

# Risk Register

# Downham Market Town Council

**Version 1**

**Approved on 23 July 19 by Finance and General Purposes Committee**

**Date of next review: October 2019**

## Strategy and Public Accountability

Perceived Risks	Likelihood (A)	Impact (B)	Risk Score (C) = (A) x (B)	Controls in place	Risk Trend since last review	Comments and any further control action needed
1. Difficult to recruit Council members with skills and qualifications to represent the electorate	2	3	6	Regular promotion of the role of Councillors and of the annual election process. Appropriate support to undertake their role is provided by the Town Clerk.		Consider a skills audit to ensure all expected skills and roles are covered.  Training planned for September 2019 on: 1) Risk management and accounts interpretation 26.09.19 2) Councillor Responsibilities 09.09.19
2. The Council plans for the medium and long term are unclear and not delivered	5	3	15	The plan is monitored monthly and reviewed every six months/annually		Continue to monitor the delivery of key aims and services at committee meetings and Full Council meetings  Community Plan being developed
3. The Council does not post information to its website in line with statutory requirements and best practice	2	5	10	The website content is regularly reviewed and updated with the necessary requirements		Continue to monitor whether we comply with statutory requirements and best practice
4. Key policies and processes expected in line with NALC and other guidance (especially "Governance and	2	5	10	Annual review of all policies and procedures including our Standing Orders and the Model Financial Regulations is in place		Adhere to a plan to ensure we cover all expected policies and procedures possibly spread throughout the year

Accountability for Smaller Authorities in England”) are not in place or fit for purpose						
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<b>(B) Financial Management</b>						
Perceived Risks on the Basis of Analysis	Likelihood (A)	Impact (B)	Risk Score (C) = (A) x (B)	Controls in place	Risk Trend since last review	Comments and any further control action needed
5. Cash and cheques are not recorded, secured and banked appropriately and in full (Banking)	4	4	16	The Scheme of Delegation and the Financial Procedures Handbook sets out strategies and procedures to minimise risk. Key financial responsibilities are separated. We employ internal auditors to audit our systems		RFO/Town Clerk to continue to check that the Standing Orders and the Financial Procedures Handbook are being adhered to and are appropriate in all areas, from procurement to receipting of income.
6. Income outstanding from sales invoices raised is not pursued (Debtors)	1	3	3	The Scheme of Delegation and the Financial Procedures Handbook sets out strategies and procedures to minimise risk. Key financial responsibilities are separated. We employ internal auditors to audit our systems		RFO/Town Clerk to continue to check that the Standing Orders and the Financial Procedures Handbook are being adhered to and are appropriate in all areas, from procurement to receipting of income.

7. Poor segregation of duties leads to misappropriation of council funds	1	4	4	The Scheme of Delegation and the Financial Procedures Handbook sets out strategies and procedures to minimise risk. Key financial responsibilities are separated. We employ internal auditors to audit our systems		RFO/Town Clerk to continue to check that the Standing Orders and the Financial Procedures Handbook are being adhered to and are appropriate in all areas from procurement to receipting of income.
8. Council is unable to make informed decision due to poor, inaccurate or late provision of financial information	2	3	6	Regular production of comparative financial reports from the accounting system. Monthly committee meetings to discuss results to date with challenge and debate, and with minutes of meetings produced		The Council to continue to monitor and reviewed financial performance against budget
9. Councillors vote on and/or discuss subjects where they have a vested interest in the outcome	2	5	10	The register of business interests is updated annually and posted on our website. We ask for declarations of interest at every Council meeting and note the result		Continue to capture and record and update the register of business interests. Continue to request declarations of interest at council meetings

### (C) Health and Safety

Perceived Risks on the Basis of Analysis	Likelihood (A)	Impact (B)	Risk Score (C) = (A) x (B)	Controls in place	Risk Trend since last review	Comments and any further control action needed
10. The Council has not acted to prevent the incidence of accidents, injuries and fatalities on the Council's owned property	2	5	10	<p>A full health and safety audit and a fire risk assessment and has been carried out at all sites in the last year.</p> <p>We have a Health and Safety Policy based on the Local Authority/ NALC model.</p> <p>Risk assessments produced for buildings, large events and small activities.</p> <p>A risk assessment process is in place.</p> <p>First aid training is provided to staff</p>		<p>Town Clerk to consider H&amp;S service provision from external provider.</p> <p>H&amp;S policy to be reviewed.</p> <p>Town Clerk to ensure all employees and Councillors have received relevant training.</p>

### (D) Asset Maintenance

Perceived Risks	Likelihood (A)	Impact (B)	Risk Score (C) = (A) x (B)	Controls in place	Risk Trend since last review	Comments and any further control action needed
11. Buildings, equipment and vehicles are in a poor state of repair	2	5	10	Regular inspection of our key assets (transport, buildings, equipment) is undertaken by the Town Clerk and the issues acted upon.		Town Clerk to continue with checking regime.

**(E) Business Continuity/ Data Protection**

Perceived Risks on the Basis of Analysis	Likelihood (A)	Impact (B)	Risk Score (C) = (A) x (B)	Controls in place	Risk Trend since last review	Comments and any further control action needed
12. Loss of key buildings /equipment /assets	1	5	5	<p>Condition surveys have been carried out at all sites.</p> <p>Full health and safety audit with Local Authority carried out at Town Hall.</p> <p>Fire risk assessment has been carried out at all sites.</p> <p>A compliance checklist is in place that sets out how all statutory checks are met and the relevant checks and controls are carried out.</p> <p>Insurances are in place for key risks.</p> <p>The Council has a business continuity plan in place.</p>		<p>Compliance checklists to be reviewed by Town Clerk.</p> <p>Town Clerk to ensure all employees have attended relevant training.</p>
13. There is a major ICT failure	2	5	10	<p>We have secure method of data storage which is backed up continuously.</p> <p>We have an E-safety policy in place</p>		<p>We continue to monitor the Service level agreements with Software providers and the ICT support firm, to confirm backups will work.</p> <p>E-safety policy to be reviewed by Town Clerk.</p>

14. There is a data protection breach, including GDPR	2	6	12	A strong Data Protection policy is in place including GDPR provision, key level roles and responsibilities.		Town Clerk to introduce a checklist which will detail steps to be taken in the event of data breach or request for personal information (subject data request).  Town Clerk to ensure all employees and Councillors have received relevant training.
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**(F) HR and Staffing issues**

Perceived Risks	Likelihood (A)	Impact (B)	Risk Score (C) = (A) x (B)	Controls in place	Risk Trend since last review	Comments and any further control action needed
15. Staff in post do not perform in line with expectations	4	5	20	Staff have appraisals and are encouraged to discuss issues with line managers or the key HR contact if desired.  Staff are supported in obtaining further skills and qualifications to undertake their role		Town Clerk to review the staff appraisal process and the lines of communication in place.  Town Clerk to consider HR service provision from an external provider.  Town Clerk to review existing continuity of HR Committee membership.
16. Loss of key staff/ failure to recruit new staff	3	6	18	The Council has agreed to retain the national terms and conditions and pay scales for all staff. Staff have appraisals and are supported to undergo personal development and training.		Town Clerk to monitor and reviews recruitment and retention issues  Town Clerk to review Staff Training records and opportunities

**KEY:**




Alongside each identified risk is an initial risk score which takes into account the likelihood and impact. The risk score column is colour coded based on the following scoring:

<b>Likelihood</b>	<b>Almost certain</b>	5	10	15	20	25
	<b>Likely</b>	4	8	12	16	20
	<b>Possible</b>	3	6	9	12	15
	<b>Unlikely</b>	2	4	6	8	10
	<b>Rare</b>	1	2	3	4	5
	<b>Impact:</b>	<b>Insignificant</b>	<b>Minor</b>	<b>Moderate</b>	<b>Major</b>	<b>Catastrophic</b>

The risk score is followed by mitigating actions which describes the long term and/or systematic changes which have been put in place to mitigate or reduce the likelihood of the event occurring and this is followed by a residual score which is the position following the mitigating action.

The risk trend shows the current assessment of movement since the previous year (see key below). The final column will be left clear unless there are specific current issues or further planned mitigations

**Risk Trend Key**

Risk Increasing 	No Change 	Risk Decreasing 
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