

# **Corporate Assurance Risk Register**

**June 2018**

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Torridge District Council's Corporate Assurance and Risk Register is a best practice template for recording and managing risks. The Council also promotes the use of Assurance and Risk Registers for managing risks within service areas which are recorded and managed in service and project plans.

The Risk Register is a management tool where a review and updating process identifies, assesses and manages down the risk to acceptable levels. It provides a framework in which problems that may arise and adversely affect the delivery of the Council's aims and priorities are captured and actions instigated to reduce the likelihood and impact of that particular risk.

## **Section 1 - Three Stage Risk Scoring Process**

Torrige District Council operates a 3 Stage Risk Scoring process as outlined in the Council's Risk Management Strategy which is available on the Council intranet site. The information below offers a brief overview of each stage of the Risk process.

**Inherent score** – the risk scored with no controls, assurances or actions in place.

**Current score** – the risk scored with controls, assurances and progressed actions.

**Target score** – the risk score with controls and assurances in place and linked actions completed.

As controls and assurances are put in place and actions completed the Risk will be more controlled and, therefore, the current score moves towards the Target Score.

## Section 2 - Risk Matrix

E X A M P L E S OF IMPACT				CORPORATE RISK GRID				
Reputational	Compliance	Financial	Service Provision / Continuity					
<ul style="list-style-type: none"> <li>National publication (name and shame) by external body leading to a loss of control over the running of Council operations</li> <li>Front page of national paper</li> </ul>	<ul style="list-style-type: none"> <li>Facing serious penalties or prosecution &amp; criticism from institutions such as Ombudsman, Info. Commissioner</li> <li>Customers are treated unfairly &amp; suffer damage by the Council</li> </ul>	<ul style="list-style-type: none"> <li>Over £400k loss or additional cost to the Council.</li> </ul>	<ul style="list-style-type: none"> <li>Service delivery affected by over 3 months.</li> <li>Statutory / critical service delivery will cease for a period of time without any effective contingency.</li> </ul>	High	3	6	9	12
<ul style="list-style-type: none"> <li>National or local front-page press article leading to a reduced ability to affectively deliver one or more services.</li> <li>National press article</li> </ul>	<ul style="list-style-type: none"> <li>The Council may face criticism and be ordered to comply with legislation by an external body as a result of a breach</li> </ul>	<ul style="list-style-type: none"> <li>Between £100k-£399k loss or additional cost to the Council</li> </ul>	<ul style="list-style-type: none"> <li>Delivery affected between 1 &amp; 3 months.</li> <li>Loss of a non-critical service for a significant period of time.</li> </ul>	Medium	2	4	6	8
<ul style="list-style-type: none"> <li>Disgruntled local groups/ individuals possibly leading to internal complaints with research into the causes</li> <li>Local press article &amp;/or ombudsman enquiry</li> </ul>	<ul style="list-style-type: none"> <li>The Council may commit largely undetectable breaches in legislation</li> <li>Internal procedure breaches that could have other minor effects on reputation, service delivery etc.</li> </ul>	<ul style="list-style-type: none"> <li>Between £10k-£99k loss or additional cost to the Council.</li> </ul>	<ul style="list-style-type: none"> <li>Delivery affected by up to 1 month.</li> <li>Minor disruption or inconvenience to service delivery &amp; customers. (Reduced staffing, late opening, temp loss of IT).</li> </ul>	Low	1	2	3	4
				<b>EXAMPLES OF LIKELIHOOD</b>				
				Low	Medium	High	Very High	
				Less than 10% chance of occurrence Never happened before Circumstance never encountered	10% to 40% chance of occurrence Only likely to happen once every 3 or more years Circumstances rarely encountered	41% to 75% chance of occurrence Likely to happen at some point in the next 3 years Circumstances occasionally encountered	More than 75% chance of occurrence Regular occurrence Circumstances frequently encountered	

Risk Title	1. Balanced Budget						
<b>Stage 1 - Risk without controls (Inherent risk)</b>							
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score		
CR1	Risk that inability to deliver savings and a balanced budget will result in an in year overspend	Steve Hearse	Strategic	Financial		13xL4 =12	
<b>Stage 2 – Risk with Controls and Assurances (Current risk)</b>							
<b>List of controls and associated assurances to ensure controls are working</b>					<b>Current risk score</b>	12xL1 =2	
<p><b>1. Control</b> – Budget setting process to identify deliverable savings through budget proposal reports to SMT, Members, Scrutiny Committee, C&amp;R Committee and Council. <b>Assurance</b> – Reports to and minutes of meetings.</p> <p><b>2. Control</b> – Management oversight of budget monitoring through Quarterly Business Review, Capital Asset Management Working Group, Revenue and Capital Budget Monitoring report. <b>Assurance</b> – QBR Report.</p> <p><b>3. Control</b> – Leader and Head of Paid Service challenge to Services through SMT. <b>Assurance</b> – Minutes of meetings.</p> <p><b>4. Control</b> – Head of Paid Service challenge to SMT and OMT. <b>Assurance</b> – Minutes of Team meetings and emails.</p> <p><b>5. Control</b> – Budget profiling continually reviewed to ensure accurate forecasting and refined in light of actual spend patterns. <b>Assurance</b> – Reports to and minutes of meetings</p> <p><b>6. Control</b> – Regular monitoring of overall budget and budget savings through Member and officer Governance arrangements, including SMT, Scrutiny, C&amp;R, and Council. <b>Assurance</b> – Minutes of meetings</p> <p><b>7. Control</b> - Grant Thornton VFM and Financial Resilience exercise carried out annually provides assurance in the report that the Council has robust systems in place and that we are in a strong financial position going forward. <b>Assurance</b> – Grant Thornton</p>							
<b>Stage 3 – Further actions to reduce the risk (Target risk)</b>							
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due Date	Comments/update on progress	RAG Status	<b>Target risk score</b>	12xL1 =2
1	The Medium Term Financial Strategy will be reviewed in January / February 2018	Steve Hearse	26 February 2018	<b>Completed</b> – However, the report identified a small £0.4m Budget Gap as at 2022/23. A Member workshop is being scheduled for June / July to consider options to close the gap ( <b>New Action</b> ). <b>Report required to C&amp;R</b>			
2	Business rates revaluations – to evaluate the impact on TDCs finances and MTFS	Steve Hearse	26 February 2018	<b>Completed</b> – TDCs 2017/18 Financial Statements still reporting growth in Business Rates.			
3	Fair funding review and move to 100% Business Rates Retention	Steve Hearse	<b>Revised date – December 2019</b>	MHCLG work ongoing and unclear as yet the impact either will have on TDC finances. It is for 2020/21 financial year and we maintain a watching brief to ensure evaluate any proposals as they emerge.			
4	Living wage and review of salaries – evaluate the impact	Steve Hearse	26	<b>Completed</b> - Impacts of living wage now built into Budget 2018/19 and MTFS.			

			February 2018	Next phase is to incorporate the changes to the pay structure.				
5	Successful implementation of the Waste & Recycling Project	Richard Haste	30 June 2018	On track with the target (10,000) number of chargeable garden waste subscriptions 9,333 as of 01 June 2018. New service live on 4 June 2018. Temporary site being used to store new vehicles.				
<b>NEW 6</b>	<b>Member workshop to review MTFS and Capital Programme and report to Members</b>	Steve Hearse	30 Sept 2018					
<b>NEW 7</b>	<b>Revisit and review Transforming Torridge Programme savings plans once staff relocated to Riverbank House</b>	Steve Hearse	31 Jan 2019					

<b>Risk Title</b>	<b>2. Human Resource</b>						
<b>Stage 1 - Risk without controls (Inherent risk)</b>							
<b>Code</b>	<b>Risk - CAUSE, EVENT, EFFECT</b>	<b>Risk Owner</b>	<b>Risk type</b>	<b>Risk category</b>	<b>Inherent risk score</b>		
CR2	A draft workforce plan has been developed. The Transforming Torridge programme is underway with project plans in place. There are a few remaining temporary arrangements across the Council.	Sarah Ayres	Strategic	Service Provision		13xL2 =6	
<b>Stage 2 – Risk with Controls and Assurances (Current risk)</b>							
<b>List of controls and associated assurances to ensure controls are working</b>					<b>Current risk score</b>	L3xL2 =6	
<p><b>1. Control</b> –Individual services complete business plans. Temporary staffing arrangements utilised where necessary. <b>Assurance</b> – arrangements approved via GWAF process.</p> <p><b>2. Control</b> – An outline Workforce Plan has been developed. Vacancy controls will be maintained. <b>Assurance</b> – All vacancies are managed by GWAF process and filling of vacant posts is scrutinised by HRM and HoPS.</p>							
<b>Stage 3 – Further actions to reduce the risk (Target risk)</b>							
<b>Code</b>	<b>Actions to further mitigate risk / maximise opportunities</b>	<b>Action Owner</b>	<b>Due Date</b>	<b>Comments/update on progress</b>	<b>RAG Status</b>	<b>Target risk score</b>	
1	High number of vacancies in Planning service currently covered by agency staff	Sean Kearney / Sarah Ayres	31 March 2018	<b>Completed</b> - Planning team now adequately resourced and moved to business as usual.			
2	New Human Resources microsite has been developed and is due to be launched 1 December 2017	Sarah Ayres	31 December 2017	<b>Completed</b> – Microsite went live in May 2018 and now all vacancies advertised on it.			
<b>NEW 3</b>	Staff resources for Waste & Recycling and new service. High turnover and shortage in some key areas e.g. HGV drivers.	Sarah Ayres/ Richard Haste	N/a	<b>New service going live on 4 June 2018</b>			
<b>NEW 4</b>	The two year pay award (2018/19 & 2019/20) involved changes and amalgamation of a number of spinal points, which impact around 188 staff.	Sarah Ayres	31 March 2019				

Risk Title	3. Reputation of the Council							
<b>Stage 1 - Risk without controls (Inherent risk)</b>								
Code	Risk - CAUSE, EVENT, EFFECT	Risk Owner	Risk type	Risk category	Inherent risk score			
CR3	Risk that failure to manage and control the Council's actions/activities will result in adverse publicity and significantly damage the reputation of the Council.	Jamie Hollis	Strategic	Reputation		13xL4 =12		
<b>Stage 2 – Risk with Controls and Assurances (Current risk)</b>								
<b>List of controls and associated assurances to ensure controls are working</b>					<b>Current risk score</b>	13xL1 =3		
<p><b>1. Control</b> – Progress with business plans is monitored via quarterly business reviews (QBR) and key performance indicators (KPI).  <b>Assurance</b> – QBR's and KPI's reported to SMT and Committees who challenge as appropriate.</p> <p><b>2. Control</b> – Properly functioning committees and working groups. <b>Assurance</b> – Constitution and minutes of meetings</p> <p><b>3. Control</b> – Monitoring of all Freedom of Information requests Democratic Services and Communications to assess and anticipate appropriate response. <b>Assurance</b> – Minutes of meetings</p> <p><b>4. Control</b> – Monitoring and reporting of Complaints. <b>Assurance</b> – Ensure learning points and highlight areas of concern. Emails to managers and regular reporting of stats to members via bulletin.</p> <p><b>5. Control</b> – Monitoring Officer and Standards Committee oversee Cllr behaviour <b>Assurance</b> – Minutes of meetings and monitoring officer reports</p> <p><b>6. Control</b> – Monitoring information about the Council in the local media. <b>Assurance</b> – Formal responses to press enquiries including quotations from Councillors. Proactive placing of positive news stories.</p> <p><b>7. Control</b> – Property Team oversea major decisions and major projects. <b>Assurance</b> – Officers are responsible for carrying out due diligence and for checking that this has taken place.</p>								
<b>Stage 3 – Further actions to reduce the risk (Target risk)</b>								
Code	Actions to further mitigate risk / maximise opportunities	Action Owner	Due Date	Comments/update on progress	RAG Status	Target risk score		
1	Port and Harbour Safety Code	Sean Kearney	Revised date 30 September 2018	Harbour master has reviewed the existing code and now needs to be updated.			13xL1 =3	
2	New GDPR coming into force 25 May 2018 with wide ranging impacts on data protection legislation and requirements	Jamie Hollis	31 March 2018	New regulations now in place from 25 May 2018. TDC been working with Devon Audit Partnership to implement the change. Some areas still outstanding and waiting software companies to release upgrade to manage data deletion where necessary, etc.				
NEW 3	New Waste and Recycling Service being implemented with effect from 4 June 2018 affecting every household	Richard Haste	30 June 2018	Project plan in place, which includes risk and communications plans. Significantly higher than expected calls and customers at receptions being dealt with. A separate "call centre" team established to manage calls fro new and existing service. Communications feeding out continuously.				

<b>Risk Title</b>	<b>4. Business Continuity</b>						
<b>Stage 1 - Risk without controls (Inherent risk)</b>							
<b>Code</b>	<b>Risk - CAUSE, EVENT, EFFECT</b>	<b>Risk Owner</b>	<b>Risk type</b>	<b>Risk category</b>	<b>Inherent risk score</b>		
CR4	Risk that following an unforeseen event the Council's business continuity processes are not robust enough to enable provision of key services in an emergency.	Jon Walter	Strategic	Business Continuity	I3xL4 =12		
<b>Stage 2 – Risk with Controls and Assurances (Current risk)</b>							
<b>List of controls and associated assurances to ensure controls are working</b>					<b>Current risk score</b>	I2xL2 =4	
<p><b>1. Control</b> – Corporate Business Continuity Plan. <b>Assurance</b> – Corporate Business Continuity Plan</p> <p><b>2. Control</b> – Service Business Continuity Plans monitored by SMT. <b>Assurance</b> – Update reports to SMT.</p> <p><b>3. Control</b> – Identification and prioritisation of Corporate ICT systems for recovery as part of Business Continuity Plan (under review). <b>Assurance</b> – Reviewed annually by SMT. Monthly monitoring by ICT and by Emergency Planning.</p> <p><b>4. Control</b> – ICT System processes and skills in place to re-establish key systems. <b>Assurance</b> – <b>Processes being documented for review and testing</b></p> <p><b>5. Control</b> – <b>External and independent review / audit of Cyber Security. Assurance</b> – <b>Reported to SMT to implement appropriate actions where necessary and Audit &amp; Governance Committee.</b></p>							
<b>Stage 3 – Further actions to reduce the risk (Target risk)</b>							
<b>Code</b>	<b>Actions to further mitigate risk / maximise opportunities</b>	<b>Action Owner</b>	<b>Due Date</b>	<b>Comments/update on progress</b>	<b>RAG Status</b>	<b>Target risk score</b>	
1	Zurich to undertake a Business Continuity review and report	Jon Walter	28 February 2017 – revised 31 March 2018	<b>Completed</b> – report produced and workshop held with SMT / OMT to formulate the “Business Impact Analysis” for TDC, which will guide the overarching BC strategy document.		I2xL1 =2	
2	Arrangements for telephony and disaster recovery at Caddstown	Steve Hearse	31 July 2017 - revised	Reviewed of existing infrastructure completed for scope of project. Upgrade required before can update and will commence following the completion of the upgrade to the Corporate telephony system.			
<b>NEW 3</b>	Development of Corporate Business Continuity Strategy, which will form the basis of our business needs infrastructure e.g. telephony, IT and physical office space.	Jon Walter	30 September 2018	The output from the workshop identified the key critical services that need to be mobilised in priority order. The next stage is to determine the enabling requirements needs to put this in place should an event occur.			
<b>NEW 4</b>	Upon completion of the strategy and putting in place the	Jon Walter	30				



	requirements to deliver it in the event of an incident testing needs to take place to ensure is fit for purpose.		November 2018							
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<b>Risk Title</b>	<b>5. Civil Emergencies</b>						
<b>Stage 1 - Risk without controls (Inherent risk)</b>							
<b>Code</b>	<b>Risk - CAUSE, EVENT, EFFECT</b>	<b>Risk Owner</b>	<b>Risk type</b>	<b>Risk category</b>	<b>Inherent risk score</b>		
CR5	Risk that following an unforeseen event the council cannot respond to an emergency and fulfil its statutory duties under the Civil Contingencies Act 2004. Putting the public at risk and damage to the Authorities reputation.	Richard Haste	Strategic	Compliance Reputation	13xL3 =9		
<b>Stage 2 – Risk with Controls and Assurances (Current risk)</b>							
<b>List of controls and associated assurances to ensure controls are working</b>					<b>Current risk score</b>	12xL2 =4	
<p><b>1. Control</b> – Corporate Emergency Plan and specific plans in place. <b>Assurance</b> – Emergency Plans</p> <p><b>2. Control</b> – Members of OMT and SMT trained to respond to an emergency. <b>Assurance</b> – Training provided</p> <p><b>3. Control</b> – Member of the Local Resilience Forum. Multi agency group responsible for ensuring Category 1 duties are fulfilled <b>Assurance</b> – Attendance by Waste and Recycling Manager at regular multi agency meetings</p> <p><b>4. Control</b> – Out of hour's standby service operating 24/7. <b>Assurance</b> – Trained officers duty rota</p> <p><b>5. Control</b> – Member of the Northern Devon Responders Forum and Blue Light Forum, when local incidents are discussed and planned for. <b>Assurance</b> – Attendance by Waste and Recycling Manager on a quarterly basis</p>							
<b>Stage 3 – Further actions to reduce the risk (Target risk)</b>							
<b>Code</b>	<b>Actions to further mitigate risk / maximise opportunities</b>	<b>Action Owner</b>	<b>Due Date</b>	<b>Comments/update on progress</b>	<b>RAG Status</b>	<b>Target risk score</b>	
1	Training for Members on emergency planning and dealing with emergencies	Richard Haste	30 June 2019	This will be included in the Members training for the new Council.		12xL1 =2	
2	Refresher training for OMT / SMT on roles of silver officers	Richard Haste	30 November 2018	JW / AR to be given full training and OMT refresher – this has been completed. Refresher training still outstanding. JW / AR training taken place.			

<b>Risk Title</b>	<b>6. Safeguarding children and vulnerable adults</b>							
<b>Stage 1 - Risk without controls (Inherent risk)</b>								
<b>Code</b>	<b>Risk - CAUSE, EVENT, EFFECT</b>	<b>Risk Owner</b>	<b>Risk type</b>	<b>Risk category</b>	<b>Inherent risk score</b>			
CR6	Officers and members of the Authority may not identify and report to the MASH any vulnerable adults or children that are at risk of abuse as required by the Children's Act. Putting individuals at risk, damage to the Council's reputation and possible financial/legal implications (eg. Baby Peter case)	Steve Hearse	Strategic	Compliance Financial Reputation	13xL4 =12			
<b>Stage 2 - Risk with Controls and Assurances (Current risk)</b>								
<b>List of controls and associated assurances to ensure controls are working</b>					<b>Current risk score</b>	13xL2 =6		
<p><b>1. Control</b> – A Safeguarding Policy has been approved. <b>Assurance</b> – Approved by Full Council.</p> <p><b>2. Control</b> – There is Council representation at Multi Agency Safeguarding and Harm meetings. <b>Assurance</b> – Meeting minutes.</p> <p><b>3. Control</b> – Training has and will take place for Safeguarding Officers. <b>Assurance</b> – Attendance list.</p> <p><b>4. Control</b> – A Lead Safeguarding Officer and deputy have been appointed. A Safeguarding Group has been established. <b>Assurance</b> – Lead Safeguarding Officer and Deputy positions have been filled by the Strategic Manager (Resources) and the Customer Support Manager. Group includes the HRM and Senior Solicitor to cover Members and Staff</p> <p><b>5. Control</b> – 2014-15 s11 Return submitted. Demonstrated compliance with requirements <b>Assurance</b> – Return completed.</p> <p><b>6. Control</b> – Attendance of Devon wide leads meeting by either Head or Deputy</p>								
<b>Stage 3 - Further actions to reduce the risk (Target risk)</b>								
<b>Code</b>	<b>Actions to further mitigate risk / maximise opportunities</b>	<b>Action Owner</b>	<b>Due Date</b>	<b>Comments/update on progress</b>	<b>RAG Status</b>	<b>Target risk score</b>	13xL1 =3	
1	Additional training on suicide / prevent agenda	Steve Hearse	31 December 2016	Completed.				
2	's11 Audit and report required for 2017. New format	Steve Hearse	30 September 2017	Completed.				

<b>Risk Title</b>	<b>7. Corporate Manslaughter</b>						
<b>Stage 1 - Risk without controls (Inherent risk)</b>							
<b>Code</b>	<b>Risk - CAUSE, EVENT, EFFECT</b>	<b>Risk Owner</b>	<b>Risk type</b>	<b>Risk category</b>	<b>Inherent risk score</b>		
CR7	Risk that a fatality occurs and the council are found to have failed to ensure the safety of staff and/or public resulting in the Council being charged with Corporate Manslaughter. This will result in financial/legal implications (prosecution and unlimited fines). If a prohibition notice is issued it will stop Council activities until non-compliance has been rectified. Adverse publicity will cause damage to reputation of the Council. Senior Officers may also be subject to fines and imprisonment	Head of Paid Service/SMT	Strategic	Compliance Financial Performance Reputation	13xL4 =12		
<b>Stage 2 - Risk with Controls and Assurances (Current risk)</b>							
<b>List of controls and associated assurances to ensure controls are working</b>					<b>Current risk score</b>		
<p><b>1. Control</b> –The Council has in place health and safety policies and procedures which are reviewed and updated as necessary by the Corporate H&amp;S Advisor. <b>Assurance</b> – Available to view on council intranet site; Corporate Health and Safety Policy last reviewed July 2014. Policies are reviewed as a minimum every 3 years. They were last updated April 2012.</p> <p><b>2. Control</b> – All services have risk assessments in place. Specific risk assessments for high risk areas such as asbestos and legionella. <b>Assurance</b> – Service managers responsible for undertaking and maintaining risk assessments in their own areas. Audits by Corporate H&amp;S Advisor.</p> <p><b>3. Control</b> – All Council Buildings and Public areas are subject to programmed and reactive maintenance. Risk assessments, inspections and audits undertaken. <b>Assurance</b> – Budget managed by Property Services, Records maintained.</p> <p><b>4. Control</b> – All fleet vehicles are subject to routine servicing, maintenance and MOT as necessary. <b>Assurance</b> – Maintenance and servicing records, vehicle defect reports and subsequent actions recorded.</p>					13xL2 =6		
<b>Stage 3 - Further actions to reduce the risk (Target risk)</b>							
<b>Code</b>	<b>Actions to further mitigate risk / maximise opportunities</b>	<b>Action Owner</b>	<b>Due Date</b>	<b>Comments/update on progress</b>	<b>RAG Status</b>	<b>Target risk score</b>	
						13xL1 =3	
1	All H&S assessments need to be updated following training	Janet Williams	<b>Revised Date - 31 March 2019</b>	Revised action date of 30 June 2017. Progressing but not complete as of November 17. Works continuing in this area.			
2	Organise training for SMT	Janet Williams	<b>Revised Date – 30 September 2018</b>	Training provider/ course found, to progress by end of year.			

