



RISK MANAGEMENT STRATEGY

This model policy from SLCC has been adapted to meet Brackley Town Council circumstances.

1. Introduction

1.1 This document forms Brackley Town Council's Risk Management Strategy. It sets out:

- What risk management is;
- Why the Town Council needs a risk management strategy;
- The Town Council's philosophy on risk management;
- The risk management process;
- Roles and responsibilities;
- Future monitoring.

1.2 The objectives of this strategy are to:

- Further develop risk management and raise its profile across the Town Council;
- Integrate risk management into the culture of the organisation;
- Embed risk management through the ownership and management of risk as part of all decision making processes; and
- Manage risk in accordance with best practice

2. What Risk Management is

2.1 *'Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.'* Audit Commission, *Worth the Risk: Improving Risk Management in Local Government*, (2001: 5)

2.2 Risk management is an essential feature of good governance. An organisation that manages risk well is more likely to achieve its objectives. It is vital to recognise that risk management is not simply about health and safety, but applies to all aspects of the Town Council's work

2.3 Risks can be classified into various types but it is important to recognise that for all categories the direct financial losses may have less impact than the indirect costs such as disruption of normal working. The examples below are not exhaustive:

Strategic Risk – Long-term adverse impacts from poor decision-making or poor implementation. Risks damage to the reputation of the Town Council, loss of public confidence, in a worst case scenario Government intervention.

Compliance Risk – Failure to comply with legislation, laid down procedures or the lack of documentation to prove compliance. Risks exposure to prosecution, judicial review, employment tribunals and the inability to enforce contracts.

Financial Risk – Fraud and corruption, waste, excess demand for services, bad debts. Risk of additional audit investigation, objection to accounts, reduced service delivery, dramatically increased Council Tax levels/impact on Town Council reserves.

Operating Risk – Failure to deliver services effectively, malfunctioning equipment, hazards to service users, the general public or staff, damage to property. Risk of insurance claims, higher insurance premiums, lengthy recovery processes.

2.4 These risks can be broken down further into specific areas which could impact on the achievement of the Town Council's strategic objectives and day-to-day delivery of services:

Political – Those associated with the failure to deliver local, regional or national policy;

Financial – Those affecting the ability of the Town Council to meet its financial commitments; failure of major projects; internal and external audit requirements; failure to prioritise and allocate resources effectively; poor contract management; initiative overload;

Social – Those relating to the effects of changes in demographic, residential, or socio-economic trends on the Town Council's ability to deliver its strategic priorities;

Technological – Those associated with the capacity of the Town Council to deal with the pace/scale of technological change, or its ability to use technology to address changing demands. This includes the consequences of internal failures on the Town Council's ability to deliver its objectives;

Legal – The ability of the Town Council to meet legislative demands affecting breaches of legislation (UK & EU);

Environmental – Those relating to the environmental consequences of progressing the Town Council's objectives in terms of energy-efficiency, pollution, recycling, emissions etc;

Partnership/Contractual – Those associated with the failure of partners/contractors to deliver services to an agreed cost and specification and similarly failure of the Town Council to deliver services to an agreed cost and specification; compliance with procurement policies (internal/external); ensuring open and fair competition;

Human Resources – Those associated with the professional competence of staff; training and development; over-reliance on key personnel; ineffective project management; recruitment and selection issues;

Organisational – Those associated with the review of services and delivering continuous improvement;

Health & Safety/Physical – Those related to fire, safety, accident prevention and health & safety which pose a risk to both staff and the public; safeguarding and accounting of physical assets;

Reputational – Those associated with the changing needs of customers and the electorate; ensuring appropriate consultation; avoiding poor public and media relations. Reputational risk is the cumulative effect of the above risks, if risks become real incidents and events that diminish the public perception of the Town Council from the perspective of the local community. Brackley Town Council has other policies and procedures that will reduce reputational risk e.g. social media policy, vexatious complaints policy.

Not all of these risks are insurable and for some the premiums may not be cost effective. Even where insurance is available, a monetary consideration might not be an adequate recompense. The emphasis should always be on eliminating or reducing risk before costly steps to transfer risk to another party are considered.

2.5 Risk is not restricted to potential threats but can be connected with missed opportunities. Good risk management can facilitate proactive, rather than merely defensive responses. Measures to manage adverse risks are likely to help with managing positive ones.

3. Why the Town Council needs a Risk Management Strategy

3.1 Risk management will strengthen the ability of the Town Council to achieve its objectives and enhance the value of services provided.

3.2 The Risk Management Strategy will help to ensure that all Committees and service areas have an understanding of risk and that the Town Council adopts a uniform approach to identifying and prioritising risks. This should in turn lead to conscious choices as to the most appropriate method of dealing with each risk, be it elimination, reduction, transfer or acceptance.

3.3 Strategic risk management is an important element in demonstrating continuous service improvement.

3.4 There is a requirement under the Accounts and Audit Regulations 2015 to establish and maintain a systematic strategy, framework and process for managing risk.

4. Risk Management Policy Statement

Brackley Town Council recognises that it has a responsibility to manage risks effectively in order to protect its employees, assets, liabilities and community against potential losses, to minimise uncertainty in achieving its aims and objectives and to maximise the opportunities to achieve its vision.

The Town Council is aware that some risks can never be eliminated fully and it has in place a strategy that provides a structured, systematic and focussed approach to managing risk.

Risk management is an integral part of the Town Council's management processes.

5. Implementing the Strategy

5.1 Risk Control

Risk control is the process of taking action to minimise the likelihood of the risk event occurring and/or reducing the severity of the consequences should it occur. Typically, risk control requires the identification and implementation of revised operating procedures, but in exceptional cases more drastic action may be required to reduce the risk to an acceptable level.

Options for control include:

Elimination – The circumstances from which the risk arises are removed so that the risk no longer exists;

Reduction – Loss control measures are implemented to reduce the impact/ likelihood of the risk occurring;

Transfer – The financial impact is passed to others e.g. by revising contractual terms;

Sharing – The risk is shared with another party;

Insuring – Insure against some or all of the risk to mitigate financial impact; and

Acceptance – Documenting a conscious decision after assessment of areas where the Town Council accepts or tolerates risk.

5.2 Risk Register

The Strategic Risk Register (Appendix A) will be regularly refined and updated as part of this Risk Management Strategy. The Town Council also uses software provided by Peninsula Business Services to record Health and Safety Risk Assessments.

5.3 Risk Monitoring

The risk management process does not finish with putting risk control procedures in place. Their effectiveness in controlling risk must be monitored and reviewed. It is also important to assess whether the nature of any risk has changed over time. The Risk Management Plan will be reviewed at least annually by the Clerk and the Finance and Policy Committee.

The information generated from applying the risk management process will help to ensure that risks can be avoided or minimised in the future. It will also inform judgements on the nature and extent of insurance cover and the balance to be reached between self-insurance and external protection.

5.4 Risk Management System

Risk Identification – Identifying and understanding the hazards and risks facing the Town Council is crucial if informed decisions are to be made about policies or service delivery methods. The risks associated with these decisions can then be effectively managed.

Risk Analysis – Once risks have been identified they need to be systematically and accurately assessed using proven techniques. Analysis should make full use of any available data on the potential frequency of events and their consequences. If a risk is seen to be unacceptable, then steps need to be taken to control or respond to the risk.

Risk Prioritisation - An assessment should be undertaken of the impact and likelihood of risks occurring, with impact and likelihood being scored.

Likelihood	Impact			
	Negligible (1)	Low (2)	Medium (3)	High (4)
High (4)	4	8	12	16
Medium (3)	3	6	9	12
Low (2)	2	4	6	8
Negligible (1)	1	2	3	4

The scores for impact and likelihood are scored as above. Risks scoring 12 and above will be subject to detailed consideration and preparation of a contingency/action plan to appropriately control the risk.

6. Roles and Responsibilities

6.1 It is important that risk management becomes embedded into the everyday culture and performance management process of the Town Council. The roles and responsibilities set out below, are designed to ensure that risk is managed effectively right across the Council and its operations, and responsibility for risk is located in the right place. The process must be driven from the top but must also involve staff throughout the organisation.

6.2 Councillors – Risk management is seen as a key part of Councillors’ stewardship role and there is an expectation that Councillors will lead and monitor the approach adopted, including:

- i) Approval of the Risk Management Strategy;
- ii) Analysis of key risks in reports on major projects, ensuring that all future projects and services undertaken are adequately risk managed;
- iii) Consideration, and if appropriate, endorsement of the Annual Governance Statement; and
- iv) Assessment of risks whilst setting the budget, including any bids for resources to tackle specific issues.

6.3 Employees – will undertake their job within risk management guidelines ensuring that their skills, experience and knowledge are used effectively. All employees will maintain an awareness of the impact and costs of risks and how to feed information into the formal process. They will work to control risks or threats within their roles, monitor progress and report on task related risks to their line manager or the Chief Executive.

6.4 The Clerk – will act as the lead officer on risk management, assisted by the Deputy Clerk and Estates Manager, and be responsible for overseeing the implementation of the Risk Management Strategy. The Clerk will:

- i) Provide advice as to the legality of policy and service delivery options;
- ii) Provide advice on the implications for service areas of the Town Council’s strategic aims and objectives;
- iii) Update the Town Council on the implications of new or revised legislation;
- iv) Assist in handling any litigation claims;
- v) In consultation with the Town Council’s external advisors as necessary, provide advice on any human resource issues relating to strategic policy options or the risks associated with operational decisions and assist in handling cases of work related illness or injury;
- vi) In consultation with the Town Council’s external advisors as necessary, advise on any health and safety implications of the chosen or proposed arrangements for service delivery;
- vii) Assess and implement the Town Council’s insurance requirements;
- viii) Assess the financial implications of strategic policy options;
- ix) Provide advice on budgetary planning and control;
- x) Ensure that the financial information systems and processes allow effective budgetary control;
- xi) Ensure the Town Council’s Risk Register is maintained;

6.5 Role of Internal Audit – Internal Audit provides an important scrutiny role by carrying out audits to provide independent assurance to the Town Council that the necessary risk management systems are in place and all significant business risks are being managed effectively.

Internal Audit assists the Town Council in identifying both its financial and operational risks and seeks to assist the Town Council in developing and implementing proper arrangements to manage them, including adequate and effective systems of internal control to reduce or eliminate the likelihood of errors or fraud.

Internal Audit reports, and any recommendations contained within, will help to shape the Annual Governance Statement (AGAR).

6.6 Finance and Policy Committee – Review and future development of the Risk Management Policy and Strategy will be overseen by the Finance and Policy Committee.

6.7 **Training** – The aim will be to ensure that both Staff and Councillors have the skills necessary to identify, evaluate and control the risks associated with the services they provide. Risk Management training and development will be provided through a range of methods such as workshops, literature and inhouse service familiarisation.

6.8 In addition to the roles and responsibilities set out above, the Town Council is keen to promote an environment within which individuals and groups are encouraged to report adverse incidents promptly and openly.

7. **Future Monitoring**

7.1 Review of Risk Management Strategy – This Strategy will be reviewed annually by the Finance and Policy Committee.

8. **Conclusion**

The adoption of a sound risk management approach should achieve many benefits for the Town Council. It will assist in demonstrating that the Town Council is committed to continuous service improvement and effective corporate governance.

Risk Management Register

The matrix below is used to give a score to each risk. This document is reviewed annually at a minimum.

Likelihood	Impact			
	Negligible (1)	Low (2)	Medium (3)	High (4)
High (4)	4	8	12	16
Medium (3)	3	6	9	12
Low (2)	2	4	6	8
Negligible (1)	1	2	3	4

Finances and Financial Administration

Ref	Description	Impact	Likelihood Score	Impact Score	Risk Rating	Management/Control of Risk	Review/Assess/Revise
1	Precept	Adequacy of precept	1	3	3	To determine the precept amount required, the Town Council receives updated budget information. The precept requirement is assessed and ratified at a Full Council meeting in January.	Existing procedure adequate
2	Precept	Requirements not submitted to West Northamptonshire Council	1	1	1	West Northamptonshire Council requests precept requirement providing a prompt for the Clerk. The precept request form is submitted by the Clerk in writing to the West Northamptonshire Council. Clerk keeps record of precept request.	Existing procedure adequate. Precept amount and request to WNC is minuted.

3		Precept not received or late	1	1	1	Precept receipt is monitored by Clerk who informs Council when the precept is received at the relevant meeting. Brackley Town Council keeps at least 3 months in general reserves.	Existing procedure adequate
4	Setting and monitoring of budgets	Setting a comprehensive budget and monitoring of budgets to ensure accurate information to make sound financial decisions	1	3	3	With information on the previous budget and actual spend against budget, Brackley Town Council maps out the required monies for standing costs and projects for the following year and applies specific figures to budget headings. Budget and precept setting are timetabled for a meeting agenda annually in line with the Standing Order Calendar. A full report of expenditures against budget is lodged with council at each Finance and Policy meeting. Quarterly budget monitoring reports are lodged with council at the Finance and Policy meeting.	Existing procedure adequate
5	To maintain financial records that are correct and comply with all recommended practice	Adverse audit reports, legal action and loss of confidence in the Town Council	1	3	3	BTC has Financial Regulations which set out the requirements. These Financial Regulations are reviewed annually in line with the Standing Order Calendar. BTC has proven record of seeking assistance from external auditor/accountant where appropriate.	Existing procedure adequate and will continue to seek external help as needed. Internal audit review recommendations actioned

						<p>Clerk keeps up to date with legislative changes, discusses latest requirements with internal and external auditors.</p> <p>Internal auditor reviews record 3 times a year.</p> <p>Advice taken from internal and external auditors, SLCC, NALC& NCALC on changes</p>	
6	Records non-compliant or inadequate	Adverse audit reports, legal action and loss of confidence in Town Council	1	3	3	<p>Internal audit reviews record keeping annually and is on hand to advise on request.</p> <p>Advice can be sought from SLCC, NALC and NCALC on changes and best practice</p>	<p>Review the adequacy of internal audit and financial controls annually</p> <p>Quarterly reviews to be minuted and accounts sheet to be signed at meeting</p>
7	Clear procedure for authorisation of payments	<p>Loss of income through error or fraud</p> <p>Inappropriate expenditure made</p>	1	3	3	<p>Fidelity Guarantee Insurance</p> <p>Town Clerk/RFO continually reviews controls and current procedures. Checks in place to minimise risk. 2 councillors authorise all payments and signs invoices.</p> <p>Debit cards are issued to 3 officers and authorisation procedure is in place.</p> <p>BTC has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts.</p>	<p>Existing procedure adequate.</p> <p>Online banking procedure agreed.</p> <p>Debit card procedure and policy.</p> <p>Review the Financial Regulations and bank signatory list annually in line with the Standing Order Calendar and in the event of a change of</p>

						Any bank errors are discovered when the accounts assistant reconciles the bank accounts once a month when the statements arrive and any errors are dealt with immediately by informing the bank and awaiting their correction.	clerk or any other extra ordinary change in circumstances, Monitor the bank statements monthly. Sub-committee to monitor quarterly
8	Incoming cash and cheque misappropriation	Loss through theft or dishonesty Reputational damage to the Council	1	3	3	Fidelity Insurance in place against theft of funds by staff, councillors and other persons. BTC has Financial Regulations which set out the requirements. Receipts issued for cash payments. Minimal cash received and adequate security measures in place. There is no petty cash or float held by BTC. Incoming cash stored securely and banked promptly. Receipts issued for cash payments	Existing procedure adequate. Review the Financial Regulations as necessary.
11	Invoice payment without authority	Loss of income fraudulent activity, reputational damage to the council	1	3	3	All invoices are check by the accounts assistant and reviewed by 2 councillors before payment is made. Financial regulations set out requirement for Responsible Financial Officer checking for amounts against decisions/quotes etc.	Existing procedure adequate.
12	Unpaid Invoices	Loss of income	1	2	2	Unpaid invoices for Council goods or services are pursued and where	Existing procedure adequate.

						possible, payment is obtained in advance.	
13	Lack of budgetary overview/overspend against budget	Council not aware of financial situation and therefore not prepared to make decisions	1	3	3	Monthly review of income and expenditure by Accounts Officer/Town Clerk Quarterly review by Finance & Policy Committee Quarterly review of nominal ledge Access to online banking means that Accounts Officer has realtime updates on payments and balances.	Existing procedure adequate. Finance & Policy Committee meetings
14	Lack of finance to meet unbudgeted and urgent commitments (with safety or other critical implications)	Inability to make urgent unbudgeted payments	1	3	3	Ear Marked Reserves for certain areas and general reserves can be called upon. Four months is in general reserves Contingency included in budget.	Existing procedure adequate.
15	Accounts BTC uses RBS Omega accounts system which is an accepted accounts package VAT The RBS Omega system incorporates a VAT schedule which allows differentiation between tax rates, etc which is itemised n full report relating back to original item within the accounts	Skill of users to use the software and produce accurate results Must ensure that VAT is claimed correctly in order to avoid paying back misappropriate funds and avoid reputational damage	1	1	1	Back is made each day Hard copies linked to council reports are held on file together with bank rec reports, invoices/receipts/payments. Documents retained for 12 years Comprehensive training given to finance staff VAT is applied to all mileage payments at the rate applicable at the time as advised by HMRC. VAT returns are lodged on an annual basis in line with accepted procedures	Existing procedure adequate

						Accounts checks new supplier's VAT numbers on HMRC register	
16	Supplier procurement	Ensure due diligence when selecting suppliers to insure VAT is correctly reimbursed and combat fraud	1	2	2	Check the VAT number of new suppliers who are registered for VAT to ensure again fraud. Due diligence completed during the procurement of contracts process. Insurance and liability is included in the procurement process.	Existing procedure adequate
17	Standing Orders and Direct Debits	Ensure they are correct and the services are necessary	1	3	3	New Direct Debits/Standing Orders have to be ratified at the Finance & Policy Committee. Standing orders/Direct debits are presented to the Finance & Policy committee annually. Accounts Officer reviews every month to ensure they are correct and filed correctly	
18	Non-compliance with statutory deadlines for the completion/approval/submission and other financial returns	Reputational damage to the council	1	3	3	Programme of meetings set annually to ensure deadlines are met.	
19	Bank Reconciliation	Bank reconciliations ensure that there are no issues with fraud or bank mistakes	1	2	2	All accounts are reconciled on RBS Omega within 5 days of receipt of any statement. Reconciliations submitted to the Finance & Policy Committee monthly. Any discrepancies reported to the bank for investigation	

20	Access to the main bank accounts	Access is restricted however if unauthorised access took place it could result in fraud and loss of finances	1	3	3	Access is restricted. One bank account used on a daily basis. No one person has access to monies held in the main accounts	
21	Grants and support - payable	Power to pay Authorisation of Council to pay Reputational damage to Council	1	2	2	Grants Policy and application forms reviewed annual. All such expenditure goes through the required Council process of budgeting, approval, are minuted and listed accordingly through the Grants Panel Working Party	Existing procedure adequate.
22	Grants - receivable	Receipts of Grant	1	2	2	The Council does not presently receive any regular grants apart from the annual precept and compensating grant. One-off grants would come with terms and conditions to be satisfied	Financial Regulations and Standing Orders deal with authorisation for project expenditure and associated grant applications.
23	Hire Charges	For room hire, equipment, etc	1	1	1	Council agree charges annually as part of budget setting process. Office must abide by these rates and any requests for preferential rates must be made to Council for their approval. All bookings must be paid for in advance to avoid bad debts.	Existing procedure adequate. Review agreement and payable fees annually according to agreement.
24	Rentals	Insurance implication	1	2	2	BTC insures fixtures and fittings (including play equipment), public liability and the flag pole. The Council ensures that hirers have their own public liability insurance	Venues Co-ordinator/Deputy Town Clerk to ensure payment and copy of insurance document received.

						if necessary and asks to see a copy of their certificate	
25	Processing and Banking	Inaccurate processing and banking could lead to inaccurate financial reports	1	2	2	When money is received it is balanced within the office against any receipts/invoices and any discrepancies are followed up. Once the monies have been balanced it is input onto the RBS system and all entry references are printed out and retained. A unique pay reference is applied to each batch of banking which is loaded onto the RBS system and then checked against the bank reconciliation	
26	Expenditure/income coded incorrectly	Inaccurate financial reports	1	3	3	Accounts Officer checks nominal ledger every quarter. Quarterly monitoring reports are examined carefully by Clerk to ensure coded correctly.	
27	Annual Audit	Important to ensure the council is managing finances in accordance with regulations. Issues with the AGAR could affect Council negatively, loss of trust and reputational damage	1	3	3	An annual auditor is appointed and directs the format and structure of the audit in line with current legislation and requirements. Audit costs and levels of requirement are determined by government legislation based upon the annual income or expenditure levels. The Town Clerk with assistance from the Finance Officer completes the year end accounts to audit trail level and prepares	

						<p>any additional reports required by the external auditor.</p> <p>The Town Clerk presents the completed Annual Return, financial statement and other documentation required to council in line with the timescales provided by the external auditor. Once these have been formally ratified and signed by Council, they are lodged with external auditors.</p> <p>Any queries raised by the auditor are dealt with by the Term Clerk. Final sign-off by the external auditor is presented to council.</p>	
	Internal Audit	Internal audit to ensure compliance and effectiveness of financial controls and managing funding effectively	1	3	3	The internal Auditor is approved annual by Council and completed annual internal audit and end of year audit as part the AGAR.	
28	Election costs	Risk of an election cost	1	1	1	Known elections budgeted for through reserves. By-Elections to be provided from contingency budget	Officers and Councillors to monitor budget and reserves throughout the year to ensure adequate funding available if required.

Insurance and Security

Ref	Description	Impact	Likelihood Score	Impact Score	Risk Rating	Management/Control of Risk	Review/Assess/Revise
1	Insurable Risks	Inappropriate levels of insurance to cover risk, leave council uninsured	1	3	3	Public liability to cover £10,000,000 Employers Liability Limit of cover £10,000,000	Insurance reviewed annually with a mid year review
2	Theft of money by employee or member	Loss of finances for council and negative reputational damage	1	3	3	Fidelity insurance in place of £2,000,000 Financial controls in place (see finance section)	Insurance reviewed annual with a mid year review. Financial controls reviewed within this document annually.
3	Council owned buildings	Inappropriate insurance is a risk to property	2	2	4	Cover for buildings and contents Valuation of buildings carried out every 3 years to ensure adequate cover	Reviewed annually
4	Officials Indemnity	Covered to protect officials	2	2	4	Cover of £250,000	Limit £250,000
5	Libel and Slander	Reputational damage to council	2	2	4	Cover of £250,000	Limit £250,000
6	Personal Accident	Insurance for staff	1	3	3	Insurance covers H&S risk assessment, policy and risk assessment for every BTC event	Limit £2,000,000
7	Legal Disputes	Ability to ensure council follows all legalities	1	3	3	Cover for specified legal disputes	Limite £150,000
8	Insurance Provider	Must be a reputable provider	1	3	3	Quotes sought in March 2023 through a preferred Broker	Insurance details reviewed annually

9	Business Interruption	Inability to deliver services and projects for residents	1	3	3	Potential alternative premises, IT back-up off site and ability to restore onto hired equipment, etc. Cover in place for excess costs Working from home is viable	Limit of cover £200,000
10	Office Security	Impact of staff safety and all data and information	1	3	3	BTC work at 20 High Street which has shutters, lockable doors and alarm. Data and information is all backed up Secure documents are kept in lockable files Lone working and H&S policy in place	H&S policy reviewed annually
11	Events Insurance	Liability cover – in case of accidents or injuries that occur during events organised by council. Property damage Cancellation Risk management Legal requirement for some events	1	3	3	Risk assessments carried out for all events. Suitable and sufficient persons available for events. Security staff employed. Failure to have adequate insurance could result in legal consequences	Comprehensive risk assessments H&S policy review annually
12	Vehicle Insurance	Legal penalties, fines Bodily injury or damage caused by council vehicles Cost of repairing or replacing vehicles damaged in accidents	1	3	3	Vehicle insurance is essential for a town council to comply with legal requirements, protect its assets and manage the risks associated with operating vehicles as part of its operations	Reviewed annually

Employees

Ref	Description	Impact	Likelihood Score	Impact Score	Risk Rating	Management/Control of Risk	Review/Assess/Revise
1	Provision of a safe and fulfilling working environment for staff	Unsafe or unhealthy working environment will have an impact on staff and their ability to work constructively and positively	1	3	3	Safety policies and procedures. Training and education for all staff Employee assistant programme in place. Good work-life balance encouraged. Employee recognition and appreciation. Development opportunities. Safe and ergonomic workspace Code of conduct for staff and councillors in place. H&S risk assessment and policy to keep safe.	H&S Policy reviewed annually Appraisals completed annually Regular employee meetings
2	Salaries and associated costs	Salary paid incorrectly. Wrong rate paid Wrong deductions of NI or Tax Unpaid Tax & NI contributions to the Inland Revenue	1	3	3	The Town Council has 13 employees. Salary rates are assessed annually by BTC at budget setting and applied on 1 April each year. Salary analysis and slips are produced by external service 'SGWPayroll' monthly together with a schedule of payments to the Inland Revenue (for Tax and NI). The payments are approved at BTC meetings and signed off. The Tax and NI is worked by SGW Payroll and a calculation form is emailed each month. All Tax and NI payments	Existing appointment and payment systems for employees are adequate.

						are submitted to the Inland Revenue monthly in advance. No office staff keep a time sheet but the grounds staff do. All have a contract of employment and job description.	
3	Employees contravene H&S Regs	Results could be an accident affecting staff and services	1	3	3	H&S Insurance, risk assessments regularly checked and updated. Staff committee meetings, staff meetings and training carried out	H&S policy updated annually.
4	Potential legal proceedings up to corporate manslaughter	Accidents and reputational damage	1	3	3	Employers Liability Insurance. Employee training and awareness. Solicitor services agreed as are outsourced HR services. Each event held by BTC has its own risk assessment and equality impact assessment	Insurance and policies updated annually.
5	Employee retention/insufficient staff to deliver the service needs	Loss of key personnel/difficulty in retaining staff. Not enough hours for role. Impact on staff mental health and on delivery of projects and services and the running of the council.	1	3	3	Vacancy would be advertised widely. Cover would be organised by other employees who have a good awareness of other team members' essential tasks. Hours reviewed on at least an annual basis. Staff training where appropriate, regular staff meetings. Commitment to staff wellbeing. Employee assistance programme. One employee undergoing mental health at work training. Town Clerk formally monitors and reviews staff and work levels. Any	Ongoing

						concerns would taken to the Staffing Committee.	
6	Compensation claim from employee for contractual employment defects (including statutory failure)	Reputational damage for council	1	3	3	Contract of employment in place. Matters relating to staff discussed in confidence and at staffing committee where press and public are excluded. Staff kept up to date with employment law and advice sought from HR company where appropriate	Ongoing support from Peninsula
7	Loss of key staff trained in financial systems, process or rules	Inability to pay suppliers on time which could affect projects and services. Implications for internal audit and AGAR. Lack of accurate reports for the Finance & Policy committee and Council	1	3	3	Staffing arranged so that knowledge is shared between staff. Other staff can carry out the day to day payments and accounts if necessary	Training for different staff. Wide knowledge base of finance in at least 4 members of staff.
8	Workplace pension	Lack of adequate provision	1	2	2	All current employers are members of the Local Government Pension Scheme.	Ongoing

IT

Ref	Description	Impact	Likelihood Score	Impact Score	Risk Rating	Management/Control of Risk	Review/Assess/Revise
1	IT Security, safety of information/risk of loss of data	Data breach could cause reputational damage to the council and break data protection laws	3	3	3	Back up carried out regularly Dec 2023 - had 2 IT audits carried out by separate companies. Looking to upgrade all systems and employ IT support	Currently being reviewed
2	Loss of internet service	Inability to complete work and communicate	1	3	3	Internet with reputable provider. Two broadband lines at office.	
3	Equipment failure	Unable to complete tasks	3	3	3	Task & Finish Group set up to investigate IT procurement Monitor photocopier contract	Currently being reviewed
4	Staff untrained for new software	Unable to complete tasks or tasks completed inaccurately	1	3	3	Robust training and development policy with a training budget set aside annually 2024/25 additional budget for new IT systems from Outturn of 2023/24	Currently being reviewed
5	Data protection	Loss or theft of personal data GDPR Freedom of Information	1	3	3	The Town Council is registered with the Information Commissioner The Council has appointed a third party Data Protection Officer. A data protection audit has been carried out and all findings are being addressed. Policies for data protection, document retention, freedom of	

						information and a privacy notice have been adopted and published.	
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Legal

Ref	Description	Impact	Likelihood Score	Impact Score	Risk Rating	Management/Control of Risk	Review/Assess/Revise
1	To ensure that all actions taken by the Town Council comply with all current legislation	Non-compliance with legislation or practice. Council being "Ultra Vires"	1	3	3	<p>Town Clerk to keep up to date with changes in legislation. Advice taken from SLCC, NALC, NCALC and others are necessary.</p> <p>Clerk reacts to any changes in legislation, requests from Town Council or other areas in order to ensure the regulations are fully compliant and also provide a strong framework compatible with Council practices.</p> <p>Solicitor services on retention.</p> <p>HR services on retention.</p> <p>Internal auditor on retention.</p> <p>All fully agreed by Full Council annually.</p> <p>Governance documents, policies and procedures are periodically reviewed.</p> <p>The following are annually reviewed:</p> <ul style="list-style-type: none"> Standing Orders Risk Register/Policy Town Clerk has completed CiLCA. Deputy Town Clerk currently completing CiLCA. 	Ongoing
2	Non-compliance with statutory deadlines for the completion / approval / submission of		1	3	3	<p>Programme of meetings set to meet statutory deadlines</p>	

	accounts and other financial returns					
3	Loss of documentation		1	3	3	Deeds and other legal documents relating to real estate stored in the office

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Property

Ref	Description	Impact	Likelihood Score	Impact Score	Risk Rating	Management/Control of Risk	Review/Assess/Revise
1	Town Hall Café Old Fire Station Café	Tenants may not look after building. Tenants may decide to end lease.	2	2	4	Lease is a full repair lease, tenants must produce a risk assessment and a fire risk assessment and other safety checks. BTC visit the property to ensure it is well maintained. Insurance covers the structure of the building. If tenants leave, new tenants would be sought.	Reviewed annually
2	Egerton Hall Community Centre Town Hall Civic Hall Old Fire Station Community Room The Loft	Hirers may not look after building Damage to community centre	1	3	3	All hirers have to agree to our Terms and Conditions. Facilities Team Leader or caretaker visits venues after each hire. Security compulsory on hires with alcohol Regular Risk Assessments carried out Relevant insurance has to be place before hires can be undertaken	Ongoing
3	Taking care of assets	Assets could be stolen or misplaced. Insurance may not be of appropriate value	1	3	3	Asset list is managed by BTC. This is updated throughout the year. Asset list is circulated to staff on an annual basis to ensure that all items are correct. Finance officer adds new purchases to the asset list as and when. All BTC buildings are alarmed.	Assets reviewed for insurance purposes.

4	Councillor allowances	Councillors over-paid	1	1	1	No allowances are allocated to Parish Councillors	No procedure required
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