

### Governance

Risk	Impact	Probability	Overall Score	Mitigation and control measures
Retaining General Power of Competence	1	1	1	Three CILCA- qualified employees Normally, members can be elected through by-election
Member-member relationships	4	2	8	Code of conduct
Competency and understanding	3	1	3	Significant training undertaken in 2019-20
Compliance with policies and procedures	<del>5</del> <u>4</u>	<del>3</del> <u>2</u>	<del>10</del> <u>8</u>	Training undertaken. Previous weakness in financial control resolved: finance manager in post for 12 months, asst finance manager post established and backlogs worked through Internal and external audit
Complying with objectives (deviation from)	2	4	8	Corporate plan – annual and mid-year review Annual report to electors Committee review
Conflict between personal/council interests	3	3	9	Code of conduct PR/comms policy and procedure Social media policy Declaration of non-pecuniary interests
Adhering to the transparency code	2	4	10	Town council website can accommodate requirements of the code Relevant documentation being compiled

### Political

Risk	Impact	Probability	Overall Score	Mitigation and control measures
Dorset Council – uncertainty around key services in the town	4	5	20	Council can identify budgets for some services. Holding additional monies above reserve. Monitoring decision-making closely Proposals emerging from Dorset Council about service and asset transfer. Govt White Paper on the same issue.
Adverse relationships with other authorities	3	3	9	Regular meeting with- DC chief executive. Meetings with neighbouring local councils. Monthly meetings with DC ward member.

## Financial

Risk	Impact	Probability	Overall Score	Mitigation and control measures
Compliance with systems, policies and procedures	<u>53</u>	3	<u>459</u>	Policies and procedures in place Internal audit Regular reports and monitoring External audit Finance manager and assistant finance manager appointed
Impact of DC - reviews and cuts	4	5	20	Ongoing discussions with DC DC's financial position compounded by Covid-19
Performing to budget, including income interruption	4	4	16	Regular financial reports Policies and procedures in place Increased monitoring and reporting in response to Covid-19
Significant fraud or theft	5	1	5	Internal audit Policies and procedures in place
Age of assets	4	4	16	Asset register Fixed asset policy Asset management policy to be developed
Minor fraud or theft	1	2	2	Internal audit policies and procedures in place

## Operational

Risk	Impact	Probability	Overall Score	Mitigation and control measures
Disaster response	5	1	5	Emergency procedure in place (review autumn 2020) Other organisations are principal responders
Growth and capacity	3	3	9	No plans for additional growth
Lack of out-of-hours cover	2	4	8	Seasonal posts increase cover Alarm systems automatically contact managers One manager on duty for major events
Business continuity	<u>54</u>	<u>43</u>	<u>2012</u>	Remote back-up Mobile phones Home-working options New IT systems implemented New phones installed
Security of buildings	2	2	4	CCTV – system is upgraded Alarms upgraded
Asset management	4	2	8	Asset management strategy to be developed in 2020-21
Events on council land	4	2	8	Control plans in place Meetings with events' organisers Liaison with local police and fire and rescue New events' police and procedure in place New template event management plan in place
Non-continued operation of park and ride	4	3	12	Charmouth Road park and ride extended opening dates Continued dialogue with land owner and bus operator Council agreed to underwrite bus operator

### Social

<b>Risk</b>	<b>Impact</b>	<b>Probability</b>	<b>Overall Score</b>	<b>Mitigation and control measures</b>
Lack of community engagement and not understanding what the community wants	3	3	9	New ways of engagement, i.e. Lyme Voice Facebook and Twitter pages now live Community engagement policy to be introduced
Social media	3	4	12	PR/comms policy and procedure Social media policy Code of conduct
Adverse publicity	3	4	12	Press releases Use of town council Facebook and Twitter and website PR/comms policy and procedure Social media policy Newspaper column

## Legal

Risk	Impact	Probability	Overall Score	Mitigation and control measures
Ability to understand and keep up with legislation	4	2	8	Member of professional organisations, i.e. NALC, DAPTC, SLCC, clerks' meetings Internal auditor Regular meetings with solicitors
Inability to defend a legal action	5	1	5	Policies and procedures in place Sensitive issues reviewed with solicitor and legal advice taken

## ICT

Risk	Impact	Probability	Overall Score	Mitigation and control measures
Lack of in-house expertise	2	4	8	Support packages from various external bodies Contract with DC
Websites and related infrastructure	<del>2</del> <u>4</u>	<del>3</del> <u>4</u>	<del>4</del> <u>16</u>	Local support available Working with existing partners Town council website Strategy to respond to departure and the council's tourist interface to be developed

### Environmental

Risk	Impact	Probability	Overall Score	Mitigation and control measures
Major land stability issues	5	2	10	Ground monitoring Geotechnical engineer Regular geotechnical reports
Flood risk	3	2	6	Flood risk warnings provided to officers Flood risk plan
Extreme weather	5	1	5	Emergency procedure Strengthened emergency weather plan for Monmouth Beach chalets

## Partnerships

Risk	Impact	Probability	Overall Score	Mitigation and control measures
DC	3	4	12	Good relationship with ward member DC has established member and officer discussions
LRDT	1	3	3	Member & officer attend LRDT property management committee
LymeForward	2	3	6	Working together on joint projects Grant agreement strengthened to include project delivery Regular meetings take place with LF director
Business community	3	4	12	
Term grant recipients	2	4	8	Grant agreements in place Review meetings Reporting arrangements to council committees
Cross-border	3	3	9	Monthly meetings with chairman of Charmouth Parish Council
Coastal Communities Team	2	2	4	Attendance at steering group meetings needs to be strengthened Reporting arrangements through TCP



## Human Resources

Risk	Impact	Probability	Overall Score	Mitigation and control measures
Compliance with systems, policies and procedures	4	2	8	Policies and procedures included in new staff handbooks and referred to in new contracts
Lack of HR expertise	<u>4.3</u>	2	<u>8.6</u>	Legal advice available if needed, i.e. NALC, solicitor, Local Government Association SW Councils appointed as council's HR advisor and advice taken from external HR consultant Support services manager training for a level 5 HR qualification
Morale	3	3	9	Video conference meeting twice a week Closing office on Tuesday mornings Staff social events
Retention and recruitment	2	3	6	Investing in training @1% of salaries Timely recruitment Competitive rates of pay and annual pay reviews
Capacity	3	4	12	Appointment of finance manager and assistant finance manager in post to improve capacity in finance team Staff trained to undertake several functions

### Contractual

Risk	Impact	Probability	Overall Score	Mitigation and control measures
Relationships with local contractors	4	3	12	Officers work to maintain good working relationships with contractors Contractual controls
Failure to comply with procurement policies and procedures	3	<u>42</u>	<u>126</u>	Standing orders and financial regulations include sections on procurement

### Health and safety

Risk	Impact	Probability	Overall Score	Mitigation and control measures
Lack of expertise	5	1	5	Operations manager holds health and safety qualification Support from consultants and professional bodies
Compliance with systems, policies and procedures	4	2	8	New health and safety policy Health and safety committee established Adhering to systems in place Health and safety audits External review of compliance
Lone working	5	1	5	Policy for amenities staff on cash handling Enforcement officers issued with cameras Security company collect cash Mobile phones issued

**Reputational**

<b>Risk</b>	<b>Impact</b>	<b>Probability</b>	<b>Overall Score</b>	<b>Mitigation and control measures</b>
Negative council image	4	3	12	Publishing of corporate plan Annual report to electors Newspaper column Social media Website Member publicity group meeting
Confidentiality	3	2	6	Code of conduct