clarification is required.
- 3.5 In line with the Council's commitment to openness and transparency, the register will appear with the corporate risk report in Part A of the agenda unless, in accordance with the Access to Information Procedure Rules in the Council's Constitution there is specific justification for any individual entries being considered under Part B (set out under Paragraph 3 of Schedule 12A of the Local Government Act 1972 as amended).
- 3.6 It should be noted that some of the grounds for exemption from public access are absolute. However, for others such as that in para.3, 'Information relating to the financial or business affairs of any particular person (including the authority holding that information)', deciding in which part of the agenda they will appear, is subject to the further test of whether, in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

#### **4. FINANCIAL CONSIDERATIONS**

- 4.1 There are no additional financial considerations arising from this report.

(Approved by Nish Popat Interim Head of Finance Resources on behalf of Interim Director of Finance)

#### **5. LEGAL CONSIDERATIONS**

- 5.1 The Head of Litigation and Corporate Law comments on behalf of the interim Director of Law and Governance and Deputy Monitoring Officer that the Committee is required through its terms of reference in exercising its audit functions to maintain oversight of risk management arrangements and operations and as such periodic updates on the Corporate Risk Register are provided to assist members with this responsibility.
- 5.2 Separately, the management of risk has a direct impact on the Council's ability to deliver its functions in a manner which promotes economy, efficiency and effectiveness. Therefore, the consideration of this report also seeks to demonstrate the Council's compliance with its Best Value Duty.
- 5.3 In addition, the Council is legally required to ensure that it has a sound system of internal control facilitating the effective exercise of the Council's functions. This includes arrangements for the management of risk and an effective system

of internal audit to evaluate the effectiveness of its risks management, control and governance processes, taking into account public sector internal auditing standards and guidance. This report also seeks to demonstrate compliance with these legal duties.

(Approved by: Sandra Herbert, Head of Litigation and Corporate Law on behalf of the interim Director of Law and Governance and Deputy Monitoring Officer)

## **6. HUMAN RESOURCES IMPACT**

- 6.1 There are no immediate human resource considerations arising from this report for LBC employees or staff or workers. Any impacts arising will be managed under the Council's HR policies and procedures.

(Approved by: Gillian Bevan, Acting Head of HR – Resources and Assistant Chief Executives Office)

## **7. EQUALITIES, ENVIRONMENTAL AND CRIME AND DISORDER REDUCTION IMPACTS**

- 7.1 None

## **8. RISK ASSESSMENT**

- 8.1 No further risk issues other than those detailed in the report.

## **9. FREEDOM OF INFORMATION/DATA PROTECTION CONSIDERATIONS**

- 9.1 Information contained in the Council's Risk Register or held in relation to the Council's risk management procedures may be accessible under the Freedom of Information Act subject to the application of any relevant exemptions, such as commercial sensitivity and whether disclosure was in the 'public interest'.

## **10. DATA PROTECTION IMPLICATIONS**

### **10.1. WILL THE SUBJECT OF THE REPORT INVOLVE THE PROCESSING OF 'PERSONAL DATA'?**

No.

No personal data is processed as part of the production of the Corporate Risk Register.

**10.2. HAS A DATA PROTECTION IMPACT ASSESSMENT (DPIA) BEEN COMPLETED?**

No.

Not applicable as no personal data is processed as part of the production of the Corporate Risk Register

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**BACKGROUND DOCUMENTS:** Appendix 1 Corporate Risk Register  
Appendix 2 Risk Scoring Matrix