

Governance

Risk	Impact	Probability	Overall Score	Mitigation and control measures	Comments
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 4	8 16	Code of conduct	<u>Deteriorating relationships between some members</u>
Competency and understanding	3	4 2	3 6	Significant training undertaken in 2019-20 Training available through DAPTC and in-house	<u>Reduced take-up of training</u>
Compliance with policies and procedures	4	2	8	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 <u>Prudent approach taken to objectives in 2021-22, objectives released as budget becomes available</u>	
Conflict between personal/council interests	3 4	3 4	9 16	Code of conduct PR/comms policy and procedure Social media policy Declaration of non-pecuniary interests	<u>Increase in members acting as advocates for external organisations rather than representing council interests</u>

Adhering to the transparency code	2	4	8	Town council website can accommodate requirements of the code Relevant documentation being compiled	
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Political

Risk	Impact	Probability	Overall Score	Mitigation and control measures	Comments
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. <u>DC arranging a meeting to consider asset transfer proposals</u> <u>Agency agreement in place</u>	
Adverse relationships with other authorities	3	3	9	Regular meeting with DC chief executive officers. Meetings with neighbouring local councils. Monthly meetings with DC ward member.	

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Financial

Risk	Impact	Probability	Overall Score	Mitigation and control measures	Comments
Compliance with systems, policies and procedures	3	3 <u>2</u>	9 <u>6</u>	Policies and procedures in place Internal audit Regular reports and monitoring External audit Finance manager and assistant finance manager appointed	<u>Finance manager and assistant manager established in post</u> <u>All audit related issues resolved</u>
Impact of DC - reviews and cuts	4	5 <u>4</u>	20 <u>16</u>	Ongoing discussions with DC DC's financial position compounded by Covid-19	<u>Situation has settled down within DC as they have come out of the transition period</u>
Performing to budget, including income interruption	4 <u>3</u>	4 <u>2</u>	16 <u>6</u>	Regular financial reports Policies and procedures in place Increased monitoring and reporting in response to Covid-19	<u>Stabilised our finances post-Covid</u> <u>Budget performance broadly in line with prudent expectation</u>
Significant fraud or theft	5	1	5	Internal audit Policies and procedures in place <u>Cyber security provided by third parties, e.g. banks, on financial transactions</u> <u>Protection from Dorset Council firewall</u>	
Age of assets	4	4	16	Asset register Fixed asset policy Asset management policy <u>strategy</u> to be developed	

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Minor fraud or theft	1	2	2	Internal audit policies and procedures in place	
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Operational

Risk	Impact	Probability	Overall Score	Mitigation and control measures	Comments
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	4.3	8.6	Seasonal posts increase cover Alarm systems automatically contact managers One manager on duty for major events	<u>Good cover but reliant on the goodwill of staff</u>
Business continuity	4.3	3	12.9	Remote back-up Mobile phones Home-working options New IT systems implemented New phones installed	<u>Experience gained through homeworking</u>
Security of buildings	2	2	4	CCTV – system is upgraded <u>plans for further system upgrades</u> Alarms upgraded	
Asset management	4	2.3	8.12	Asset management strategy to be developed in 2020-21 <u>2021-22</u>	<u>Implementation of strategy delayed due to Covid</u>
Events on council land	4.3	2	8.6	Control plans in place Meetings with events' organisers Liaison with local police and fire and rescue New events' policy and procedure in place	<u>No major events with issues this year</u> <u>Fewer events held this year</u>

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				<u>New</u> template event management plan in place <u>Roof management plan to be developed</u>	
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

Risk	Impact	Probability	Overall Score	Mitigation and control measures	Comments
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 <u>now live</u> Community engagement <u>policy strategy</u> 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	

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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

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ICT

Risk	Impact	Probability	Overall Score	Mitigation and control measures	Comments
Lack of in-house expertise	2	<u>4.3</u>	<u>8.6</u>	Support packages from various external bodies Contract with DC <u>Basic in-house expertise</u>	<u>Finance manager brought expertise. IT expertise needs to be considered in recruitment of replacement finance manager</u>
Websites and related infrastructure	4	<u>4.2</u>	<u>16.8</u>	Local support available Working with existing partners Town council website <u>Basic in-house expertise</u> <u>Strategy to respond to departure and the council's tourist interface to be developed</u>	<u>Partnering with Visit Dorset to take advantage of expertise and support</u> <u>Admin team has developed expertise</u>

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Environmental

Risk	Impact	Probability	Overall Score	Mitigation and control measures	Comments
Major land stability issues	5	2	10	Ground monitoring Geotechnical engineer Regular geotechnical reports	
Flood risk	3 <u>4</u>	2 <u>3</u>	6 <u>12</u>	Flood risk warnings provided to officers Flood risk plan <u>Liaison with Environment Agency and DC engineers</u>	<u>Absence of flood wardens</u>
Extreme weather	5	1 <u>2</u>	5 <u>10</u>	Emergency procedure Strengthened emergency weather plan for Monmouth Beach chalets	<u>Reaction to climate change, including recent Environment Agency report</u>

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Partnerships

Risk	Impact	Probability	Overall Score	Mitigation and control measures	Comments
DC	3	4 3	12 9	Good relationship with ward member DC has established member and officer discussions	<u>Regular meetings with DC ward member and senior officers</u>
LRDT	1	3	3	Member & officer attend LRDT property management committee	
LymeForward	2 4	3 4	6 16	Working together on joint projects Grant agreement strengthened to include project delivery Grant agreement Regular meetings take place with LF director	<u>Grant agreement not yet signed off by council</u> <u>Outstanding issues between LymeForward and the council</u> <u>Opinion among some members polarised</u>
Business community	3	4	12		<u>Some appetite locally to re-establish a business group</u>
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 <u>Seaside town liaison group which includes Seaton and Sidmouth</u>	

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Coastal Communities Team	2	2	4	Attendance at steering group meetings needs to be strengthened Reporting arrangements through TCP <u>Unsure of the future – report</u>	
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Human Resources

Risk	Impact	Probability	Overall Score	Mitigation and control measures	Comments
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	3	2	6	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 <u>achieved</u> a level 5 HR qualification	
Morale	3	3	9	Video conference meeting twice a week Closing office on Tuesday mornings <u>for regular breifings</u> Staff social events	
Retention and recruitment	2 <u>3</u>	3 <u>4</u>	6 <u>12</u>	Investing in training @1% of salaries Timely recruitment Competitive rates of pay and annual pay reviews – <u>Pay inflation for low paid workers</u>	<u>Living Wage increase now high on the agenda for lower paid staff</u> <u>Not a high demand for vacant posts</u>
Capacity	3	4 <u>3</u>	12 <u>9</u>	Appointment of finance manager and assistant finance manager in post to improve capacity in finance team Staff trained to undertake several functions	<u>Team is more stable</u> <u>Better succession planning</u>

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Contractual

Risk	Impact	Probability	Overall Score	Mitigation and control measures	Comments
Relationships with local contractors	4	3 2	12 8	Officers work to maintain good working relationships with contractors Contractual controls	<u>General improvement in relationships</u> <u>Preferred suppliers in place – due for review</u>
Failure to comply with procurement policies and procedures	3	2	6	Standing orders and financial regulations include sections on procurement	

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Health and safety

Risk	Impact	Probability	Overall Score	Mitigation and control measures	Comments
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 H health and safety policy <u>revised annually</u> Health and safety committee <u>established</u> Adhering to systems in place Health and safety audits External review of compliance	

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Lone working	5	<u>4.2</u>	<u>5.10</u>	Policy for amenities staff on cash handling Enforcement officers issued with cameras Security company collect cash Mobile phones issued <u>Whatsapp group established</u>	<u>Introduction of late-night seafront attendant role increased lone working requirements</u>
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Reputational

Risk	Impact	Probability	Overall Score	Mitigation and control measures	Comments
Negative council image	4	<u>3.4</u>	<u>12.16</u>	Publishing of corporate plan Annual report to electors Newspaper column Social media Website Member publicity group meeting <u>Hold member away days</u>	<u>Increased publicity and understanding in the town about the behaviour of members at council meetings</u>
Confidentiality	3	2	6	Code of conduct	

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