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To: Leader & Members of the Executive

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Friday, 28th February 2020

Dear Councillor

EXECUTIVE

You are hereby summoned to attend a meeting of the Executive of the Bolsover District Council to be held in the Council Chamber, The Arc, Clowne on Monday, 9th March, 2020 at 10:00 hours.

Register of Members' Interests - Members are reminded that a Member must within 28 days of becoming aware of any changes to their Disclosable Pecuniary Interests provide written notification to the Authority's Monitoring Officer.

You will find the contents of the agenda itemised from page 2 onwards.

Yours faithfully



Joint Head of Corporate Governance & Monitoring Officer



We speak your language
Polish **Mówimy Twoim językiem**
Slovak **Rozprávame Vaším jazykom**
Chinese **我们会说你的语言**

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or another format please call us on 01246 217753**

If you require an adjustment to enable you to participate in or access the meeting please contact the Governance Team at least 72 hours before the meeting starts.

EXECUTIVE AGENDA

Monday, 9th March, 2020 at 10:00 hours in the Council Chamber, The Arc, Clowne

Item No.	<u>PART 1 – OPEN ITEMS</u>	Page No.(s)
1.	Apologies For Absence	
2.	Urgent Items of Business To note any urgent items of business which the Chairman has consented to being considered under the provisions of Section 100(B) 4(b) of the Local Government Act 1972.	
3.	Declarations of Interest Members should declare the existence and nature of any Disclosable Pecuniary Interest and Non Statutory Interest as defined by the Members' Code of Conduct in respect of: a) any business on the agenda b) any urgent additional items to be considered c) any matters arising out of those items and if appropriate, withdraw from the meeting at the relevant time.	
4.	Minutes To consider the minutes of the last meeting held on 24 th February 2020.	4 - 8
	<u>MATTERS REFERRED FROM SCRUTINY</u> None.	
	<u>BUDGET & POLICY FRAMEWORK ITEMS</u> None.	
	<u>NON KEY DECISIONS</u>	
5.	Corporate Plan Targets Performance Update (Q3 - 2019/20) <i>Recommendations on page 11</i>	9 - 22
6.	Risk Management Strategy 2020 <i>Recommendations on page 25</i>	23 - 50
	<u>KEY DECISIONS</u> None.	

7. Exclusion of the public

To move:-

“That under Section 100(A)(4) of the Local Government Act 1972 (as amended), the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in the stated Part 1 of Schedule 12A of the Act and it is not in the public interest for that to be revealed.” [The category of exempt information is stated after each item].

PART 2 - EXEMPT ITEMS

NON KEY DECISIONS

8. LED Lighting Upgrade to The Arc 51 - 57

Recommendations on page 53

(Paragraph 3)

KEY DECISIONS

9. Provision of Flat Roofing Repairs or Replacement for Bolsover District Council Housing Repairs Section 58 - 60

Recommendations on page 59

(Paragraph 3)

EXECUTIVE

Minutes of a meeting of the Executive of the Bolsover District Council held in the Council Chamber, The Arc, Clowne on Monday, 24 February 2020 at 10:00 hours.

PRESENT:-

Members:-

Councillor Steve Fritchley (Leader) in the Chair

Councillors Duncan McGregor (Vice-Chair), Mary Dooley, Clive Moesby, Sandra Peake, Liz Smyth and Deborah Watson.

Officers:- Grant Galloway (Director of Development), Sarah Sternberg (Joint Head of Corporate Governance & Monitoring Officer), Theresa Fletcher (Head of Finance and Resources & Section 151 Officer), Chris Fridlington (Assistant Director of Development) and Donna Cairns (Senior Governance Officer).

657 APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillor Nick Clarke.

658 URGENT ITEMS OF BUSINESS

There was no urgent business to be considered at the meeting.

659 DECLARATIONS OF INTEREST

Members were requested to declare the existence and nature of any disclosable pecuniary interests and/or other interests, not already on their register of interests, in any item on the agenda and withdraw from the meeting at the appropriate time.

There were no declarations made at the meeting.

660 MINUTES

Moved by Councillor Duncan McGregor and seconded by Councillor Mary Dooley
RESOLVED that the minutes of a meeting of Executive held on 10th February 2020 be approved as a true and correct record.

MATTERS REFERRED FROM SCRUTINY

None.

BUDGET & POLICY FRAMEWORK ITEMS

None.

EXECUTIVE

NON KEY DECISIONS

661 SERVICE PLANNING AND CHARGING FOR COMMERCIAL TEAM SUPPORT SERVICES IN ENVIRONMENTAL HEALTH

Executive considered the report of the Portfolio Holder – Street Scene & Environmental Health which presented the 2019/20 Service Plans for Food Safety and Health and Safety Law Enforcement. The report also advised on the need to ensure appropriate charges were in place for re-scoring of food hygiene and animal licensing inspections, and recommended introducing charging for inspection re-scores available through the Food Hygiene Rating Scheme and the Animal Activity Licensing inspection regime

The income from the charges for re-scoring activity were to be used to cover the cost of providing the services, as well as introduction of the mobile service inspection software.

Members queried the Council's risk rating system for categorising food premises. A response was to be provided after the meeting.

It was agreed that Executive pass its thanks to the Environmental Health service staff for their hard work and improvements already achieved in their service as part of the on-going review.

Moved by Councillor Deborah Watson and seconded by Councillor Liz Smyth

RESOLVED – That

- 1) Executive notes the content of the Food Safety Service Plan and the Health and Safety Law Enforcement Service Plan.
- 2) Executive approves the charges set out in this report for re-inspections and re-scoring under the Food Hygiene Rating System and in relation to the Animal Welfare (Licensing of Activities Involving Animals) (England) Regulations 2018.
- 3) the proposed fees and charges be kept under review and any proposed changes considered during annual budget processes.

REASON FOR DECISION:

The food and safety service plans were documents required to be produced by the Council's regulating bodies for food safety and health and safety law enforcement. These plans were required to be presented to Members to ensure oversight of the work programmes and to ensure awareness of the Council's responsibilities at a senior decision making level. It also enabled the Council to effectively prioritise resources to these statutory and essential public health and safety functions whilst maximising efficiency.

Charging for all re-assessment services was also preferred. The additional requirements to provide a re-assessment for businesses placed a previously unrealised burden on the Council and revenue budgets were focussed on providing statutory services.

Charging may assist in managing demand whilst supporting businesses who wish to improve standards. The charges were to cover the cost of providing these services, which could be invested in additional support staff and services.

EXECUTIVE

OTHER OPTIONS CONSIDERED:

If the Council did not charge for re-assessment services, statutory intervention and licensing programmes would have been put at increased risk of future failure due to the potential for essential resources to be diverted.

Strategic Director – Place

662 SALE OF LAND TO REGISTERED CUSTOM AND SELF BUILDERS

Executive considered the report of the Portfolio Holder – Housing & Community Safety which detailed a proposal for the sale of council owned land to registered custom and self-builders for a consideration less than the best that can reasonably be obtained. Approval was sought for the targeting marketing and subsequent sale of the following plots to individuals and groups registered on the Council's self-build and custom housebuilding register:

- a) Land at Baker Street, Creswell
- b) Land at Blind Lane, Bolsover
- c) 263A Creswell Road, Clowne

Executive were advised that there were around 30 people on the custom and self-build register at the time of the meeting. It was confirmed in response to a Member's question that those on the register would still be able to bid on the sites if they were sold via public auction.

Members asked that the informal tender process for bids from those on the custom and self-build register should be given a timeline for the completion of the contract in order to avoid delay between a bid being accepted and the sale.

It was also requested that further publicity and targeted marketing be carried out of the custom and self-build register and opportunities.

Moved by Councillor Sandra Peak and seconded by Councillor Clive Moesby

RESOLVED –

- 1) That approval be granted for the targeted marketing and subsequent sale by informal tender of the following plots to individuals and groups registered on the Council's self-build and custom housebuilding register for a price no less than the senior valuer's market valuation:
 - a) Land at Baker Street, Creswell
 - b) Land at Blind Lane, Bolsover
 - c) 263A Creswell Road, Clowne
- 2) That, if by 30th June 2020, no successful bids have been forthcoming, the sites shall be disposed of by public auction.

EXECUTIVE

- 3) That delegated power be granted to the Director of Development to agree the terms for the sale (including the price) of other Council-owned land surplus to requirements to individuals or groups on the Council's self-build and custom housebuilding register, following consultation with the Portfolio Holder, and on the basis that the land shall not be disposed of for a price less than the senior valuer's market valuation of that land.

REASON FOR DECISION:

This approach was to help to diversify the type of housing across the District and make a positive contribution to housing delivery.

OTHER OPTIONS CONSIDERED:

The nominated sites had been chosen as they were considered to be the most attractive to individuals on the register, they qualified as serviced plots (within the regulatory definition) and they had the benefit of local development orders granting permission in principle for custom and self-build houses on the land.

Disposing of these sites through public auction was considered but with due regard to the duties placed on the Council by the Self-build and Custom Housebuilding Act 2015, it was agreed to dispose of the nominated sites at less than best consideration to promote opportunities for custom and self builders on the register to acquire land.

(Director of Development)

KEY DECISIONS

None.

663 EXCLUSION OF THE PUBLIC

Moved by Councillor Duncan McGregor and seconded by Councillor Clive Moesby
RESOLVED that under Section 100(A)(4) of the Local Government Act 1972 (as amended), the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in the stated Part 1 of Schedule 12A of the Act and it is not in the public interest for that to be revealed. [The category of exempt information is stated after each Minute].

PART 2 - EXEMPT ITEMS

KEY DECISIONS

664 SAFE AND WARM UPGRADE SCHEME - PATTISON STREET, SHUTTLEWOOD

Executive considered the report of the Portfolio Holder – Housing & Community Safety which sought approval to award a contract to Matthews & Tannert Ltd to undertake the Safe and Warm Scheme Upgrade Scheme together with additional modernisation works

EXECUTIVE

at Pattison Street, Shuttlewood.

Moved by Councillor Sandra Peake and seconded by Councillor Duncan McGregor
RESOLVED - That Matthews & Tannert Ltd be appointed to undertake the works as outlined within this report as per the tender sum.

REASON FOR DECISION:

Following a procurement exercise, taking into account both cost and quality criteria, Matthews & Tannert Ltd was assessed as being the most economically advantageous bidder.

OTHER OPTIONS CONSIDERED:

Due to the existing condition of the communal heating system there was potential risk for failure of the boilers. It was not economically viable to replace the boilers and there was further complication due to the deteriorating condition of the existing pipe work infrastructure.

665 CENTRAL HEATING UPGRADE, BRAMLEY VALE AND OTHER SITES WITHIN THE DISTRICT

Executive considered the report of the Portfolio Holder – Housing & Community Safety which sought approval to appoint the contractor Matthews and Tannert Ltd to undertake central heating conversions and upgrades at Bramley Vale and other properties throughout the District following a direct award of the relevant contract through the Efficiency East Midlands framework EEM0026.

Moved by Councillor Sandra Peake and seconded by Councillor Duncan McGregor
RESOLVED - That Matthews & Tannert Ltd be appointed to undertake the works as outlined within this report via a direct award of the relevant contract through the Efficiency East Midlands framework EEM0026.

REASON FOR DECISION:

Contractors were evaluated against the EEM Framework for Heating and Hotwater (EEM0026) and Matthews and Tannert Ltd were the most competitive on price. Matthews and Tannert Ltd had previously provided heating upgrades to Council properties over a four year period and delivered a quality service.

OTHER OPTIONS CONSIDERED:

The installation of efficient gas central heating was considered to be a high priority because the tenants on the Bramley Vale estate had been suffering high levels of fuel poverty over a long period and Executive wished to take positive action to alleviate this now that the gas main had been installed. A do nothing approach was therefore rejected.

The meeting concluded at 10:25 hours.

Bolsover District Council

Executive

9th March 2020

<p>Corporate Plan Targets Performance Update – October to December 2020 (Q3 – 2019/20)</p>
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Report of the Portfolio Holder - Corporate Governance

This report is public

Purpose of the Report

- To report the quarter 3 outturns for the Corporate Plan 2019-2020 targets.

1 Report Details

1.1 The attached contains the performance outturn as of 31st December 2019 (Information compiled on 29th January 2019).

1.2 A summary by corporate plan aim is provided below:

1.3 Unlocking our Growth Potential

- 7 targets in total
- 5 targets on track
- 1 target has been achieved this quarter
- **G 05** - *Through the Bolsover North East Derbyshire LEADER Approach collectively support the creation of 40 sustainable jobs in the combined programme area by December 2020.* The programme closed nationally to new applications on 30th September 2019 and no further applications will be considered. Due to several individual projects cost savings, the amount contracted/claimed by the 37 approved projects totals £1,233,675.63 from an original award of £1,248,695.88. 68.82 jobs created.
- 1 target on alert i.e. it may not achieve its intended outcome
- **G 11** - *Through a programme of targeted refurbishment bring 10 empty private sector properties back into use per annum.* To date no properties brought back into use. 9 properties are in the process of being brought back into use. Once these have been completed, this should create 16 units of accommodation. See appendix for further information.

1.4 **Providing our Customers with Excellent Service**

- 10 targets in total
- 8 targets on track
- 2 targets on alert i.e. they may not achieved their intended outcomes
 - **C 10** - *Carry out 300 disability adaptations to Council houses each year. 200 welfare adaptations completed.* The works completed to date are larger, complex works i.e. wet rooms, ramps etc. A large schedule of smaller works (grab rails/handrails etc.) is currently being ordered. The demand for adaptations remains high and work planning will accommodate this. The lead officer expects this target to be met.
 - **C 13** - *Reduce average relet times of Council properties (not including sheltered accommodation) to 20 days by March 2020.* The outturn is 25 days which is the same as Q2. The standard was achieved in Q1 at 20 days.

1.5 **Supporting our Communities to be Healthier, Safer, Cleaner and Greener**

- 8 targets in total
- 7 target on track
- 1 target on alert
 - **H09** - *Achieve a combined recycling and composting rate of 47% by March 2019.* The Q3 estimate is 36.9%. The combined Q1, Q2 & Q3 performance is estimated at 43.75%. As noted previously it is not expected that this target will be met by 31st March 2020.

1.6 **Transforming our Organisation**

- 1 target in total and on track

2 Conclusions and Reasons for Recommendation

- 2.1 Out of the 26 targets 21 are on track (81%), 4 are on alert (15%) and 1 (4%) has been achieved.
- 2.2 This is an information report to keep Members informed of progress against the corporate plan targets noting achievements and any areas of concern.

3 Consultation and Equality Impact

- 3.1 Not applicable to this report as consultation was carried out on the original Corporate Plan.

4 Alternative Options and Reasons for Rejection

- 4.1 Not applicable to this report as providing an overview of performance against agreed targets.

5 Implications

5.1 Finance and Risk Implications

No finance or risk implications within this performance report.

5.2 Legal Implications including Data Protection

No legal implications within this performance report.

5.3 Human Resources Implications

No human resource implications within this performance report.

6 Recommendations

6.1 That progress against the Corporate Plan 2019-2020 targets to be noted.

7 Decision Information

Is the decision a Key Decision? A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds: <i>BDC:</i> Revenue - £75,000 <input type="checkbox"/> Capital - £150,000 <input type="checkbox"/> <i>NEDDC:</i> Revenue - £100,000 <input type="checkbox"/> Capital - £250,000 <input type="checkbox"/> <input checked="" type="checkbox"/> Please indicate which threshold applies	No
Is the decision subject to Call-In? (Only Key Decisions are subject to Call-In)	No
Has the relevant Portfolio Holder been informed	Yes
District Wards Affected	Not applicable
Links to Corporate Plan priorities or Policy Framework	Links to all Corporate Plan 2019-2020 aims and priorities

8 Document Information

Appendix No	Title
1.	Corporate Plan Performance Update – Q3 October to December 2019
Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)	
All details on PERFORM system	
Report Author	Contact Number
Kath Drury, Information, Engagement and Performance Manager	01246 242280

Bolsover District Council
Corporate Plan Targets Update – Q3 – October to December 2019

Status key

Target Status	Usage
 Achieved	The target has been successfully completed within the target date.
 On Track	The target is progressing well against the intended outcomes and intended date.
 Alert	The target is six months off the intended completion date and the required outcome may not be achieved.

Aim – Unlocking our Growth Potential

	Key Corporate Target	Directorate	Status	Progress	Target Date
13	G 01 - Through the use of Key Account Management develop a relationship with a minimum of 25 local businesses by March 2020.	Place	On Track	 Q3 - 6 businesses engaged with this quarter. To date 30 businesses engaged with the Team. A number of successful applicants from the first round of the Bolsover Business Growth Fund have come forward with new potential projects for Round 2, and this has led to new engagement.	Mar-20
	G 05 - Through the Bolsover North East Derbyshire LEADER Approach collectively support the creation of 40 sustainable jobs in the combined programme area by December 2020.	Place	Achieved	 Q3: The programme closed nationally to new applications on 30th September 2019 and no further applications will be considered. Due to several individual projects cost savings, the amount contracted/claimed by the 37 approved projects totals £1,233,675.63 from an original award of £1,248,695.88. Within the quarter support has been given to promoting other RDPE funds now available but managed centrally by the RPA and D2N2 and monitoring is ongoing. 68.82 jobs created.	Dec-20
	G 08 - Process all major planning applications 10% better than the	Place	On Track	 Q3: 100% - 8 out of 8 majors determined within 13 weeks or agreed extension of time.	Mar-20

Key Corporate Target	Directorate	Status		Progress	Target Date
minimum for special measures per annum.					
G 10 - Enable the development of at least 272 new residential properties within the district by March 2020	Place	Awaiting data		Q3 - The final total of completions will not be known until after the end of the financial year 2019/20 but we are on track to meet the target of 272.	Mar-20
G 11 - Through a programme of targeted refurbishment bring 10 empty private sector properties back into use per annum.	Place	Alert		<p>Q3 - Although no properties have been brought back into use to date in this year - there are currently 9 properties that are in the process of being brought back into use. All of these properties are in a poor condition and therefore require major works to be carried out, which is why they are all ongoing. Once completed these buildings will provide 16 units of accommodation - 7 of which will be for affordable housing.</p> <p>Action Housing are in the process of refurbishing an empty building in Whitwell which will be converted into 5 apartments. They are also progressing with the refurbishment of a long term empty property in Carr Vale which will be converted into 2 apartments. Both properties have been the source of numerous complaints from local residents and therefore returning them back into use will have a positive impact on the community and will provide much needed affordable housing.</p> <p>The 'Sustainable Tenancy Project' which is a leasing scheme co-ordinated by Action Housing is due to be rolled out in the District within the next 6 months. This scheme is designed to help individuals who need low level support to sustain their tenancy. A number of landlords and owners of empty properties have shown an interest in this scheme previously and therefore this will provide another option for owners who want to bring their property back into use. It will also provide</p>	Mar-20

Key Corporate Target	Directorate	Status	Progress	Target Date
			<p>much needed supported housing in the District.</p> <p>The empty property officer and environmental health are in the process of carrying out 2 enforced sales within the District. The properties are located in Langwith and Shirebrook. Numerous complaints have been received regarding both properties due to their poor condition and the impact they are having on the local community. It is expected that the sale of these properties will be completed within the next 6 months and the Council will publicise this to deter other owners from leaving their properties empty.</p> <p>A property in Carr Vale - which the Council assisted the owner to sell - is currently being refurbished by the new owner. The property will be rented out once up to standard and it is expected that the property will be completed within the next 6 months.</p> <p>The empty property officer along with environmental health have been supporting the owners of an empty property in Bolsover, which they have moved from due to it being unfit for habitation. Work has been carried out to tidy both gardens and officers have assisted the owners to retrieve items of sentimental value from the property. Although the owners have engaged it is clear that without enforcement action being taken - they will not dispose of the property and it will continue to lie empty. The property has attracted numerous complaints from local residents and the Planning Enforcement team are taking action due to its appearance. A valuation of the property has been carried out and the corporate enforcement group is due to meet to assess whether a Compulsory Purchase Order can be made. This</p>	

Key Corporate Target	Directorate	Status		Progress	Target Date
				<p>decision will be made within the next month.</p> <p>A further property has been referred to the energy provider that the Council has made links with and the owner is being supported with bringing their property back into use. The property is located in Palterton and has attracted numerous complaints from local residents. The Council are also in the process of clearing the garden to improve the property's overall appearance.</p>	
G 13 - Work with partners to deliver an average of 20 units of affordable homes each year.	Place	On Track		Q.3. - The total for the year is calculated after the end of the financial year. There are currently in excess of 20 affordable housing units under construction so we are confident that the target will be met.	Mar-20
G17 - Procure new partner for building next generation of council housing by 2020	Place	On Track		Q3 - The tender exercise has been undertaken evaluated internally for quality and the financial information received externally verified. This report is going to executive in late February	Mar-20

Aim – Providing our Customers with Excellent Service

Key Corporate Target	Directorate	Status		Progress	Target Date
C 06 - Prevent homelessness for more than 50% of people who are facing homelessness each year.	Place	On track		April - December 2019 146 approaches from people facing homelessness. 95 cases prevented from becoming homeless (this included 6 cases still open and receiving support. (65% in total)	Mar-20
C 07 - Install 150 new lifelines	Place			April - December 2019 109 units of equipment provided to older	Mar-20

within the community each year.		On track		vulnerable people. (Q3 Target 113 – within target)	
C 08 - Process all new Housing Benefit and Council Tax Support claims within an average of 20 days.	People	On track		Quarter 3 2019/20 = 14.91 days Quarter 2 2019/20 = 17.39 days	Mar-20
C 09 - Process changes to Housing Benefit and Council Tax Support within an average of 10 days.	People	On track		Quarter 2 2019/20 = 4.35 days Quarter 2 2019/20 = 4.08 days	Mar-20
C 10 - Carry out 300 disability adaptations to Council houses each year.	Place	Alert		April - December 2019 - 200 adaptations completed. These include larger complex works e.g. wet rooms. There are currently a large number of smaller works scheduled and these will be completed during this quarter. Lead officer expects target to be met by March 2020. (Q3 Target 225)	Mar-20
C 11 - Monitor performance against the corporate equality objectives and publish information annually	People	On track		Q3 - The following corporate documents have been reviewed, issued and published - the reasonable adjustments form and guidance, and the Equality Impact Assessment (EIA) form and guidance. A light touch review of the Joint Equality Policy for Service Delivery has been undertaken too. The last Equality Panel meeting for 2019 was held on 20/11/19 with group members enjoying the revised format and presentations/discussions with service managers. Corporate equalities training was delivered on 10/12/19 to new members of staff from both Councils in addition to existing staff who were attending in a 'refresher' capacity. The Council also adopted the Anti-Semitism definition at Council on 13/11/19.	Mar-20
C12 - Ensure a minimum of 50% of clients experiencing Domestic Violence each year are satisfied with the support they received.	Place	On track		Q3: A total of 44 new referrals were received during Q3, 28 of which were high risk. A total of 4 did not engage with the service and 7 feedback forms have not been completed yet. Positive responses (100%) were received from 33 service users	Mar-20

C 13 - Reduce average relet times of Council properties (not including sheltered accommodation) to 20 days by March 2020.	Place	Alert		Q3 2019/20 the average relet time for the quarter is 25 days (including sheltered housing the overall average was 44 days). Spreadsheets showing how these figures have been calculated and also a breakdown of the stages involved in the void stages will be issued. (Q1 actual 20 days, Q2 actual 25 days).	Mar-20
C 14 - Attend 98% of repair emergencies within 6 working hours	Place	On track		Q3 - 1028 emergencies attended Oct-Dec with 18 outside 6hr target achieved 98.28%	Mar-20
C 15 - Ensure a minimum of 50% of clients receiving parenting support each year express a positive outcome.	Place	On track		Q3 no courses have been delivered this quarter however a Living with Teenagers course will be held in Quarter 4. One positive exit questionnaire received for support received on a one to one basis.	Mar-20

Aim – Supporting our Communities to be Healthier, Safer, Cleaner and Greener

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Key Corporate Target	Directorate	Status		Progress	Target Date
H 01 - Deliver a minimum of 8000 hours of positive activity through community based culture and leisure engagement per year.	People	On Track		Q3 The target figure for the year is 8000 hours, actual performance to end of quarter 3 is 8074.	Mar-20
H 02 - Increase participation/attendances in leisure, sport, recreation, health, physical and cultural activity by 3,000 per year.	People	On Track		Q3 - Year end target is 300,000 attendances. Actual to date is 279,449 on track to exceed annual target	Mar-20
H 03 - Deliver a health intervention programme which provides 485 adults per year	People	On Track		Q3 - Bolsover District Council is commissioned by Bolsover Partnership and County Public Health to deliver a Health Intervention programme, the combined number of people starting	Mar-20

Key Corporate Target	Directorate	Status		Progress	Target Date
with a personal exercise plan via the exercise referral scheme.				this programme in the first half year is 461, against an annual target of 485. Slightly ahead on quarter target.	
H 09 - Achieve a combined recycling and composting rate of 47% by March 2020.	People	Alert		Q3 Is estimated based on performance ending September 2018 (36.9%) of 2719 tonnes collected between October and December, due to Waste Data Flow information not being available until March 2020. The combined Q1, Q2 & Q3 performance is estimated at 43.75%. Q2 Actual 47.5%	Mar-20
H 10 - Sustain standards of litter cleanliness to ensure 96% of streets each year meet an acceptable level as assessed by Local Environment Quality Surveys (LEQS).	People	On Track		Q3 - LEQS's established 4% of streets and relevant land surveyed for litter fell below grade B cleanliness standards resulting in 96% meeting the target standard.	Mar-20
H 11 - Sustain standards of dog fouling cleanliness to ensure 98% of streets each year meet an acceptable level as assessed by Local Environment Quality Surveys (LEQS).	People	On Track		Q3 - LEQS's established 0% of streets and relevant land surveyed for dog fouling fell below grade B cleanliness standards resulting in 100% meeting the target standard	Mar-20
H 12 - Annually undertake 15 local environmental enforcement and educational initiatives in targeted areas to deal with dog fouling, littering or fly tipping.	Place	On Track		6 events and initiatives were undertaken during quarter 3. The details are as follows: Enforcement patrol -Clowne PDSA event - The Hub South Normanton PDSA event - Shirebrook Enforcement patrol -South Normanton Enforcement patrol - Barlborough Enforcement patrol - Bolsover	Mar-20

Key Corporate Target	Directorate	Status	Progress	Target Date
			<p>To date 9 initiatives completed.</p> <p>Lead Officer confirms 6 initiatives planned in Q4</p>	
H 17 - To deliver the Building Resilience Programme by September 2019	People	On track	<p>Q3 - Full details of activity can be found in the Partnership's bi-annual report (http://www.bolsover-partnership.co.uk/images/documents/Reports/Bi-annual-report-april-to-september-2019.pdf) . Six of the nine programme strands completed at the end of September; three have been extended to March 2020. A full evaluation of Phase 1 has been completed and the final document is expected to be finalised Jan/Feb 2020. Funding has been received for Phase 2 of the Building Resilience Programme which will be used to deliver the following strands of activity:</p> <p>Business Forum Co-ordinator - Following a tender process, East Midlands Chamber of Commerce have been appointed to lead this area of work. Their contract which commenced in July 2019 and will run until April 2020 aims to develop a strong business forum focussed on the retailers in and around the market square, market traders, and businesses from the wider town and provide co-ordinated development and delivery of an action plan for the forum.</p> <p>Multi User Games Area (MUGA) at Rainbow Park - Bolsover District Council is leading the procurement of this work, which will provide further enhancements at Rainbow Park through the installation of a MUGA. This is intended to reduce anti-social behaviour in the area.</p> <p>Teaching Assistant/Family Liaison Support - additional teaching assistant/family liaison support at 3 schools with highest levels of pupils with English as an additional language. This was as a result</p>	Sep-19

Key Corporate Target	Directorate	Status	Progress	Target Date
			<p>of learning from Phase 1 that identified the additional support would be most effective at primary, rather than secondary, age.</p> <p>Welcoming Information Pack - to be designed both in hard copy and online formats, the provision of service information packs to aid migrants and support integration</p> <p>Landlord's Forum - as a result of the work undertaken in Phase 1, this area of work will see the establishment of a landlord's forum to improve housing and wider impacts.</p>	

Aim – Transforming our Organisation

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Key Corporate Target	Directorate	Status	Progress	Target Date
T 13 - Increase on-line self-service transactions dealt with by the Contact Centre by 20% each year.	People	On Track	<p>Q3 - Online transactions = 1666 (882 Online/Self Service & 784 Webchats) to date 4898 online transactions. This is 22% above the annual target (4003).</p> <p>Q3 - 534 new SELF accounts created, to date 3409 accounts created in total.</p> <p>Ongoing promotion is being delivered by customer advisors, signposting customers to the website Self facility via Webchat by updating the webchat templates to incorporate weblinks to SELF. Staff are proactive with face to face and telephony promoting the online channels to customers regarding the convenience and availability of forms available via the website - Self, Repairs, payments etc.</p> <p>Internal staff Quality Monitoring form has been updated with online promotion as an indicator.</p>	Mar-20

Key Corporate Target	Directorate	Status	Progress	Target Date
			(Target for on-line transactions for 2019/20 is 4003 (this is 20% increase on 3336 - all Online Self (2350) and Webchat (986) contact during 2018/19). From 01/04/19 baseline and target measurement to include webchats also to reflect all online activity).	

Bolsover District Council

Executive

9th March 2020

Risk Management Strategy 2020

Report of the Portfolio Holder - Finance and Resources

This report is public

Purpose of the Report

- To seek approval of the Council's new approach to 'Risk Management' and the adoption of the new 'Risk Management Strategy'.

1 Report Details

Background

- 1.1 The risks facing the Council are many and varied and the approach to managing those risks should be applied within decision making processes. Risks will change over time so need continual monitoring, the approach to risk management should also be continuous with a structured review process. A comprehensive review of the Council's risk management framework has now taken place to ensure that the continued effective and systematic management of risk is achieved.
- 1.2 The attached 'draft' of a new 'Risk Management Strategy' – **Appendix 1** - has been produced which includes a revised approach to the following;
 - The nature of 'risk' both the 'threats' and the 'opportunities'
 - The benefits of a robust risk management approach
 - The Council's risk appetite
 - Risk categorisation – *Operational, Governance, Strategic*
 - Project and Partnership risk
 - The Council's risk management approach and arrangements including a new 'Risk Management Group'
 - Roles and responsibilities including *Senior Risk Officer* and *Senior Information Risk Officer* (SRO and SIRO)
- 1.3 This Strategy sets out the mechanisms and processes for both the maintenance and development of Risk Management within the Council's operational framework. Whilst the main focus of the arrangements set out within this Strategy will be in respect of the Council's own activities, it also recognises that key elements of the Council's service delivery may well be delivered by way of Partnership working. Accordingly the Council's own risk management approach

needs to ensure that the risks arising from partnering with others are appropriately addressed as part of this Strategy.

- 1.4 The Strategy details the need for the Council to be risk aware rather than risk averse as the decision whether to accept risk should be taken in light of the potential benefits of a proposed course of action. The extent to which the Council is risk averse, will undoubtedly impact on its potential to progress available opportunities to secure benefits for local residents.
- 1.5 Risk management, both in the identification of risks and the action taken to address the risks, needs to be flexible and have the ability to respond to change. National policies, service delivery arrangements, national and local circumstances, together with Council priorities will change and evolve over time. Risk Management focus and arrangements need to adjust in order to ensure that current threats and opportunities are effectively addressed and not stifled by inappropriate risk management arrangements.
- 1.6 The Strategy also details the need to establish a 'Risk Management Group'. This shall be elected Member led and will include the Council's Senior Risk Officer (SRO), Senior Information Risk Officer (SIRO), S151 Officer, representation from senior management, Internal Audit and Health and Safety. The group will provide a comprehensive oversight of risk throughout the organisation and be the conduit to and from the whole organisation in terms of risk management.
- 1.7 The group will regularly and consistently oversee, at least quarterly, all of the risk registers ensuring they are up to date and accurate whilst offering challenge to the assessment process itself. It will be responsible for risk management reporting to stakeholder groups across the Council and support the production of the Annual Governance Statement. The group will lead on the development and review of all risk related policies, plans and strategies across the Council and will oversee and champion the implementation of the Risk Management Strategy and associated action plan including training 'relating to' and the 'embedding of' an effective risk management culture.

2 Conclusions and Reasons for Recommendation

- 2.1. The Council is committed to maintaining, developing and actively monitoring the operation of a formal and systemic approach to Risk Management. The key objectives of this Strategy meet that commitment, these are detailed below;
 - To operate in line with best practice and update our approach to reflect evolving best practice
 - To protect service delivery arrangements, the reputation and the financial position of the Council by managing risk effectively
 - To maintain and strengthen robust managerial and governance arrangements within the Council
 - To promote risk awareness, risk intelligence and risk management throughout the Council
 - To ensure programme, project and partnership risk is effectively managed
 - To ensure there are clear roles, responsibility and accountability for risk management within the Council

- To ensure the effective identification of risks relating to service delivery, a new project, new initiative, external origins or circumstance to ensure fully informed decisions are made and measures to mitigate or exploit are in place
- To ensure that the Council has a fully informed level of awareness of its overall risk exposure

3 Consultation and Equality Impact

3.1. There are no equalities issues arising from this report. The new Strategy development journey has included consultation with; Cabinet Member for Finance and Resources; SAMT; Audit Committee and specific Council officers including; Head of Finance and Resources and S151 Officer, Monitoring Officer and Head of Internal Audit.

4 Alternative Options and Reasons for Rejection

4.1. Under relevant good practice and to facilitate the development of robust managerial arrangements the Council is required to have in place a robust risk management framework - the alternative of not providing this is therefore not recommended.

5 Implications

5.1 Finance and Risk Implications

5.1.1 There are no specific financial implications arising out of this report.

5.1.2 Risk Management issues are covered throughout the body of the main report.

5.2 Legal Implications including Data Protection

5.2.1 This strategy will help to satisfy the requirements of the Chartered Institute of Public Finance and Accountancy (CIPFA) Framework on Corporate Governance which requires the Council to make public assurance statements to stakeholders on, amongst other areas, the authority's risk management strategy, process and framework.

5.3 Human Resources Implications

5.3.1 There are no additional human resource requirements or issues arising directly out of this report.

6 Recommendations

6.1. That Executive approve the Council's new approach to 'Risk Management' and the adoption of the new 'Risk Management Strategy'.

7 Decision Information

<p>Is the decision a Key Decision? A Key Decision is an executive decision which has a significant impact on two or more District wards or which results in income or expenditure to the Council above the following thresholds: BDC: Revenue - £75,000 <input type="checkbox"/> Capital - £150,000 <input type="checkbox"/> NEDDC: Revenue - £100,000 <input type="checkbox"/> Capital - £250,000 <input type="checkbox"/> <input checked="" type="checkbox"/> Please indicate which threshold applies</p>	No
<p>Is the decision subject to Call-In? (Only Key Decisions are subject to Call-In)</p>	No
<p>Has the relevant Portfolio Holder been informed</p>	Yes
<p>District Wards Affected</p>	None directly
<p>Links to Corporate Plan priorities or Policy Framework</p>	All

8. Document Information

Appendix No	Title
1	Risk Management Strategy 2020
<p>Background Papers (These are unpublished works which have been relied on to a material extent when preparing the report. They must be listed in the section below. If the report is going to Cabinet (NEDDC) or Executive (BDC) you must provide copies of the background papers)</p>	
<p> </p>	
Report Author	Contact Number
Lee Hickin – Joint Strategic Director People	7218



RISK

Management Strategy — 2020

*Managing the
threats, maximising
the opportunities*

Bolsover
District Council

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Introduction

When we think of 'Risk' most of us are conditioned to think of this in a negative sense - the risk of a negative outcome. Increasingly however, there is a realisation that risk is a double sided concept, with both positive and negative outcomes. To manage risk effectively we need to perhaps think of risk as 'uncertainties that affect us' - not all of which are bad. In other words; an uncertainty that, if it occurs, will have a negative effect might be seen as a **Threat**, whereas an uncertainty that, if it occurs, will have a positive effect might be known as an **Opportunity**. Both of these are 'uncertainties that affect us'.

Risk is integral to everything we do, every action we take, every decision we make - part of our everyday. Whether we realise it or not we are managing risk constantly - it is our attempt to prevent something going wrong and causing us harm or helping something to go well and producing benefits. When driving we will wear a seatbelt, when it comes to our money we will keep it in a bank and when the clouds are grey we might choose to take an umbrella with us on our way to work... these are all risk management decisions and actions designed to either reduce the potential consequence or support the realisation of the benefits associated with our actions.

None of these 'risk management' decisions and actions however, will either remove the threat or guarantee the benefits completely... for example; wearing a seatbelt will not remove the risk of accident or injury, it may however allow us to manage the risk to a level that allows us to make the decision to drive a car. If

our aim is to remove the threats associated with driving the car completely, then we simply don't drive the car - this would of course also result in the loss of the possible benefits resulting from driving the car. Taking risks therefore is an inevitable part of our daily lives - without risk taking we simply could not advance, progress and achieve.

Risks will however be interpreted differently by each individual because we all have a different perception of the threat or opportunity depending on our propensity to take risk or avoid it. Using the car as an example, wearing a seatbelt and driving at a certain speed will be enough for some of us to manage the threat presented whilst enjoying the benefits, for others they may choose to manage this threat further by avoiding a motorway or driving at busy times, this approach will of course impact upon the benefits or opportunities too. This is known as our **Risk Appetite**, the level of risk that an individual is prepared to take in order to pursue their goals.

When considering the business of the Council, the same principles apply. Risk taking is something we simply can't avoid... therefore, the success and operability of our organisation depends on how well we manage our risks. We need to know what they are, understand them, identify ways to mitigate or exploit them and control them in line with our organisational risk appetite. Where risks are effectively managed, the chances of achieving our objectives will be optimised. Conversely, poor risk management will reduce the likelihood of success.

Scope and Objectives

This Strategy sets out the mechanisms and processes for both the maintenance and development of Risk Management within the Council's operational framework. Whilst the main focus of the arrangements set out within this Strategy will be in respect of the Council's own activities, it also recognises that key elements of the Council's service delivery may well be delivered by way of Partnership working. Accordingly the Council's own risk management approach needs to ensure that the risks arising from partnering with others are appropriately addressed as part of this Strategy.

Our organisation needs to be risk aware rather than risk averse as the decision whether to accept risk should be taken in light of the potential benefits of a proposed course of action. The extent to which the Council is risk averse, will undoubtedly impact on its potential to progress available opportunities to secure benefits for local residents.

Risk management, both in the identification of risks and the action taken to address the risks, needs to be flexible and have the ability to respond to change. National policies, service delivery arrangements, national and local circumstances, together with Council priorities will change and evolve over time. Risk Management focus and arrangements need to adjust in order to ensure that current threats and opportunities are effectively addressed and not stifled by inappropriate risk management arrangements.

The Council is committed to maintaining, developing and actively monitoring the operation of a formal and systemic approach to Risk Management. The key objectives of this Strategy are as follows:

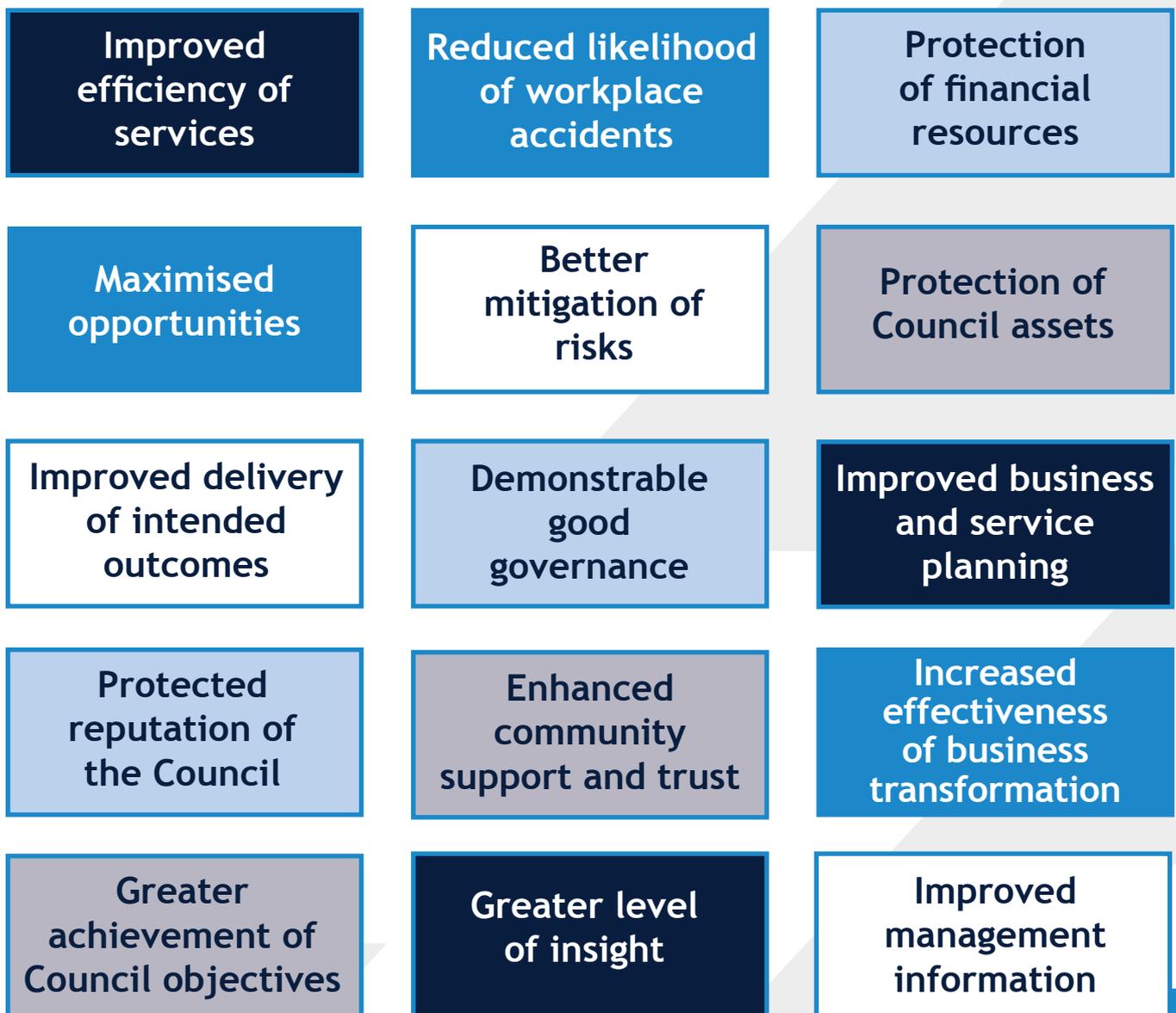
- To operate in line with best practice and update our approach to reflect evolving best practice
- To protect service delivery arrangements, the reputation and the financial position of the Council by managing risk effectively
- To maintain and strengthen robust managerial and governance arrangements within the Council
- To promote risk awareness, risk intelligence and risk management throughout the Council
- To ensure programme, project and partnership risk is effectively managed
- To ensure there are clear roles, responsibility and accountability for risk management within the Council
- To ensure the effective identification of risks relating to service delivery, a new project, new initiative, external origins or circumstance to ensure fully informed decisions are made and measures to mitigate or exploit are in place
- To ensure that the Council has a fully informed level of awareness of its overall risk exposure

Benefits of Risk Management

The challenges faced by local government in recent years have been significant often resulting in a great deal of uncertainty - 'uncertainty that affects us' or in other words 'risk'. Our ability to manage these risks or those 'uncertainties that affect us', both the threats and the opportunities, will have a direct bearing on the Council's ability to succeed.

Risk management is a tool and should not be seen as something we 'must do' but rather something we 'need to do' to achieve the Council's objectives. It is an essential tool in helping to bring a greater level of understanding of those risks; it enables the Council to be more prepared, more resilient to change, more able to minimise threats and more able to seize opportunities.

Below are a number of widely accepted benefits resulting from the effective management of risk:



Risk Categorisation



Risk management is a complex subject due in part to the multi-dimensional nature of the risks that we face, the illustration on the previous page highlights some of these along with a high level categorisation of risk types. Some risk areas will have varying risk types, for example; Financial risks may be identified within all broad risk type categories; Strategic - perhaps due to legislative change; Operational - service area budgets; and Governance - the way we deal with our Treasury Management for instance. The endless nature of risk management makes it impossible to list every single risk and future risk specifically within this document, the following areas do however provide an approach that will support the identification and appropriate management of risks in the context of our organisation.

Strategic Risks

Strategic Risks are those which have the potential to have a significant impact upon the Council as a whole. Such risks might include; changes in government policy; legal and regulatory change; Brexit; environmental and social factors and high operational risk factors such as investment, safeguarding and emergency planning. Due to the nature and scale of the possible threat and potential opportunity arising from this level of risk, strategic risks should be owned by the Senior Management Team.

In order for the Council to have a clear overall position in relation to its strategic risks and to be able to track and review them regularly, strategic risks will be contained within the Councils **Strategic Risk Register**. This register identifies the strategic risks facing the Council so that elected Members and senior management

can make informed decisions and prioritise actions, with these high level risks in mind.

Operational Risks

Operational Risks are those that relate to a given service area which have the potential to have a significant impact on the delivery of that service. These might include; human resources; health and safety; procurement; asset management and systems failure. These risks are more closely associated with the 'day to day' operation of the service areas within the Council, service based risks that may prevent individual service aims and objectives being met.

Risks within this category are identified, assessed and dealt with within the operational service area. These risks are contained within an **Operational Risk Register** that is unique to the given service area, although the process by which they are managed remains the same as those of a strategic nature.

Governance Risks

Governance related risks are those that relate to 'how we do things' as an organisation, including; how we manage our risks. These might also include; the Council's Constitution; data protection; policy and strategy; leadership and accountability; contracting arrangements and performance management. As with high level operational risks, governance related risks might also be managed as strategic risks, depending upon the nature and scale of the risk. Ordinarily however, these risks are associated with the broader organisational 'day to day' framework of running our organisation. Risks associated

with the Council's governance will feature in both the Operational Risk Registers of those service areas who 'own' the governance related risk along with the Strategic Risk Register where appropriate.

Project Risks

Project risks are those risks that are integral to or arise during the lifecycle of a project. These may relate to; roles and responsibilities; timescales; resources; objectives; communication and monitoring for example. These risks will usually start and end with the project and need to be treated separately to those linked with the everyday operation of the Council.

With projects, it is vitally important that risks are identified and assessed early in the planning process. When undertaking a project, the Council will create a **Project Plan** in order to effectively manage the project, the plan might include; scope management; planning and delivery; budget; monitoring and control; administration; communication and risk management.

The project related risks are managed through a **Project Risk Register** which is developed specifically for the project at hand and maintained throughout the life of that project.

Partnership Risks

Reduced public service funding is leading to more services and community projects being delivered through different forms of partnership involving the public, private and third sector. Partnership working can take many forms including; integrated services; joint ventures; shared procurement; and co-ordination of activities. The use of risk management to mitigate threats whilst also exploring opportunities is key to ensuring that collaborative working arrangements contribute positively to service delivery. Partnership related risks might include; lack of relevant skill levels; differing legislative environments of the partners; differing governance arrangements and differing agendas.

Effective partnership working is not an easy process and often requires a significant investment of time and energy to build trust between the partners and to develop the working relationships required to ensure successful delivery of the project or service. Key considerations prior to entering into or reviewing a partnership need to include whether or not; the partnership helps secure the Council's objectives; it provides value for money; there are any alternatives; the governance arrangements are robust; and whether or not the Council have a legal duty or duty to enter into the partnership at all.

The risks related to the partnership will be managed through a **Partnership Risk Register** which is developed specifically for the partnership at hand and maintained throughout the life of that partnership.

Risk Management Process

To ensure risk management is effective it must be part of an overall framework and be supported by processes and procedures - a systemic and consistent approach. Whether the 'risk' poses a threat or an opportunity - the stages remain the same. A '*Risk Assessment*' template/form shall be used when carrying out the stages below - the findings of which will be included on the appropriate 'Risk Register'.

RISK IDENTIFICATION

Threats or opportunities which might prevent or help achieve, delay or accelerate the objectives of the Council



RISK ANALYSIS & ASSESSMENT

Following identification of the threats/opportunities, the risks need to be assessed



RISK CONTROL

Taking risk appetite into account, the risks now need to be controlled



RISK MONITORING

Most risks will change over time, timely, regular and appropriate monitoring must take place

Risk Identification

The identification of risks will be the result of a variety of sources and endeavours including but not limited to; lessons learned and analysis of previous events; technical briefings; national reports; workshops; team meetings; networking; management experience; and through a 'staple' element of the **Risk Management Group** - something we will cover in later sections of this strategy. Another key source of risk identification will of course be the business/service planning process where SWOT (strengths, weaknesses, opportunities, threats) and PESTEL (political, economic, social, technological, environmental, legal) analysis takes place.

Traditionally this stage of the risk management process has focussed on the things that can go wrong or the threats, if the organisation wishes to improve outcomes however, then it must search for the 'upside risks' or opportunities to make things better and maximise any potential benefits that may also be available. If an opportunity risk is identified, decisions can be made to pursue and increase the likelihood/impact of the opportunity - i.e. it can be managed in the way a negative risk can, to make the most of the potential offered.

N.B. It is important to note here that when attempting to capture the opportunity risk description that we do not attempt to replace or duplicate the 'purpose' or 'rationale' for a given activity. Opportunity risk is not the argument or reason for doing something - it is the awareness and control of the 'uncertainties that matter' in relation to the 'upside' risks involved with the activity or issue at hand.

Risk Analysis and Assessment

Once the risks have been identified and articulated they need to be assessed using the **Risk Matrix** in terms of the '**Likelihood**' of them occurring and the '**Impact**' of them if they do. This will provide an indication of the '**Inherent risk**' - the level of risk prior to any action being taken.

Likelihood is scored based upon probability of the risk occurring and impact based on the consequences of the risk occurring. Taking each threat/ opportunity in turn the risk should be assessed using the impact/ likelihood tables. The ratings may well be mixed as one overarching risk could have a number of threats/opportunities associated with it, for example the consequence may carry a moderate threat financially but may have a significant impact upon reputation.

Once the consequence is understood for all of the threats/opportunities associated with the risk, a 'best fit' impact rating shall be determined and the '**Inherent Risk Value**' identified. For example; if the impact of all of the threats/opportunities associated with the risk are significant with only one moderate, then the overall impact would be significant. It is important to note that the tables and descriptions are not and can never be exhaustive, they are designed to give a common perspective but not to be prescriptive.

Risk Matrix

IMPACT	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
		1	2	3	4	5
LIKELIHOOD						

Impact Table

Score	Description	Examples/guidance
5	Catastrophic	Risks that can have a catastrophic impact on the operation of the Council or service, for example; <ul style="list-style-type: none"> • Death • Unable to function without Government or other agency intervention • Inability to fulfil obligations • Adverse national publicity - highly damaging, loss of public confidence
4	Severe	Risks which can have a severe impact on the operation of the Council or service, for example; <ul style="list-style-type: none"> • Extensive injury, major permanent harm • Significant impact on service objectives • Short to medium term impairment to service capability • Major adverse local publicity
3	Moderate	Risks which have a noticeable impact on the services provided. Will cause a degree of disruption to service provision / impinge on the budget, for example; <ul style="list-style-type: none"> • Medical treatment required, semi-permanent harm up to 1 year • Short term disruption to service capability • Significant financial loss • Some adverse publicity, needs careful public relations
2	Minor	Risks where the impact and any associated losses will be minor, for example; <ul style="list-style-type: none"> • First Aid treatment, non-permanent harm up to 1 month • Minor impact on service objectives • Financial loss that can be accommodated at service level • Some public embarrassment, no damage to reputation
1	Negligible	Risks where the impact and any associated losses will be small, for example; <ul style="list-style-type: none"> • No obvious harm or injury • Negligible impact on service capability • Minimal financial loss • Unlikely to cause any adverse publicity, internal only

Likelihood Table

Score	Description	Examples/guidance
5	Common	<ul style="list-style-type: none"> • Is expected to occur in most circumstances • Perhaps annually or more frequent
4	Likely	<ul style="list-style-type: none"> • Will probably occur in most circumstances • Not persistent, perhaps once in 3 years
3	Foreseeable	<ul style="list-style-type: none"> • Could occur in certain circumstances • Perhaps once in 10 years
2	Occasional	<ul style="list-style-type: none"> • May occur in exceptional circumstances • Not expected to happen, perhaps every 25 years
1	Freak event	<ul style="list-style-type: none"> • Is never likely to happen or no knowledge of this happening before • Very unlikely, perhaps once in 50 years

Risk Control

When deciding how to control the ‘downside’ risks or threats there are four options available, sometimes more than one option may be chosen, the Council could transfer and treat for example;

Negative Risk (threat) Control Measures			
<p>Transfer E.G. Insurance, Outsource, Partnerships</p>	<p>Treat E.G. Mitigation, Likelihood & Consequence</p>	<p>Tolerate Understand and live with the risk</p>	<p>Terminate Avoid the risk, Do not pursue</p>

Transfer the Risk - this might include transferring some of the consequence to an insurer e.g. legal liability, property, vehicles etc. Other examples might include services being delivered on the Councils behalf through outsourcing. When deciding to transfer, it must be acknowledged that this does not mean that the risk disappears, some risks may whilst others remain such as responsibility for the service being delivered and the reputational risk remaining with the Council for example.

Treat the Risk - the risk at this stage is unacceptable to the Council as it stands. Action needs to be taken and controls put in place to mitigate and reduce the risk to an acceptable level - the ‘Residual risk’. This might include putting procedures in place or modifying the activity to reduce the risk.

Tolerate - the Council intends to do nothing different to manage the risk identified aside from the usual management arrangements that are in place.

Terminate - the risk is so significant that even with control measures in place or modifications being made, the risk cannot be reduced to an acceptable level for the Council.

When attempting to control the ‘upside’ risks or opportunities, the four options above will be replaced by the three below;

Positive Risk (opportunity) Control Measures		
<p>Share E.G. Joint Venture, Design and Build Contract</p>	<p>Enhance E.G. Action, Likelihood & Consequence</p>	<p>Accept Understand and accept the risk</p>

Share - the benefits of the opportunity risk might be shared, a project being completed early for instance which would save money overall.

Enhance - using the project example again, action might be taken to improve the likelihood and consequence of the project completing early.

Accept - as with tolerating a threat, the Council intends to do nothing different to manage the risk identified aside from the usual management arrangements that are in place.

By this stage, using the '**Risk Assessment**' template/forms, the risks have been identified and analysed taking into account any current controls in place, giving an '**Inherent Risk Value**', beyond this other control measures may have been put in place resulting in a '**Residual Risk Value**'. The Council will now consider the residual risk and decide how this fits with the Councils '**Risk Appetite**' in terms of acceptability - this shall be detailed in a later section of the strategy.

Risk Monitoring

Now that the risks have been identified, analysed, controlled and scored according to the risk matrix, the final stage of the effective risk management process begins - risk monitoring. It is critical that risk assessments and action plans relating to them are monitored and reported on regularly to ensure progress is being made in both the management of the threats, or the taking advantage of the opportunities.

Risk registers are an important tool within the risk monitoring stage as long as they are kept up to date and accurate. Previously identified risks will change over time; some may become less of an issue once planned activity has taken place, therefore reducing the likelihood of the risk occurring. Others may have an increased level of risk due to external changes or important milestones approaching. When things change, or at a given frequency, the reassessment of the risk is necessary.

When reviewing, the following should be considered;

- Is the risk still valid?
- Has any of the circumstances or the situation changed?

- Has any planned mitigation/treatment/enhancement or action now taken place which has affected the '**Residual Risk Value**'?
- Has the planned mitigation/treatment/enhancement or action been deemed effective?
- Is there more that the Council should be doing?
- Has the threat/opportunity passed?

Along with those sources listed in the Risk Identification stage previously, the risk monitoring and review stage is also a good time to consider the following;

- Has anything new happened either externally or within the service, department, Council, project or partnership?
- As a result, are there any new threats or opportunities facing the service, department, Council, project or partnership?

Part of the monitoring process is of course '**Risk Reporting**'. This is required to ensure that managers, senior officers and elected Members are fully aware of the risks when making decisions and taking any action. Effective risk reporting should provide management and elected Members with assurance that all risks have been identified, assessed, controlled and are being effectively monitored - this shall be detailed further in a later section of the strategy.

Risk Appetite

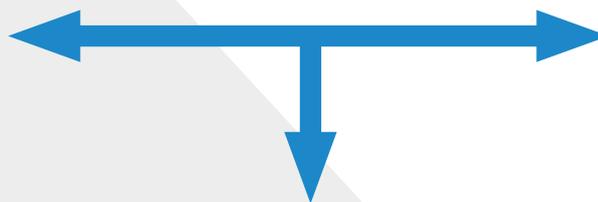
Risk appetite for local authorities on the whole will most likely be lower than that of many other organisations due in part to the regulatory nature of most of its services and because of its stewardship obligations for public resources. It is however, increasingly important for the Council to identify innovative solutions and new ways of working in the delivery of its services and operations.

New opportunities or changes to the way we do things will often bring new risks, both specific to the change at hand and to the Council as a whole. A key determinant in the risk management process is the Council's risk appetite and the scalability of this depending upon the individual circumstances.

The Council's risk appetite in relation to a given opportunity needs to be gauged individually to ensure that the tolerance level of the risks at hand are adjusted in accordance with the level or scale of the risk. A specific project may well have a different risk tolerance level to that of the wider operation of the Council or a health and safety matter for example. The Council should not be risk averse but risk aware and able to accept risk at a level that meets the Council's risk appetite.

Risk aware

Sensible management of threats and opportunities



Risk unaware

- Exposed to threats
- Too opportunity focussed

Risk averse

- Excessive management of threats
- Do not maximise opportunities

As mentioned previously, effective risk management is about managing uncertainties that affect us, this includes both the negative uncertainties or threats and the positive uncertainties or opportunities. Effective risk management aims to minimise the likelihood and impact of the threats whilst maximising the likelihood and impact of the opportunities.

Acknowledgement and awareness of the two aspects of risk – the ‘upside’ and ‘downside’

increases the importance of an effective risk appetite framework which has the ability to be repositioned along the continuum on the previous page in line with the given subject matter at hand.

Generally speaking, the amount of risk that the Council are willing to take on, tolerate or be exposed to in the pursuit of its objectives can be illustrated below;

Risk Matrix

IMPACT	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
		1	2	3	4	5
	LIKELIHOOD					

Green = Low Priority - no immediate action other than to set a review date to re-consider assessment.

Amber = Medium Priority - check current controls and consider if others are required.

Red = High Priority - must take action to mitigate or terminate if not possible to do so.

Any threats that are an unacceptable level to the Council have to be mitigated as far as possible. Where a proposed activity has a residual risk value that is considered unacceptable and there is no means of reducing this value, then the activity will be rejected. Therefore the Council’s risk appetite threshold is 15 or above, in other words if the residual risk is 15 or above the Councils risk appetite has been exceeded and the activity will be terminated.

There may be however, occasions where there is a statutory obligation to undertake a given activity despite the risk exposure. There may also be occasions where, in entrepreneurial terms, it will be appropriate to take measured but increased levels of risk in furtherance of the Council’s business objectives.

In determining the Council’s risk appetite, elected Members and senior officers will consider many things including, but not limited to the following;

- Wider macro-economic factors including legislation
- The level of risk that can be justified
- The Council’s capacity to bear the risk
- The Council’s resource, expertise and skill-set for taking the risk
- The extent and prevalence of operational and commercial opportunities capable of being exploited by the Council

Our Risk Management Arrangements

This strategy sets out to ensure that effective risk management is embedded throughout all levels of the Council. Whether it relates to ‘day to day’ service delivery or the decision making process of elected Members, the Council and its employees need to know what the risks are, understand them, identify ways to mitigate or exploit them and control them in line with the Council’s risk management processes and appetite.

Risk Management Roles and Responsibilities

Elected Members

All elected Members are responsible for effective governance in the delivery of services to the local community and the achievement of the Council’s objectives. Elected Members have a responsibility to understand the risks that the Council faces and will be made aware of how these risks are being managed through a variety of mechanisms including, but not limited to; the corporate, strategic and service planning and delivery process. It is the responsibility of all elected Members to support and promote an effective risk management culture and consider the risks associated with recommendations put forward in reports to the various committees at which decisions are made.

Executive

Executive has a fundamental role to play in the management of risk. Its role is to set the risk appetite and influence the culture of risk management within the organisation. Executive will ensure that risks are fully considered as part of every decision it makes whilst ensuring effective procedures are in place to monitor the management of significant risks. Executive will establish Portfolio Holder representation on the Risk Management Group and regularly review the content of the strategic risk register. Executive will periodically review the Council’s approach to risk management and approve changes or improvements to processes and procedures.

Audit Committee

The Audit Committee has responsibility for overseeing all aspects of Risk Management, Governance and Internal Control. The Committee will provide guidance and oversight to the management of risk but also challenge the effectiveness of the risk management arrangements within the Council. The Committee will look to seek assurance for the Council that risk management is being effectively undertaken and that all risk related processes and procedures are being implemented. To this end, the Committee will receive reports on behalf of the Council including but not limited to; Quarterly Risk

Management Group reports, Internal Audit reports, External Audit reports and the Annual Governance Statement.

Scrutiny

In their role of scrutinising decisions taken by the Executive, Scrutiny Members should ensure that associated risks have been taken into account. Scrutiny Committees also have a role in bringing potential risks that have not previously been identified to the attention of the organisation.

Head of Paid Service

The Head of Paid Service leads on the wider Corporate Governance arrangements of the Council of which Risk Management is a part. The Head of Paid Service has ultimate responsibility for risk management within the paid service and will support the Senior Risk Officer (SRO) and Senior Information Risk Officer (SIRO) in carrying out their roles and responsibilities.

Senior Risk Officer (SRO)

The SRO plays an important role in raising the profile and promoting the benefits of risk management to elected Members and officers. The SRO also ensures that the accountability and responsibility of elected Members, officers and staff is understood by embedding risk management throughout every level of the Council and by overseeing the implementation of the Risk Management Strategy and Action Plan.

Senior Information Risk Owner (SIRO)

Information has never been more important to the essential working of the Council. As the quantity, diversity and nature of Council information changes, so will the risks. The role of the SIRO is to ensure that 'information' related risks are identified and addressed. The SIRO will establish an Information Risk Management Framework which allows information based threats and opportunities to be managed effectively.

Section 151 Officer

Section 151 of the Local Government Act 1972 requires all Councils to make arrangements for the proper administration of its financial affairs and to secure that one of its officers has the responsibility for the administration of those affairs. For this Council this statutory role is carried out by the Head of Finance and Resources. The Section 151 Officer is a key member of the Senior Management Team who helps to develop and implement the strategy and appropriate resourcing to deliver the Council's objectives sustainably and in the public interest. The role brings influence and bearing on all material business decisions to ensure opportunities and threats are fully considered and aligned to the Council's financial strategy. The Section 151 Officer leads on the promotion of good financial management by the whole organisation so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively.

Risk Management Group

The Risk Management Group shall be elected Member led and will include the Councils SRO, SIRO, S151 Officer, representation from senior management, Internal Audit and Health and Safety. The group will provide a comprehensive oversight of risk throughout the organisation and be the conduit to and from the whole organisation in terms of risk management. The group will 'regularly' and 'consistently' oversee, at least quarterly, all of the risk registers ensuring they are up to date and accurate whilst offering challenge to the assessment process itself. It will be responsible for risk management reporting to stakeholder groups across the Council and support the production of the Annual Governance Statement. The group will lead on the development and review of all risk related policies, plans and strategies across the Council and will oversee and champion the implementation of the Risk Management Strategy and associated action plan including training 'relating to' and the 'embedding of' an effective risk management culture.

Directors and Heads of Service

Directors and Heads of Service are responsible for creating an environment and culture within their Directorate and portfolio of Services where risk management is promoted, facilitated and effectively undertaken. They will drive forward risk management to raise its profile and ensure that Service Managers and their teams understand the importance and benefits of effective risk management, embedding the Risk Management Strategy and arrangements throughout their span of control. They will include risk

management as a standing item on all Directorate, Service and team meeting agendas to keep risk management 'ever present' and ensuring effective, regular and consistent 'check and challenge' is in place throughout the Directorate. Directors and Heads of Service will review the content of the strategic risk register and their Directorate operational risk registers at least quarterly and represent their Directorate and portfolio of services at the Risk Management Group. They will identify existing and emerging risks, address them in line with the risk management arrangements and ensure sufficient resource is allocated to for this purpose within their span of control including identifying and meeting any risk management training needs within the Directorate.

Service Managers

As with the Directors and Heads of Service, Service Managers will support the creation of an environment where risk management is promoted, facilitated and effectively undertaken within their service area. Service Managers will also form part of the quarterly review process of their service related operational and when necessary, strategic risks. They will work with the Directors and Heads of Service to identify and address existing and emerging risks within their service area and ensure that training needs are identified and addressed in relation to risk management within their service area. Service Managers will be the consistent 'day to day' champions of an effective risk management culture throughout their service area and will ensure that the risk management strategy and arrangements are understood, embedded and implemented by their team.

Project and Partnership Leads

Project and Partnership Leads are responsible for ensuring that the project or partnership is being effectively managed in terms of risk and that the Risk Management Strategy and arrangements are implemented fully throughout the lifecycle of the project or partnership. As mentioned in previous sections of the document however, project risks and partnership risks do need to be treated slightly differently to the Councils other risks.

The Project Lead will;

Ensure that there is senior management team commitment to and involvement in the project/programme delivery. They will set out clearly defined roles and responsibilities at all levels within the project/programme with responsibility for risk identified and agreed. The Project Lead will ensure stakeholder engagement in the early identification of the risks which will inform the project/programme scope, objectives and outcomes. They will embed the active management of risk throughout the lifecycle of the project/programme through the development of a Project Plan.

The Partnership Lead will;

Ensure that the partnership has a senior management team made up of members from all organisations involved who will support, own and lead on risk management. The Partnership Lead will ensure that an agreed risk management framework is in place and managed on an ongoing basis. They will promote a partnership culture which supports an effective and appropriate approach to managing risks by reducing the threats and maximising the opportunities that the partnership will bring.

Both Leads will approach the project/programme/partnership in line with the Risk Management Strategy and arrangements set out within. They will ensure that the risk management process is followed, risk assessments completed, control measures are in place and risk registers are maintained throughout. The Leads will report to the Risk Management Group quarterly and assist in the production of the Risk Management Group reporting process.

Internal Audit

Internal Audit's role is to maintain independence and objectivity, they are not responsible for risk management or for managing risks on behalf of others. Internal Audit will check, challenge and test the risk management process and arrangements for adequacy in order to provide assurance to the Council that risk is being effectively managed.

All Staff

All staff have a responsibility for identifying threats and opportunities in performing their day to day duties. They also have a responsibility to participate in training, supporting the risk assessment process and action planning where appropriate.

Roles and responsibilities summary table:

Group or individual	Roles & Responsibilities
Elected Members	<ul style="list-style-type: none"> • Support and promote an effective risk management culture • Understand the strategic risks that the Council faces and how these risks are being managed • Consider the risks associated with recommendations put forward in reports
Executive	<ul style="list-style-type: none"> • Provide leadership on risk management within the Council • Monitor the Council's risk management arrangements • Assess the risks in Cabinet reports and provide challenge where necessary particularly in relation to key decisions
Audit Committee	<ul style="list-style-type: none"> • Overseeing all aspects of risk management, governance and internal control • Provide guidance and oversight to the management of risk and challenge the effectiveness of arrangements • To seek assurance for the Council that risk management is being properly undertaken
Scrutiny	<ul style="list-style-type: none"> • In their role of scrutinising decisions taken by Executive, Scrutiny Members will ensure that associated risks have been taken into account • Identifying potential risks that may not have been previously identified
Head of Paid Service	<ul style="list-style-type: none"> • Leads on the wider Corporate Governance arrangements of which Risk Management is a part • Overall responsibility for ensuring that strategic risks are effectively managed within the Council
Senior Risk Officer (SRO)	<ul style="list-style-type: none"> • Raising the profile of risk management • Promoting the benefits of risk management • Promoting the accountability and responsibility of all staff • Embedding risk management throughout all levels of the Council
Senior Information Risk Owner (SIRO)	<ul style="list-style-type: none"> • Manage information risk from a business perspective • Establish an effective information governance framework • Ensure compliance with regulatory, statutory and organisational information security policies and standards
Section 151 Officer	<ul style="list-style-type: none"> • To assist with the development and implementation of the strategy and resourcing required to deliver the Council's objectives sustainably and in the public interest • To ensure opportunities and risks are fully considered and aligned to the Council's financial strategy • Leads on the promotion of good financial management by the whole organisation
Risk Management Group	<ul style="list-style-type: none"> • To provide a comprehensive oversight of risk throughout the organisation and become an effective conduit to and from the whole organisation in terms of risk management • To 'regularly' and 'consistently' oversee, at least quarterly, all of the risk registers ensuring they are up to date and accurate whilst offering challenge to the assessment process itself • To be responsible for risk management reporting to stakeholder groups • To review and support the development of all risk related policies, plans and strategies • To oversee the implementation of the Risk Management Strategy
Directors and Heads of Service	<ul style="list-style-type: none"> • To review the content of the strategic risk register at least quarterly • To allocate sufficient resources to address strategic and operational risks • To identify emerging risks and address them through the risk management arrangements • To ensure that operational risks are being managed in line with the risk management arrangements and that the service area operational risk registers are up to date • Escalate when necessary
Service Managers	<ul style="list-style-type: none"> • To implement the risk management strategy and arrangements within their service area • To review the content of their operational risk register at least quarterly and provide assurance to stakeholders that risks are being effectively managed • To identify emerging operational risks and address them through the risk management arrangements • Escalate when necessary
Project / Partnership Leads	<ul style="list-style-type: none"> • To ensure that the risks associated with the project / partnership are identified and managed in line with the risk management arrangements • To review the content of their project/partnership risk register regularly depending upon the project/partnership this could be weekly • To identify emerging project/partnership risks and address them through the risk management arrangements • Escalate when necessary
Internal Audit	<ul style="list-style-type: none"> • Audit the risk management process • Assess the adequacy of the arrangements • Provide assurance to officers and elected Members on the effectiveness of the processes and arrangements • Be guided by the risk registers in terms of the annual audit plan - areas of greatest risk = greatest need for assurance
All Staff	<ul style="list-style-type: none"> • To adhere to the risk management strategy and arrangements • Report emerging or new threats and opportunities to their manager • Participate in training, risk assessments and action planning where appropriate

Risk Management Framework

Risk aware

Sensible management of threats and opportunities

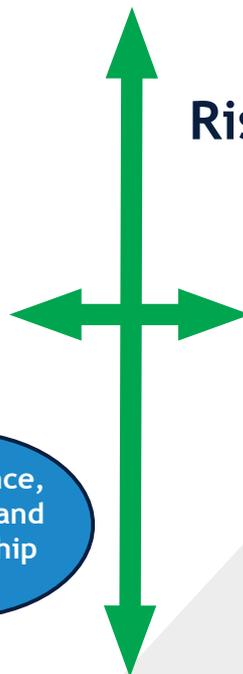


Risk unaware

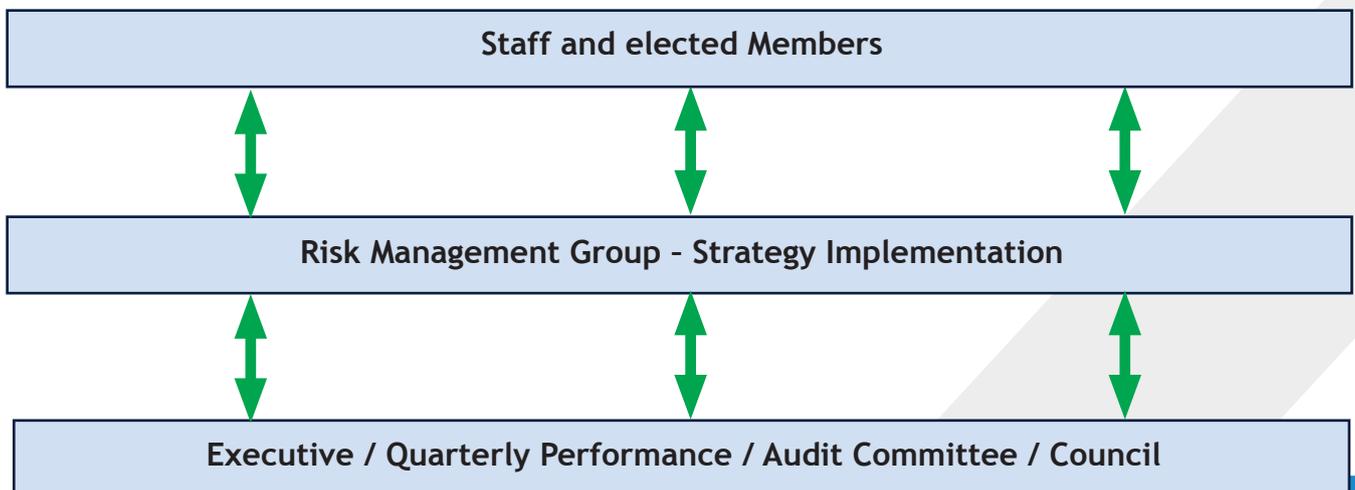
Risk averse

Risk Categorisation

Risk Management Process



Training & Development Roles & Responsibilities



Action Plan

Appendix 1

Ref:	Action	Responsibility	Target Date
RMS1	Establish Risk Management Group; representation; draft Terms of Reference; schedule of meetings	JSD - People	Mar 2020
RMS2	Create Risk Management Strategy performance management and administrative framework including new risk registers (operational, strategic, governance, partnerships and projects)	JSD - People and Risk Management Group	Mar 2020
RMS3	Create a Risk Management report template which is designed to capture the work of the Risk Management Group and current identified risks and control measures	JSD - People	Mar 2020
RMS4	Establish a roll-out, promotion and communication programme for the new Risk Management Strategy	JSD - People and Risk Management Group	Apr 2020
RMS5	Create a Risk Management Strategy organisational training package/ mechanism for elected Members and staff including roles and responsibilities	JSD - People and Risk Management Group	Apr 2020
RMS6	Schedule a comprehensive and fundamental review of all risk related policies, plans and strategies	JSD - People and Risk Management Group	Jun 2020
RMS7	Establish an Information Risk Management Framework	SIRO	Sept 2020
RMS8	Initiate an annual Risk Management Audit	Internal Audit Consortium Manager	Jun 2020

Risk Register Template

Appendix 2 - (strategic example)

Area of Risk	Inherent Risk Value (Low / Medium / High)	Threats / Opportunities	Mitigation / Controls in place / Action undertaken	Residual Risk Value (Low / Medium / High)	Potential Further Action / Action Planned	Risk Owner
1.0 Insufficient Safeguarding Arrangements	20 High	<ul style="list-style-type: none"> • Profile of safeguarding is poor • Staff and members do not know what safeguarding is and their role within it • Staff and members do not know how to spot the signs • Staff and members do not know how to report it and to who? • Lack of public confidence in Council policies plans and staff • Reputational damage • Potential significant harm to individuals resulting from abuse and neglect of Children and/or Adults at Risk possibly leading to personal harm, injury and death 	<ul style="list-style-type: none"> • The Council has in place up to date policies for safeguarding both Children and Adults at Risk. These policies are aligned to DCC policies which in turn are in line with legislation, regulation and statutory duties placed on Local Authorities • The Council has in place and maintains systems of working practice to safeguard children and vulnerable adults at Council activities and those who receive Council services • Staff recognised as appropriate to do, are DBS checked • All staff receive mandatory safeguarding training • Safeguarding is widely promoted and embedded throughout the organisation with all staff being issued with a wallet sized 'safeguarding quick reference guide' which details what to look out for and what to do • The Council has an internal safeguarding group which meets quarterly which has representation from all service areas of the Council • The Council host and Chair the Countywide Derbyshire Districts Safeguarding Leads Sub Group (DDSLSG) of the Derby and Derbyshire Safeguarding Childrens Partnership (DDSCP) and Derbyshire Safeguarding Adults Board (DSAB) 	10 Medium	<ul style="list-style-type: none"> • Establishing a meeting schedule between Councils Safeguarding Lead and DCC Senior Social Care Officers with a view to local collaboration in Bolsover and North East Derbyshire Districts Locality areas • DDSLSG collaborating with 'Homelessness Forum' to undertake case reviews following homeless adult deaths with a view to learn from the event and help prevent reoccurrence 	JSD - People



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Rozprávame Vaším jazykom

Chinese

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Agenda Item 8

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

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Agenda Item 9

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

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