Committee: Audit and Standards Committee

Date of meeting: 21 March 2018

<table>
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<tr>
<th>Subject:</th>
<th>Corporate Strategic Risk Register</th>
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<td>Lead Officer:</td>
<td>Head of Finance</td>
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<td>Portfolio Holder:</td>
<td>Resources – Councillor C Sadler</td>
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<td>Link to Council Priorities:</td>
<td>All</td>
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<td>Exempt information:</td>
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<td>Delegated status:</td>
<td>For information</td>
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Executive Summary:

The Council’s Risk Management Strategy requires the Corporate Strategic Risk Register to be reviewed on an annual basis. The Register contains details of major identified risks, which could affect the Council’s ability to achieve its priorities during the financial year. The report gives details of action taken to compile a new Register for 2018/19 and was approved by Council on 21 February 2018.

Report:

1. Members will be aware that the Council maintains a Register showing the major Strategic Risks, which have been identified and could impact on the objectives set within the Council’s Corporate Plan.

2. The previous register was approved by Council on 22 February 2017. The Council’s Corporate Risk Management Group has undertaken an annual review of existing strategic risks and considered whether any new risks should be added based on the updated Operations Risk Registers for each team within the Council.

3. The Register also shows controls that need to be in place, actions required for risk control purposes; with the ownership column identifying those persons who are considered to have the greatest degree of impact in reducing or controlling risk exposure.

4. A “5 x 5” matrix is standard practice for local authorities, and is used to assess the risks facing the organisation. The result of the analysis gives a relative order for the risks to be managed.

5. The Corporate Risk Management Group agreed to amend item A, relating to the reduction in or elimination of grant funding from external bodies including Surrey County Council to the Strategic Risk register.

6. The definition of the risk under item B, the failure to ensure adequate protection of data has been expanded to include the General Data Protection Regulations.
7. The probability rating for item D, services not being delivered due to the failure of a major contractor has been increased to 3 based on the recent history of failures of major contracts.

8. Risk Management needs to be embedded throughout the Council. Further training will be offered throughout the year when required.

9. The Council’s Risk Management programme involves an ongoing, rolling schedule of initiatives which include the following:

9.1 **Business Continuity**

A Business Continuity matrix has been developed to monitor the submission of plans and updates from various teams within the Council. Each service is to have individual check lists to include communications. Interdependency mapping detailing key processes has been developed to identify the areas where one service relies upon other service providers. The results from the matrix have been included in Internal Audit’s Annual Assurance statement.

An exercise focussing on how the Council would respond to a complex incident (based on events at Grenfell Tower and requiring the activation of Business Continuity arrangements) took place on 5 October. A post exercise report and action plan has been produced, for agreement by the Council Management Board.

The operation of the Borough Emergency Control Centre has been reviewed and updated to provide for greater flexibility and co-ordinate the Council’s response to emergency situations.

9.2 **Health and Safety**

The rolling audit of the Council’s Teams’ risk assessments and general health and safety compliance has continued in 2017. The Health & Safety Advisor has reviewed Housing Services, Planning Services and Organisational Development. Some of the areas covered included cash handling and the Handyman role in Housing; lone-working in Planning; and event safety in Organisational Development. The next three services to be reviewed will be Environmental Services, Asset Management and Finance/Audit.

The Health and Safety Advisor has continued to deliver training in lone working, personal safety and manual handling and given general health and safety advice to the regular new starter induction days.

The Health & Safety Advisor has undertaken both fire and workplace risk assessments at the Civic Centre and all seven of the Council’s Centres for the Community in 2017. Priority plans were given to each of the Centre Managers to action.
The Civic Centre has welcomed two new First Aiders to the ‘team’ in 2017, which now comprises nine individuals, most of whom are also qualified to use the Civic Centre’s defibrillator and medical oxygen sets.

9.3 **Grey Fleet**

The Council owes a similar duty of care in respect of drivers using grey fleet vehicles as they do for anyone driving vehicles owned or leased by the Council. Grey fleet is the term used to describe any vehicles used for a company’s or organisation’s business purposes that do not belong to the company or organisation, including vehicles owned by employees, temporary staff or volunteers.

For the Council these business purposes would include attending business meetings, visiting sites, transporting ballot boxes and running Meals on Wheels services. This duty of care involves ensuring that these drivers hold valid driving licenses, motor insurance, road tax and MOT certificates (where appropriate).

A new system to record grey fleet driver’s insurance cover based on information recorded on iTrent is being trialled.

9.4 **Information Governance**

Training on Information Governance includes:

- Continuing the mandatory Information Governance training for all new staff
- An Information Governance briefing for new Councillors
- The introduction of online Information Asset Owner training was introduced
- Training on the new General Data Protection Regulations for Information Asset Owners and Information Asset Administrators

A digital review working group, with a remit to remove as much paperwork as possible from processes and update the data capture technology in the Document Handling Centre has been set up, the work of this group is ongoing.

9.5 **General Data Protection Regulations**

The following actions have been undertaken to allow the Council to comply with the new General Data Protection Regulations:

- Information Asset Registers for all teams are being updated to comply with the new General Data Protection Regulations (GDPR), and now include a ‘Register of Processing Activities’
- A report setting out the programme of work required to achieve compliance by 25 May 2018 was forwarded to Cabinet in October. In addition, it was agreed that the role of the Data Protection Officer will be undertaken by the Monitoring Officer.
Updates to the Council’s policies and procedure are in progress which include:

- Information Security Policy and GDPR compliance policies and procedures.
- Subject Access requests.
- Data Protection Impact assessments.
- Review of contract terms and conditions.

9.6 **Fraud Management**

The Council is continuing to work in partnership with Councils across Surrey as a member of the Surrey Counter Fraud Partnership (SCFP). The Head of Audit, through his role at Surrey County Council, continues to coordinate and chair the Surrey Counter Fraud Partnership.

The partnership has developed a central hub for a range of data sets including housing applications and Council Tax.

From April 2018 the Council’s fraud investigations will transfer from Housing Services to Internal Audit to form a Corporate Fraud function. The team will take on a wider remit to prevent and detect fraud and reflects the Council’s continued commitment to tackling fraud.

The Elmbridge Counter Fraud Board continues to meet on a regular basis to consider fraud risk areas across the Council and it takes account of the work of the SCFP. The CIPFA Code of Practice on Managing the Risk of Fraud and Corruption has been endorsed by the Elmbridge Counter Fraud Board as best practice for Elmbridge.”

**Financial implications:**
None for the purpose of this report.

**Environmental/Sustainability Implications:**
None for the purpose of this report.

**Legal implications:**
None for the purpose of this report.

**Equality Implications:**
None for the purpose of this report.

**Risk Implications:**
Failure to maintain a Corporate Strategic Risk Register would be detrimental to the Council’s Risk Management Strategy and could impact negatively on the effective delivery of the Council’s services.

**Community Safety Implications:**
None for the purpose of this report.
**Principal Consultees:**
None for the purpose of this report.

**Background papers:**
None for the purpose of this report.

**Enclosures/Appendices:**
Appendix A: Corporate Strategic Risk Register.

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