

RISK ASSESSMENTS

AGENDA ITEM No. 7

MEETING: **AUDIT, RISK AND G.D.P.R. SUB-COMMITTEE**

DATE: **23rd OCTOBER 2019**

REPORT BY: **TOWN CLERK**

1.0 Purpose of the Report

1.1 The purpose of the report is to provide information to the Audit, Risk and G.D.P.R. Sub-Committee for the purpose of monitoring the Council's Risk Management Strategy.

2.0 Background

2.1 Risk Assessments are undertaken by officers and referred to the Policy and Resources Committee reports which require a decision to be made by members.

2.2 Officers carry out risk assessments where it appears that the Council is taking a significant decision which may expose the Council to risk.

2.3 The Audit, Risk and G.D.P.R. Sub-Committee is responsible for monitoring the Risk Management Strategy, maintaining the Register of Risk and providing an analysis of the effectiveness of the Risk Management Framework.

2.4 The policy in regard to Risk Management and Procurement was accepted by Council on the 2nd November 2005. The updated Risk Management Policy and Strategy was agreed in August 2016 following comments from the Internal Auditor.

2.5 Risk assessments on new Council activities or proposals have been undertaken from December 2005.

3.0 Risk Register – New Activities or Proposals

3.1 There have been no new risks since the last Audit Sub-Committee on the 10th July 2019.

4.0 Business Risk Register

4.1 The Performance Management Group undertook a quarterly risk review of the high and medium business risks in the Risk Registers on the 25th September 2019 which will subsequently be ratified by the Policy and Resources Committee on the 23rd October 2019.

5.0 General Data Protection Regulations (GDPR)

5.1 Is any personal or sensitive data required for this proposal which may have any implications for GDPR?

NO

6.0 Recommendations

6.1 It is recommended that the Audit Sub-Committee receives the information in this report.

Town Clerk.

Quarterly Risk Review – High and Medium Risks

September 2019

Ref	Detail of Risk	Current Control	L'hood	Impact	Score	Review L'hood	w Im-pact	w Score	Comment
F37	Withdrawal of LCTSS grant in future	Update of MTFP looked at scenarios and impact on financial position. Balances held and contingency sum. Savings would be required if withdrawn. Programme of Service reviews underway	2	3	High	2	3	High	No change
E10	Vandalism to golf greens	None	1	3	Med	1	3	Med	No change
E14	Accident/Incident at Inovyn or Prefere Res-ins	Off-Site Emergency Plan consultation, warning siren	1	3	Med	1	3	Med	No change
F12	Lack of staff cover	Casual staff in place	2	2	Med	2	2	Med	No change
F16	Sickness absence affecting service delivery and morale	Policy in place, management team meetings, HR and Occ Health support, sickness monitored	2	2	Med	1	2	Med	Less one-off sickness occurring
F35	Financial statements may be materially misstated due to fraud and error	Anti-Fraud & Corruption Policy, CIPFA qualified Finance Manager, Int & Ext audit, pols & procedures, financial regs	1	2	Med	1	2	Med	No change

Ref	Detail of Risk	Current Control	L'hood	Impact	Score	Review L'hood	w Impact	w Score	Comment
F39	Increases in national living wage	Short term impact provided for in 2018/19 budget. Grade re-structure undertaken. Future increases provided for in Medium Term Financial Plan. Likely to be an increasing budget pressure	2	2	Med	2	2	Med	rding change
HS0	Lone working	Policies and procedures in place	2	2	Med	2	2	Med	No change
HS0	Special Events - accident/injury to staff/public	Risk assessments, policies and procedures, appropriate legislation in place	2	2	Med	2	2	Med	No change
M02	Inappropriate action by Councillor	Code of Conduct in place	2	2	Med	2	2	Med	No change
M04	Inappropriate use of media by Councillor	Code of Conduct in place (Standing Order 24)	2	2	Med	2	2	Med	No change
S16	Power failure - unable to provide service at Pre-School	None	1	3	Med	1	3	Med	No change
S23	Grant cuts facing DCC could lead to more requests for	Requests for service take over subject to Council consideration and approval	2	2	Med	2	2	Med	No change

Ref	Detail of Risk	Current Control	L'hood	Impact	Score	Review L'hood	w Im-pact	w Score	Comment
	joint working and devolve-ment of ser-vices								
S28	Inappropriate action by employee	Code of conduct in place	2	2	Med	2	2	Med	No change
S29	Inappropriate use of social media by an em-ployee	Code of conduct in place	2	2	Med	1	3	Med	Staff more aware of so-cial media policy
S30	re of greens due to flooding	Drainage checked and maintained	1	3	Med	1	3	Med	No change
S31	Risk of damage to facilities, and assault on staff or cus-tomers	Temporary Exclusion Order may be applied	2	2	Med	2	2	Med	No change
S32	Changes to audit regime	Internal audit	1	2	Med	1	2	Med	No change
HS1	Risk of Legionella	Checks in place	1	3	Med	1	3	Med	No change
S34	Compliance with General Data Protec-tion Regula-tions	Monitoring of compliance	1	3	Med	1	3	Med	No change

Ref	Detail of Risk	Current Control	L'hood	Impact	Score	Review L'hood	w Im-pact	w Score	Comment
E15	Lack of action on Ash Dieback Disease	Trees currently monitored, action plan being developed, staff are trained in use of chain saws, public are being informed	2	3	High	2	3	High	New Risk
S36	Making website accessible by September 2020 and compliance with legislation	Work is ongoing, training organised. As much as possible made accessible prior to being uploaded	1	2	Low	1	2	Low	New Risk