



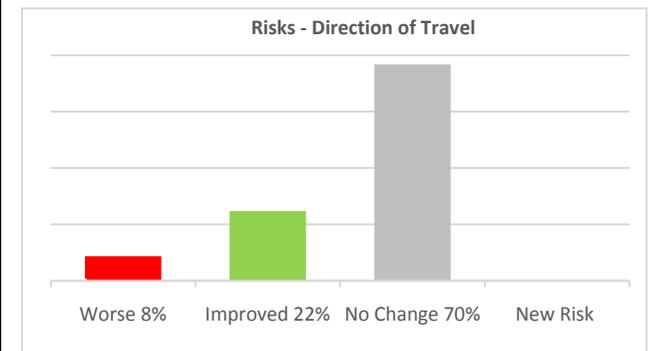
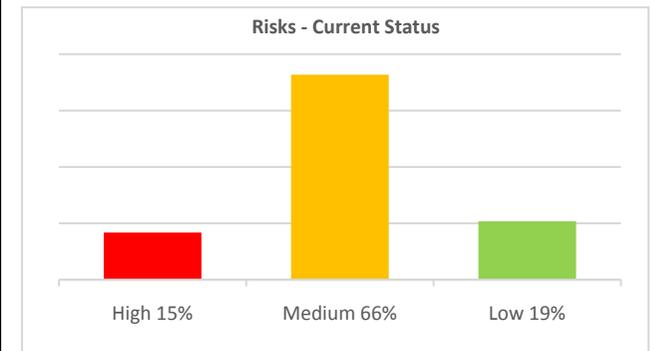
CORPORATE SERVICES (March 21)

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.

Corporate Services Risk Profile					
		Likelihood			High Risks 4 in total
		L	M	H	
Impact	H	9	3		Number of Risk: 27
	M	2	9	1	
	L	2	1		

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	LOW	MEDIUM	HIGH
LIKELIHOOD	0 to 40%	41% to 60%	61% to 100%
Description	Unlikely	Possible	Likely



Version 2 – 30 March 2021

Corporate Services - Overall

		Likelihood			Commentary: High Risks = 4
		L	M	H	
Impact	H	9	3		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 see what updates more clearly have been made to the risk since the last report. Changes have been incorporated into reports with links with the control environment. Most services provided by Corporate Services are central support functions to the council's service areas.
	M	2	9	1	
	L	2	1		

Digital & Change

		Likelihood			The main risks to the programme are that the individual work streams can't be delivered as anticipated and that there might be insufficient capacity internally to deliver the IT and service changes required. In addition, there is the scope for some reluctance from staff and stakeholders to adopt new methods of working. Further risk is the potential inability for the Council to recruit technical competent IT staff. In the event of any of these risks becoming a reality then the anticipated savings may not be delivered.
		L	M	H	
Impact	H				
	M				
	L				

Work continues the development of risks and it is recognised that relevant risks will reflect projects with a focus on all constraints, overrunning on time and budget, and then delivering a bad final product. A simple project with a limited scope can still have extensive quality control. Some alternatives to the triple constraint do distinguish between scope and quality. Others put quality at the centre of a time/cost/scope.

Customers tend to think in terms of deliverables. Deliverables are defined as 'qualities/features that make the product fit for purpose'. To customers, the product is higher quality if it has more working features. So, if you think of scope as 'what the project team can achieve', it makes sense for quality to also fall under that definition. The ongoing work on the creation of the right risks that fit Dorset Council Digital and Change are being discussed within the relevant service areas.

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				
	M				
	L				

Risks are being developed that help focus on the goal to have the right information to make intelligent choices about the design of services and the best use of resources.

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	2	3	
	M	1	2	3	
	L	1	2	3	

High Risk: 286) Loss of ICT service or data through a cyber-attack – Accountable Officer - Head of ICT Operations	Direction of Travel	No Change
	Last Reviewed	29 March 2021

Countermeasures for this risk can be split into 2 categories, Likelihood reduction and Impact reduction.

- Likelihood reduction:** The most likely risk trigger is a successful phishing attempt that yields user credentials or allows malware to be installed on a device. Current industry data suggests that successful phishing campaigns account for up to 80% of all cyber breaches. LGA grant funding has been secured to provide user awareness training and phishing simulation capabilities for one year. A product has now been implemented. Phishing simulation allows the authority to raise user awareness to increase their ability to identify malicious contact and content. The need to sustain this capability will be included in future ICT Operations budget setting. There has been a focus on identity management and protection in the last 3 months, a new password policy has been implemented along with mandatory multifactor authentication and conditional access technologies. We have also implemented Vulnerability Management capabilities which allows the ICT Operations team to be proactive in identifying and removing weaknesses across our ICT infrastructure.
- Impact Reduction:** The Council's overall approach to cyber security management has been under review since the end of Corporate Development Tranche 2 restructuring which confirmed the Cyber Security & ICT Continuity Lead appointment. A new strategy and policy are being drafted. These documents will outline the approach for the Council over the next few years and lay the foundation for comprehensive, interlocking countermeasures for this risk. The planned changes will allow the organisation to reduce its attack surface (likelihood) and to react quickly to a breach which can drastically reduce the overall impact of the incident. The convergence of the ICT platforms of the former councils will be complete by the Autumn 2021 – with many of the complexities already having been removed – the converged infrastructure reduces risk by removing complexity and the potential for gaps in and between legacy services. The ICT operations team will implement a Security Incident and Event Monitoring capability (SIEM) in the summer of 2021 – this confirms to recognised National Cyber Security Centre best practice guidance and provides early warning to the ICT response team of unexpected or malicious activity across our networks, increasing the speed within which we can react to minimise the impact of a cyber security event. A further mitigation being explored for 2021 is the possibility of introducing immutable backup (offline backups) which protect backup data from sophisticated cyber-attacks that also corrupt or deny access to backup data.

Human Resources and Organisational Development						
		Likelihood			Risks need to be reviewed	
		L	M	H		
Impact	H					
	M			1		
	L	1	1			
High Risk: 119) The period of uncertainty and transition results in difficulties retaining and motivating staff – Accountable Officer - Corporate Director for Human Resources					Direction of Travel	No Change
					Last Reviewed	30 December 2020
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.						

Strategic Finance						
		Likelihood			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.	
		L	M	H		
Impact	H	4				
	M					
	L					
					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	5	2		
	M	2	7		
	L	1			

High Risk: 102) Failure to respond to a major event or civil emergency that impacts on the community, the environment and/or the Council – Accountable Officer - Service Manager for Assurance	Direction of Travel	No Change
	Last Reviewed	30 March 2021

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 (LRF) 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 several pandemic flu and BREXIT focussed exercises during 2019 and 2020. DC hosted and led a multi-agency summer operations exercise during March 2021. Further Gold and Silver familiarisation sessions are scheduled for 2021. The LRF has also run several multi-agency exercises, based around concurrent risks to the current Covid response. The full Command and Control structure at authority and LRF level has been in operation throughout the Covid-19 outbreak. There is confidence that the command and control structure is strong, however due to the threat of concurrent risks arising whilst the Council is in response to the current Covid-19 outbreak this risk remains identified as High.

Controls - Dorset Council Emergency Response Plan (and supporting scenario specific plans), 24/7 Command and Control Structure (Gold, Silver, DEPO, LALOs), Civil Contingencies Unit, Local Authority Liaison Officers (Bronze support at sites), Out of hours contacts for key service areas, via SharePoint Emergency Planning Hub and Exercises.

High Risk: 212) Inadequate information governance culture and framework and culture (policy; training; monitoring etc) results in a significant data breach - Accountable Officer - Service Manager for Assurance	Direction of Travel	No Change
	Last Reviewed	30 March 2021

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 2020, chaired by the Senior Information Risk Officer. The Information Compliance team are formulating an action plan, which will be owned by the board.

A new data protection training module has been developed and is a mandatory requirement for all staff. The Council is currently recording "red" performance for meeting Subject Access Request timescales. Work is underway with Children's Services to identify how this position can be improved.