

## Risk Report Appendix 7

Report for 2015-2016  
 Filtered by Flag: Include: \* CRR 5+ / 15+  
 For MDDC - Services

Not Including Risk Child Projects records or Mitigating Action records

### Key to Performance Status:

Risks: No Data (0+) High (15+) Medium (5+) Low (1+)

## Risk Report Appendix 7

**Risk: Asbestos** Health risks associated with Asbestos products such as lagging, ceiling/wall tiles, fire control.

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Housing Services**

**Current Status:**  
**Medium (5)**

**Current Risk Severity: 5 -**  
**Very High**

**Current Risk Likelihood: 1 -**  
**Very Low**

**Head of Service: Nick Sanderson**

**Review Note:** Recommendations from the HSE after the events last year have now been implemented.

## Risk Report Appendix 7

**Risk: Breaches in HR Legislation** Failure to keep Council policies up to date, that complement the appropriate legislation

Failure to develop staff knowledge and competence regarding legislation/changes

**Effects (Impact/Severity):** - The Council could face poor reports from assurance bodies  
 - Failure to meet statutory duties could result in paying penalties, stretching already thin financial resources  
 - Failure to comply with legislation could lead to legal challenge against individuals or the Council as a whole  
 - Future legislation changes, their impact on services and the cost of implementing changes to policies, procedures and service delivery

**Causes (Likelihood):**

**Service: Human Resources**

<b>Current Status: No Data</b>	<b>Current Risk Severity: 5 - Very High</b>	<b>Current Risk Likelihood: 1 - Very Low</b>
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**Head of Service: Jill May**

**Review Note:** The council employs four Chartered Ins of Personnel and Development (CIPD) staff who undertake regular employment law updates. All policies are reviewed on an three year programme which has slipped lately due to pressure of work (reorganisations, consultations and redundancies) however we always prioritise legislative change. Therefore whilst this is a huge risk it is a risk which is managed.

**Risk: Chemicals** Staff using chemicals incorrectly.

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Leisure Services**

<b>Current Status: Medium (5)</b>	<b>Current Risk Severity: 5 - Very High</b>	<b>Current Risk Likelihood: 1 - Very Low</b>
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**Head of Service: Jill May**

**Review Note:**

## Risk Report Appendix 7

**Risk: Council Finances - Banking Arrangements** Problems with banks and online services may affect ability to access funds when we need to or receive / process payments on a timely basis

**Effects (Impact/Severity):** Unable to promptly pay suppliers or treasury commitments

**Causes (Likelihood):** ICT systems down at Council or Bank so impossible to review cash position or make urgent payments

**Service: Financial Services**

**Current Status:**  
Medium (5)

**Current Risk Severity:** 5 -  
Very High

**Current Risk Likelihood:** 1 -  
Very Low

**Head of Service:** Andrew Cawdron, Andrew Jarrett

**Review Note:**

**Risk: Council Finances - Investments** Failure to invest in the Council's funds in an efficient and effective manner may cause potential of a loss of monies invested

**Effects (Impact/Severity):** • Could result in cash flow loss of up to £3M

**Causes (Likelihood):** • Future banking collapses

**Service: Financial Services**

**Current Status:**  
Medium (5)

**Current Risk Severity:** 5 -  
Very High

**Current Risk Likelihood:** 1 -  
Very Low

**Head of Service:** Andrew Cawdron, Andrew Jarrett

**Review Note:** Cabinet have recently agreed to invest in CCLA

**Risk: Council Finances - Treasury Management** Failure to comply with the CIPFA Code of Practice on Treasury Management /local authority accounting would be a breach in statutory duty

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Financial Services**

**Current Status:**  
Medium (5)

**Current Risk Severity:** 5 -  
Very High

**Current Risk Likelihood:** 1 -  
Very Low

**Head of Service:** Andrew Cawdron, Andrew Jarrett

**Review Note:** Strategy is approved by Cabinet annually.  
2015 Audit found no issue with this

## Risk Report Appendix 7

**Risk: Document Retention** If documents fail to be retained for the statutory period then we may face financial penalties

**Effects (Impact/Severity):**

- The Council may be disadvantaged in taking or defending legal action if prime documents are not retained;
- Performance statistics cannot be verified;
- The external auditor may not be able to verify the Council's final accounts and subsidy may be lost.
- Mismanagement of burial records

**Causes (Likelihood):** • "Data debris" cluttering system and storage space

**Service: Management Team**

**Current Status:**  
**Medium (5)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 1 - Very Low**

**Head of Service: Christina Cross**

**Review Note:**

**Risk: Eastern Urban Extension Tiverton** If progress on a masterplan is delayed, the Council becomes vulnerable to speculative planning applications being submitted which do not accord with adopted policies. This could lead to unsustainable development which would not meet policy requirements for essential infrastructure.

**Effects (Impact/Severity):** Delay will reduce confidence in the deliverability of the urban extension in a comprehensive and coordinated manner, thereby increasing the likelihood of planning applications being submitted for disparate areas of land without the necessary infrastructure provision or without a means of ensuring that infrastructure can be provided at the right time and in the right place. Additionally, individual applications increase the risk of proposals prejudicing the delivery of other areas of land within the allocation.

**Causes (Likelihood):**

**Service: Development Management**

**Current Status: No Data**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 3 - Medium**

**Head of Service: None**

**Review Note:**

**Risk: Failure to comply with card security standards** As an organisation we need to comply with the requirements of TrustWave to be authorised as card payment processors.

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service: Management Team**

**Current Status:**  
**Medium (5)**

**Current Risk Severity: 5 - Very High**

**Current Risk Likelihood: 1 - Very Low**

**Head of Service: Liz Reeves**

**Review Note:** Annual review of policy and training for all staff. ICT advise on all payment systems to ensure comply to PCI standard.

## Risk Report Appendix 7

**Risk: Fire and Explosion** Risks associated with storage of combustible materials, fuels and flammable substances and sources of ignition, as well as emergency procedures (existence, display and knowledge of), accessibility (or obstruction) of emergency exits and walkways to. Also, risks associated with use of fire extinguishers, having correct type in location, in date and trained operatives on site.

**Effects (Impact/Severity):** Very High (5) – Although the risk is low, a fire in the server or storage room could potentially cause loss of life, have serious financial implications and severely impact the councils ability to provide services due to loss of IT infrastructure.

**Causes (Likelihood):** Very Low (1) – The likelihood of a fire within ICT is extremely low. No quantities of combustible materials are stored within the work area. There is easy access to the emergency exit and all staff have received fire awareness training.

**Service:** I C T

**Current Status:** No Data

**Current Risk Severity:** 5 - Very High

**Current Risk Likelihood:** 1 - Very Low

**Head of Service:** Christina Cross

**Review Note:** we had an incident 7 pm Tuesday evening and our heat sensors and recovery team worked all as it should and problem averted

**Risk: Information Security** Inadequate Information Security could lead to breaches of confidential information, damaged or corrupted data and ultimately Denial of Service. If the council fails to have an effective information strategy in place.

Risk of monetary penalties and fines, and legal action by affected parties

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service:** I C T

**Current Status:** Medium (5)

**Current Risk Severity:** 5 - Very High

**Current Risk Likelihood:** 1 - Very Low

**Head of Service:** Christina Cross

**Review Note:**

**Risk: Legionella** Legionella

**Effects (Impact/Severity):**

**Causes (Likelihood):**

**Service:** Leisure Services

**Current Status:** Medium (5)

**Current Risk Severity:** 5 - Very High

**Current Risk Likelihood:** 1 - Very Low

**Head of Service:** Jill May

**Review Note:**

## Risk Report Appendix 7

### **Risk: Plant Rooms** plant rooms

Effects (Impact/Severity):

Causes (Likelihood):

Service: Leisure Services

**Current Status:  
Medium (5)**

**Current Risk Severity: 5 -  
Very High**

**Current Risk Likelihood: 1 -  
Very Low**

Head of Service: Jill May

Review Note:

### **Risk: St Andrew Street** A staircase in the new development does not meet current building regulations due to conservation requirements.

Effects (Impact/Severity):

Causes (Likelihood):

Service: Property Services

**Current Status: High  
(15)**

**Current Risk Severity: 5 - Very  
High**

**Current Risk Likelihood: 3 -  
Medium**

Head of Service: None

Review Note: Can we make sure that tenants allocated do not increase the potential risk?

### **Risk: Vehicles, Transport, Driving** Risk of collisions with other moving or stationary vehicles, cycles and/or pedestrians.

Effects (Impact/Severity):

Causes (Likelihood):

Service: Environmental Enforcement

**Current Status: No  
Data**

**Current Risk Severity: 5 - Very  
High**

**Current Risk Likelihood: 1 -  
Very Low**

Head of Service: None

Review Note:

### **Risk: Waste Collection - Health and Safety** Inadequate training with regards to Manual Handling and workplace hazards (eg contact with broken glass) could result in Health and Safety risks

Effects (Impact/Severity):

Causes (Likelihood): - Increasing demand and service costs due to increasing population, consumer society and an increasing amount of waste

Service: Street Scene Services

**Current Status:  
Medium (10)**

**Current Risk Severity: 5 - Very  
High**

**Current Risk Likelihood: 2 -  
Low**

Head of Service: Andrew Jarrett

Review Note: