

## AUDIT AND GOVERNANCE COMMITTEE

Report subject	<b>Risk Management – Corporate Risk Register Update</b>
Meeting date	23 January 2020
Status	Public Report
Executive Summary	<p>This report updates Members on the position of the Council's Corporate Risk Register following the quarterly review by the Corporate Management Board. The main changes are as follows:</p> <ul style="list-style-type: none"> <li>• The risk scores have increased for Corporate Risk 1- Failure to respond to the needs arising from a changing demography and Corporate Risk 9 - Failure to maintain a safe and balanced budget for the delivery of services;</li> <li>• Corporate Risk 8- Inability to run an election/ referendum was added and removed from the register during the quarter;</li> <li>• Corporate Risk 11 - Extent to which Members and Officers are able to fully engage with new roles and operate efficiently was added during this quarter.</li> </ul> <p>Each of the risks have been reviewed including the Actions Completed and the Actions Proposed.</p>
Recommendation(s)	<p><b>It is RECOMMENDED that:</b></p> <p><b>Members of the Audit &amp; Governance Committee note the outcome of the review of the Corporate Risk Register.</b></p>
Reason for recommendation(s)	To provide assurance that corporate risks are being managed effectively and continue the development of the Council's arrangements for Risk Management and enhance its governance framework.
Portfolio Holder(s):	Cllr Vikki Slade, Leader of the Council
Corporate Director	Julian Osgathorpe – Corporate Director Resources
Report Author(s)	<p>Fiona Manton Risk &amp; Insurance Manager ☎01202 451274</p>

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Contributions	Corporate Management Board
Wards	All
Classification	For Update and Information

## Background

1. Risk can be broadly defined as the possibility that an action, issue or activity (including inaction) will lead to a loss or an undesirable outcome. It follows that Risk Management is about the identification, assessment and prioritisation of risks followed by coordinated control of the probability and impact of that risk.
2. In accordance with the Financial Regulations and the Risk Management Strategy, the Audit and Governance Committee are specifically responsible for ensuring appropriate and effective risk management processes. In practice, this means that the Committee Members must assure themselves that the Council's Risk Management Framework is appropriate and operating effectively. The Council's Corporate Risk Register is a key element of this framework and is reviewed and updated on a quarterly basis.
3. In line with the decision making framework in place for BCP Council it was agreed that effective from Day 1, BCP Council would, as an interim measure, adopt the legacy Bournemouth Risk Management Framework. The scoring matrix in this framework was adjusted to reflect the increased remit of the new authority. A revised Risk Management Framework for BCP Council will be developed during 2020.
4. In addition to the quarterly reviews, in immediate practical terms, the Corporate Management Board continues to monitor risks and ensure appropriate and proportionate mitigating actions continue and evolve as risks change.

## Review of Corporate Risks

5. In March 2019 the Corporate Risk Registers of Bournemouth, Christchurch, Poole and Dorset County Council (legacy Councils) were combined into one document for review by the Corporate Management Board. This review considered each risk and identified those to be included in the initial Day 1 Corporate Risk Register for BCP Council.
6. This Corporate Risk Register is formally reviewed on a quarterly basis by the Corporate Management Board and continues to be developed in terms of the risk reporting information. This is evidenced in the risk summary at Appendix 1. Further additional risk narratives will be provided in future reports to this Committee.

## Changes in Risk During Quarter 3 – 2019/20

7. Corporate Management Board have reviewed the Risk Register and updates on the risks are summarised in Appendix 1 with information on Actions Completed during the quarter and Actions Proposed for the next quarter.
8. In addition to the routine updates on each risk the material changes to the risk register during the quarter are as follows:

Corporate Risk 1 - Failure to respond to the needs arising from a changing demography. This risk has been updated to outline the key elements of the risk to BCP Council. In reviewing and updating the risk during the quarter, in light of the risk information outlined and because of the pressures, the risk score has been appraised with the Gross score being increased from a score of 12 to 16. This will continue to be monitored as the budget position evolves.

Corporate Risk 2 - Failure to deliver effective safeguarding arrangements for children & adults, & improved outcomes for children. This risk has been updated during the quarter to include detail on the risk for BCP Council. The risk score was considered and confirmed as correct and the key mitigations and actions have been updated.

Corporate Risk 3 - Failure to ensure adequate Information Governance. A review of this risk took place and the mitigations and actions have been updated. The risk score was confirmed as continuing to be correct.

Corporate Risk 4 - Failure to provide adequate IT and cyber security. This risk has been reviewed both in terms of the current scoring and the mitigations and actions. Whilst much work is being done, it was not considered the overall risk scores should change.

Corporate Risk 5 - Failure to plan effectively for Brexit. The risk was reviewed during the quarter and updated to reflect the government announcements during December 2019.

Corporate Risk 6 - Failure to adequately respond to an incident involving the activation of the emergency plan. This risk has been reviewed both in terms of the current scoring and the mitigations and actions. Whilst work continues, it was not considered the overall risk scores should change.

Corporate Risk 7 – Failure to provide adequate services as a result of an incident requiring a business continuity response. The risk was reviewed during the quarter and whilst work continues to progress, it was not considered that the overall score of the risk should change. The risk mitigations and actions are updated.

Corporate Risk 8 - Inability to run an election/ referendum. This risk was removed from the corporate risk register in July 2019. The risk was added and removed from the corporate risk register during this quarter as a result of the December 2019 election. During this period the risk was monitored as part of the overall management of the project. This was the third major election in the last 12 months. The risk will continue to be monitored at a service level and

reviewed as necessary particularly taking into consideration the Police and Crime Commissioners election in May 2020.

Corporate Risk 9 - Failure to maintain a safe and balanced budget for the delivery of services. The net risk score (the risk rating taking into consideration the operation of the mitigations) was reviewed during the quarter and increased. This increase in score is reflective of: a) the historic accumulated deficit on the high needs budget; b) the significant budget pressure for 2020/2021 on both general fund and separately the Dedicated Schools Grant (DSG) high needs budget. The mitigations and actions have been updated for this risk.

Corporate Risk 10 - Failure to deliver effective health and safety to protect staff, councillors and the public. The risk score was reviewed during the quarter but remains unchanged. Whilst work continues to mitigate this risk, taking into consideration the level of change taking place in the organisation, it will take time for the new framework to be embedded and to reach a position of assurance across all service areas. The mitigations and actions have been updated for this risk.

Corporate Risk 11 - Extent to which Members and Officers are able to fully engage with new roles and operate efficiently. This is a new risk added during the quarter.

9. Whilst the above outlines that some risk scores have increased this is not necessarily reflective of management inaction or action. Risks will continue to be influenced by a number of factors including national impacts and operational environmental changes.
10. Corporate Management Board continue to monitor the risk position in relation to the potential impact of organisational change on BCP Council following local government reorganisation.

## **Service Development**

11. In addition to the reviews of Corporate Risks, the Risk Management Team continues to be engaged in the refresh of service risk registers. This includes engaging with services to understand their current risk arrangements, how these can be improved to deliver a proactive and dynamic risk management environment and how the Risk Management Team can support them in this to deliver a consistent and embedded approach to Risk Management throughout the Council. During the current year this involves a mixture of arrangements that will gradually be working towards a new service risk register for each area in BCP Council. This work continues.
12. Work is now starting on the drafting of a new Risk Management framework for BCP Council. Consideration will be given to the new Council's risk appetite and the processes for managing risk consistently across the Council. This will also include the mechanisms for risk reporting and risk escalation.

13. As part of the role of the team, continuous “horizon scanning” is undertaken to identify issues that may give rise to risk to the Council. When matters are identified, these are raised with the relevant Corporate / Service Director for review and consideration if any action is necessary.
14. The Risk and Insurance Team is moving towards being fully electronic in terms of file management over the next six months. This will remove the need to maintain and rely upon a complex secure paper file system and significantly reduce the Team’s printing and paper requirements in the future.

#### **Summary of Financial Implications**

15. Financial implications relevant to risks are detailed within the relevant risk registers.

#### **Summary of Legal Implications**

16. There are no direct legal implications from this report.

#### **Summary of Human Resource Implications**

17. There are no direct human resources implications from this report.

#### **Summary of Environmental Impact**

18. There are no direct environmental implications from this report.

#### **Summary of Public Health Implications**

19. There are no direct Public Health implications from this report.

#### **Summary of Equality Implications**

20. There are no direct equality implications from this report.

#### **Summary of Risk Assessment**

21. The risk management implications are set out within the content of this report.

#### **Background Papers**

Risk Management – Corporate Risk Register Update Report to the Audit & Governance Committee on 10 October 2019.

#### **Appendices**






Appendix 1 - Corporate Risk Register Update Q3 -2019/2020



**BCP Council**  
**AUDIT AND GOVERNANCE COMMITTEE**  
**23 JANUARY 2019**

**CORPORATE RISK REGISTER UPDATE Q3 - 2019/20**

**1. UPDATES / CHANGES TO THE CORPORATE RISK REGISTER**

- 1.1 The Corporate Risk Register (CRR) is updated quarterly. Numbering does not run sequentially as some risks have been removed as reported previously.
- 1.2 Mitigation actions and significant changes this quarter are detailed below.
- 1.3 The table below is a key to arrow directions and colours used.

RISK DIRECTION OF TRAVEL STATUS		MITIGATIONS AND ACTIONS STATUS	
	Risk impact or likelihood has <b><u>increased</u></b> since last review.		Mitigations <b><u>remain robust and actions are on track</u></b> since the last review.
	Risk impact or likelihood has <b><u>decreased</u></b> since last review.		Mitigations are <b><u>less robust and/or actions are not on track and/or actions have not progressed significantly</u></b> since last review.
	There is <b><u>no change</u></b> to the risk impact or likelihood		



RISK REF	RISK DESCRIPTION	GROSS RISK SCORE	NET RISK SCORE	RISK DIRECTION OF TRAVEL STATUS *	MITIGATIONS & ACTIONS STATUS	RISK INFORMATION, KEY MITIGATIONS AND ACTION NOTES
CR1	<b>Failure to respond to the needs arising from a changing demography</b>	16	12			<p>Risk Owner: Chief Executive</p> <p>Risk Information:</p> <p>The needs for Adult Social Care (ASC) are increasing due to a rising older population and due to a growing population of children, young people and adults of working age who have highly complex disabilities. ASC is both funding a higher volume of care packages and placements and also funding an increasing number of very expensive packages of care for people with highly complex needs. Costs for residential care for older people are rising at a rate about 5% per annum due both to national issues such as the rise in the National Living Wage and due to local market conditions. Nationally, there is still no government strategy for adult social care or sustainable funding plan, which contributes to the risks for BCP Council and all local authorities.</p> <p>Since early November 2019, local hospitals have experienced an exceptionally high volume of demand. This has necessitated health and social care partners working together to support the acute sector. As a consequence, the number and costs of adult social care placements and packages of care have increased significantly in Quarter 3 and have put significant pressure on the ASC budget.</p> <p>The needs of children that are identified as being in need of support or are at risk are increasingly complex and this raises challenges for how the partnerships seek to address the need, the confidence and skills of the workforce across the system, how the Local Authority supports colleagues across the wider system in meeting needs and not passporting all vulnerable children into the statutory social work teams.</p>

						<p>The changing activities around criminal exploitation and county lines are starting to make more of an impact across the conurbation as well as the fact that we are learning more about this. This is a changing profile within and across communities.</p> <p>The numbers and complexity of children with special education needs and / or disabilities is an issue that we are creating a range of mitigating and forward facing strategies to address the risks to the council's financial viability which arise from the pressures held within the direct schools grant - high needs block. There are local issues that the strategies will seek to address, but this changing demographic is also a national issue and we are awaiting the outcome of a consultation exercise focusing on SEN/D funding.</p> <p>In light of the above considerations the risk score has been appraised with the Gross score being increased from a score of 12 to 16.</p> <p>Key Mitigations</p> <p>Adults &amp; Children</p> <ul style="list-style-type: none"> <li>• Understanding needs by joint needs assessment across the integrated care system including health, public health, adult social care, children's social care</li> <li>• Developing early identification of needs</li> <li>• Working with communities</li> <li>• Working with the new primary care networks of GP's to understand populations and needs</li> <li>• Utilising Medium Term Financial Plan (MTFP) to use money to facilitate greater independence</li> <li>• Focusing on carers and providing supporting governance system</li> <li>• Creating a new and effective partnership infrastructure and joint commissioning approach</li> <li>• Reviewing and developing effective early help and youth services</li> </ul>
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						<p>Housing</p> <ul style="list-style-type: none"> <li>• Reshaping existing housing provision and services to meet the high number of homeless households and those presenting with increasingly complex needs e.g. scaling up of Housing First model</li> <li>• Ensuring an enhanced preventative approach to homelessness</li> <li>• Ensuring close collaborative partnership working with our many partners to meet the housing, support needs and care needs of those in housing need</li> <li>• Seeking additional central government funding to further address needs, particularly for those rough sleeping</li> <li>• Working towards a new BCP Council Homelessness Strategy and new BCP Council Housing Strategy</li> </ul> <p>Actions Completed During Quarter 3:</p> <ul style="list-style-type: none"> <li>• ASC MTFP continues to be in development for Council in February 2020</li> <li>• Plans for the initial contact and response service for ASC have been developed with support of KPMG</li> <li>• Housing - Plans underway to develop a number of in-house temporary accommodation housing schemes to avoid the use of B and Bs</li> <li>• Housing - Launched the new BCP Homelessness Partnership to help ensure a coordinated multi-agency approach to preventing and addressing homelessness and held inaugural Homelessness Reduction Board meeting</li> <li>• Housing - Bid submitted for additional homeless/rough sleeper funding from central government</li> <li>• Housing - Project plans in place to publish a new Homelessness Strategy and a new Housing Strategy during 2020</li> </ul> <p>Actions Proposed During Quarter 4:</p> <ul style="list-style-type: none"> <li>• ASC MTFP finalised and agreed by Council in February</li> <li>• Presentation of proposals for initial contact and response service for ASC at Health and ASC Overview and Scrutiny Committee on 20/1/2020 and plans implemented for initial implementation in April 2020</li> </ul>
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						<ul style="list-style-type: none"><li>• Work with health partners and Dorset Council to commission an external assessment of the health and care system for older people to ensure that the system is meeting local people's needs and making best use of available resources</li><li>• Housing - Plan to mobilise additional central government funding if secured</li><li>• Housing - Facilitate the inaugural multi-agency action group meetings which form part of the new BCP Homelessness Partnership</li><li>• LGA peer review of the SEN/D system, and the launch of the SEN/D strategy and associated joint commissioning strategy</li></ul>
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CR2	<b>Failure to deliver effective safeguarding arrangements for children &amp; adults, &amp; improved outcomes for children</b>	16	12			<p>Risk Owner: Chief Executive</p> <p>Risk Information:</p> <p>Safeguarding is the responsibility of all members and officers, and this is reflected in the Corporate Safeguarding Strategy which was agreed by Cabinet in September 2019.</p> <p>All relevant partners have been working across Children's and Adults Safeguarding and Community Safety Partnerships to establish effective governance arrangements post Local Government Review which meet all required statutory requirements. As a new Council covering a population of almost 400,000, BCP Council has to ensure that it is working with all partners in the most effective way to identify, assess and respond to safeguarding and community safety issues, particularly those which cut across children's, adults and community safety. Chief Officers across the Councils' Police and Clinical Commissioning Group have agreed to a Director led review of governance arrangements in order to develop options, which will ensure strengthened and impactful governance and facilitate more effective strategic ownership of an effective and efficient delivery of the safeguarding and community safety system which is designed to meet the needs of our people and which are associated with place.</p> <p>Reported Domestic Abuse incidents continue to rise and responding to domestic abuse is a key priority across the Council and for all partners involved in community safety and safeguarding. A key action for Q4 is</p>

						<p>to implement new and effective arrangements for Multi-Agency Risk Assessment Conferences (MARACs) for the BCP area.</p> <p>For Adult Social Care the key operational risks for delivery of safeguarding and statutory responsibilities are:</p> <ul style="list-style-type: none"> <li>• difficulties in recruiting social work staff</li> <li>• preparing for the implementation of new Liberty Protection Safeguards legislation in October 2020 in a context where government guidance has not yet been published.</li> </ul> <p>For Children's Social Care the key strategic and operational risks for the delivery of effective safeguarding and statutory responsibilities are:</p> <ul style="list-style-type: none"> <li>• The Pan Dorset Safeguarding Children's arrangements are not impactful enough in addressing the key interrelated risks for young people and our place</li> <li>• the need to change and develop the current 'MASH' arrangements with partners,</li> <li>• the need to improve the coherence of the partnership approach to managing the risks associated within the sphere of criminal exploitation</li> <li>• the volume of change within the council's children's department, the differing cultures and ways of working which will take time to address and develop if we are to be consistently effective</li> <li>• the dual ICS system and accommodation for the statutory social work teams</li> </ul> <p>Key Mitigations</p> <p>Adults &amp; Children</p> <ul style="list-style-type: none"> <li>• Clear pan-Dorset/ local multi-agency procedure for safeguarding</li> <li>• Clear and simplified governance of multi-agency arrangements</li> <li>• Audit and evaluation of quality of practice &amp; decision making both multi-agency and as a Council</li> <li>• Comprehensive training &amp; development on all aspects of safeguarding</li> <li>• Adequately resourced at both management &amp; practice level</li> </ul>
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						<ul style="list-style-type: none"> <li>• Learning from case reviews, embedding &amp; testing</li> <li>• Local Government Association Peer reviews</li> <li>• Chief Executive &amp; Corporate Director clear line of sight on issues</li> </ul> <p>Adult Social Care</p> <ul style="list-style-type: none"> <li>• Robust arrangements for Safeguarding Adults which is integrated with Children's Safeguarding and Community Safety</li> <li>• Development and implementation of BCP Council wide service delivery models for safeguarding and ASC delivery supported by one IT system for the Council</li> <li>• Development of Council wide strategies for commissioning adult social care services which are integrated with health and ensure services are of high quality and provide safe care for the public</li> <li>• Robust arrangements in place for performance management and quality assurance and member scrutiny within the Council and BCP Council is fully engaged with ADASS and LGA sector led review programmes</li> </ul> <p>Children's Services</p> <ul style="list-style-type: none"> <li>• Robust performance management arrangements to continue to be embedded</li> <li>• To further improve in Q4 the quality assurance and learning model across the system</li> <li>• Robust improvement plan to be delivered</li> <li>• Continue to improve and develop with partners a fit for purpose MASH arrangement and the associated early help pathway by April 2020</li> <li>• Develop the local adolescent services for young people at risk of exploitation</li> <li>• Agree approach for early help and young people's support</li> <li>• Redesign of services in social care to deliver clear line of sight and consistent approaches</li> <li>• 1 ICS system supporting the work across the system and the clean line of sight</li> </ul>
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						<p>Housing</p> <ul style="list-style-type: none"> <li>• Roll out the existing safeguarding network across all housing teams within BCP Council to ensure a robust approach to safeguarding issues</li> <li>• Revisit joint working between Housing and colleagues in Children's and Adults Social Care to ensure safeguarding of residents e.g. publishing a consolidated BCP homeless young people's protocol to address Southwark ruling</li> </ul> <p>Actions completed in Quarter 3:</p> <p>Adults Social Care</p> <ul style="list-style-type: none"> <li>• Independent Review of Safeguarding Adults Board for BCP and Dorset Council areas completed, and future actions have been agreed by both Boards in the light of the recommendations</li> <li>• ASC performance was reported in line with new performance and quality assurance framework in November for first 6 months of new authority</li> </ul> <p>Housing</p> <ul style="list-style-type: none"> <li>• Housing Safeguarding Champion identified with a lead on the Corporate Safeguarding Strategy and with lead responsibility for the safeguarding network for Housing</li> </ul> <p>Actions Proposed during Quarter 4:</p> <p>Adults Social Care/Children's/Housing and Community Safety</p> <ul style="list-style-type: none"> <li>• Multi-agency review of Safeguarding and Community Safety Partnership arrangements to be initiated across BCP and Dorset Council areas with intention to report in Summer 2020</li> <li>• Proposals for new arrangements for MARAC for new BCP area to be implemented by partners for Spring 2020</li> </ul> <p>Adult Social Care</p> <ul style="list-style-type: none"> <li>• Development and implementation of recruitment and retention plan for ASC by Human Resources and ASC officers</li> </ul>
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						<ul style="list-style-type: none"><li>• Development of plans for implementation of new Liberty Protection Safeguards legislation in the light of national guidance and work to understand costs of implementing new legislation</li><li>• ASC to produce self-assessment of performance and for this to be tested and challenged as part of regional LGA/ADASS peer review process</li></ul>
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CR3	<b>Failure to ensure adequate Information Governance</b>	12	9			<p>Risk Owner: Corporate Director of Resources</p> <p>Key Mitigations</p> <ul style="list-style-type: none"> <li>BCP Council Information Governance Accountability Framework adopted, which includes assignment of key roles: <ul style="list-style-type: none"> <li>Senior Information Risk Owner</li> <li>Deputy Senior Information Risk Owner</li> <li>Caldicott Guardian</li> <li>Data Protection Officer (in line with GDPR/DPA 2018 requirements)</li> <li>Information Asset Owners</li> <li>Information Asset Managers</li> <li>Information Asset Advisors (IAA)</li> </ul> </li> <li>New BCP Council Information Governance Board (IGB) agreed, terms of reference revised, Board will meet quarterly</li> <li>Updated comprehensive BCP Council IG training programme in place</li> <li>Mandatory IG training for staff and elected members</li> <li>New Cyber Security training sessions developed</li> <li>Key IG guidance updated and available on BCP Council intranet facilities</li> <li>Regular communications to IAA staff on new guidance</li> <li>Provision of IG performance management information to Information Asset Owners and Information Asset Advisors</li> <li>Business continuity testing</li> <li>BCP Council breach reporting process adopted and implemented</li> <li>Regular internal audit of IG accountability framework, policy and guidance</li> </ul>





						<ul style="list-style-type: none"> <li>• Information Asset Registers being developed by BCP service delivery areas</li> <li>• BCP Privacy Impact Assessment (PIA) template, guidance and process in place</li> <li>• Strong governance system</li> <li>• Preceding IT infrastructures provide strong technical security</li> <li>• During the period of transition infrastructures will be maintained</li> </ul> <p>Actions Completed During Qtr 3</p> <ul style="list-style-type: none"> <li>• Continual review and refinements as and where appropriate</li> </ul> <p>Actions Proposed During Qtr 4</p> <ul style="list-style-type: none"> <li>• Continue to assess the opportunities to strengthen current arrangements further</li> <li>• Consider data strategy and information governance as part of the considerations of the future operating arrangements of BCP Council</li> </ul>
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CR4	<b>Failure to provide adequate IT and cyber security</b>	12	6			<p>Risk Owner: Corporate Director of Resources</p> <p>Key Mitigations</p> <ul style="list-style-type: none"> <li>• Each legacy Council had a strong infrastructure</li> <li>• Physical premises security</li> <li>• Physical data security</li> <li>• Encryption</li> <li>• Regular scanning</li> <li>• Multi layered security approach</li> <li>• Active security incident response team</li> <li>• Constant review of latest threats and their vectors</li> <li>• Regular patching and upgrades</li> <li>• Dedicated cyber security officer</li> </ul> <p>Actions Proposed Completed Qtr 3</p> <ul style="list-style-type: none"> <li>• Progress action items identified following PSNC process</li> <li>• The BCP Council infrastructure will be designed and built with embedded security</li> <li>• Completed migration into a single domain now under Microsoft and less disjointed systems</li> <li>• Implemented security authentication processes</li> </ul> <p>Action Proposed during Qtr 4</p> <ul style="list-style-type: none"> <li>• Continual work on improving security of systems</li> <li>• Realisation of benefits of operating under O365</li> <li>• Removal of legacy systems</li> <li>• Working on a collaborated remote access solution.</li> </ul>



						<ul style="list-style-type: none"><li>• Development of a telephone strategy for BCP Council in recognition of the requirement to replace systems</li></ul>
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CR5	<b>Failure to plan effectively for Brexit</b>	12	8			<p>Risk Owner: Chief Executive</p> <p>Key Mitigations</p> <ul style="list-style-type: none"> <li>• Take part in emergency planning and response operated by the Dorset LRF in preparation after transition period ends on 31 December 2020</li> <li>• Respond to government requests for information.</li> <li>• Consider any subsequent changes or adjustments to the EU Citizens Settlement Scheme to EU citizens</li> </ul> <p>Actions Completed During Qtr 3</p> <ul style="list-style-type: none"> <li>• Internal EU Exit Coordination Group was established and met weekly</li> <li>• 2-weekly status reporting to Corporate Management Board (CMB) on preparations including bids for EU exit funding pot</li> <li>• Key issues addressed include port health requirements, traffic management, particularly around the Port of Poole, fuel disruption, staffing impact and community cohesion</li> <li>• Emergency Planning Team and wider Council services made a significant contribution to LRF multi-agency planning and preparedness</li> <li>• EU Exit Gold and Silver and deputies were identified to focus on EU Exit issues freeing up rostered duty golds and duty silvers to focus on 'routine' emergencies</li> <li>• CMB reporting was moved to weekly basis from the start of October</li> </ul> <p>Above activities were largely stood down after government announcements in December 2019.</p>

						<p>Actions Proposed During Qtr 4</p> <ul style="list-style-type: none"><li>• To follow any national directives or requirements as published</li><li>• During the calendar year keep a watching brief on negotiations and follow relevant national or local guidance provided.</li></ul>
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CR6	<b>Failure to adequately respond to an incident involving the activation of the emergency plan</b>	8	8			<p>Risk Owner: Corporate Director of Resources</p> <p>Key Mitigations</p> <ul style="list-style-type: none"> <li>• BCP Council corporate emergency plan, legacy emergency plans and county-wide LRF multi-agency plans</li> <li>• In-house team of emergency planning and business continuity professionals</li> <li>• Partnership working with Local Resilience Forum</li> <li>• Funded multi-agency partnership to support and facilitate multi-agency working - the Dorset Civil Contingencies Unit (CCU)</li> <li>• Corporate Resilience Champion - Chief Executive, and Deputy Corporate Resilience Champion - Corporate Director of Environment &amp; Economy</li> <li>• BCP Council Duty Gold rota in place</li> <li>• Legacy Silver Duty and Duty Emergency Planning Officer rotas in place</li> <li>• Access to the LRF training programme delivered by the CCU in order to ensure ongoing role familiarisation</li> <li>• BCP Council corporate business continuity plan and legacy business continuity arrangements to respond to and mitigate the effects of a business continuity disruption</li> </ul> <p>Actions Completed During Qtr 3</p> <ul style="list-style-type: none"> <li>• Maintaining a business as usual service including responses to any incidents including the high winds on 2<sup>nd</sup> November</li> <li>• Emergency Planning College came to Dorset to deliver strategic and tactical emergency and crisis management for Golds and Silvers in October and November</li> </ul>

						<ul style="list-style-type: none"><li>• Work commenced on a new BCP Council flood plan, a BCP Council severe weather plan and a BCP Council reception centre plan</li><li>• Ongoing EU Exit preparedness work</li></ul> <p>Actions Proposed During Qtr 4</p> <ul style="list-style-type: none"><li>• Maintaining a business as usual service including responses to any incidents</li><li>• Work continuing on the new BCP Council flood plan, a BCP Council severe weather plan and a BCP Council reception centre plan</li></ul>
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RISK REF	RISK DESCRIPTION	GROSS RISK SCORE	NET RISK SCORE	RISK DIRECTION OF TRAVEL STATUS*	MITIGATIONS & ACTIONS STATUS	RISK INFORMATION, KEY MITIGATIONS AND ACTION NOTES
CR7	<b>Failure to provide adequate services as a result of an incident requiring a business continuity response</b>	8	6			<p>Risk Owner: Corporate Director of Resources</p> <p>The scoring of this risk was reviewed during the quarter. Whilst progress continues to be made these are granular shifts in the risk and not yet significant enough to require a change to the overall scores.</p> <p>Key Mitigations</p> <ul style="list-style-type: none"> <li>• BCP Council corporate level business continuity plan</li> <li>• Legacy preceding council business continuity plans and arrangements</li> <li>• Legacy Disaster Recovery Plans</li> <li>• BCP Council Duty Gold &amp; Silver rota in place</li> <li>• Corporate Resilience Champion - Chief Executive, and Deputy Corporate Resilience Champion - Corporate Director Environment &amp; Economy identified</li> <li>• Multi-disciplinary project with IT Security, Emergency Planning, Information Governance and Learning and Development to promote cyber security</li> </ul> <p>Actions Completed During Qtr 3</p> <ul style="list-style-type: none"> <li>• Further training for staff</li> <li>• Support provided to services in updating service level business continuity plans such as libraries and Holly Tree Lodge</li> <li>• Responded to a business continuity incident at the Town Hall on 8<sup>th</sup> November</li> </ul>



						<div>Actions Proposed During Qtr 4</div> <ul style="list-style-type: none"><li>• Continue to support services – delivering business impact assessment and business continuity plan workshops</li><li>• Initial draft of a corporate business continuity policy/strategy</li><li>• Finalising BCP Council business continuity risk assessment</li></ul>
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RISK REF	RISK DESCRIPTION	GROSS RISK SCORE	NET RISK SCORE	RISK DIRECTION OF TRAVEL STATUS*	MITIGATIONS & ACTIONS STATUS	RISK INFORMATION, KEY MITIGATIONS AND ACTION NOTES
CR9	<b>Failure to maintain a safe and balanced budget for the delivery of services</b>	16	12			<p>Risk Owner: Director of Finance</p> <p>The risk score was reviewed during the quarter and increased. This increase in score is reflective of:</p> <ul style="list-style-type: none"> <li>a) the historic accumulated deficit on the high needs budget</li> <li>b) the significant budget pressure for 2020/2021 on both general fund and separately the Dedicated Schools Grant (DSG) high needs budget</li> </ul> <p>Key Mitigations</p> <ul style="list-style-type: none"> <li>• Medium Term Financial Planning (MTFP) approach including forward planning based on forecasts both of central government funding expectation and service demand</li> <li>• Quarterly budget monitoring reports are considered by Cabinet</li> <li>• Key Financial Indicators are shared regularly with Corporate Management Board</li> <li>• Oversight from Local Government Association &amp; External Audit</li> <li>• Overview and Scrutiny Board in place to scrutinise the quarterly budget monitoring and MTFP update reports presented in-year</li> <li>• BCP Council approved Reserves Strategy, Capital Strategy and Treasury Management Strategy</li> </ul> <p>Actions Completed During Qtr 3</p> <ul style="list-style-type: none"> <li>• Stage two base budget reviews</li> <li>• Refinement of savings options</li> <li>• Member budget seminar to Overview and Scrutiny Board</li> <li>• Quarter Two Budget monitoring report</li> <li>• December MTFP Update report</li> </ul>

						<p>Actions Proposed During Qtr 4</p> <ul style="list-style-type: none"><li>• Quarter Three Budget monitoring report</li><li>• Budget 2020/21 Report to be presented to Council including consideration of the need to set a more sustainable budget for high needs element of the Dedicated Schools Grant.</li></ul>
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RISK REF	RISK DESCRIPTION	GROSS RISK SCORE	NET RISK SCORE	RISK DIRECTION OF TRAVEL STATUS*	MITIGATIONS & ACTIONS STATUS	RISK INFORMATION, KEY MITIGATIONS AND ACTION NOTES
CR10	<b>Failure to deliver effective health and safety to protect staff, councillors and the public</b>	16	12			<p>Risk Owner: Corporate Director of Environment &amp; Community</p> <p>The risk score was reviewed during the quarter but remains unchanged. Whilst work continues to mitigate this risk, taking into consideration the level of change taking place in the organisation, it will take time for the new frameworks to be embedded and to reach a position of assurance across all service areas.</p> <p>Key Mitigations</p> <ul style="list-style-type: none"> <li>• The Chief Executive Chairs the BCP Council Health and Safety Board and Fire Safety Board to develop and maintain a strong corporate standard for BCP Council and the cascade governance framework</li> <li>• Over-arching Corporate Health &amp; Safety Policy and Fire Safety Policy</li> <li>• Operationally, legacy arrangements are being maintained with a prioritised development of new policy arrangements.</li> <li>• Corporate Health &amp; Safety resource arrangements maintained in legacy Councils</li> <li>• Health &amp; Safety and Fire Safety training included within induction process (e-learning modules)</li> </ul> <p>Actions Completed During Qtr 3</p> <ul style="list-style-type: none"> <li>• New draft governance framework for Corporate Health and Safety and Fire Safety approved by the BCP Council Health and Safety Board and Fire Safety Board.</li> <li>• First Health &amp; Safety and Fire Safety Board meeting to be held in November</li> </ul>

						<ul style="list-style-type: none"> <li>• Corporate Health &amp; Safety and Fire Safety management restructure completed</li> <li>• Review of Health &amp; Safety and Fire Safety operational plans once restructure completed, including training needs and provision</li> <li>• Consider and implement arrangements for health and fire safety training for flexible working arrangements between sites</li> <li>• Corporate fleet management IT system implementation across all areas of BCP Council</li> </ul> <p>Actions Proposed for Qtr 4</p> <ul style="list-style-type: none"> <li>• Implement new BCP Health and Safety and Fire Safety Team structures.</li> <li>• Escalate Fire Safety risk issues to be considered by Corporate Management Board as part of 2021 budget setting process.</li> </ul>
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RISK REF	RISK DESCRIPTION	GROSS RISK SCORE	NET RISK SCORE	RISK DIRECTION OF TRAVEL STATUS*	MITIGATIONS & ACTIONS STATUS	RISK INFORMATION, KEY MITIGATIONS AND ACTION NOTES
CR11	<b>Extent to which Members &amp; Officers are able to fully engage with new roles &amp; operate efficiently</b>	9	4	New	New	<p>Risk Owner: Chief Executive</p> <p>This is a new risk added during the quarter.</p> <p>Key Mitigations</p> <ul style="list-style-type: none"> <li>• Training and development programme</li> <li>• Regular liaison between Cabinet and Corporate Management Board</li> <li>• Mentoring</li> <li>• Bedding down period for service re-structures</li> <li>• Members toolkits</li> <li>• Six working groups of officers and members put in place to develop high-level delivery plans for the Corporate Strategy</li> <li>• A forward plan for harmonising the council's major service strategy and policy documents which will inform the Cabinet's forward plan has been agreed</li> <li>• Agreement of Corporate Strategy, People Strategy, Equalities Strategy leading to delivery plan will give some certainty</li> <li>• The Overview and Scrutiny Function has an associated skills and knowledge development programme in place to support members and ensure effective implementation of the function, which was developed in consultation with the Centre for Public Scrutiny (CfPS) as the body of excellence for scrutiny support to councils. This will include a review of the function planned for July 2020, supported by the CfPS, to provide opportunity for reflection on the first year of operation.</li> <li>• Extensive engagement with the Local Government Association to provide support for members as required, including making arrangements for mentoring and coaching, plus agreement to bring forward a Peer Review for the council in late 2020</li> </ul>

						<p>Actions Proposed for Qtr 4</p> <ul style="list-style-type: none"> <li>• High-level delivery plans under development to deliver the priorities in our Corporate Strategy. Six working groups of officers and members will further develop the plans ready to be presented with the budget to Cabinet and Council in February 2020</li> <li>• Performance monitoring</li> <li>• Development programme being put in place for Members and Senior Managers</li> <li>• High level development programme with Korn Ferry working across Members &amp; Officers in progress</li> </ul>
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