

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 | 4 | 16 | Code of conduct <u>Consultant to be engaged to work with members</u> | <u>Deteriorating R</u> relationships between some members <u>remain poor</u> |
| Competency and understanding | 3 | 2 | 6 | Training available through DAPTC, <u>SLCC, South West Councils</u> and in-house | <u>Reduced take-up of training</u> <u>External training take-up low</u> |
| Compliance with policies and procedures | 4 | 2 | 8 | Training undertaken. Previous weakness in financial control resolved Internal and external audit | <u>Policies and procedures are reviewed when required</u> |
| Complying with objectives (deviation from) | 2 | 4 | 8 | Prudent approach taken to objectives in <u>2021-22 2022-23, objectives released as budget becomes available</u> | |
| Conflict between personal/council interests | 4 | 4 | 16 | Code of conduct PR/comms policy and procedure Social media policy Declaration of non-pecuniary interests | <u>Increase in M</u> members acting as advocates for external organisations rather than representing council interests |
| Adhering to the transparency code | 2 | 4 | 8 | Town council website can accommodate requirements of the code Relevant documentation being compiled | <u>Further work required to publish the information</u> |

Political

| Risk | Impact | Probability | Overall Score | Mitigation and control measures | Comments |
|--|--------|-------------|---------------|---|----------|
| Dorset Council – uncertainty around possibility of withdrawal of key services in the town | 4 | 5 | 20 | Council can identify budgets for some services Monitoring decision-making closely DC arranging a meeting to consider asset transfer proposals Agency agreement in place | |
| Adverse relationships with other authorities | 3 | 3 | 9 | Regular meeting with DC officers. Meetings with neighbouring local councils. Monthly meetings with DC ward member. | |

Financial

| Risk | Impact | Probability | Overall Score | Mitigation and control measures | Comments |
|---|--------|-------------|---------------|--|--|
| Compliance with systems, policies and procedures | 3 | 2 | 6 | Policies and procedures in place Internal audit Regular reports and monitoring External audit | Finance manager and finance assistant manager established in post All audit related issues resolved |
| Impact of DC - reviews and cuts | 4 | 4 | 16 | Ongoing discussions with DC DC facing £29m budget gap in 2023-24 | Situation has settled down within DC as they have come out of the transition period <u>Monitor outcomes from budget-setting process</u> |
| Performing to budget, including income interruption | 3 | 2 | 6 | Regular financial reports Policies and procedures in place | Stabilised our finances post-Covid Budget performance broadly in line with prudent expectation |
| Significant fraud or theft | 5 | 1 | 5 | Internal audit Policies and procedures in place Cyber security provided by third parties, e.g. banks, on financial transactions Protection from Dorset Council firewall | |
| Age of assets | 4 | 4 | 16 | Asset register Fixed asset policy Asset management strategy to be developed | |
| Minor fraud or theft | 1 | 2 | 2 | Internal audit policies and procedures in place | |

| | | | | | |
|-----------------|----------|----------|----------|--|---|
| <u>Covid-19</u> | <u>4</u> | <u>2</u> | <u>8</u> | <u>Strong reserves and a strong asset base</u> | <u>There are other consequences with are non-financial but can be mitigated by working from home and safe working practices</u> |
|-----------------|----------|----------|----------|--|---|

Operational

| Risk | Impact | Probability | Overall Score | Mitigation and control measures | Comments |
|----------------------------|-----------------------|-----------------------|-----------------------|---|---|
| Disaster response | 5 | 1 | 5 | Emergency procedure in place (review autumn 202 2 ⁴) Other organisations are principal responders | |
| Growth and capacity | 3 <u>2</u> | 3 <u>2</u> | 9 <u>4</u> | No plans for additional growth | |
| Lack of out-of-hours cover | 2 | 3 | 6 | Seasonal posts increase cover Alarm systems automatically contact managers One manager on duty for major events | Good cover but reliant on the goodwill of staff |
| Business continuity | 3 | 3 | 9 | Remote back-up Mobile phones Home-working options | Experience gained through homeworking |
| Security of buildings | 2 | 2 | 4 | CCTV – plans for further system upgrades Alarms | |
| Asset management | 4 | 3 | 12 | Asset management strategy to be developed in 2021-22 <u>2022-23</u> | Implementation of strategy delayed due to Covid |
| Events on council land | 3 | 2 | 6 | Control plans in place Meetings with events' organisers Liaison with local police and fire and rescue events' policy and procedure in place | No major events with issues this year Fewer events held this year |

| | | | | | |
|--|---|---|----|--|--|
| | | | | template event management plan in place Roof management plan to be developed | |
| 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, <u>Instagram</u> and Twitter pages Community engagement strategy to be introduced <u>Two admin and community engagement assistants employed</u> | |
| Social media | 3 | 4 <u>3</u> | 12 <u>9</u> | PR/comms policy and procedure Social media policy Code of conduct | |
| Adverse publicity | 3 | 4 | 12 | Press releases Use of town council Facebook, <u>Instagram</u> 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 | Comments |
|-------------------------------------|----------|-----------------------|-----------------------|---|--|
| Lack of in-house expertise | 2 | 3 <u>4</u> | 6 <u>8</u> | Support packages from various external bodies Contract with DC Basic in-house expertise | Finance manager brought expertise. IT expertise needs to be considered in recruitment of replacement finance manager <u>Finance manager to be developed in the administration of ICT</u> |
| Websites and related infrastructure | <u>2</u> | 2 | 8 <u>4</u> | Local support available Working with existing partners Town council website Basic in-house expertise | Partnering <u>Partnered</u> with Visit Dorset to take advantage of expertise and support Admin team has developed expertise |

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 | 4 | 3 | 12 | Flood risk warnings provided to officers Flood risk plan Liaison with Environment Agency and DC engineers | Absence of flood wardens |
| Extreme weather | 5 | 2 | 10 | Emergency procedure Strengthened emergency weather plan for Monmouth Beach chalets | Reaction to climate change, including recent Environment Agency report |
| <u>Water quality – Church Cliff Beach</u> | <u>2</u> | <u>4</u> | <u>8</u> | <u>River monitoring group</u> <u>Discussions with Environment Agency</u> | |
| <u>Air quality</u> | <u>2</u> | <u>4</u> | <u>8</u> | <u>Request Dorset Council to carry out air quality monitoring</u> | |

Partnerships

| Risk | Impact | Probability | Overall Score | Mitigation and control measures | Comments |
|-----------------------|--------|-------------|---------------|---|---|
| DC | 3 | 3 | 9 | Good relationship with ward member DC has established member and officer discussions | Regular meetings with DC ward member and senior officers |
| LRDT | 1 | 3 | 3 | Member & officer attend LRDT property management committee | |
| LymeForward | -4 | -4 | -16 | Grant agreement Regular meetings | Grant agreement not yet signed off by council Outstanding issues between LymeForward and the council Opinion among some members polarised |
| Business community | 3 | 4 | 12 | <u>Business briefings to be set up</u> | Some appetite locally to re-establish a business group |
| Term grant recipients | 2 | 4 | 8 | Grant agreements Review meetings Reporting arrangements to council committees | |
| Cross-border | 3 | 3 | 9 | Monthly meetings with chairman of Charmouth Parish Council Seaside town liaison group which includes Seaton and Sidmouth | |

| | | | | | |
|--------------------------------|---|---|---|--|--|
| Coastal Communities Team | 2 | 2 | 4 | Attendance at steering group meetings needs to be strengthened Reporting arrangements through TCP Unsure of the future — report | |
|--------------------------------|---|---|---|--|--|

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 achieved a level 5 HR qualification | |
| Morale | 3 | 3 <u>4</u> | 9 <u>12</u> | Closing office on Tuesday mornings for regular briefings <u>Full staff team briefings every council cycle</u> Staff social events | <u>Increased concern around pay</u> |
| Retention and recruitment | 3 | 4 | 12 | Investing in training @1% of salaries Timely recruitment Competitive rates of pay and annual pay reviews – Pay inflation for low paid workers <u>Pay review being undertaken</u> | Living Wage increase now high on the agenda for lower paid staff Not a high demand for vacant posts <u>Higher levels of pay for some lower paid employees through increases in the Living Wage</u> |

| | | | | | |
|----------|---|---|---|--|--|
| Capacity | 3 | 3 | 9 | Staff trained to undertake several functions | Team is more stable Better succession planning <u>Continued vulnerability to unplanned absence.</u> <u>Limited capacity in a small team.</u> |
|----------|---|---|---|--|--|

Contractual

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

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 | Health and safety policy – reviewed annually Health and safety committee Adhering to systems in place Health and safety audits External review of compliance | |

| | | | | | |
|--------------|---|---|----|--|---|
| Lone working | 5 | 2 | 10 | Policy for amenities staff on cash handling Enforcement officers issued with cameras Security company collect cash Mobile phones issued Whatsapp group established | Introduction of late-night seafront attendant role increased lone working requirements |
|--------------|---|---|----|--|---|

Reputational

| Risk | Impact | Probability | Overall Score | Mitigation and control measures | Comments |
|------------------------|--------|-------------|---------------|---|--|
| Negative council image | 4 | 4 | 16 | Publishing of corporate plan Annual report to electors Newspaper column Social media Website Member publicity group meeting Hold member away days <u>Community engagement plan</u> | Increased publicity and understanding in the town about the behaviour of members at council meetings |
| Confidentiality | 3 | 2 | 6 | Code of conduct | |