

Decision Maker: EXECUTIVE, RESOURCES AND CONTRACTS POLICY
DEVELOPMENT AND SCRUTINY COMMITTEE

Date: Information Briefing - Tuesday 25 May 2021

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

Title: RISK MANAGEMENT

Contact Officer: Mark Bowen, Director of Corporate Services – Corporate Services Risk Register

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Chief Officer: Director of Finance

Ward: (All Wards);

1. Reason for report

This report provides Members of the Executive, Resources and Contracts Policy, Development and Scrutiny Committee with the Gross 'High' (Red) rated risks from the Corporate Services, Finance and, Human Resources and Customer Services Risk Registers, together with salient amendments to the Corporate and Finance Risk Registers.

2. **RECOMMENDATION(S)**

Members of the Executive, Resources and Contracts Policy, Development and Scrutiny Committee are requested to note the attached Risk Register extracts and direct any queries they may have to the relevant Contact Officer.

Impact on Vulnerable Adults and Children

1. Summary of Impact: There are no direct implications for Vulnerable Adults and Children arising from the attached Risk Register extracts, although failure of the Council to meet its commitments in any risk area could directly impact on life chances
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Corporate Policy

1. Policy Status: Not Applicable:
 2. BBB Priority: Excellent Council:
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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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Customer Impact

1. Estimated number of users/beneficiaries (current and projected): This report is intended primarily for the benefit of members of the Executive, Resources and Contracts Policy, Development and Scrutiny 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 provides members of the Executive, Resources and Contracts Policy, Development and Scrutiny Committee with the Gross 'High' (Red) rated risks for the areas falling within their remit, together with salient amendments to the Corporate and Finance Risk Registers.
- Corporate Services (Appendix A)
 - Finance (Appendix B)
 - Human Resources and Customer Services (Appendix C)
 - Corporate 'Impact of COVID-19 pandemic on service delivery' risk (Appendix D)
- 3.2 Each Director retains responsibility for the Risks and Controls within their division, with Internal Audit coordinating the Risk Management process via the Corporate Risk Management Group and Audit Sub Committee.
- 3.3 The Corporate Risk Register, together with the Departmental Risk Registers for the areas coming under the remit of the Executive, Resources and Contracts PDS Committee, were last presented, in full, to their meeting of 18th November 2020 and the Departmental Gross 'High' (Red) rated risks on 3rd February 2021. Formal scrutiny of the Risk Registers was undertaken by the Corporate Risk Management Group on 26th April 2021. Two salient amendments have been made to the Corporate Risk Register and two to the Finance Risk Register, as set out in Table 1. The amendments to the '**Impact of COVID-19 pandemic on service delivery**' Corporate Risk complete the action point from the Executive, Resources and Contracts PDS Committee Report FSD 20102 as detailed in paragraph 3.4 below.
- 3.4 At the Executive, Resources and Contracts Policy Development and Scrutiny Committee of 6th January 2021, it was minuted under the Benefit Services Monitoring Report FSD 20102 that:- 'Members noted that during the Covid-19 pandemic the Service had adopted the Department for Work and Pensions' (DWP) "Trust and Protect" principles which enabled residents in receipt of Housing Benefit to submit information and evidence via email. The policy was closely monitored. Members noted that Liberata had a Corporate Visiting Team which included 6 Visiting Officers who, under normal circumstances, would visit vulnerable people at home. During the Covid-19 pandemic, all documentation submitted by vulnerable claimants under the Trust and Protect principles would be reviewed once visits could resume. Any incorrect documentation that had been submitted would result in an overpayment which would be subject to recovery. **The Chairman requested that a line in respect of this issue be added to the Corporate Risk Register**'.

Table 1

Corporate Risk Register	
Risk 10	Potential detrimental impact of BREXIT upon service delivery Deletion of Risk from the Corporate Risk Register, with individual departments affected by any aspect of the Brexit agreement managing the risk on an individual service basis and recording in the Departmental Risk Register as appropriate.

Risk 12	<p>Impact of COVID-19 pandemic on service delivery</p> <p>Expansion of the 'Causes' to include:- 'Adopted the Department for Work and Pensions' (DWP) "Trust and Protect" principles which enabled residents in receipt of Housing Benefit to submit information and evidence via email'.</p> <p>Expansion of the 'Effect' to include:- - Infection of staff volunteering on community testing/vaccination programmes during the pandemic.</p> <p>Expansion of the 'Controls' to include:- - All documentation submitted by vulnerable claimants under the Trust and Protect principles would be reviewed once visits could resume. Any incorrect documentation which had been submitted which resulted in an overpayment would be subject to recovery. - Risk assessments and following public health guidance/PPE/vaccination etc</p>
Finance Risk Register	
Risk 11	<p>Addition of 'Failure to comply with the grant conditions and ensure effective utilisation of the significant Government funding received, relating to the Covid pandemic to support businesses' risk</p> <p>For full narrative, please see Appendix B.</p>
Risk 12	<p>Addition of 'Impact on staff resources undertaking business as usual as well as significant demands to provide the support required to the Covid-19 Pandemic' risk.</p> <p>For full narrative, please see Appendix B.</p>

4. IMPACT ON VULNERABLE ADULTS AND CHILDREN

4.1 There are no direct implications for Vulnerable Adults and Children arising from the attached Risk Register extracts although failure of the Council to meet its commitments in any risk area could indirectly impact on life chances.

5. POLICY IMPLICATIONS

5.1 The Council's ambition for the borough is set out in Building a Better Bromley, and the suite of Risk Registers supports delivery of those aims.

6. FINANCIAL IMPLICATIONS

6.1 The Finance department's Gross Red Risks are attached as Appendix B. Where applicable, the risk category in all registers is reflected as 'Financial, Operational'.

7. PERSONNEL IMPLICATIONS

7.1 The Human Resources department's Gross Red Risk is attached as Appendix C. Where applicable, the risk category in all risk registers is reflected as 'Personnel, Operational'.

8. LEGAL IMPLICATIONS

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

9. PROCUREMENT IMPLICATIONS

9.1 Where applicable, the risk category in all registers is reflected as 'Contractual and Partnership'.

Non-Applicable Sections:	None
Background Documents: (Access via Contact Officer)	None