

DRAFT Risk Register as at 16/07/2021

Risk title	Category	Detail of Risk / Consequence	Impact	Likelihood	Risk Rating	Risk mitigation controls in place	Mitigated Impact	Mitigated Likelihood	Mitigated Risk Rating	Further Mitigation (Accept/Monitor/Manage/Urgent)	Risk Owner	Date of last review	
	(Reputation /Service Provision /H&S /Financial /Legal)										(Committee / Individual)	Clerk	Full Council
Open Spaces maintenance	Reputation/H&S	Risk of Council owned spaces, and fixtures therein, falling into disrepair, or a poor state. Dirty, run-down or poorly maintained items/areas would have an impact on the reputation of the Town Council and could pose health and safety hazards in terms.	3	4	12	Risk assessments are carried out individually for different areas of open spaces and reviewed at least annually. These individual risk assessments are available for inspection in the Town Council offices and will be reported to the Open Spaces Committee. Individual issues to be escalated to this Risk Register only if the residual risk rating is 12 or above (amber). Regular schedule of maintenance checks are in place for all open spaces and assets located within open spaces, the frequency of which depends on the outcome of the individual risk assessments carried out.	2	2	4	Manage	Open Spaces Committee	14.07.21	08.04.21
Risk to third party property or individuals	Legal/Financial	Damage to third party property or individuals. Risk to third party as a consequence of providing a service	5	3	15	Risk management policy and process in place. Insurance in place and reviewed annually to ensure adequate cover, to include Employers Liability Insurance, Public Liability Insurance and Fidelity Guarantee Insurance.	2	1	2	Manage	Full Council	14.07.21	08.04.21
Lone working	H&S	Safety of officers working alone in buildings. Security of officers locking up after meetings.	4	2	8	When working alone in the office, the inner hall door is to be kept locked from the inside. Visitors should only be let through the door if it is felt safe to do so. Blinds should be drawn when it is dark outside. After evening council meetings, at least one member should wait with the officer as they lock up the building.	3	1	3	Manage	Full Council	14.07.21	08.04.21
Councillor propriety	Legal/Reputational	Risk of improper conduct related to conflicts of interests, bribes or undue influence.	4	2	8	Financial Procedures, Standing Orders, Register of interests and Code of Conduct all in place and followed. Councillor's are encouraged to attend training.	2	1	2	Manage	Full Council	14.07.21	08.04.21
Fraud	Financial	Risk of financial loss due to fraudulent activity.	5	2	10	Financial Procedures and Standing Orders contain measures to safeguard against fraud. Records kept in accordance with regulations. Internal audit carried out twice per year. Annual external audit. Officer training (Clerk CiLCA training). Controls in place in terms of authorisation of payments.	3	1	3	Manage	Finance Committee	14.07.21	08.04.21
Human Resource management	Legal/financial	Risk of legal claims. Risk of high staff turnover and low staff morale.	4	4	16	Grievance procedure in place and reviewed regularly. NALC salary scales, NALC terms and conditions of employment and NALC model policies (where available) are used. Annual appraisals carried out for all staff.	3	2	6	Manage	Full Council	14.07.21	08.04.21
HRMC	Financial	Non-compliance with tax obligations	5	3	15	VAT returns completed regularly, and employers tax and NI payments made regularly, in line with calculation by external payroll provider. Clerk and Assistant Clerk attended VAT training in Spring 2021.	4	1	4	Manage	Finance Committee/RFO	14.07.21	08.04.21
Financial solvency	Financial	Inability for the Town Council to meet its financial obligations. Inability to deal with an emergency, costly event.	5	2	10	Annual budget reviewed and set by Full Council. Level of precept set based on requirement against budget. Regular budget monitoring reports presented to the Finance Committee by the Responsible Finance Officer. General reserves set at a minimum of 6 months' worth of precept.	2	1	2	Manage	Finance Committee/RFO	14.07.21	08.04.21

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Acting within legal powers	Legal	Ensuring all activities carried out by the council are within the legal powers applicable to local council.	4	3	12	All members to have regard to the powers available to local councils. All members encouraged to attend the 'Good Councillor' course offered by ALCA. Officers to have knowledge of the powers available to local councils, especially for meetings/committees within their remit. Clerk to undertake CiLCA training. Twice annual internal audit and annual external audit.	3	1	3	Manage	Full Council/Clerk	14.07.21	08.04.21
Ensuring proper use of S137 powers	Legal	Ensuring S137 powers are used, and reported, appropriately	4	3	12	Identification of items funded under Section 137 recorded as a specific resolution within minutes. Identification of Section 137 spend separately within the accounts. Twice annual internal audit, and annual external audit.	3	1	3	Manage	Full Council/Clerk	14.07.21	08.04.21
Breach of GDPR legislation	Legal	Challenge by individuals if breach were to occur. Reputational damage and fines.	3	2	6	Policies and procedures in place in relation to GDPR legislation and reviewed regularly. For any suspected breaches, advise to be sought from the Information Commissioner's Office. Members of the public referenced in minutes and publically published documents to be anonymised.	3	1	3	Manage	Full Council/Clerk	14.07.21	08.04.21
Supplies and Services provided to the council.	Financial/Reputational	Risk of non-completion of work, substandard work, or association with a company with suboptimal practices	3	2	6	Regular suppliers, or those providing occasional services over the value of £5000, shall be required to provide evidence of their public and employers liability insurances annually. Statement of Works and Risk Assessment to be provided by contractors for any major building works. Due diligence should be carried out on all new suppliers to ensure they are properly constituted.	3	1	3	Manage	Full Council/Clerk	14.07.21	08.04.21
Risk of consequential loss of income	Financial	Loss of income due to unforeseen circumstances (recession, pandemic etc).	1	2	2	Risk is low as the majority of income for EGTC is precept. Other income is very low. Risk to precept is low. Debt Recovery procedure is in place.	1	2	2	Accept	Finance Committee	14.07.21	08.04.21
Loss of cash through theft or dishonesty	Financial		1	1	1	Scope for loss is low. Where payments are received (allotments), cheque payments or BACs payments are encouraged. Payments made in cash are deposited in the safe and witnessed by two members of staff, where possible. Controls around payments are set out in the Financial Regulations.	1	1	1	Accept	Finance Committee	14.07.21	08.04.21
Security of premises	Financial	Security of EGTC offices	3	2	6	Alarm, shutters and CCTV in place and utilised.	3	1	3	Accept	Full Council/Clerk	14.07.21	08.04.21
Maintenance of buildings	H&S/Financial	Risk of disrepair causing health and safety hazard, or lack of maintenance resulting in higher cost remedial works	2	2	4	Low risk due to age of council offices. Maintenance carried out on an Ad Hoc basis. PAT testing to be carried out every 4 years (low risk environment). Fire systems and firefighting equipment serviced regularly.	1	1	1	Accept	Full Council/Clerk	14.07.21	08.04.21
COVID-19 arrangements - Town Council operations and office	H&S/Reputation	Risk to officers, councillors and members of the public of spreading the COVID-19 virus	4	3	12	Covid-19 office risk assessment updated July 2021 following government announcement of lifting of remaining legal restrictions. Please see risk assessment for full details. Covid-19 safety poster for visitors to the Town Council offices prominently displayed at the premises and on the Town Council website.	2	1	2	Manage	Full Council	14.07.21	08.04.21

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COVID-19 arrangements - Open Spaces	H&S/Reputation	Risk to members of the public using open spaces which are the responsibility of the Town Council.	4	4	16	Signage displayed at the allotment gate detailing arrangements for opening/closing of the gate. National Allotment Society guidance being followed. Alcohol gel dispensers provided on both sides of the allotment gate. Allocation of new plots being carried out in a Covid-19 safe manner.	2	2	4	Manage	Full Council	14.07.21	08.04.21
Rodway Common 'BMX track'	H&S	Risk to members of the public using Rodway Common, posed by the destruction of the ground. Also impact on the flora and fauna.	4	3	12	Works undertaken as agreed by Open Spaces Committee to level the land and remove the hazard.	2	3	6	Monitor	Open Spaces Committee	14.07.21	08.04.21
Town Council office car park	Reputation	The car park is on occasion in a poor state in terms of maintenance and litter. Risk of complaints and poor view of the Town Council. Complaint has been received in the past.	3	4	12	Following communication with Premier Inn management, remedial action has been completed and maintenance is in place. Appears to be no current issue.	3	2	6	Monitor	Full Council	14.07.21	08.04.21
Business continuity - infectious diseases	Service provision and Legal	Potential for disruption to the services of the Town Council in the future, resulting from infectious diseases, as occurred during Covid-19 pandemic. Potential inability to hold meetings, which would impact on decision making capability.	4	4	16	High Consequence Infectious Disease Policy in place, which sets out mechanisms for ensuring continuity of essential business operations in the event of a future infectious disease/pandemic situation. Insurance policy covers provision for business continuity costs.			0	n/a	Full Council	14.07.21	08.04.21