

Bolsover District Council

Audit and Corporate Overview Scrutiny Committee

27 July 2021

Strategic Risk Register and Partnership Arrangements

Report of the Director of Corporate Resources

Classification: This report is public

Report By: Director of Corporate Resources

Contact Officer: Lee Hickin

PURPOSE / SUMMARY

- To update members of the Audit and Corporate Overview Scrutiny Committee of the current position regarding Risk Management arrangements and the Strategic Risk Register as at July 2021.
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RECOMMENDATIONS

1. That the Audit and Corporate Overview Scrutiny Committee notes the report and Strategic Risk Register as at July 2021 as set out in Appendix 1.

Approved by the Portfolio Holder – Yes

IMPLICATIONS

Finance and Risk: Yes No

Details:

There are no additional financial implications arising out of this report. Whilst, where appropriate, additional mitigation measures have been identified and implemented during the course of preparing the Strategic and Operational Risk Registers, the cost of implementing this mitigation will be met from within previously agreed budgets.

Risk Management Issues are covered throughout the body of the main report.

On Behalf of the Section 151 Officer

Legal (including Data Protection): Yes No

Details:

There are no legal or data protection issues arising directly out of this report.

On Behalf of the Solicitor to the Council

Staffing: Yes No

Details:

There are no human resource issues arising directly out of this report.

On behalf of the Head of Paid Service

DECISION INFORMATION

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: BDC: Revenue - £75,000 <input type="checkbox"/> Capital - £150,000 <input checked="" type="checkbox"/> NEDDC: 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
District Wards Significantly Affected	None directly
Consultation: Leader / Deputy Leader <input type="checkbox"/> Cabinet / Executive <input checked="" type="checkbox"/> SAMT <input checked="" type="checkbox"/> Relevant Service Manager <input type="checkbox"/> Members <input checked="" type="checkbox"/> Public <input type="checkbox"/> Other <input type="checkbox"/>	Yes Details: The new Strategy has included consultation with SAMT; Audit Committee and Executive

Links to Council Ambition (BDC)/Council Plan (NED) priorities or Policy Framework including Climate Change, Equalities, and Economics and Health implications.

All

REPORT DETAILS

1 **Background** *(reasons for bringing the report)*

1.1 The previous Audit Committee endorsed the Council's Risk Management Strategy which was then approved by Executive in March 2020. The Strategy includes but is not limited 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)

1.2 The Strategy also details the work of a 'Risk Management Group'. This is elected Member led and includes the Councils Senior Risk Officer (SRO), Senior Information Risk Officer (SIRO), S151 Officer, representation from senior management, Internal Audit and Health and Safety. The group provides a comprehensive oversight of risk throughout the organisation and is the conduit to and from the whole organisation in terms of risk management.

1.3 The group 'regularly' and 'consistently' oversee, all of the risk registers ensuring they are up to date and accurate whilst offering challenge to the assessment process itself. It is responsible for risk management reporting to stakeholder groups across the Council, including this Committee and supports the production of the Annual Governance Statement. The group leads on the development and review of all risk related policies, plans and strategies across the Council and oversees and champions 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. **Details of Proposal or Information**

Update of the Risk Management Group held on 29th April 2021:

2.1 REVIEW OF STRATEGIC RISK REGISTER

A new strategic risk around ICT and Cyber Security, which was previously in the operational register, had now been escalated to Strategic.

2.2 REVIEW OF OPERATIONAL RISK REGISTERS

Having previously developed and established new risk register templates for Strategic, Operational, Partnership and Project related risks, the group have overseen their completion by Heads of Service in relation to their own service areas. The templates cover; risk area, threat/opportunity, and mitigation and risk ratings.

At the meeting Kath Drury, Information, Engagement and Performance Manager, presented the Performance Operational Risk Register. Discussion centred predominantly around the following;

Kath explained the risks associated with the joint team and advised that the current Deputy Data Protection Officer was leaving, so therefore someone else will fill that role.

Cllr Moesby thanked Kath and queried whether the review of the consultation post at NEDDC would have an impact on BDC. Kath advised that any decisions at either Council could have an impact on the other but this will be factored in to discussions going forward.

Cllr Moesby queried as there is only 1 officer that has access to the back office of Perform, would that have a negative impact if that officer was on long term sick. Kath advised that this would not have an impact on reporting and extracting of data as Kath is able to do that, however whenever there is a change to the framework it would be impacted but does not happen very often. Kath assured this would be looked at once staffing changes had settled.

Also at the meeting Steve Brunt, Joint Head of Street Scene presented the Street Scene Operational Risk Register – discussion centred predominantly around the following;

The Risk Management Group were made aware of a conversation at NEDDC regarding bringing recycling services in house, this would be moved from the Strategic risk register to operational under third party contract risks as the service will be the same as others provided by Street scene.

2.3 REVIEW OF PARTNERSHIP AND PROJET RISK REGISTERS

The Director of Corporate Resources advised this item was an opportunity for anyone to raise points or provide examples of partnership risks. An example of a partnership risk assessment would be presented to the next Risk Management meeting.

2.4 NEW OR EMERGING RISKS IDENTIFIED

An example of fraud at Bassetlaw District Council was given. A Revenues officer was sent to prison due to processing non domestic rates to businesses into a personal account rather than a business account. The officer had done this on 21 occasions transferring over £60,000 into a personal account. The

Head of Internal Audit stressed the importance of audit and illustrates separation of duties for audit.

Agile Working Policies. Both Councils were working on Agile Working Policies. Due to the pandemic we do anticipate going back to working as we did before but potentially looking at hybrid ways of working. The Director of Corporate Resources added there are both positives and negatives so the Risk Management Group needs to be aware in terms of risk. Cllr McGregor is leading on this at Bolsover and a regular update will be provided to this the Risk Management Group as it progresses.

Cllr Moesby raised potential Data Protection risks as part of Agile Working. Kath added that there are policies and legislation in place relating to transferring data and knowing where the data is stored. We must ensure if data is stored in another country that the data protection legislation is comparable. In terms of home working Kath added that all staff must undertake a risk assessment but as we move forward this may need to be reviewed.

The Director of Corporate Resources added as we have been treating current home working as a dynamic response to the pandemic, systems we have in place now might not be fit for purpose moving forward. The starting point as part of the policy will be to look at is whether this could have a negative impact on our service users.

2.5 INSURANCE CLAIMS/LEGAL CLAIMS

Tony presented an overview of claims for April 2020 to March 2021, the claims were broken down by policy (Public Liability, Vehicle Claims and Property). Tony explained the categories within each of policies in terms of figures and how they can change as the claim progresses.

The Director of Corporate Resources thought the Risk Management Group would find it useful to know how this is compared year on year and if there are any trends appearing.

Cllr Moesby suggested a separate meeting to discuss the best way to present the information to the Risk Management Group. Nicola suggested relooking at the cyber security insurance as part of this.

2.6 TRAINING

The Director of Corporate Resources presented a brief presentation around risk management training in terms of benefits of risk management, categorisation of risks, headlines and risk management arrangements.

2.7 HEALTH AND SAFETY UPDATE

The Health and Safety Manager provided an update on return to work inspections. A new Health and Safety advisor had been appointment for Street scene to look at key risks and risks assessments, an action plan will be

produced addressing main issues at both depots. There will also be work on a corporate solution for lone working across both councils.

Cllr Moesby enquired as virtual meetings with any public involvement for example Council, will no longer be able to take place virtually following a judgement order. Do we need to look at any measures to be put in place relating to this? The Health and Safety Manager advised that they will be undertaking assessments of the Council Chamber and other large meeting rooms.

Cllr Moesby added whether the lateral flow testing could be done a couple of days before meetings by members, officers and members of the public. The Health and Safety Manager advised that this cannot be enforced but can put in a good practice recommendation.

2.8 POLICIES, PLANS AND STRATEGIES REVIEW – ACROSS THE COUNCIL

Property Services are running a pilot around the agile working policy and will provide feedback to the Risk Management Group.

2.9 AUDIT

The Head of Internal Audit advised that there were no high priority recommendations or risks. As work begins on the new plan this year, any risks identified will be brought to the Risk Management Group.

The Director of Corporate Resources added that NEDDC, having brought recycling in house, had requested an additional audit and suggested doing the same at Bolsover.

2.10 EMERGENCY PLANNING/BUSINESS CONTINUITY PLANNING

The Senior Emergency Planning Officer provided an update on Emergency Planning. Consideration was being given to a cyber security and a training exercise moving forward and will look at a joint approach across both authorities. Suggested bringing a proposal to the next Risk Management Group on how this will be run. Ongoing work with the pandemic response and working with Bolsover on surge testing, for example if a variant was identified in a specific location how would the Council respond to it.

In terms of Business Continuity the Head of Corporate Resources added that a lot had changed over the past year and there will come a time when a full review will need to be undertaken and to adapt the plan moving forward.

3 Reasons for Recommendation

- 3.1 The Council have in place a robust Risk Management Strategy and action plan which enables the organisation to manage the many and varied risks facing the Council. The approach to managing those risks is applied within decision making processes and is continuous with a structured review process overseen by the Risk Management Group.

- 3.2 The Risk Management Group is elected Member led and includes the Councils Senior Risk Officer (SRO), Senior Information Risk Officer (SIRO), S151 Officer, representation from senior management, Internal Audit and Health and Safety. The group provides a comprehensive oversight of risk throughout the organisation and is now becoming the conduit to and from the whole organisation in terms of risk management. The Risk Management Group is now able to provide risk management reporting to stakeholder groups across the Council and will support the production of the Annual Governance Statement.
- 3.3 The Risk Management Group have made significant progress in ensuring that risk is effectively managed within the organisation. By leading on the development and review of all risk related policies, plans and strategies across the Council, the Risk Management Group will provide consistency of approach and alignment of all service areas in relation to risk management. By overseeing and championing the implementation of the Risk Management Strategy and associated action plan including training 'relating to' and the 'embedding of' an effective risk management culture, the Risk Management Group will be pivotal in the organisations future success.

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 prepare a Strategic Risk Register as part of its risk management framework. This report is intended for Members and Officers to consider both the Strategic Risk Register, together with the Council's wider framework for managing risk and partnerships. Given the importance of these arrangements for the overall governance of the Council it is necessary to subject them to regular review. The alternative of not providing this is therefore rejected.

DOCUMENT INFORMATION

Appendix No	Title
1.	Strategic Risk Register as at July 2021
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)	
Service Area Operational Risk Registers	