

















SKEGNESS TOWN COUNCIL – RISK REGISTER AT 24/02/2021

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.	No Action required at this time Limited training opportunities at the moment due to Covid 19	(3x4) = 12	(1x4) = 4	 	All Councillors, Town Clerk, Deputy Town Clerk, Management 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 Standing orders are out of date.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.	No Action required at this time.	(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.	(2x3) = 6	(1x3) = 3	 	Chairman of Committees All Councillors Ongoing responsibility as advised by Town Clerk
			No Action required at this time			 	Town Clerk to monitor - Ongoing responsibility

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	<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 2019 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. Management Committee 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. 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>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 Management Committee Council to appoint Internal Auditor to undertake review</p>
<p>2. To identify and regularly review the Council's priorities, using a risk based approach, to ensure these are clear and achievable.</p>	<p>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.</p>	<p>(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.</p>	<p>New five year business plan in place which takes into account current budget and income restrictions due to Covid 19.</p>	<p>(2x3) = 6</p>	<p>(1x3) = 3</p>	<p>✓ ⇄</p>	<p>Town Clerk, Deputy Town Clerk. All Councillors</p>

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	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	Regular review of all risk assessments needed due to Covid 19	(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 Management Committee
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 and NDP.	(4x3) = 12	(1x3) = 3	✓ ⇄	Town Clerk 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 and NDP Community engagement currently restricted due to lockdown.	(4x4) = 16	(1x4) = 4	✓ ⇄	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, and to provide adequate insurance cover for all possible risks.	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.	No Action required at this time.	(4x2) = 8	(1x2) = 2	✓ ⇄	Town Clerk, Deputy Town Clerk. All Councillors
	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. Face to face training restricted due to Covid 19.	(4x2) = 8	(1x2) = 2	● ⇄	All Councillors

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	3. Inadequate insurance cover taken out – Property, personal liability, employer's liability.	(a) Review annually at Management Committee (b) Review whenever significant operational changes	Cover reviewed for 31/03/21	(3x4) =12	(1x4) = 4	✓ ⇄	Town Clerk, Deputy Town Clerk, Management Committee
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. (c) Experienced RFO	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 Management Committee. Reports to be made available to all Councillors and any recommendations to be acted upon promptly. (d) Review whenever significant operational changes.	No action required at this time.	(3x4) = 12	(1x4) = 4	✓ ⇄	Town Clerk acting as Responsible Finance Officer Management 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
	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 Management Committee 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 Management Committee Interest rates are historically low and likely to fall further. Once the current economic situation becomes clearer a review will be undertaken.
	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	(2x3) = 6	(1x3) = 3	✓ ⇄	See 5 above

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	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	(3x3) = 9	(1x3) = 3	✓ ⇄	Town Clerk acting as Responsible Finance Officer Management 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 Management Committee
	10. Payments missed or delayed due to inadequate filing of invoices.	As at 5.8. above.	No Action required at this time	(3x3) = 9	(1x3) = 3	✓ ⇄	Town Clerk acting as Responsible Finance Officer – review by Management Committee
	11. Clerk taken ill or leaves without replacement.	(a) Council have approved the appointment of a Deputy Town Clerk who is CiLCA qualified. (b) Working Procedures to be documented and staff trained (c) Deputy Town Clerk is a full banking signatory and electronic banking administrator (d) Business continuity measures including working at home tested.	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 Management 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 use of assets represent value for money, are adequately managed, and comply generally with the wishes of the residents.	1. Lack of knowledge of wishes of residents.	(a) As at 3.2 above.	Linked to Gold Award Plan and NDP (Covid Restricting this at present)	(4x4) = 16	(1x4) = 4	● ⇄	All Councillors
	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	Linked to 5 year business plan.	(3x3) = 9	(1x3) = 3	✓ ⇄	Town Clerk acting as Responsible Finance Officer Management Committee Chairman of Direction and Strategy

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	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 Management 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.	a) Involve all Councillors in budgetary process and are clear about responsibilities. (b) Ensure Councillors are aware of impact on income and expenditure due to Covid 19 and the need to maintain an adequate General Reserve	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.	No Action required at this time	(3x4) = 12	(2x4) = 8	● ⇄	Town Clerk and Deputy Town Clerk
			(b) Start consideration of calculation at least 3 months prior to submission date.	No Action required at this time				Town Clerk and Deputy Town Clerk
			(c) see 6 (2b) above.	No Action required at this time				Town Clerk and Deputy Town Clerk
(d) Monitor the effects of Brexit on costs.			Keep updated on Brexit implications on budget.	Town Clerk and Deputy Town Clerk				
	(e) Monitor impact of Covid 19 on income and precept for annual budget. Including the possibility that the tax base may fall due to the increase of people on benefits during the pandemic.	Monitor tax base and impact on budget.				Town Clerk and Deputy Town Clerk		
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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	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.	General Reserve reviewed as part of budget process and extra resources provided	(3x3) = 9	(1x3) = 3	✓ ↔	Town Clerk acting as Responsible Finance Officer
	7. National policy on Minimum Wage pushes up employee budget base	(a) Potential for costs to rise beyond planned budget and put pressure for increase in precept in 2021/22	Monitor Government Policy and Pay settlements. Consider action if any	(3x3) = 9	(3x3) = 9	✓ ↔	Town Clerk acting as Responsible Finance Officer. Management Committee
8. To explore all possible sources of income and to ensure that expected income is fully received.	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. (b) To apply for all available Covid 19 funding.	To monitor available grant funding opportunities for Covid	(4x3) = 12	(2x3) = 6	✓ ↔	Town Clerk, Deputy Town Clerk Committee Chairman All members
	2. Lack of commitment/resources to pursue possible sources of income.	As at 8(1a) and O	To monitor pressure on resources due to taking over new areas/services and Covid 19. Now at maximum capacity	(4x3) = 12	(2x3) = 6	● ↔	Town Clerk, Deputy Town Clerk, Management Committee
	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. Payment plans with debtors.	To be monitored due to Covid 19.	(3x3) = 9	(2x3) = 6	✓ ↔	Responsible Finance Officer
	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	✓ ↔	Town Clerk and Deputy Town Clerk





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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.	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 Officer and checked by Town Clerk	No Action required at this time	(2x3) = 6	(1x3) = 3	✓ ⇄	Town Clerk Council
	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.
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. (d) Experienced RFO	Councillors and employees to attend available training. Currently restricted due to Covid 19.	(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













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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 (e) Undertake Tree Surveys to manage risks on Council owned land.	Tender for tree works needed.	(3x3) =9	(1x3) =3	✓ ⇄	Town Clerk/Deputy Town Clerk/Councillors. Management 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 Management for review at least annually.	No Action required at this time	(3x3) =9	(1x3) =3	✓ ⇄	Town Clerk Management 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 Management Committee	To be reviewed alongside asset transfer project and next insurance renewal	(3x4) = 12	(1x4) =4	✓ ⇄	Town Clerk Management Committee
	4. Asset register not established or inadequately maintained.	(a) Create asset register in accordance with Audit Commission requirements.	Asset register reviewed as part of insurance renewal.	(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, Deputy Town Clerk Management Committee
	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 and Deputy Town Clerk

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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. (d) Keep adequate Ear Marked reserved to cover unexpected expenditure on property land assets and to replace equipment.	Monitor reserves	(3x3) =9	(1x3) =3		Town Clerk, Deputy Town Clerk Management 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, reviewed regularly (d) Include in quarterly Governance Report to Business and Resources Committee	Fire risk assessment for Pavilion completed and servicing in place.	(3x4) = 12	(1x4) =4		Town Clerk, Deputy Town Clerk Management Committee
	3. Lack of resources to carry out safety checks.	As at 2. Above plus review staff arrangements regularly (e) Monitor staff sickness, explore Occupational Health services support.	Staff at maximum capacity and so needs regular monitoring	(3x4) = 12	(1x4) =4		Town Clerk Management Committee
14. Play Areas	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 Management Committee as part of Governance Report (d) Provide Staff Training	No Action required at this time	(4x4) = 16	(1x4) = 4		Town Clerk, Deputy Town Clerk Management Committee





SIGNIFICANT OPERATIONAL 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
O1. Safety in Play Areas the Council are responsible for	Inadequate checks lead to accident or fatality	(a) Undertake external annual safety check (b) Undertake routine checks at least weekly (c) Report findings to Management Committee as part of Governance Report	No action required at this time	(3x4) = 12	(1x4) =4	 	Town Clerk, Deputy Town Clerk, Management Committee
O2. To safeguard staff after meetings	1. Unknown person enters building after meeting and confronts lone worker.	Keep external doors shut and locked. Have buddy system to make contact if issues arise and to confirm exit from building after normal office hours. 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 entrance door and alarm secured.	No Action required at this time	(2x4) = 8	(1x4) = 4	 	Lone worker to make appropriate arrangements prior to working alone. For regular meetings the Town Clerk/Deputy Town Clerk to be buddy unless other arrangements in place.
O3. To ensure the ability to pay bills and staff.	1. Slow response to request to change bank mandates leaving Council unable to authorise 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.	(4x3) = 12	(1x3) = 3	 	Council Responsible Financial Officer











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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.	(a) 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	✓ ⇄	RFO and Management Committee for monitoring
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	All written records have now been computerised. Remaining historic risks will have to be accepted.	No Action required at this time.	(2x4) = 8	(2x4) = 8	✓ ⇄	Management 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	Avoid any new unplanned tasks.	(2x4) = 8	(1x4) = 4	● ↑	Town Clerk Councillors
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 complaint. Information Security Policy updated to reflect changes in regulations and provide guidance.	No action required at this time.	(4x3) = 12	(1x3) = 3	✓ ⇄	Town Clerk, Deputy Town Clerk and Management Committee.
O9. Newly opened Café Dansant is operating in compliance with all regulations.	Accident of injury to staff or customers. For example food poisoning, burns.	(a) All staff inducted and trained including food allergies and cross contamination. (b) Member of ELDC safer food service with five (very good) food hygiene rating. (c) Policies and procedures in place including Better Food better business folder in use and regularly reviewed. (d) Allergy menu and allergy matrix in place. (e) COSHH regulations followed. (f) Staff to keep up to date with changes in regulations. (g) Covid risk assessment in place for café.	Routine checks and controls to be reviewed before re-opening after lockdown.	(4x4)=16	(2x4)=8	● ⇄	Café Manager and staff, Town Clerk, Deputy Town Clerk, Management Committee.
O10. Café Dansant does not become a financial burden to Council.	Café makes a loss and has to be subsidised by Council (heightened risk during pandemic)	(a) Business Plan in place. (b) Regular review of outgoings and income. (c) Regular governance reports to Council. (d) Temporary and casual positions due to Covid 19.	Regular review needed.	(4x3)=9	3x3=6	● ⇄	Café Manager, Town Clerk, Deputy Town Clerk, Management Committee.

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O11. All Council operations and services are Covid secure.	Spread of Covid 19	(a) Covid 19 risk assessments in place. (b) Staff keep up to date on current guidance. (c) Staff working from home where possible and with social distancing measures in place if not. (d) Café staff provided with visors/masks. (e) Hand sanitiser provided to staff and in Tower Gardens Pavilion. (f) Appropriate signage in place where necessary. (g) Increased handwashing and cleaning.	Pavilion including hall and café closed due to current lockdown.	(4x4)=12	(2x4)=8		All staff and Councillors
O12. To ensure all Council owned land is free from Japanese Knot Weed.	Japanese knotweed spreading into a wild area/Council owned land	(a) Identify Japanese knotweed (b) Prevent any areas spreading onto anyone else's property (c) Ensure specialist treatment and disposal of any identified areas (d) Communicate with other local landowners to prevent spread of weed.	Area treated 5 year treatment and review process commenced	4x3=12	2x3=6		Town Clerk, Deputy Town Clerk
O13. Ensure all Council owned land is free from illegal occupation.	Travellers on Council owned land.	(a) Risk assess and Secure all sites. (b) Take action against people occupying land illegally.	Review of all sites needed and action necessary to secure sites. Regular reports to Council. Significant budget required to reduce risk	4x3=12	4x2=6		Town Clerk, Deputy Town Clerk, Council. Council to fund any action
O14. Administration & Management of New Community Building and other transferred assets.	Higher impact on resources than initially expected.	(a) Identify the areas that are impacting resources (b) Regular reports to Council on resources needed and issues identified when managing new building and assets. (c) Manage and monitor costs Understand the appropriate powers and complexities of each asset	Learn through first year of occupation to put in place appropriate actions and controls	4x3=12	2x3=6		Town Clerk, Deputy Town Clerk, Council Management Committee

SIGNIFICANT PROJECT 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
P1.Maintain Gold Award Standard	1. Inadequate staff resources 2. Insufficient Commitment from Councillors to achieve Community Engagement	(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 (a) Volunteers requested from each ward for Community Engagement Events.	Monitor Gold Award Requirements are being met to maintain standard. (Coming up for review and inspection) Committee to decide	(3x3) = 9 (3x3) = 9	(2x3) =6 (1x3) =3	   	Town Clerk, Deputy Town Clerk and Management Committee.

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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	External resources purchased to complete	(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	● ↔	
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	Planning required for 2021	(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 Management 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	(2x3) = 6	✓ ↔	Management 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	● ↔	

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<p>P7. Cemetery Path Maintenance.</p>	<ol style="list-style-type: none"> 1. Inadequate resources. 2. Potential for accidents from poorly maintained path. 	<p>(a) Ensure earmarked reserves for future path replacement.</p> <p>(b) Undertake annual path inspections with any remedial works identified completed.</p>	<p>No Action required at this time. Current issues identified to be completed this winter.</p>	<p>(3x4) = 12</p> <p>(1x4) = 4</p>	<p>(1x4) = 4</p> <p>(1x4) = 4</p>	<p>✓ ⇄</p> <p>● ⇄</p>	<p>Town Clerk, Deputy Town Clerk, Management Committee</p>
<p>P9. VE Day Event</p>	<ol style="list-style-type: none"> 1. Lack of clarity of scope of event 2. Insufficient resources 3. Unfunded budget 4. Permissions needed 5. Insurance needed 	<ol style="list-style-type: none"> a) Fully worked up event plan that completely describes event, risks, resources b) Clear line of responsibility including appointment of Event Coordinator c) Grants, donations d) VE Day Committee 	<p>Event Plan postponed until 2021</p>	<p>(3x3)=9</p>	<p>(2x3) = 6</p>	<p>● ⇄</p>	<p>VE Day Committee</p> <p>Chair of VE Day Committee</p> <p>Event Coordinator</p>

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.