

GAINSBOROUGH TOWN COUNCIL – RISK REGISTER (Reviewed and Adopted - 21/03/2023)

STRATEGIC RISKS



Ref	AIM	RISK	ACTIONS TO MINIMISE RISK	TIMESCALE FOR IMPLEMENTATION	UNDERLYING RISK LEVEL (Likelihood x Impact)	MANAGED RISK LEVEL (Likelihood x Impact)	Status 	Comment on Status	Person(s) Responsible
R01	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) Councillors to undertake training on a regular basis. (e) Remind Councillors of the LALC Training courses on a monthly basis. (f) Monitor any new regulations.	Send out monthly LALC newsletter with training lists. Other matters ongoing	(4x3) = 12	(1x4) = 4	● ⇄	Very few Councillors make use of the LALC training the Council pays for or undertakes any other training funded or provided by Gainsborough Town Council.	All Councillors, Town Clerk, LALC
		2. Standing orders are out of date.	(a) Ensure that Standing Orders are produced, issued and understood by Councillors. Council to review at least once per year.	Standing Orders to be updated May 2022.	(2x3) = 6	(1x3) = 3	✓ ⇄	Changes to Standing Orders to be made first meeting of the Council Year incorporating any changes the Council have made and any legal or best practice changes.	All Councillors, Town Clerk
		3. Actions by the Town Council outside its powers laid down by Parliament.	(a) Council to consider motions, proposals and reports and check that every resolved motion is within its legal power. Town Clerk/Deputy Town Clerk can advise.	Ongoing	(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) Council to ensure that there is no delegation of responsibilities to individual Councillors (as there is no legal basis for this).	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
				Ongoing	✓ ⇄		Town Clerk to monitor - Ongoing responsibility		
5. Items/services purchased without proper tendering procedures, resulting in accusations of commercial favouritism.	(a) All purchases to go through the Deputy Clerk's office. (b) Ensure that all Councillors are aware of regulations regarding estimates and full tender procedures. (c) Review purchasing and contract procedure rules. (d) Adequate controls validated by regular	Ongoing	(3x3) = 9	(1x3) = 3	✓ ⇄	Financial Regulations reviewed in June 2021	Deputy Clerk acting as Responsible Finance Officer. Committee to identify any areas it wishes to examine in addition to standard review.		

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			Internal Audit					
		6. Payments made without prior approval and adequate control.	(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 (e) Adequate controls validated by regular Internal Audit (f) Electronic payments to be separately categorised when reported to Council	Ongoing	(3x3) = 9	(1x3) = 3	✓ ⇄	Petty cash payments checked and signed off at intervals during year and at year end by Town Clerk. Council to appoint Internal Auditor to undertake annual review. Finance and Strategy Committee to identify any areas it wishes to examine in addition.
		7. Lack of control of signatories to cheques/bank transfers.	(a) Keep authorised signatories to a minimum consistent with practicalities. (b) Signatories approved by Council	Ongoing	(2x3) = 6	(1x3) = 3	✓ ⇄	Deputy Clerk acting as Responsible Finance Officer. Council review signatories annually.
		8. VAT not properly accounted for, resulting in overclaims and large demands.	(a) Ensure appropriate publications held and that Officers have 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.	Ongoing	(3x3) = 9	(1x3) = 3	✓ ⇄	Deputy Clerk acting as Responsible Finance Officer Finance and Strategy Committee Council to appoint Internal Auditor to undertake review.
R02	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 in a 5 year business plan. (d) Support and guidance to be given to any newly elected Councillors. (e) Risks to be reviewed regularly by Council or Management Committee	A five year plan in place before the end of 2022. Risk Management to Finance and Strategy Committee on a quarterly basis.	(2x3) = 6	(1x3) = 3	● ↑	Council as a corporate body needs to set out its overall aims and objectives so that there is a clear sense of direction. Without this decisions are adhoc and can sometimes be uncoordinated. One way of doing this would be to create a Business Plan and review it to see whether it still fulfils the Council's overall sense of purpose.

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		2. Lack of “buy in” by council members to a risk based approach.	(a) Review risk assessment quarterly at Finance and Strategy Committee, identifying any changes or actions needed (b) All reports, proposals and motions to provide a risk assessment	Review of Risk Register quarterly at Finance and Strategy Committee Ongoing activity for any reports actions and motions.	(3x3) = 9	(1x3) = 3	● ↑	Council should not make significant decisions that affect resources or assets without considering the risks to council and any mitigation required Council must ensure that existing risk mitigation measures remain in place or alternatives are found.	Chairmen of Committees and all Councillors
		3. No risk analysis carried out.	As at 2.2 above.	As at 2.2 above.	(3x4) = 12	(1x4) = 4	✓ ⇄	As at 2.2 above.	All Councillors
		4. No steps taken to combat identified risks	As at 2.2 above.	As at 2.2 above.	(3x4) = 12	(1x4) = 4	✓ ⇄	As at 2.2 above.	Town Clerk, Chairmen of Finance and Strategy Committee
		5. An inadequate complement of councillors to manage the business of the council	(a) All councillors to strive to work in a constructive manner in accordance with the Code of Conduct and to welcome and encourage new councillors. (b) All councillors to cooperate to share the workload. (c) Standing Order to state apologies will only be noted and not accepted, to ensure 6 months rule is operative.						All Councillors, Town Clerk, WLDC
R03	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) Identify influencing organisations (b) Ask local District and County representatives to produce a regular report for Council to consider (c) Establish a Communication Plan (d) Attend invited events that are likely to impact Town (e) Ensure adequate feedback to Council from Council representatives	Produce a Communication Plan by end of 2022. Officially ask Council Reps from WLDC and LCC to give update reports. Ongoing activity for other items.	(4x3) = 12	(1x3) = 3	● ↑	Good communication is essential.	All Councillors on Outside Bodies, Finance and Strategy Committee, Town Clerk.
		2. Lack of effective lines of communication with parishioners.	(a) Take every opportunity to publicise role of Town Council. (b) Effective use of notice boards. (c) Use website and Council's Social Media to publicise Town Council work (d) Use key issues to raise profile of Town Council and to test parishioner's views. (e) Create Community Engagement Policy and implement plan	Ongoing	(4x4) = 16	(1x4) = 4	● ↑	Good communication is essential.	All Councillors, Town Clerk for Social Media and web
		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	To be re-iterated by Council/Committee ongoing			● ⇄		All Councillors

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			<p>issues under discussion.</p> <p>(b) Expectation by Chair and colleagues that Councillors have read and understood any supporting documents for an agenda item prior to the meeting with any issues raised with the Office prior to the meeting.</p>		(3x3) = 9	(1x3) = 3			
		4. Lack of confidence by Town Councillors.	<p>(a) Experienced councillors to assist newcomers to establish essential contacts.</p> <p>(b) Attend Councillor Training</p> <p>(c) Speak with Town Clerk / Deputy Town Clerk</p>	Ongoing activity	(4x2) = 8	(1x2) = 2	✓ ⇄		All Councillors
R04	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.	<p>(a) Familiarisation with Standing Orders, Code of Conduct and Good Councillor Guide.</p> <p>(b) Newly elected Councillors to be provided with support, guidance and training.</p>	Ongoing activity	(4x2) = 8	(1x2) = 2	✓ ⇄		Town Clerk, All Councillors
		2. Lack of education of Councillors regarding responsibility and liability.	<p>(a) Experienced councillors to assist newcomers (protocol agreed).</p> <p>(b) Attend any training courses available.</p> <p>(c) Attend annual training on Financial Management & Responsibilities</p>	Ongoing activity	(4x2) = 8	(1x2) = 2	● ↑		All Councillors
		3. Inadequate insurance cover taken out – Property, personal liability, employer's liability.	<p>(a) Review annually at Finance and Strategy Committee</p> <p>(b) Review whenever significant operational changes</p>	Ongoing activity	(3x4) = 12	(1x4) = 4	✓ ⇄		Town Clerk, RFO, Finance and Strategy Committee
		4. Councillors fail to declare interests and participate in inappropriate decision making, which has a material impact upon the decisions taken and the public perception of the Council.	<p>(a) All councillors to be reminded to abide by the Code of Conduct and the register of interests and to be alert to potential breaches of both.</p> <p>(b) As far as is possible, the Clerk to ensure the register of interests are complete and up to date.</p>	Ongoing activity	(3x2) = 6	(1x2) = 2	✓ ⇄		Town Clerk, All Councillors
R05	To keep appropriate books of account accurately and upto date through out the financial year.	1. Lack of knowledge of accounting requirements.	<p>(a) Ensure that all Councillors are familiar with current financial regulations and include them in standing orders.</p> <p>(b) Regularly review Financial Regulations.</p> <p>(c) Appoint separate RFO to ensure another line of responsibility for financial management.</p>	Financial regulations due for review May 2022	(4x4) = 16	(1x4) = 4	✓ ⇄		Town Clerk & RFO
		2. Lack of commitment to accounting requirements.	<p>(a) Ensure that all Councillors are familiar with current financial regulations and include them alongside standing orders.</p> <p>(b) Responsible Finance Officer to produce monthly financial reports as part of the Governance and Performance Monitoring Report to Finance & Strategy Committee.</p> <p>(c) Internal audit to be undertaken twice yearly plus review of adequacy by Finance & Strategy Committee. Reports to be made available to all Councillors and any recommendations to be acted upon promptly.</p> <p>(d) Review whenever significant operational changes.</p>	Ongoing activity	(3x4) = 12	(1x4) = 4	✓ ⇄		Town Clerk, RFO, Finance and Strategy Committee, Council

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		3. Bank charges unnecessarily incurred.	(a) Responsible Finance Officer to carry out regular inspection of books of account.	Ongoing activity	(2x1) = 2	(1x1) = 1	✓ ⇄		Town Clerk & RFO
		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. (d) Any issues or errors to be reported to Council or Finance & Strategy Committee	Ongoing activity	(2x4) = 8	(1x4) = 4	✓ ⇄		Town Clerk, RFO, Finance and Strategy Committee
		5. Inaccuracies and interest losses caused by account transfers.	(a) Operate in accordance with the Council's Investment Policy.	Ongoing activity	(2x3) = 6	(1x3) = 3	✓ ⇄		Town Clerk, RFO, Chairman of Finance and Strategy Committee
		6. The most beneficial interest terms not being obtained.	(a) Operate in accordance with the Council's Investment Policy.	Ongoing activity	(2x3) = 6	(1x3) = 3	✓ ⇄	Interest rates are still historically low. Once the current economic situation becomes clearer a review will be undertaken.	Town Clerk, RFO, Chairman of Finance and Strategy Committee
		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. (c) Separation of duties in relation to cash receipting and banking/accounting	Ongoing activity	(4x3) = 12	(1x3) = 3	✓ ⇄		All office based staff
		8. Books of account not kept up to date/invoices not posted promptly.	(a) Regular checks by Town Clerk and internal auditor. (b) Responsible Finance Officer to produce monthly financial reports as part of the Governance and Performance Monitoring Report to Finance & Strategy Committee. (c) Accounting system to perform internal control and integrity checks	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		Town Clerk, RFO, Finance and Strategy Committee, Bank Reconciliations
		9. Internal controls not in place or not operated.	As at 5.8 above.	Ongoing activity	(3x4) = 12	(1x4) = 4	✓ ⇄		
		10. Payments missed or delayed due to inadequate filing of invoices.	As at 5.8. above.	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		
		11. Clerk taken ill or leaves without replacement.	(a) Appointing separate RFO allows a further individual to be familiar with all aspects of financial matters. (b) Working Procedures to be documented and staff trained (c) Town Clerk is an electronic banking	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		Town Clerk, Deputy Clerk, Chairman of Personnel Committee

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			<p>administrator</p> <p>(d) Business continuity measures including working at home tested.</p> <p>(e) Key Man insurance cover is included in the Council's policy, to obtain a stand in person.</p> <p>(f) Electronic payments will be unavailable, but cheque payments can still be made as usual. Other staff can be paid by cheque.</p>						
R06	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.	As 3.2 above	(4x4) = 16	(1x4) = 4	● ⇄		All Councillors
		2. Use of funds not giving value for money.	(a) Effective budget planning processes. (b) Creation of a rolling plan for projects linked to priorities (c) Expenditure monitored	See 2.1 above Ongoing activity	(3x3) = 9	(1x3) = 3	● ↑	Planning is crucial to long term financial stability. Short term actions can lead to unintended consequences which ultimately can cost residents more and lead to poorer value for money.	Town Clerk, Finance and Strategy Committee, Property and Services Committee
		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.	Ongoing activity	(3x2) = 6	(1x2) = 2	✓ ⇄		Town Clerk, RFO and Finance 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 additional action required at this time as there are no fund raising activities	(3x3) = 9	(1x3) = 3	✓ ⇄		All Councillors, RFO
R07	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 (c) Encourage councillor training	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		Town Clerk & RFO
		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 risks and the need to maintain an adequate General Reserve	Ongoing activity	(3x3) = 9	(1x4) = 4	● ⇄		Town Clerk, RFO, All Councillors, Chairman of Committees
		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 wider economy, including inflation.	Ongoing activity	(3x4) = 12	(2x4) = 8	● ⇄		Town Clerk & RFO

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			(e) Monitor impact of major national incidents on income and precept for annual budget. Including the possibility that the tax base may fall due to the increase of people on benefits.						
		4. Calculation not in accordance with Council regulations.	(a) Checks by Town Clerk and Internal Auditor.	Ongoing activity	(2x3) = 6	(1x3) = 3	✓ ⇄		Town Clerk & RFO
		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.	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		Town Clerk & RFO
		6. Reserves set at wrong level.	(a) Monitored by RFO quarterly (b) Considered regularly by Finance and Strategy Committee and annually by Council as part of budget setting.	Ongoing activity	(3x3) = 9	(1x4) = 4	● ↑	Reserves need to be monitored regularly	Council, Town Clerk & RFO
		7. National policy on Minimum Wage pushes up employee budget base	(a) Council should consider the potential for costs to rise beyond planned budget and put pressure for increase in precept and consider mitigation by maintaining a suitable level of the General Reserves.	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		Town Clerk, RFO, Personnel Committee
		8. The general economy and inflation impacts Council finances	(a) Inflation exceeds levels allowed for in budget consider mitigation by maintaining a suitable level of the General Reserves. (b) Government policy incurs increased local costs consider mitigation by maintaining a suitable level of the General Reserves	Ongoing activity	(3x4) = 12	(1x4) = 4	● ↑	Inflation is currently rising. This needs to be checked regularly against the budgeted increase to ensure it is sufficient.	Town Clerk, RFO, Finance and Strategy Committee
		9. Council is now reliant on a higher percentage of non-precept income making it more vulnerable to cashflow problems or debtors	(a) Non precept income which is more vulnerable now represents about 20% of the Council's expenditure. Consider keeping General Reserve at a level that allows the Council to continue should income stream stop or fall.	Ongoing activity	(3x3) = 9	(1x3) = 3	●	New Risk	Town Clerk, RFO, Finance and Strategy Committee
R08	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 be considered in respect of Capital Programme (c) Use GPC to create commercial income opportunities	Ongoing activity	(4x2) = 8	(2x2) = 4	✓ ⇄		Town Clerk, RFO, Committee Chairman, All Councillors
		2. Lack of commitment / resources to pursue possible sources of income.	(a) Staff resources – allow sufficient capacity to search and apply for funding	Ongoing activity	(4x2) = 8	(2x2) = 4	● ⇄		Town Clerk, RFO, Finance and Strategy Committee
		3. Receipts not banked or not banked properly.	(a) Bank statement checks (b) Internal audit checks.	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		RFO

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		4. Debts not pursued promptly.	(a) Cross check between systems (b) Internal audit checks.	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄	If it becomes an issue then it is likely to take both staff and potentially legal resources.	RFO, Council for resource if required
		5. VAT claims not made promptly or made incorrectly.	(a) Ensure RFO has appropriate and up to date VAT official publications. (b) Internal audit checks.	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		RFO and Town Clerk
R09	To ensure that salaries paid to Employees and amounts paid to 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 by RFO and accountant. (b) Contracts of employment are in place for all staff and updated as required (c) Checks by Town Clerk & Internal auditor	Ongoing activity	(2x3) = 6	(1x3) = 3	✓ ⇄		Town Clerk, RFO, Council, Accountant
		2. Tax and NI arrangements not in accordance with regulations.	(a) RTI payroll system via accountant	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		Town Clerk, RFO, Council, Accountant
		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 (c) Ensure that systems are synced when working remotely	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		Town Clerk, RFO, Council,
R10	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	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		Town Clerk, RFO, Council, All Councillors
		2. Late or non-submission of annual accounts.	(a) Include a timetable in Financial Regulations.	Ongoing activity	(3x4) = 12	(1x4) = 4	✓ ⇄		Town Clerk, RFO, 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	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		RFO, Internal Auditor
		4. Inadequate audit trail from records to final accounts.	As at 10(3a) above.	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		RFO, Internal Auditor
R11	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 regularly and when any significant new assets are obtained (d) Ward checks by Ward Councillors to identify any problems (e) Undertake Tree Surveys to manage risks on all Council owned land.	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		Town Clerk, RFO, Councillors, Finance and Strategy Committee

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		2. Assets lost or misappropriated.	(a) Establish who is responsible for security and maintenance of each asset. (b) Asset register to be reported to Finance and Strategy Committee for review at least annually.	Ongoing activity	(3x3) =9	(1x3) =3	✓ ⇄		Town Clerk, RFO, Finance and Strategy 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 Finance and Strategy Committee	Ongoing activity	(3x4) = 12	(1x4) =4	● ⇄		Town Clerk, RFO, Finance and Strategy Committee
		4. Asset register not established or inadequately maintained.	(a) Create asset register in accordance with Accounts and Audit Regulations.	Ongoing activity	(3x3) =9	(1x3) =3	✓ ⇄		RFO
R12	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) Motions/Reports assessed for Equality Impact (d) CiLCA qualified Town Clerk and Deputy	Ongoing activity	(3x4) =12	(1x4) = 4	● ⇄		Council Town Clerk, Finance and Strategy Committee, Personnel Committee
		2. Lack of public awareness of applicable legislation.	(a) Include, as appropriate, in any public consultations/reports.	Ongoing activity	(4x2) = 8	(1x2) =2	✓ ⇄		All Councillors
		3. Failure to comply with applicable legislation.	As at 12(1) above.	Ongoing activity	(3x4) = 12	(1x4) =4	✓ ⇄		All Councillors
		4. Councillors lacking knowledge of applicable legislation.	(a) Arrange appropriate training for Councillors. (b) LALC Training	As required and via monthly training list	(3x4) = 12	(1x4) =4	● ⇄		Town Clerk
R13	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) Adopted a Health and Safety Policy (b) Ensure that all current legislation and advice is held by Operations Manager. (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. (e) Keep registers of maintenance and testing required	Ongoing activity	(3x4) = 12	(1x3) =3	● ⇄	Increase of reserves needed	Town Clerk, Operations Manager, Finance and Strategy Committee, Property and Services Committee, Personnel Committee
		2. Lack of knowledge of safety requirements	(a) Adopted a Health and Safety Policy (b) Ensure that all current legislation and advice is held by for access by Town Clerk and Operations Manager (c) Adequate risk assessments, reviewed regularly (d) Include exceptions in quarterly Governance report to Finance and Strategy Committee	Ongoing activity	(3x4) = 12	(1x4) =4	● ⇄		Town Clerk, Operations Manager, Finance and Strategy Committee, Personnel Committee
		3. Lack of resources to carry out safety checks.	As at 2. Above plus (a) Review and ensure staff resources remain sufficient to undertake necessary regular checks and	Ongoing activity	(3x4) = 12	(1x4) =4	● ⇄		Town Clerk, Operations Manager, Finance and Strategy Committee,

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			reports. (b) Review staff arrangements regularly						Personnel Committee
R14	To carry out adequate safety checks on the children's play areas operated by the Council.	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 Property and Services Committee (d) Provide Staff Training (e) Ensure sufficient resources to undertake tasks	Ongoing activity	(3x4) = 16	(1x4) = 4	● ↔		Town Clerk, Operations Manager, Property and Services Committee, Personnel Committee

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SIGNIFICANT OPERATIONAL RISKS  Risk Controlled

















 Action required

 Aim is not being achieved

 Risk Falling

 NoChange

 Risk Rising

Ref	AIM	RISK	ACTIONS TO MINIMISE RISK	TIMESCALE FOR IMPLEMENTATION	UNDERLYING RISK LEVEL (Likelihood x Impact)	MANAGED RISK LEVEL (Likelihood x Impact)	Status      	Comment on Status	Person(s) Responsible
O01	Safety in PlayAreas the Council are responsible for	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 Property and Services Committee as part of Governance Report (d) Provide Staff Training (e) Ensure sufficient resources to undertaketasks	Ongoing activity	(3x4) = 16	(1x4) = 4	 		Town Clerk, Operations Manager, Property and Services Committee, Personnel Committee
O02	To carry out adequate safety and integrity checks on the sports grounds.	1. Lack of or an inadequate programme of regular safety checks (e.g. trip hazards).	(a) Regular checks by the competent grounds operatives. (b) Prompt attention to hazards/problems once identified. (c) Prompt attention to issues raised by facility users, Officers and contractors.	Ongoing activity	(3x4) = 16	(1x4) = 4	 		Town Clerk, Operations Manager, Property and Services Committee
		2. Damage to the sports facility due to compromised security.	(a) Regular checks by the Operations Manager and other Officers. (b) Prompt attention to problems once identified. (c) Prompt attention to issues raised by facility users, Officers and contractors.	Ongoing activity	(3x3) = 9	(1x4) = 4	 		Town Clerk, Operations Manager, Property and Services Committee
O03	To carry out adequate safety checks on the public open space and street furniture owned by the Council.	1. The lack of or an inadequate programme of maintenance allows the persistence of safety hazards (e.g. trip hazards, dangerous trees, faulty gates, faulty seats, faulty bins etc).	(a) Regular checks by the Operations Manager, other Officers and Councillors. (b) Prompt attention to hazards/problems once identified. (c) Prompt attention to issues raised by all users. (d) Engagement of suitable contractors to conduct ongoing maintenance works (including the periodic professional checking of trees).	Ongoing activity	(3x4) = 16	(1x4) = 4	 		Town Clerk, Operations Manager, Property and Services Committee
O04	To safeguard lone working staff	1. Unknown person enters building after meeting or when staff working alone and confronts, attacks or intimidates lone worker.	(a) Avoid wherever possible (b) Keep external doors shut and locked. (c) Have buddy system to make contact if issues arise and to confirm exit from building after normal office hours or when alone (buddy could be colleague or partner/family member someone who knows when to expect the staff member back). (d) 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.	Ongoing activity	(2x4) = 8	(1x4) = 4	 		Lone worker for making appropriate arrangements prior to working alone. For regular meetings the Town Clerk/Deputy Town Clerk to be buddy unless other

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		2. Staff member has accident when working alone and time elapses before found	(e) Staff should carry phone with them to make emergency call in case of accident	Ongoing activity					arrangements in place.
O05	To ensure the ability to pay bills and staff.	1. Slow response to request to change bank mandates leaving Council unable to authorise payments.	(a) Attempt to keep at least 3 signatories on the list from year to year and avoid making frequent changes. (b) Move as many payments as possible to electronic on-line payments	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		Council, RFO
O06	Manage financial liabilities	1. Current Council Policy is to refund pre-purchased exclusive rights to graves on request less an admin fee of 5%.	(a) The risk is to be accepted and the Council will monitor any significant change in the number of requests for a refund.	Ongoing activity	(2x3) = 6	(2x3) = 6	● ⇄		Finance and Strategy Committee for monitoring
O07	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	(a) All written records to be computerised. (b) Remaining historic risks will have to be accepted. (c) Similar issues in other Councils show that compensation claims may be high. (d) Administrative mistakes may be covered by Insurance. Systemic errors may not be covered.	Ongoing activity	(2x4) = 8	(2x4) = 8	● ⇄		Property and Services Committee
O08	Meet the Councils operational & strategic objectives	1. Known short term staff resources problems	(a) Proper resourcing of new projects/ services. (b) Avoid new projects with high resource implications until resources in place. (c) Manage existing priorities	Ongoing activity	(3x4) = 12	(1x4) = 4	● ⇄		Town Clerk, Council
O09	Meet obligations and duties relating to General DataProtection Principles	1. Data Breach or unable to process subject access request.	(a) Action plan in place identifying all actions needed to be fully compliant. (b) Keep Information Security Policy updated to reflect changes in regulations and provide guidance. (c) External Professional ICT Support	Ongoing activity	(3x3) = 9	(1x3) = 3	✓ ⇄		Town Clerk, Finance and Strategy Committee
O10	Ensure all Council operations and services are infectious diseases secure.	1. Spread of infectious diseases	(a) Infectious diseases 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) Hand sanitiser provided to staff (e) Appropriate signage in place where necessary. (f) Increased handwashing and cleaning.	Ongoing activity	(3x3) = 9	(2x3) = 6	● ⇄		All staff and Councillors
O11	To maintain full compliment of staff	1. Workforce gaps leading to nonachievement of Council objectives	(a) Contingency for locum Clerk to be put in place – refer to Lincs SLCC (b) Fidelity guarantee (c) Ensure staff contract terms and conditions / training are reviewed regularly.	Ongoing activity	(3x4) = 12	(2x3) = 6	● ⇄		Council, Personnel Committee

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O12	To maintain IT security	1. Loss of data due to failure / damage to IT equipment	(a) Insure (b) Documents saved to cloud accessible online (c) Finance, Cemetery and allotment software stored on external servers (d) Use of virus software	Ongoing activity	(2x2) = 4	(2x2) = 4	✓ ⇄		Town Clerk
		2. Cyber Security breached	(a)	Ongoing activity			✓ ⇄		Town Clerk
O13	Ensure all Council owned land is free from illegal occupation.	1. Trespassers on Council owned land.	(a) Risk assess (b) Secure all sites as much as is feasible and affordable. (c) Take action against people occupying land illegally.	Ongoing activity	(2x3) = 6	(2x2) = 4	✓ ⇄		Town Clerk, Operations Manager
O14	To undertake a Memorial Safety Inspection	1. Inadequate staff resources.	(a) Consider overall resources and impact when starting activity. (b) Additional staff hours authorised.	Ongoing activity	(3x3) = 9	(2x2) = 4	✓ ⇄		Town Clerk, Operations Manager, Property and Services Committee, Personnel Committee
		2. Unsuitable weather conditions for inspections.	(a) Monitor weather and plan accordingly.	Ongoing activity	(3x2) = 6	(2x1) = 2	✓ ⇄		Operations Manager

SIGNIFICANT PROJECT RISKS



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P01		1.	(a)						

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.