

Appendix A

Queries raised at Audit & Standards Committee Meeting 23.09.2019:

1. Risk Register (items 2, 5, 21) there was a question raised around landlord liability & if there was any liability on Kier during any disputes/defects period - we were requested to comment on this at the next meeting;
 - These risks are a positive step towards testing the Council's business continuity plans.
 - Following positive engagement from Morgan Sindall during September and October 2019, it is anticipated that this risk will be re-rated from December 2019.

2. Risk Register (item 1) "Illegal or unsafe customer access to taxi's at Newcastle Bus Station" target date for completion 19.09.2019 – what is the current position as this date has passed?
 - Public Protection Committee are due to consider this in January 2020

3. Risk Register (general) - Members again picked up on the number of risks that have stayed on the register at high 9 and prior to or at the next Audit & Standards Committee meeting officers need to:
 - a. Provide Members with a simple step by step process on how the initial risk assessment was undertaken. (Item 6 potential claims growth – this is one of the more long standing risks that has sat on the register for some time);
 - Members, as part of the Audit and Standards Committee have previously been asked if they wanted this risk (Potential Claims Growth) to be continually reported and the response has always been in the positive i.e. yes.
 - Rating of the Risk: Using the impact and likelihood ratings (copy in the Risk Management Policy – Appendix B(ii)) rate the risk:

Impact Measures & Classification Strategy and Policy)

(Appendix B(ii) Risk Management

	High (red)	Medium (amber)	Low (green)
Health & Safety	Death, abuse, life threatening <u>OR</u> permanent disability	Serious injury <u>OR</u> long-term absence from work (over 7 days)	Minor injury <u>OR</u> short-term absence from work (less than 7 days)

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Cost	More than £300k	Between £50-£300k	Between £20-£50k
Reputation	National media attention, potential public interest report, third party intervention	Sustained local media attention, Executive Director reporting, Member interest	Short term local media attention, Wider Management Team reporting
Service Delivery	Serious service failure directly affecting partners, stakeholders (more than 1 month)	Service failure but not directly affecting partners or stakeholders (upto 1 month)	Service disruption (between 1 day to 2 weeks)
Project Delivery	Project failure impacting on council's priorities and performance	Project failure impacting on Directorate's performance and priorities	Project delay impacting on service performance and priorities
Legal implications	Statutory body, partner or enforcement agency	Member and Executive Management Team	Wider Management Team

Likelihood Measures

	High (red)	Medium (amber)	Low (green)
Timescale	Highly likely to occur (90%+ chance)	Likely to happen (50-89% chance)	Possible (1-49% chance)
	An incident has occurred in the past year <u>OR</u> is highly likely to occur in the next year	An incident has occurred in the past 2-5 years <u>OR</u> is likely to occur in the next 2-5 years	An incident has occurred in the past 6+ years <u>OR</u> is likely to occur in the next 6+ years

Likelihood		7 Amber	8 Amber	9 Red
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	Medium	4 Green	5 Amber	6 Amber
	Low	1 Green	2 Green	3 Amber
		Low	Medium	High
Impact				

- With the controls in place, officers re-rate the risk (using the matrix) to what is agreed to be the new rating – the likelihood is qualitative and length of time since last occurrence.
- b. Propose a mechanism and timescales for review and reduction and/or removal (unless we can evidence any new occurrences linked to the risk reported);
- Following discussions with EMT, a comprehensive review of all risk registers and reporting to this Committee will be taking place.
4. Risk Register (7) Members wanted to know what the cause of the fire was at the depot/bailer – (but we need to include a reference to this in the next update if the risk doesn't reduce);
- The cause of the last fire was related to electrics in that a safety circuit was found to be faulty, a contributory factor to the fire in the bailing machine. This has now been replaced minimising the risk of re-occurrence. The fire was controlled by operatives and there was no requirement to utilise the services of the fire brigade.