



CORPORATE SERVICES (August 2020) - Risk Management The continual development and promotion of risk management will ensure that the Council is well placed to demonstrate that objective and informed decisions are taken and that the Council is ultimately in a strong position to successfully face and address the challenges ahead.

Most services provided by Corporate Services are central support functions to the council's service areas.

Score IMPACT	Financial	Legal / Compliance	Strategic	Safety, Wellbeing & Safeguarding	Reputation	Service Delivery
HIGH	Over £500k	Non-compliance with legislation or regulatory breach Significant regulatory impact	Complete failure of a strategic priority Major impact on a strategic priority	Fatality or life-changing injury / illness; Significant safeguarding breach Major injury / illness; moderate safeguarding breach	Complete failure in confidence (local or national) Long term media attention (local or national)	Complete failure to deliver critical services (safeguarding; urgent statutory responsibilities etc) Major impact on delivering critical services (safeguarding; urgent statutory responsibilities etc)
MEDIUM	£300k to £500k	Moderate regulatory impact	Moderate impact on a strategic priority	Moderate injury / illness	Medium term negative impact on public memory	Serious disruption to less critical services
LOW	£0k to £300k	Minimal regulatory impact No legal or regulatory impacts	Minor impact on a strategic priority Negligible impact on a strategic priority	Injury or illness requiring minimal intervention / treatment No health and safety impact	Short term negative impact on public memory Minor complaints or rumours	Minor disruption to services Negligible disruption to service delivery

Score LIKELIHOOD	LOW	MEDIUM	HIGH
Type	0 to 40%	40% to 60%	61% to 100%
Description	Unlikely	Possible	Likely

The full **Corporate Services** Risk Register can be viewed from this link - [HERE](#)

Corporate Services Risk Profile					
		Likelihood			High Risks 5 in total
		L	M	H	
Impact	H	12	3	1	
	M	2	5	1	
	L	2	1		

Corporate Services - Overall

		Likelihood			Commentary: High Risks = 5 The new format for risk reporting was agreed by Audit & Governance Committee at its May meeting. It was requested that closer links are enabled between the risk and performance measures. Also, members wanted to be able to more clearly see what updates have been made to the risk since the last report. Both changes will be incorporated into future reports, as will links with the control environment.
		L	M	H	
Impact	H	12	3	1	
	M	2	5	1	
	L	2	1		

Business Insight and Corporate Communications

		Likelihood			To enhance the understanding of the people that live and work in Dorset. The goal to have the right information to make intelligent choices about the design of services and the best use of resources. To work in partnership with others to transform the way information, analysis and insight is provided to the council to enable more effective decision-making, helping to achieve the ambitions set out in the Council Plan. Performance data is a vital part of running a high performing organisation and we strive for excellence in performance management and champion open data.
		L	M	H	
Impact	H	1			
	M				
	L				

NO High Risks:

ICT Operations

		Likelihood			ICT Operations looks to support and maintain the current network environment and continue to develop the use of new technologies to support the Council's drive to a 'digital by default' model wherever possible. Much work focuses around support calls that cover a wide range of disciplines, provide clear advice and support to customers from a non-technical background and carry out daily maintenance tasks as required. There is a drive for the configuration, monitoring, management and development of the various technologies employed by the Operations team to support the functionality of Dorset Council.
		L	M	H	
Impact	H		1	1	
	M		1		
	L				

High Risk: 286) Loss of ICT service or data through a cyber-attack (Risk Owner: Head of ICT Operations)

Response: Countermeasures for this risk can be split into 2 categories, Likelihood reduction and impact reduction. Likelihood reduction: User Awareness training and Phishing Simulation capabilities are under review in order to increase user awareness to phishing cyber-attacks. These types of attack account for up to 80% of all cyber security breaches (NCSC). These capabilities are expected to be in place in Jan 2020 and should provide a reduction in risk likelihood. Phishing simulation will allow the authority to assess the effectiveness of this training providing further assurance to the organisation. Impact Reduction: Planning has started to provide more consistent responses to cyber incidents, enabled by the Operations team in the ICT Structure. The planned changes will allow the organisation to react to a breach quickly which can drastically reduce the overall impact of the incident. Work is underway to implement the new DC password policy (likelihood reduction) and multifactor authentication capability (impact reduction) and is expected to complete by the end of December.

High Risk: 289) Failure to stop payment card details from being recorded. (Risk Owner: Service Manager for Assurance)

Response: The call management system primarily used by Dorset Direct was not stopping the recording of calls for the payment part of calls. This meant that payment card information was being stored within the call management system. The call recording functionality has been disabled after talks with Dorset Direct, Data Protection and ICT Operations. Teams that use the system have been informed and the call recording have been deleted. This potentially creates a secondary risk that call recordings are no longer available to investigate disputes.

Digital & Change				
		Likelihood		
		L	M	H
Impact	H			
	M			
	L			

NO Risks:

<u>Human Resources and Organisational Development</u>				
		Likelihood		
		L	M	H
Impact	H			
	M			1
	L	1	1	

The Service has an important role to play in supporting and guiding the organisation on workforce planning and profiling. Aligned to our work being a co-ordinated approach to the development and implementation of policies/procedures instigated covering HR, Health and Safety and Learning and Development. In an increasingly competitive labour market with identified skills shortages it is crucial that the implementation and development of the recruitment strategy remains at the forefront of the work of HR and other Council Services. We are proud of our workforce agility and capacity for all opportunities ahead. There are in place employment practices to ensure that our workforce represents the community we serve and utilises our role as one of the county's biggest employers to address organisational priorities on equality and inclusion.

High Risks: 119) The period of uncertainty and transition results in difficulties retaining and motivating staff (Risk Owner: Corporate Director for HR and OD)

Response: Some employees may choose to leave during period of major change causing further demand on remaining employees. Uncertainty of the future may impact upon motivation and affect performance.

Mitigation - Ongoing Communications and Engagement with all employees (Newsletters, Intranet, etc). Employee Forums established; Wellbeing and L&D support in place.

<u>Strategic Finance</u>				
		Likelihood		
		L	M	H
Impact	H	4		
	M			
	L			

The service purpose is to maintain high standards of financial management and control, contribute to corporate management and leadership and support officers and members in an effective and responsive manner. This is achieved by providing strategic financial advice, accounting and budgeting services, treasury management.

NO High Risks:

Legal & Democratic Services

		Likelihood			Dorset Council's in-house legal team deals with a wide range of matters, both providing legal advice to departments within the council, and representing the Council in legal actions. Our Democratic Services Unit looks after all the procedures around ensuring the democratic process is administered correctly and within the law (Give advice to councillors and officers about the formal decision-making process and the Overview and Scrutiny function - Service council meetings, producing agendas, minutes and archive records - Maintain and update our Constitution, supporting the interface between the various parts of the political structure - Handle formal complaints). The key laws governing the work are (The Local Government Act 1972, as amended by Access to Information Legislation 1985 - The Local Government and Housing Act 1989 - The Local Government Act 2000 and ensuing regulations)
		L	M	H	
Impact	H	7	2		
	M	2	4		
	L	1			

High Risks: 102) Failure to respond to a major event or civil emergency that impacts on the community, the environment and/or the Council (Risk Owner: Service Manager for Assurance)

Response: The Dorset Council Emergency Response Plan and supporting Command and Control structure was approved for Day One of Dorset Council. There is ongoing work by Local Resilience Forum workstreams and task & finish group leads on specific multi agency projects.

There has been a thorough training programme for the Command and Control Structure, including running a number of pandemic flu and BREXIT focussed exercises during 2019.

The full Command and Control structure at authority and LRF level has been in operation throughout the Covid-19 outbreak. The risk profile for COVID-19 shows that whilst a majority of risks are in the 'high' category, posing the most amount of risk to the Council, the likelihood of these happening are 'possible', which could suggest that there are mitigations in place to prevent these risks from occurring. Overall, however the Council is currently facing a high-risk situation during a major incident with many factors unpredictable including the central government response during the outbreak. The risk management strategy at this time is for continued, focussed oversight of known risk and management of capacity to respond to priority situations as they evolve.

High Risks: 212) Inadequate information governance culture and framework and culture (policy; training; monitoring etc) results in a significant data breach (Risk Owner: Service Manager for Assurance)

Response: The Shaping Dorset Council programme included a workstream on information governance to ensure that key policies and processes were harmonised, which has transformed into an Information Governance working group since 1 April, chaired by the Senior Information Risk Officer. A corporate Information Governance team was established during the Tranche 2 restructures, split between Information Compliance and Information Management.

The team are assessing any gaps in the Councils arrangements, reporting through to the Information Governance Board.

Current priority areas of focus are ensuring mandatory completion of GDPR training across the workforce and information governance supporting the Microsoft 365 rollout.