

SKEGNESS TOWN COUNCIL

REPORT TO: BUSINESS AND RESOURCES COMMITTEE
23RD JANUARY 2019
BY: TOWN CLERK
SUBJECT: Governance and Performance Monitoring Report

PURPOSE:

To report the third quarter's financial, risk and performance so that the Committee can identify any exceptions or new controls needed, take action and make appropriate reports to Council.

1 INTRODUCTION AND BACKGROUND

- 1.1 The Council have a responsibility to ensure that the business, finances and risks of the Council are properly governed. The Council has appointed the Town Clerk and Responsible Finance Officer to take responsibility on a day to day basis and delegated the monitoring and governance to the Business and Resources Committee. Financial Procedures together with the Financial Regulations, form the basis of the Internal Control mechanisms. The regular Governance Report is one of the ways in which the Committee and thereby the Council can satisfy itself that everything is in order or take action and raise concerns.
- 1.2 This report covers the third quarter of 2018/19
- 1.3 Any matter of concern identified by the Committee must be reported to the next available meeting of the Council. It is emphasised that it is the responsibility of Councillors to scrutinise the information and make appropriate recommendations to Council.

2 FINANCIAL REPORT

- 2.1 The end of quarter summary income and expenditure sheet and balance sheet are set out in **Appendix A** and signed Bank Reconciliations are in **Appendix B**.
- 2.2 Not all expenditure is incurred at the same rate during the year and therefore there will be some budgets where no expenditure has yet occurred and others where the full year expenditure has incurred (e.g. business rates).

- 2.3 Overall the Council is in a sound position to meet its financial obligations and to deliver the reserve levels considered by Council earlier this month as part of the budget and precept setting.
- 2.3.1 By managing the finish date of temporary workers, it has been possible to bring total employee costs back on budget.
- 2.3.2 Town Hall expenditure is projected to be below budget. The underspend due to aborted works by ELDC, has been incorporated into the projected reserve figures seen by Council during 2019/20 budget setting.
- 2.3.3 Supplies and Services is expected to be slightly underspent for the year and has been incorporated into the projected reserve figures seen by Council during 2019/20 budget setting.
- 2.3.4 Professional Fees will include the legal fees for the asset transfers. The budget for these is partly within Public Property and Partly within reserves but will be recorded here for accounting purposes. It was incorporated into the projected reserve figures seen by Council during 2019/20 budget setting
- 2.3.5 Grants and donations are expected to be spent if organisation that enquired make the application.
- 2.3.6 Democratic and Civic include a provision of £5300 for election expenditure that will be transferred to reserves. Overall it is expected that this will be on target.
- 2.3.7 It is expected that Publicity and Marketing will be over by year end due to the need to undertake repairs and tests to some of the electrical fittings that supply the Christmas lighting. This has been incorporated into the projected reserve figures seen by Council during 2019/20 budget setting.
- 2.3.8 Industrial units are broadly on budget.
- 2.3.9 Allotments are broadly on budget
- 2.3.10 Burial grounds are broadly on budget.
- 2.3.11 Public property is showing a significant saving, but this has been earmarked to pay for the fees and other costs associated with Tower Gardens and the transfer of other assets and responsibilities.
- 2.3.12 General Income is slightly higher than expected and this has been incorporated into the projected reserve figures seen by Council during 2019/20 budget setting

3 EFFECTIVENESS OF INTERNAL CONTROL THROUGH RISK MANAGEMENT

3.1 The Council is required to assess the effectiveness of its systems of Internal Control at least annually and the Council has decided this should be done on a quarterly basis. The Business and Resources Committee reviews the Council's risks at the end of each quarter and subsequently makes a report and recommendations to Council.

3.2 The revised Risk Register is attached as **Appendix C**.

3.3 The Risk Register shows three types of risks.

3.3.1 Strategic Risks:

- Compliance with the law and regulations
- Prioritisation and use of resources
- Communication and Reputation
- Council finances
- HR
- Management of assets
- Health and safety

3.3.2 Operational Risks:

- Significant risks occurring through routine activities

3.3.3 Project Risks:

- Significant risks that occur because of undertaking a specific non-recurring project or activity. Council has instructed that the principal risks associated with the Community Building and Asset Transfer project are overseen by the Committee

4 PUBLIC PROPERTY

4.1 Castleton Boulevard

4.1.1 Spring planting has been undertaken. As raised by Councillors at the last meeting, bark chippings will be applied once the major roadworks planned for Castleton Boulevard have been completed.

4.2 Sunshine Play Area

4.2.1 Nothing to report. Only emergency works will be undertaken pending release of the play area back to ELDC as part of the asset transfer

4.3 Lumley Road Baskets

4.3.1 The hanging baskets are removed for the winter. Lamp column stress tests have been completed.

4.4 Allotments

4.4.1 Currently there are only 2 vacancies. Fees will increase from April.

4.5 Cemetery

4.5.1 Nothing to report.

4.6 Parish Paths

4.6.1 Nothing to report.

4.7 Amenity Grass Cutting

4.7.1 Will start again in March.

4.8 Christmas Illuminations

4.8.1 Water ingress into the electrical supplies caused two displays to be out for much of the festive period. An assessment is being undertaken to understand what needs to be done to prevent recurrence.

5 OTHER OPERATIONAL ACTIVITIES

5.1 Street Collection Licenses

Permit No	Charity	Day	Date
002/A/19	Marie Curie	Sat	16 th March 2019
003/A/19	Guide dogs for the blind	Sat	20 th July 2019
001EX/A/19	Poppy Appeal	Sat	26 th October – 9 th November 2019

5.2 Jolly Fisherman Licensing

5.2.1 No Licenses have been issued.

6 OUTSTANDING TASK LIST

6.1 The outstanding task list is attached at **Appendix D**









7 COMMUNICATIONS

7.1 We report each quarter on the level of communications. The table below sets out the statistics relating to the website and use of social media.

7.2 Website number is down on last quarter but still higher than equivalent year to date for same quarter as last year. It is not entirely clear why the

numbers have varied, but may be linked to consultations undertaken in late 2017, which have now dropped out of the figures.

- 7.3 Twitter and Instagram continue to increase in popularity despite no more resources being put into this. Facebook figures have reduced slightly with engagement also reducing. It is too early to know whether this is a seasonal change or part of a move away from Facebook.
- 7.4 As well as social media communications there are opportunities for residents to engage with Council both before and during monthly Council meetings.
- 7.5 There is currently no easy means of recording phone contacts. Anecdotally Skegness Town Council continues to receive a large number of calls for both ELDC and LCC.

Media	Previous Quarter	Statistic This Quarter	Measurement (12 month unless otherwise stated)
Website	426,924	324,853 	Annual page impressions
Twitter	353	382 	Followers
Twitter	18	18 	Ave monthly Tweets by Council
Twitter	122,567	123,729 	Twitter Impressions
Facebook	391	385 	Average number of unique users who have seen content each day. over period Oct to Dec
Facebook	692	711 	Daily average number of page impressions seen of any associated content over period Oct to Dec
Facebook	90	39 	Daily average number who engage with posts (like comment, repost etc) over period Oct to Dec
Instagram	213	272 	Number of Followers

8 RECOMMENDATIONS

8.1 The Business and Resources Committee is recommended to:-

- a) Receive the report and associated appendices for the third quarter of 2018/19
- b) Identify changes or additional governance/performance information that the Committee wants to implement for future reports
- c) Approve the amended Risk Register
- d) Identify any other actions the Committee wants arising as a result of the report
- e) Identify any issues of concern that the Committee want to be reported to Council

For information relating to this report please contact The Town Clerk, Town Hall Skegness or email steve@skegnesscouncil.org.uk

Background papers – None.

FOR DECISION

Summary Income & Expenditure by Budget Heading 31/12/2018

Month No: 9

Council Detail Report

		Actual Year To Date	Current Annual Bud	Variance Annual Total	Committed Expenditure	Funds Available	% Spent
Employee Costs	Expenditure	189,921	249,964	60,043		60,043	76.0%
Town Hall Offices	Expenditure	3,503	13,646	10,143		10,143	25.7%
Supplies and Services	Expenditure	10,870	18,775	7,905		7,905	57.9%
Professional Fees	Expenditure	1,442	3,800	2,358		2,358	37.9%
Grants and Donations	Expenditure	1,100	4,500	3,400		3,400	24.4%
Democratic and Civic	Expenditure	11,416	22,130	10,714		10,714	51.6%
Publicity and Marketing	Expenditure	13,946	18,700	4,754		4,754	74.6%
Industrial Unit	Expenditure	12,623	16,132	3,509		3,509	78.2%
Allotments	Income	3,117	2,940	(177)			106.0%
	Expenditure	739	850	111		111	87.0%
	Movement to/(from) Gen Reserve	<u>2,378</u>					
Burial Grounds and Cemeteries	Income	36,456	42,770	6,314			85.2%
Public Property	Expenditure	16,256	43,000	26,744		26,744	37.8%
Business Plan	Expenditure	28,424	74,500	46,076		46,076	38.2%
Precept	Income	435,637	435,637	0			100.0%
General Income	Income	6,644	750	(5,894)			885.8%
Grand Totals:- Income		481,854	482,097	243			99.9%
Expenditure		290,241	465,997	175,756	0	175,756	62.3%
Net Income over Expenditure		<u>191,613</u>	<u>16,100</u>	<u>(175,513)</u>			
Movement to/(from) Gen Reserve		<u>191,613</u>					

31st March 2018

31st December 2018

31st March 2018		31st December 2018	
Current Assets			
400	Debtors	0	
9,968	VAT Control A/c	7,821	
4,142	Prepayments	0	
616	Stock	508	
256,446	Current Account	416,761	
47,912	Burial Ground Account	21,214	
196,184	Nationwide Business Savings Ac	257,087	
89	Petty Cash	181	
<u>515,758</u>		<u>703,572</u>	
515,758	Total Assets	703,572	
Current Liabilities			
82	Credit Card	0	
2,489	Creditors	0	
57	Accruals	0	
1,170	Receipts in Advance	0	
<u>3,798</u>		<u>0</u>	
511,959	Total Assets Less Current Liabilities	703,572	
Represented By			
91,059	General Reserves	282,672	
185,000	EMR - Cemetery Extension	185,000	
25,000	EMR - Community Led Plan	25,000	
12,500	EMR - Legal Fee	12,500	
40,000	EMR - Sunshine Play Area	40,000	
8,500	EMR - ITC and Office Fund	8,500	
50,000	EMR - Public Prop Replacement	50,000	
2,900	EMR -Civic Awards	2,900	
10,000	EMR - Investment Reserve	10,000	
2,000	EMR -War Memorial 2K Civic Soc	2,000	
20,000	EMR - Election Reserve	20,000	
65,000	EMR -Tower Gardens Development	65,000	
<u>511,959</u>		<u>703,572</u>	

Printed on : 14/01/2019

Skegness Town Council

At : 10:44

Balance Sheet as at 31st December 2018

31st March 2018

31st December 2018



The above statement represents fairly the financial position of the authority as at 31st December 2018 and reflects its Income and Expenditure during the year.

Signed :
Chairman _____ Date : _____

Signed :
Responsible
Financial _____ Date : _____

**Bank Reconciliation Statement as at 31/12/2018
for Cashbook 8 - Nationwide Business Savings Ac**

<u>Bank Statement Account Name (s)</u>	<u>Statement Date</u>	<u>Page No</u>	<u>Balances</u>
Nationwide Business Instant Sa	31/12/2018	26	257,087.43
			<hr/> 257,087.43
<u>Unpresented Cheques (Minus)</u>		<u>Amount</u>	
		0.00	
			<hr/> 0.00
			257,087.43
<u>Receipts not Banked/Cleared (Plus)</u>			
		0.00	
			<hr/> 0.00
			257,087.43
		Balance per Cash Book is :-	257,087.43
		Difference is :-	0.00


08. 01 2019.


Nationwide Building Society



Private & Confidential
 Attn of Stephen Edward Lamer
 Skegness Town Council
 Town Hall
 North Parade
 Skegness
 United Kingdom
 PE25 1DA



Summary for 01 Dec 2018 - 01 Jan 2019

Start Balance	256,956.49
Total In	130.94
Total Out	0.00
End Balance	257,087.43

Client Name Skegness Town Council
Account Type Business Instant Saver Issue 4 - Monthly

Account Number 90089852
Statement Number 26
Currency Sterling
Interest Rate as at 01 Jan 2019 0.60%

<i>Date</i>	<i>Description</i>	<i>Details</i>	<i>Payments</i>	<i>Receipts</i>	<i>Balance</i>
01 Dec 2018	Start Balance				256,956.49
31 Dec 2018	Interest Credited	For the period 01 Dec 2018 to 31 Dec 2018		130.94	257,087.43
01 Jan 2019	End Balance				257,087.43

The deposits in this account are eligible for protection under the Financial Services Compensation Scheme (FSCS)

Skegness Town Council

If you have a 95 Day Saver or Instant Saver account, you can pay in as often as you like. Just check your terms and conditions to find out the minimum payment and maximum balance for your account type.

7.50 - 1497 - 170076

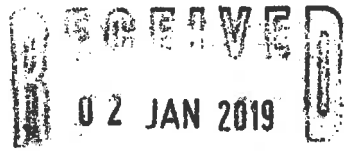
You can find out how to make a payment on the back of this statement.



Bank Reconciliation Statement as at 31/12/2018
for Cashbook 7 - Credit Card

<u>Bank Statement Account Name (s)</u>	<u>Statement Date</u>	<u>Page No</u>	<u>Balances</u>
Credit Card	31/12/2018	11	0.00
			<hr/> 0.00
<u>Unpresented Cheques (Minus)</u>		<u>Amount</u>	
		0.00	
			<hr/> 0.00
			0.00
<u>Receipts not Banked/Cleared (Plus)</u>			
		0.00	
			<hr/> 0.00
			0.00
		Balance per Cash Book is :-	0.00
		Difference is :-	0.00

[Handwritten Signature]
08.01.2019
[Handwritten Initials]



Customer Services: 0345 602 2042
www.lloydsbank.com

J318CM00IPSUAA0000000890001002000

MR STEPHEN LARNER
SKEGNESS TOWN COUNCIL
TOWN HALL
NORTH PARADE
SKEGNESS
PE25 1DA



Your Business Credit Card Statement of Account

Account number	5328 6500 0102 9194
Business limit	£2,000
Statement date	23 December 2018
New balance	£0.00
Available to spend	£2,000.00
Minimum payment due	£0.00
No payment is required this month	

**Estimated Interest £0.00

Account Information

Please quote your Business Credit Card account number above in all correspondence.

Minimum payments

If you make only the minimum payment each month, it will take you longer and cost you more to clear your balance.

Your current monthly rate of interest is:

1.358% for Purchases

1.358% for Cash

Date	Reference	Name	Previous Balance £	Amount £
05/12/18	5328 6500 0102 9194	PREVIOUS BALANCE	575.08	
		DIRECT DEBIT PAYMENT - THANK YOU		575.08 CR
Total Balance				£0.00

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PLEASE DETACH HERE AND KEEP STATEMENT

Page 1 of 4

Cheques should be made payable to Lloyds Bank plc, followed by your name.
Please write your account number on the reverse
Please do not fold credit slip or cheque. ENTER AMOUNT IN TOTAL BOX.

Date _____
RECEIVING CASHIERS LAB
STAMP

bank giro credit 

5328 6500 0102 9194
ACCOUNT NUMBER

Paid in by _____
Lloyds Bank plc
HEAD OFFICE
H.Q. COLLECTION ACCOUNT
MasterCard

CASH	
CHEQUES	

77-29-00 00000000 73 £


5328 650001029194

MR STEPHEN LARNER
PLEASE DO NOT WRITE BELOW THIS LINE

5328 650001029194 / 772900 / 73

**Bank Reconciliation Statement as at 31/12/2018
for Cashbook 1 - Current Account**

<u>Bank Statement Account Name (s)</u>	<u>Statement Date</u>	<u>Page No</u>	<u>Balances</u>
Business Extra 00123075	31/12/2018	43	419,481.57
			<u>419,481.57</u>
<u>Unpresented Cheques (Minus)</u>			<u>Amount</u>
06/11/2018 005192	The Royal British Legion	20.00	
18/12/2018 005193	Burdetts Garage	331.84	
21/12/2018 EB228	Daisy Communications	25.69	
21/12/2018 EB228	Travis Perkins	138.74	
21/12/2018 EB228	Charles H Hill Ltd	27.97	
21/12/2018 EB228	P and R Decorators	100.84	
21/12/2018 EB228	N P Structures Limited	194.82	
21/12/2018 EB228	Electrical Testing Ltd	1,584.00	
21/12/2018 EB228	Chapel Garden Centre	44.00	
21/12/2018 EB228	Anglian Water	252.95	
			<u>2,720.85</u>
			416,760.72
<u>Receipts not Banked/Cleared (Plus)</u>			
		0.00	
			<u>0.00</u>
			416,760.72
		Balance per Cash Book is :-	416,760.72
		Difference is :-	0.00


 16-01-2019

SKEGNESS TOWN COUNCIL
 MR S LARNER
 SKEGNESS TOWN COUNCIL
 TOWN HALL
 SKEGNESS
 LINCS
 PE25 1DA

Write to us at:
PO Box 1000
Andover
BX1 1LT

Call us on: **0345 072 5555** (from UK)
+44 1733 347338 (from Overseas)

Visit us online: www.lloydsbank.com

Your branch: **LUMLEY RD SKEGNESS**

Sort code: **30-97-67**

Account number: **00123075**

BIC: **LOYDGB21471**

IBAN: **GB24 LOYD 3097 6700 1230 75**

BUSINESS EXTRA
 SKEGNESS TOWN COUNCIL

Account Activity

Date	Payment type	Details	Paid out (£)	Paid in (£)	Balance (£)
28 Dec 18		BALANCE BROUGHT FORWARD			420,106.81
28 Dec 18	Bill Payment	CLLR S BLACKBURN	125.00		419,981.81
28 Dec 18	Bill Payment	CLLR J BROOKES	125.00		419,856.81
28 Dec 18	Bill Payment	CLLR E FREEMAN	100.00		419,756.81
28 Dec 18	Bill Payment	CLLR STEVE KIRK	125.00		419,631.81
28 Dec 18	Bill Payment	CLLR R HALL	100.00		419,531.81
28 Dec 18	Direct Debit	TALKTALK BUSINESS 01253904/882	30.00		419,501.81
28 Dec 18	Payment	SERVICE CHARGES REF : 267317864	20.24		419,481.57
28 Dec 18		BALANCE CARRIED FORWARD			419,481.57

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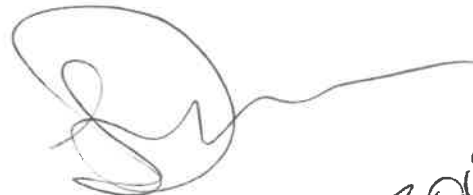


Messages

Please note that only compensation related queries should be referred to the FSCS on the reverse of this statement.
 For our data privacy notice, please see: <http://www.lloydsbank.com/business/privacy.asp>

Bank Reconciliation Statement as at 31/12/2018
for Cashbook 2 - Burial Ground Account

<u>Bank Statement Account Name (s)</u>	<u>Statement Date</u>	<u>Page No</u>	<u>Balances</u>
Treasurers Account 00154752	31/12/2018	9	21,214.00
			<u>21,214.00</u>
<u>Unpresented Cheques (Minus)</u>		<u>Amount</u>	
		0.00	
			<u>0.00</u>
			21,214.00
<u>Receipts not Banked/Cleared (Plus)</u>			
		0.00	
			<u>0.00</u>
			21,214.00
		Balance per Cash Book is :-	21,214.00
		Difference is :-	0.00


16.01.2019

RECEIVED

Your account statement
 Statement sheet number: 9
 Issue date: 31 December 2018
 Page: 1 of 2

SKEGNESS TOWN COUNCIL
 MR S LARNER
 SKEGNESS TOWN COUNCIL
 TOWN HALL
 SKEGNESS
 LINCS
 PE25 1DA



J3191100NGOMAA000000251001002352000

TREASURERS ACCOUNT
 SKEGNESS TOWN COUNCIL

Write to us at:
PO Box 1000
Andover
BX1 1LT

Call us on: **0345 072 5555** (from UK)
+44 1733 347338 (from Overseas)
 Visit us online: www.lloydsbank.com

Your branch: **LUMLEY RD SKEGNESS**
 Sort code: **30-97-67**
 Account number: **00154752**
 BIC: **LOYDGB21471**
 IBAN: **GB91 LOYD 3097 6700 1547 52**

Account Summary

Balance On 30 November 2018	£19,054.00
Total Paid In	£2,160.00
Total Paid Out	£0.00
Balance On 5 December 2018	£21,214.00

Account Activity

Date	Payment type	Details	Paid out (£)	Paid in (£)	Balance (£)
30 Nov 18		BALANCE BROUGHT FORWARD			19,054.00
5 Dec 18	Deposit	500224		2,160.00	21,214.00
5 Dec 18		BALANCE CARRIED FORWARD			21,214.00

Messages

Please note that only compensation related queries should be referred to the FSCS on the reverse of this statement.
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SKEGNESS TOWN COUNCIL – RISK REGISTER

STRATEGIC RISKS

AIM	RISK	Method used to minimise risk	Timescale for implementation	UNDERLYING RISK LEVEL Likelihood x Impact	MANAGED RISK LEVEL Likelihood x Impact	Status  Risk Controlled  Action required  Aim is not being achieved  Risk Falling  No Change  Risk Rising	Person(s) Responsible
1. To ensure compliance with the Acts of Parliament, Council's Standing Orders, Financial Regulations and Code of Conduct.	1. Lack of knowledge of regulations and codes.	(a) Ensure that all Councillors have copies of Code of Conduct and Standing Orders together with the "Good Councillor Guide". Highlight essential parts and provide training where required. (b) Experienced and competent Town Clerk/Staff (c) Keep up to date with new regulations (d) Newly elected Councillors to be given training, support and guidance in a timely manner. (e) Encourage all Councillors to attend LALC Training. (f) Monitor any new regulations as a result of Brexit.	Regulations and GDPR action plan to be reviewed in May 2019. Newly elected Cllrs to be trained May and July 2019.	(3x4) = 12	(1x4) = 4	 	All Councillors, Town Clerk, Deputy Town Clerk, B&R Committee
	2. Standing orders are out of date.	(a) Ensure that Standing Orders are produced, understood by Councillors, and reviewed at least once per year.	Reviewed and updated May 2018	(2x3) = 6	(1x3) = 3	 	All Councillors, Town Clerk
	3. Actions by the Town Council outside its powers laid down by Parliament.	As at 1. above.	No Action required at this time	(2x4) = 8	(1x4) = 4	 	Council as advised by Town Clerk
	4. Lack of commitment and adherence to regulations and procedures.	(a) Regular reference to appropriate regulations in agenda items. (b) Reports/motions put forward by Members should contain a comment by the Town Clerk (c) No delegation of responsibilities to individual Councillors (as there is no legal power).	Motions should contain a comment by the Town Clerk to reduce risks. No Action required at this time	(2x3) = 6	(1x3) = 3	   	Chairman of Committees All Councillors Ongoing responsibility as advised by Town Clerk Town Clerk to monitor - Ongoing responsibility

SKEGNESS TOWN COUNCIL – RISK REGISTER

<p>5. Items/services purchased without proper tendering procedures, resulting in accusations of commercial favouritism.</p>	<p>(a) All purchases to go through the Town Clerk's Office. (b) Ensure that all Councillors are aware of regulations re estimates and full tender procedures. (c) Review purchasing and contract procedure rules. (d) Adequate controls validated by regular Internal Audit</p>	<p>No Action required at this time</p>	<p>(3x3) = 9</p>	<p>(1x3) = 3</p>	<p>✓ ↔</p>	<p>Town Clerk acting as Responsible Finance Officer. Financial Regulations reviewed in May 2016 Committee to identify any areas it wishes to examine in addition to standard review.</p>
<p>6. Payments made without prior approval and adequate control.</p>	<p>(a) Ensure all payments are approved in Council meetings and recorded in minutes. (b) Keep cash payments to a minimum and avoid if possible. (c) Review payment procedures (d) All cheques must be signed by at least 2 Members plus Town Clerk (e) Adequate controls validated by regular Internal Audit (f) Electronic payments to be separately categorised when reported to Council</p>	<p>No Action required at this time</p>	<p>(3x3) = 9</p>	<p>(1x3) = 3</p>	<p>✓ ↔</p>	<p>Petty cash payments checked and signed off at intervals during year and at year end by Mayor or other nominated Councillors. Council to appoint Internal Auditor to undertake annual review. B&R to identify any areas it wishes to examine in addition.</p>
<p>7. Lack of control of signatories to cheques.</p>	<p>(a) Keep authorised signatories to a minimum consistent with practicalities. (b) Signatories approved by Council</p>	<p>No Action required at this time</p>	<p>(2x3) = 6</p>	<p>(1x3) = 3</p>	<p>✓ ↔</p>	<p>Town Clerk acting as Responsible Finance Officer Council review signatories annually.</p>
<p>8. Lack of cheque signatories due to elections May 2019.</p>	<p>(a) Check current signatories are standing for re-election and nominate additional signatories as required. (b) Review once election has taken place, appoint as necessary and contact bank in a timely manner.</p>	<p>To be reviewed after local elections in May and appoint new signatories as required.</p>	<p>(2x3) = 6</p>	<p>(1x3) = 3</p>	<p>● ↑</p>	<p>Town Clerk acting as Responsible Finance Officer. Council to review and approve signatories.</p>
<p>9. VAT not properly accounted for, resulting in overclaims and large demands from C&E.</p>	<p>(a) Ensure appropriate publications held and that Clerk has adequate knowledge of regulations. (b) Adequate controls validated by regular Internal Audit (c) Monitor procedural changes due to increase in size and responsibilities. (d) Get professional advice when needed.</p>	<p>Council now VAT registered. Monitor VAT implications of this through asset transfer and community building project.</p>	<p>(3x3) = 9</p>	<p>(1x3) = 3</p>	<p>● ↑</p>	<p>Town Clerk acting as Responsible Finance Officer Chairman of Business and Resources Council to appoint Internal Auditor to undertake review</p>

SKEGNESS TOWN COUNCIL – RISK REGISTER

2. To identify and regularly review the Council's priorities, using a risk based approach, to ensure these are clear and achievable.	1. Lack of knowledge of how to set objectives, set priorities, and identify risks resulting in lack of clarity, direction and appropriate allocation of resources.	(a) All Councillors to be made aware of need for objectives and identification of risk. (b) Attend training sessions if practicable. (c) Establish agreed priorities that are matched to available resources. (d) Support and guidance to be given to any newly elected Councillors.	To be reviewed after May 2019 elections and support and training provided as necessary.	(2x3) = 6	(1x3) = 3		Town Clerk, Deputy Town Clerk. Chairman of Direction and Strategy Committee All Councillors
	2. Lack of "buy in" by council members to a risk based approach.	(a) Review risk assessment quarterly through the Governance and Performance Monitoring reports, identifying any new item and reviewing results and progress. (b) All reports and proposals to provide a risk assessment	No Action required at this time	(3x3) = 9	(1x3) = 3		Chairmen of Committees and all Councillors
	3. No risk analysis carried out.	As at 2.2 above.	No Action required at this time	(3x4) = 12	(1x4) = 4		All Councillors
	4. No steps taken to combat identified risks	As at 2.2 above.	No Action required at this time	(3x4) = 12	(1x4) = 4		Town Clerk Chairmen of Business and Resources
3. To influence other Council departments and Government organisations to fulfil the requirements of the town population.	1. Lack of effective lines of communication with other organisations.	(a) Establish a Communication Plan (b) Attend invited events that are likely to impact Town (c) Lack of adequate feedback to Council	Linked to Gold Award Plan and NDP	(4x3) = 12	(1x3) = 3		Town Clerk B&R Committee All Councillors on Outside Bodies
	2. Lack of effective lines of communication with parishioners.	(a) Take every opportunity to publicise role of Town Council. (b) Create Town newsletter if none exists. (c) Effective use of notice boards and "fliers". (d) Use website to publicise Town Council work (e) Use key issues to raise profile of Town Council and to test parishioner's views. (f) Support creation of annual Town Council plan and put to parishioners for comment. (g) Create Community Engagement Policy (h) Implement Community Engagement Plan	Linked to Gold Award Plan and NDP	(4x4) = 16	(1x4) = 4		Chairmen of Business and Resources All Councillors
	3. Lack of preparation on subjects requiring influence.	(a) Ensure that all councillors are aware of need for careful research and are guided as to where to obtain relevant information on issues under discussion.	To be re-iterated by Committee	(3x3) = 9	(1x3) = 3		All Councillors as advised by Town Clerk
	4. Lack of confidence by Town Councillors.	(a) Experienced councillors to assist newcomers to establish essential contacts.	No Action required at this time	(4x2) = 8	(1x2) = 2		All Councillors
4. To ensure that all Councillors are aware of their responsibilities, and possible liabilities,	1. Lack of knowledge of possible responsibility and liability of Councillors.	(a) Familiarisation with Standing Orders and Good Councillor Guide. (b) Newly elected Councillors to be provided with support, guidance and training.	Newly elected Cllrs to be supported.	(4x2) = 8	(1x2) = 2		Town Clerk, Deputy Town Clerk. All Councillors

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and to provide adequate insurance cover for all possible risks.	2. Lack of education of Councillors regarding responsibility and liability.	(a) Experienced councillors to assist newcomers (protocol agreed). (b) Attend any training courses available. (c) Attend annual training on Financial Management & Responsibilities (Quality Gold Award Requirement)	To Establish Annual Financial Management & Responsibilities Training.	(4x2) = 8	(1x2) = 2		All Councillors
	3. Inadequate insurance cover taken out – Property, personal liability, employer's liability.	(a) Review annually at Business and Resources Committee (b) Review whenever significant operational changes	Council insurance to be reviewed before March 2019.	(3x4) = 12	(1x4) = 4		Town Clerk Chairmen of Business and Resources'
5. To keep appropriate books of account accurately and up to date throughout the financial year.	1. Lack of knowledge of accounting requirements.	(a) Ensure that all Councillors are familiar with current financial regulations and include them in standing orders. (b) Regularly review Financial Regulations.	No Action required at this time	(4x4) = 16	(1x4) = 4		Town Clerk acting as Responsible Finance Officer
	2. Lack of commitment to accounting requirements.	(a) Ensure that all Councillors are familiar with current financial regulations and include them alongside standing orders. (b) Responsible Finance Officer to produce quarterly financial reports as part of the Governance and Performance Monitoring Report to Business and Resources. (c) Internal audit to be undertaken annually plus review of adequacy by B&R Committee. Reports to be made available to all Councillors and any recommendations to be acted upon promptly.	No Action required at this time	(3x4) = 12	(1x4) = 4		Town Clerk acting as Responsible Finance Officer B&R Committee Council
	3. Bank charges unnecessarily incurred.	(a) Responsible Finance Officer to carry out regular inspection of books of account.	No Action required at this time	(2x1) = 2	(1x1) = 1		Town Clerk acting as Responsible Finance Officer - ongoing
	4. Inaccuracies in recording amounts, totals in books of account, and bank reconciliations.	(a) Responsible Finance Officer to ensure that accounts and systems are kept in such a way that internal controls are included and activated. (b) Accounting system that performs integrity checks and balances (c) Regular internal audits to advise on internal controls required.	No Action required at this time	(2x4) = 8	(1x4) = 4		Town Clerk acting as Responsible Finance Officer B&R reviewing financial reports
	5. Inaccuracies and interest losses caused by account transfers.	(a) Keep number of accounts to a minimum but ensure that any large credit balances are deposited in an interest bearing account.	No Action required at this time	(2x3) = 6	(1x3) = 3		Town Clerk acting as Responsible Finance Officer Chairman of Business and Resources Committee D&S Interest rates are historically low and likely to fall further. Once the current economic situation becomes clearer a review will be undertaken.

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	6. The most beneficial interest terms not being obtained.	(b) Ensure that favourable interest rate is obtained in deposit accounts and review against alternatives, but bearing in mind the risks in changing accounts.	No Action required at this time	(2x4) = 8	(1x4) = 4	✓ ↔	See 5 above
	7. Inadequate control of cash receipts and payments.	(a) Avoid cash payments and receipts if possible. (b) Where cash payments and receipts are unavoidable a properly controlled petty cash account with a set maximum balance.	No Action required at this time	(4x3) = 12	(1x3) = 3	✓ ↔	Town Clerk acting as Responsible Finance Officer - ongoing
	8. Books of account not kept up to date/invoices not posted promptly.	(a) Regular checks by Responsible Finance Officer and internal auditor. (b) Responsible Finance Officer to produce quarterly financial reports as part of the Governance and Performance Monitoring Report to Business and Resources. (c) Accounting system to perform internal control and integrity checks	No Action required at this time	(3x4) = 12	(1x4) = 4	✓ ↔	Town Clerk acting as Responsible Finance Officer B&R Committee reviewing budget reports. Bank Reconciliations
	9. Internal controls not in place or not operated.	As at 5.8 above.	No Action required at this time	(3x4) = 12	(1x4) = 4	✓ ↔	Town Clerk acting as Responsible Finance Officer – review by B&R Committee
	10. Payments missed or delayed due to inadequate filing of invoices.	As at 5.8. above.	No Action required at this time	(3x4) = 12	(1x4) = 4	✓ ↔	Town Clerk acting as Responsible Finance Officer – review by B&R Committee
	11. Clerk taken ill or leaves without replacement.	(a) Council have approved the appointment of a Deputy Town Clerk who is now CiLCA qualified. (b) Working Procedures to be documented and staff trained (c) Deputy Town Clerk is a full banking signatory and electronic banking administrator	No Action required at this time	(3x3) =9	(1x3) =3	✓ ↔	Town Clerk acting as Responsible Finance Officer Chairman of HR Committee Deputy Town Clerk CiLCA qualified
	12. The tendering process being carried out in a manner that does not ensure fairness to tenderers or inspire public confidence in the tendering process.	(a) Adequate procedures set out in contract procedure rules (b) Tender processes reported to the Business and Resources Committee	No Action required at this time	(2x4) = 8	(1x4) = 4	✓ ↔	Town Clerk acting as Responsible Finance Officer
6. To ensure that payments made from council funds and the	1. Lack of knowledge of wishes of residents.	(a) As at 3.2 above.	Linked to Gold Award Plan and NDP	(4x4) = 16	(1x4) =4	● ↓	All Councillors

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use of assets represent value for money, are adequately managed, and comply generally with the wishes of the residents.	2. Use of funds not giving value for money.	(a) Effective budget planning processes. (b) Creation of a medium term financial plan linked to priorities (c) Expenditure monitored	No Action required at this time	(3x3) = 9	(1x3) = 3	✓ ⇄	Town Clerk acting as Responsible Finance Officer Chairman Business and Resources Committee Chairman of Direction and Strategy
	3. Charges for use of facilities inadequate.	(a) Effective financial management by Responsible Finance Officer. (b) regular review of Fees and Charges at least at budget setting time. (c) Internal audit checks.	No Action required at this time	(3x2) = 6	(1x2) = 2	✓ ⇄	Town Clerk acting as Responsible Finance Officer Chairman of Direction and Strategy Committee
	4. Fund raising not properly controlled or not in accordance with regulations.	(a) All Councillors to be aware of need to check regulations before commencing fund-raising activities. (b) Effective financial management by Responsible Finance Officer.	No Action required at this time	(3x3) = 9	(1x3) = 3	✓ ⇄	All Councillors Town Clerk acting as Responsible Finance Officer
7. To ensure that the annual precept requirement results from an adequate budgetary process; progress against the budget is regularly monitored; and reserves are appropriate.	1. Lack of knowledge of budgetary process and Council regulations.	(a) Include Financial Regulations alongside Standing Orders issued to all Councillors. (b) Include within review of budget process and actions required through training	No Action required at this time	(3x3) = 9	(1x3) = 3	✓ ⇄	Town Clerk acting as Responsible Finance Officer to re-issue and publish on website
	2. Lack of commitment to budgetary process.	(b) Involve all Councillors in budgetary process and are clear about responsibilities.	No Action required at this time	(3x3) = 9	(1x3) = 3	✓ ⇄	Town Clerk Chairman of Committees All Councillors
	3. Inadequate consideration of requirements for annual precept.	(a) Place item on agenda early in September remind councillors of budget process and actions required. (b) Start consideration of calculation at least 3 months prior to submission date. (c) see 6 (2b) above. (d) Monitor the effects of Brexit on costs.	No Action required at this time	(3x4) = 12	(1x4) = 4	✓ ⇄	Town Clerk
			No Action required at this time				Town Clerk
			No Action required at this time				Chairman of Direction and Strategy
Keep updated on Brexit implications on budget.							
4. Calculation not in accordance with Council regulations.	(a) Checks by Responsible Finance Officer and Internal Auditor.	No Action required at this time	(2x3) = 6	(1x3) = 3	✓ ⇄	Town Clerk acting as Responsible Finance Officer	

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8. To explore all possible sources of income and to ensure that expected income is fully received.	5. Inadequate internal controls with regard to monitoring expenditure.	(a) Checks by Responsible Finance Officer and Internal Auditor. (b) Summary of Financial and budget progress reports to Council with payment information.	No Action required at this time	(3x3) = 9	(1x3) = 3	✓ ⇄	Town Clerk acting as Responsible Finance Officer
	6. Reserves set at wrong level.	(a) Monitored by RFO quarterly (b) Considered annually by Council as part of budget setting.	No Action required at this time	(3x3) = 9	(1x3) = 3	✓ ⇄	Town Clerk acting as Responsible Finance Officer
	1. Lack of knowledge of possible sources of Income, e.g. grants.	(a) To be considered as part of any new scheme or change of service	To look at any available grant funding opportunities	(4x3) = 12	(2x3) = 6	● ⇄	Town Clerk Committee Chairman All members
	2. Lack of commitment/resources to pursue possible sources of income.	As at 8(1a) above.	No Action required at this time	(4x3) = 12	(2x3) = 6	✓ ⇄	Town Clerk Committee Chairman
	3. Receipts not banked or not banked properly.	Bank statement checks Internal audit checks.	No Action required at this time	(3x3) = 9	(1x3) = 3	✓ ⇄	Responsible Finance Officer
	4. Debts not pursued promptly.	Cross check between systems Internal audit checks.	No Action required at this time	(3x3) = 9	(1x3) = 3	✓ ⇄	Responsible Finance Officer
9. To ensure that salaries paid to Employees and amounts paid to Councillors and contractors are paid in accordance with council regulations, and adequately monitored.	5. VAT claims not made promptly or made incorrectly.	Ensure Clerk has appropriate and up to date VAT official publications.	No Action required at this time	(3x3) = 9	(1x3) = 3	✓ ⇄	Chairman of Business and Resources Town Clerk trained
	1. Inappropriate rate of pay to employees.	(a) Ensure employee regulations are available and understood. (b) Contracts of employment are in place for all staff and updated as required (c) Payroll entered by Finance Assistant and checked by Town Clerk	No Action required at this time	(2x3) = 6	(1x3) = 3	✓ ⇄	Town Clerk Chairman of Business and resources Committee
	2. Tax and NI arrangements not in accordance with regulations.	(a) RTI payroll system	No Action required at this time	(3x3) = 9	(1x3) = 3	✓ ⇄	Town Clerk to keep under review.
	3. Amounts paid to contractors not in accordance with contract and inadequately monitored.	(a) Regular Internal audit checks with written confirmation. (b) Separation of duties between process and approval of payments	No Action required at this time	(3x3) = 9	(1x3) = 3	✓ ⇄	Town Clerk acting as Responsible Finance Officer Council
	4. Amounts paid to Councillors not in accordance with tax and NI arrangements and Council regulations.	(a) RTI payroll system	No Action required at this time	(3x3) = 9	(1x3) = 3	✓ ⇄	Town Clerk to keep under review.

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10. To ensure that year end accounts are prepared on the correct accounting basis, on time, and supported by an adequate audit trail.	1. Lack of knowledge of Council regulations and procedures.	(a) Include financial regulations alongside standing orders. (b) Attend training seminars where available. (c) Arrange locally based training for interested Councillors whenever possible.	Councillors and employees to attend available training	(3x4) = 12	(1x4) = 4		Town Clerk acting as Responsible Finance Officer Council All Councillors
	2. Late or non-submission of annual accounts.	(a) Include a timetable in Financial Regulations.	No Action required at this time	(4x4) = 16	(1x4) = 4		Town Clerk acting as Responsible Finance Officer Council
	3. Year-end accounts not prepared, inaccurate, or not in accordance with Council requirements.	(a) Internal audit checks. (b) separation of duties and checks	No Action required at this time	(3x4) = 12	(1x4) = 4		RFO Internal Auditor
	4. Inadequate audit trail from records to final accounts.	As at 10(3a) above.	No Action required at this time	(3x3) =9	(1x3) =3		RFO Internal Auditor
11. To identify, value and maintain all assets of the Town Council and ensure that asset and investment registers are complete, accurate and properly maintained.	1. Lack of knowledge of assets of Town Council.	(a) Ascertain and record all assets for which Town Council is responsible. (b) Create permanent asset register. (c) Update at least quarterly and when any new assets are transferred (d) Ward checks by Ward Councillors	Review and update alongside asset transfer project	(3x3) =9	(1x3) =3		Town Clerk/Deputy Town Clerk/Councillors. Business and Resources Committee
	2. Assets lost or misappropriated.	(a)Establish who is responsible for security and maintenance of each asset. (b)Asset register to be reported to Business and Resources for review at least annually.	No Action required at this time	(3x3) =9	(1x3) =3		Town Clerk Chairman of Business and Resources Committee
	3. Inadequate or inaccurate valuation of the Council's assets.	(a) Arrange for periodic review of valuations and arrange for professional valuation where necessary. (b) Annual check of assets vs insured (c) Annual report to B&R	To be reviewed alongside asset transfer project	(3x4) = 12	(1x4) =4		Town Clerk Chairman of Business and Resources Committee
	4. Asset register not established or inadequately maintained.	(a) Create asset register in accordance with Audit Commission requirements.	No Action required at this time	(3x3) =9	(1x3) =3		Town Clerk
12. To comply with appropriate Government legislation regarding disability, racial equality, safeguarding children, etc.	1. Lack of knowledge of applicable legislation.	(a) Town Clerk to have all appropriate legislation available. (b) Council to have an appropriate policy in place (c) CiLCA qualified Town Clerk and Deputy	No Action required at this time	(3x4) =12	(1x4) = 4		Town Clerk Chairman of Business and Resources Committee

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	2. Lack of public awareness of applicable legislation.	(a) Include, as appropriate, in any public consultations/reports.	No Action required at this time	(4x2) = 8	(1x2) =2	✓ ⇄	All Councillors
	3. Failure to comply with applicable legislation.	As at 12(1) above.	No Action required at this time	(3x4) = 12	(1x4) =4	✓ ⇄	All Councillors
	4. Councillors lacking knowledge of applicable legislation.	Arrange appropriate training for Councillors.	No Action required at this time	(3x4) = 12	(1x4) =4	● ⇄	Town Clerk will action after Elections
13. To carry out adequate safety checks on all buildings, properties and equipment for which the Council is responsible.	1. Lack of information on properties, buildings and equipment.	(a) Adopt a Health and Safety Policy (b) Ensure that all current legislation and advice is held by Clerk. (c) Include in asset register all properties for which Town Council is responsible.	No Action required at this time	(3x3) =9	(1x3) =3	✓ ⇄	Town Clerk Chairman of Business and Resources Committee
	2. Lack of knowledge of safety requirements	(a) Adopt a Health and Safety Policy (b) Ensure that all current legislation and advice is held by Clerk. (c) Adequate risk assessments (d) Include in quarterly Governance Report to Business and Resources Committee	To be reviewed due to new machinery use for amenity grass cutting	(3x4) = 12	(1x4) =4	● ⇄	Town Clerk Chairman of Business and Resources Committee
	3. Lack of resources to carry out safety checks.	As at 2. Above plus review staff arrangements regularly	No Action required at this time	(3x4) = 12	(1x4) =4	✓ ⇄	Town Clerk Chairman of Business and Resources Committee
14. Sunshine Play Area	1. Inadequate checks lead to accident or fatality	(a) Undertake external annual safety check (b) Undertake routine checks at least weekly (c) Report findings to Business and Resources Committee as part of Governance Report	No Action required at this time	(4x4) = 16	(1x4) = 4	✓ ⇄	Town Clerk Chairman of Business and Resources Committee

SIGNIFICANT OPERATIONAL RISKS

SKEGNESS TOWN COUNCIL – RISK REGISTER















AIM	RISK	METHOD USED TO MINIMISE RISK	Timescale for implementation	UNDERLYING RISK LEVEL Likelihood x Impact	MANAGED RISK LEVEL Likelihood x Impact	Status  Risk Controlled  Action required  Aim is not being achieved  Risk Falling  No Change  Risk Rising	Person(s) Responsible
O1. Safety in Sunshine Play Area	Inadequate checks lead to accident or fatality	(a) Undertake external annual safety check (b) Undertake routine checks at least weekly (c) Report findings to Business and Resources Committee as part of Governance Report	No Action required at this time. To be reviewed as part of asset transfer.	(3x4) = 12	(1x4) = 4	 	Town Clerk Chairman of Business and Resources Committee
O2. To safeguard staff after meetings	1. Unknown person enters building after meeting and confronts lone worker. 2. Lack of adequate lighting once internal lights switched off when shutting building, which could result in accident or being vulnerable to attack	If only one member of staff present at meetings then the Chairman or another nominated councillor should remain until the open areas of the building have been checked and the front door secured. Town Clerk to contact ELDC as landlord to request external light on delayed timer (promised but not yet installed)	No Action required at this time Outstanding	(2x4) = 8 (2x4) = 8	(1x4) = 4 (1x4) = 4	   	The Meeting Chairman ELDC as Landlord
O3. To ensure the ability to pay bills and staff.	1. Slow response to request to change bank mandates leaving Council unable to authorise cheque payments.	Attempt to keep at least 3 councillors on the list from year to year and avoid making frequent changes. Move as many payments as possible to electronic on-line payments	No Action required at this time. To be reviewed post May 2019 elections.	(4x3) = 12	(1x3) = 3	 	Council RFO
O4. Manage financial liabilities	1. Current Council Policy is to refund pre-purchased exclusive rights to graves on request less an admin fee. The Council has maximum potentially £20,000 - £30,000 of liability in this respect.	The risk is to be accepted and the Council will monitor any significant change in the number of requests for a refund.	No Action required at this time	(2x3) = 6	(2x3) = 6	 	B&R Committee for monitoring

SKEGNESS TOWN COUNCIL – RISK REGISTER

O5 Meet obligations and duties relating to the management of the Council Cemetery	1. Concerns that burial records kept from some years ago have been shown to contain inaccuracies some of which may place the Council at risk of making mistakes with burials, not being able to meet obligations or of highlighting a previous error	The risk can be better understood as the written records are computerised as this will most likely highlight any errors and enable resolutions to be devised prior to it becoming an issue at the time of an interment	Progress made in getting written records computerised, further progress needed.	(2x4) = 8	(2x4) = 8		B&R Committee for monitoring
O6. Meet the Councils operational & strategic objectives	2. Known short term staff resources problems	Pre-planning to include workload, avoid new projects with high resource implications. Manage existing priorities	No Action required at this time	(2x4) = 8	(1x4) = 4		Town Clerk
O7. Provide adequate Council accommodation and facilities	Concerns regarding uncertain future of Council Chamber and Council Offices. Issues around suitability, layout, and general maintenance increasing.	Plans in place for more suitable accommodation within the Community Hub in Tower Gardens. Risks significantly increase if this project does not move forward. Planning permission in place for a new community building including Council accommodation.	Connected to Community Building project. Progress to be monitored and alternative plans need to be made if this project does not move forward.	(3x3) = 9	(2x2) = 4		Town Clerk, Deputy Town Clerk, B&R Committee for monitoring.
O8. Meet obligations and duties relating to General Data Protection Principles	Data Breach or unable to process subject access request.	Action plan in place identifying all actions needed to be fully compliant. Information Security Policy updated to reflect changes in regulations and provide guidance.	To be reviewed on a regular basis and with new tasks	(4x3) = 12	(1x3) = 3		Town Clerk, Deputy Town Clerk and B&R Committee.

SKEGNESS TOWN COUNCIL – RISK REGISTER

SIGNIFICANT PROJECT RISKS (From Project Risk Registers)

AIM	RISK	METHOD USED TO MINIMISE RISK	Timescale for implementation	UNDERLYING RISK LEVEL Likelihood x Impact	MANAGED RISK LEVEL Likelihood x Impact	Status  Risk Controlled  Action required  Aim is not being achieved  Risk Falling  No Change  Risk Rising	Person(s) Responsible
P1.Maintain Gold Award Standard	1. Inadequate staff resources	(a) Gold award standard achieved (b) Consider overall resources and impact when starting new projects or activities. (c) Additional staff hours authorised (d) Monitor requirements are still being met	Monitor Gold Award Requirements are being met to maintain standard.	(3x3) = 9	(1x3) =3	 	Town Clerk, Deputy Town Clerk and Chairman of Business & Resources.
	2. Insufficient Commitment from Councillors to achieve Community Engagement	(a) Volunteers requested from each ward for Community Engagement Events.	Committee to decide	(3x3) = 9	(1x3) =3	 	
P2. To Deliver Community Hub & Asset Transfer Project (separate risk register held for construction)	Inadequate staff resources.	(a) Report and review progress to Council each month. (b) Consider overall resources and impact when starting new activities within the project. (c) Additional staff hours authorised. (d) Further posts to be put in place to support asset transfer.	Additional posts due to be approved by Council on 16th Jan 2019.	(2x4) = 8	(1x4) = 4	 	Town Clerk, Deputy Town Clerk, Council, Business & Resources Committee.
	Financial resources cannot be found. Loan application refused.	a) Maintain good communication with LALC and Local Government Funding Policy Team (b) Ensure all loan requirements are met. (c) Sound business plan in place.	Draft business plan to be approved by Council and published on website.	(3x4) = 12	(2x4) = 8	 	Town Clerk, Deputy Town Clerk, Council, Business & Resources Committee.



SKEGNESS TOWN COUNCIL – RISK REGISTER

	Managing expectations	(a) Maintain good communication with all interested parties. (b) Community Engagement. (c) information website (d) Planning permission in place.	No Action required at this time	(3x4) = 12	(1x4) = 4		Town Clerk, Deputy Town Clerk, Council.
	ELDC does not transfer site or gardens	(a) Written confirmation of intent received from ELDC (b) Legal obligation will be obtained before the construction contract is signed. (c) Asset transfer officially approved by ELDC (d) Solicitors appointed.	Legal contracts to be put in place as soon as possible. To be monitored for delays.	(3x4) = 12	(2x4) = 8		Town Clerk, Deputy Town Clerk, Council.
	Construction cost are much higher than expected and cannot be contained by reasonable adjustment to the building	(a) Budget set as top priority in design brief. (b) Maintain good communication with SCAPE contractors to identify cost pressures early. (c) No additional features to be added until any spare capacity is known.	Monitoring and pragmatic design decisions need to be made.	(3x4) = 12	(2x4) = 8		Town Clerk, Deputy Town Clerk, Council, Business & Resources Committee.
	Inflation and/or interest rates makes revenue costs more expensive	(a) Fix the rate as early as possible to avoid possible increases	To Monitor, delays mean an increased likelihood of possible increase.	(3x4) = 12	(2x4) = 8		Town Clerk, Deputy Town Clerk, Council.
	Costs of maintaining assets and gardens are higher than expected or income is lower	(a) Manage costs once transfer is complete (delays have reduced time to react to adverse challenges)	To Monitor, information on assets received from ELDC	(3x4) = 12	(2x4) = 8		Town Clerk, Deputy Town Clerk, Council, Business & Resources Committee.
P3. Neighbourhood Plan.	1. Inadequate resources.	(a) Report and review progress to Council and Planning Committee (b) Consider overall resources and impact when starting new activities (c) Limited additional staff hours authorised. (d) Other projects taking priority and resource	To be considered as part of the NDP Program	(3x4) = 12	(2x4) = 8		NPD Working Group and NDP Steering Group
	2. Insufficient Commitment from Councillors to achieve Community Engagement.	(a) Volunteers requested from each ward for Community Engagement Events	No action required at this time.	(3x4) = 12	(2x4) = 8		
	3. Lack of knowledge and understanding of Neighbourhood Plan	(a) Consultant support procured (b) Neighbourhood Plan Training Provided	No Action required at this time	(3x4) = 12	(1x4) = 4		

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P4. To undertake a Memorial Safety Inspection	1. Inadequate staff resources.	(a) Consider overall resources and impact when starting activity. (b) Additional staff hours authorised.	No Action required at this time	(3x4) = 12	(2x4) = 8	✓ ⇄	Town Clerk Deputy Town Clerk
	2. Unsuitable weather conditions for inspections.	(a) Monitor weather and plan accordingly.		(2x2) = 4	(1x2) = 2	✓ ⇄	
P5. Remembrance Parade	1. Insufficient Volunteer Marshals	(a) Seek community support	No Action required at this time	(3x3) = 9	(2x3) = 6	✓ ⇄	Council, Town Clerk, Deputy Town Clerk
	2. No Permission Granted to Close Roads	(b) Communication with LCC and submission of TTRO request within deadline		(3x4) = 12	(1x4) = 4	✓ ⇄	
P6. Emergency Plan	1. Inadequate resources.	(a) Report and review progress to B&R Committee (b) Consider overall resources and impact when formulating the Emergency Plan (c) Other projects taking priority and resource	No Action required at this time	(2x3) = 6	(1x3) = 3	✓ ⇄	Business & Resource Committee, Council
	2. Insufficient Commitment from Councillors	(a) Core roles and volunteers requested from Council	To be established after training	(2x3) = 6	(1x3) = 3	● ⇄	
	3. Lack of knowledge and understanding of Emergency Plan Requirements	(a) Provide emergency planning training	To arrange emergency planning support and training	(2x3) = 6	(1x3) = 3	● ⇄	
P7. Cemetery Path Maintenance.	1. Inadequate resources.	(a) Ensure earmarked reserves for future path replacement.	No Action required at this time.	(3x4) = 12	(1x4) = 4	✓ ⇄	Town Clerk, Deputy Town Clerk, Business & Resources Committee
	2. Potential for accidents from poorly maintained path.	(b) Undertake annual path inspections with any remedial works identified completed.	Current issues identified to be completed this winter.	(1x4) = 4	(1x4) = 4	● ⇄	

SKEGNESS TOWN COUNCIL – RISK REGISTER

<p>P8. Amenity Grass Cutting</p>	<p>1. New responsibility. 2. Inadequate resources. 3. Affected by weather conditions.</p>	<p>(a) Adequate training and supervision for new team members. (a) Plan around growing season and other pressures. (b) Fill any vacancies in a timely manner, especially in growing season (c) Additional resources approved. (a) Utilise annualised hours</p>	<p>Preparation ready for growing season, regular review needed. Asset transfers will increase workload.</p>	<p>(2x4) = 8</p>	<p>(2x2) = 4</p>	<p></p>	<p>Town Clerk, Senior Groundsmen</p>
<p>P9. Purchase of additional cemetery land.</p>	<p>1. Inadequate resources. 2. Unaffordability. 3. Breakdown in negotiations.</p>	<p>(a) Town Clerk authorised to proceed with initial negotiations. (b) Clear budget set. (c) Clear communication with Estate Agents.</p>	<p>No Action required at this time.</p>	<p>(3x1) =3</p>	<p>(1x1)=1</p>	<p></p>	<p>Town Clerk, Council</p>

SKEGNESS TOWN COUNCIL – RISK REGISTER

RISK LEVEL MATRIX

IMPACT ON COUNCIL LIKELIHOOD	1	2	3	4
1	1	2	3	4
2	2	4	6	8
3	3	6	9	12
4	4	8	12	16

CONSEQUENCES OF IMPACT	
1	Temporary or minor impact on Customer, finance or reputation – impact over less than a month
2	Some impact on reputation and/or finances – impact less than 3 months
3	Substantial impact with moderate financial or reputational consequences – impact up to a year
4	Significant impact with likely large scale financial or reputational consequences – impact over more than one year

LIKELIHOOD	
1	Unlikely to happen – once in 20 years or more
2	Unlikely to happen – once in 10 years
3	Likely to happen within the 4 year term of Council
4	Very likely to happen within year or has happened recently

	Overall risk is low. Regular monitoring but action not urgently required
	Overall risk is medium. Monitoring essential and action required to mitigate risks
	Overall risk is high. Essential action is required immediately to manage risk.

**MONITORING NON-BUSINESS PLAN ACTIONS
AND DECISIONS AS AT
January 2019**

Action ID	Task	Details	Date Raised	Target Comp/Status	Who is leading	Overall Status	Risks/Comments
23	Memorial Safety Tests	<p><i>Initial risk assessment completed on-going inspections taking place at regular intervals.</i></p> <p><i>Follow up inspections completed 04/01/19.</i></p>	1/1/14	Ongoing	Town Clerk, Deputy Town Clerk	Amber	<p><i>Weather conditions</i></p> <p><i>Resources if diverted to other tasks.</i></p> <p><i>Ongoing task – follow up inspections needed.</i></p> <p><i>Further routine inspection program now needed.</i></p>
24	Computerisation of historic burial records	<p><i>Grave records</i></p> <p><i>Burial records</i></p> <p><i>Memorial records</i></p> <p><i>Deeds, Licenses.</i></p> <p><i>All new records from 1/4/13 are now computerised.</i></p> <p><i>Progress is being made on inputting historical records. A, AA, CC, B, BB, C, D, E, G, J, K and L section are now computerised. F section has been started.</i></p>	1/1/14	31/12/14	Town Clerk	Red	<p><i>Very time-consuming task due to complexities on historic records.</i></p> <p><i>Resources if diverted to other tasks</i></p> <p><i>316 records still to complete in F & H section.</i></p> <p><i>Progress made since last quarter, 91 records completed.</i></p>

45	Section 106 Monies	<p><i>Community Benefit Scheme from section 106 caravan tariff agreement: East Lindsey District Council contacted March 2017 and criteria clarified. Very limited amount available to Town Council. Future expected 106 monies earmarked for LCC provision of bus stop.</i></p> <p><i>Only £2,250 monies available for Winthorpe area which is a caravan contribution so spend must relate back to users of the site.</i></p> <p><i>Example: For benches, signage to nearby play park or shops. Improvements to nearby public toilets.</i></p>	27/05/2015	None set	Town Clerk and Deputy Town Clerk.	Green	<p><i>Linked with Community Led Plan to provided evidence of Community Wishes/Needs.</i></p> <p><i>Very limited availability. Some monies already earmarked – for example to LCC for provision of bus stop.</i></p>
47	Business Plan	<p><i>Business Plan has been updated and reviewed by D&S Committee 27/09/17 new draft published on website in February post budget updates.</i></p>	April 2015	5-year plan	TC, Councillors and Partner Organisations	Green	<p><i>Resources if diverted to other tasks.</i></p> <p><i>Business Plan will need further review and updates.</i></p>

		<i>Further updated Sept 18 and adopted by Council in Nov 18.</i>					
51	Tower Gardens Community Building Project & Management of Tower Gardens and other Asset Transfers (previously separate project no 53)	<p><i>Initial consultation on project principles complete. Feasibility study complete.</i></p> <p><i>Letter of assurance received from ELDC and decision made to continue to design stage of project.</i></p> <p>Asset transfer approved by ELDC. To chase ELDC for completion of demolition and legal completion of asset transfer.</p> <p>To fill posts to maintain Tower Gardens.</p>	Dec 2015	New Project plan.	Town Clerk	Amber	<p><i>Project requires high input from office-based employees along with some input from grounds team. Unable to take on any new tasks/projects.</i></p> <p><i>Demolition of old pavilion is delayed.</i></p> <p><i>Delays with completion of legal works for asset transfer may have negative implications for the project.</i></p>
54	Neighbourhood Development Plan Monitored on separate plan	<p><i>To develop a neighbourhood plan to include community engagement tasks. ELDC have confirmed area for NDP.</i></p> <p><i>Support tendered, training and inception meeting taken place. Initial consultation campaign taken place</i></p>	Nov 2015	March 2019	Town Clerk, NDP Working Group and Steering Group.	Amber	<p><i>Complexed, lengthy task. Resources if diverted to other tasks. Expert advice and support needed.</i></p> <p><i>Project 51 is slowing down progress with this.</i></p>

		<p>report received. NDP Workshop taken place.</p> <p>Meeting with ELDC taken place and further consultation on the vision and aims completed.</p> <p>Steering group meeting needed once we have received report from latest consultation.</p>					
56	Amenity Grass Cutting expansion.	<p>Amenity grass cutting brought in house, industrial unit leased to support project.</p> <p>Machinery and posts to support the project filled. Grass cutting has begun. Further resources approved in July 2018.</p> <p>New machinery on order. Council due to approve two substantive posts to support this task. Post to be in place for growing season.</p>	Mar 2017	March 2018 and ongoing expansion connected to project 51.	Town Clerk, Deputy Town Clerk, Direction & Strategy Committee.	Green	<p>Complexed lengthy task including recruitment, equipment requirements, strategy for standards and dealing with issues needed. Timebound project must be complete before growing season.</p> <p>High resource implications.</p> <p>Linked to project 51.</p>
57	Organise Remembrance Parade 2019	Costs and support for 2019 to be reviewed and organised.	Mar 2017	November 2019	Town Clerk, Deputy Town Clerk	Green	Possible cost implications.

							<p><i>Resources if diverted to other tasks.</i></p> <p><i>Risk that not enough Volunteer marshals come forward to support the parade.</i></p>
58	Establish an emergency plan	<p><i>Emergency plan and resource directory started.</i></p> <p><i>Training and support in completing the plan to be arranged. Core roles need identifying after training.</i></p> <p><i>Emergency planning to be put on the agenda once the elections have taken place in May 2019.</i></p>	May 2017	None Set	B&R Committee	Amber	<p><i>Resources if diverted to other tasks.</i></p> <p><i>Lack of volunteers to support the plan.</i></p>
59	To be General Data Protection Regulation compliant	<p><i>Council made aware of change in law May 2017. Report to Council 04/04/18.</i></p> <p><i>Information audit completed.</i></p> <p><i>Ongoing monitoring and review needed.</i></p>	May 2017	May 2018	Town Clerk and Deputy Town Clerk	Amber	<p><i>Needs constant review, update and consideration when taking on new tasks.</i></p> <p><i>Deputy Town Clerk to review compliance and look at Trading Company Compliance.</i></p>

61.	Purchase Additional Cemetery Land.	<i>Initial contact made with agents, awaiting response.</i> <i>Detailed agreement to be reached.</i>	27/09/18 (Recs from D&S Committee)	None Set.	Town Clerk and Council.	Green	<i>Resource implications.</i> <i>Needs to be affordable to Council.</i>
62.	Renew Town Council Office Lease	<i>Further 3-year lease offered and accepted.</i>	03/10/2018	31 st March 2019 (end of current lease)	Town Clerk	Green	<i>Six months' notice period required.</i> <i>Council to bear own legal costs.</i>
63.	Protection of Fairy Dell	<i>To look at the listing and protection of the fountain, prepare a nomination application for an Asset of Community Value.</i> <i>First WG meeting took place in December, minutes to go to Council 16/01/19.</i>	03/10/2018	01/05/2018	Fairy Dell Working Group	Green	<i>No officer resource to support this project at the moment.</i>