

## Bletchley and Fenny Stratford Town Council Risk Management Register

Risk Number	Description of Risk	Type of impact	Likelihood	Impact	Overall Risk Rating	Internal Controls	Action needed
<b>Governance</b>							
A1	Breach of confidentiality	Financial, reputational, strategic	1	3	3	Confidentiality clause in staff contract, members agree to code of conduct, data protection policy in place, confidential data issued to members on red paper, training for staff and councillors	
A2	Non compliance resulting in legal proceedings against the council	Financial, reputational	1	3	3	Insurance including fidelity guarantee, qualified Town Clerk, access to legal advice via NALC, EW and insurers. Risk assessments on processes and projects.	
A3	Resources inadequate for Council's priorities/needs	Financial, reputational, strategic	1	3	3	Annual revenue budget planned and monitored. Monthly by RFO and council. Reserves and investment policies in place. Financial regulations applied.	Develop strategic plan and 3 year financial plan 2017/18
A4	Ineffective management and use of assets	Financial, reputational, strategic	1	3	3	Statement of purpose, aims and objectives for 2017 includes critical review of all activities and use of assets	Develop strategic plan and 3 year financial plan 2017/18
A5	Reduction in income	Financial, strategic	2	2	4	Planned budget, prudent estimates of income, regular monitoring	Develop 3 year financial plan
A6	Budget overspend/variation	Financial, reputational, strategic	1	2	2	Progress against budget reviewed monthly by council, earmarked and general reserves.	
A7	Planning applications and other consultations not responded to within timescales	Reputational, financial, strategic	1	3	3	Qualified Town Clerk supported by competent staff, scheme of delegations.	

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A8	Inadequate record keeping leading to poor decision making	Financial, reputational, strategic	1	3	3	RBS software covers finances, allotments and bookings and includes management information.	Develop policy and consistent archiving procedures for other sources of information
A9	Loss of Proper Officer - eg long term sickness, vacancy	Financial, legal and strategic	1	2	2	Locum clerk services available via LGRC, SLCC and others.	
<b>Services including community</b>							
B1	Compliance eg failure to obtain necessary licenses	Financial, reputational, legal	1	3	3	Risk assessment for all events, H&S and legal advice available from NALC, EW, insurers. Notify insurers of all new activities. All activities to be authorised by council in accordance with scheme of delegations.	
B2	Public liability ie damage to people or property caused by council, staff or contractors	Financial, reputational, legal	2	3	6	Insurance including public liability, H&S advice available from EW, risk assessments completed for all services and events. Contractor management system to be adopted	Adopt contractor management procedure
<b>Employees/Members/Others</b>							
C1	Theft, fraud, property crimes by staff - deliberate action by individuals.	Financial, reputational, IT	1	3	3	Financial regulations and procedures regularly updated, regular internal audit, segregation of duties and regular scrutiny by officers and members. Appropriate recruitment selection procedures. Physical cash handled verified by second member of staff whenever practicable. Regular audit and review of internal controls.	

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C2	Inappropriate behaviour by staff or members	Reputational, financial, legal	2	3	6	Training, employee handbook and appropriate management procedures for staff. Code of conduct and training for councillors.	
C3	Inappropriate behaviour by others	Financial, legal	2	3	6	Insurance, H&S training for staff, risk assessments for activities. Lone working avoided when practicable.	
C4	Injury or poor work when lone working	Financial, reputational	3	3	9	Lone working policy to be adopted and included in handbook, training to be given, mobile phones for all staff who are lone working, movement records maintained,	o/s
C5	Threat of or actual violence to staff/councillors	Reputational, financial	1	3	3	Insurance, training, risk assessment for all activities, mobile phones for lone workers, panic button in Queensway, lone working avoided where practicable. <b>SEE SEPARATE H&amp;S DOCUMENTATION</b>	Lone working policy o/s
C6	Accident or injury in course of duties	Reputational, financial, legal	1	3	3	H&S Handbook issued to all employees, H&S review annually, H&S advice from EW and insurers, risk assessments undertaken for all activities, PPE issued and use of PPE monitored, training. <b>SEE SEPARATE H&amp;S DOCUMENTATION</b>	
C7	Loss of experienced staff - high staff turnover	Financial, strategic, reputational	2	2	4	Training, employee handbook and appropriate management procedures for staff. Code of conduct and training for councillors.	appraisal system and regular pay reviews to be introduced

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C8	Employment issues eg high absence levels, poor performance, poor management affecting productivity and well being	Financial, reputational, legal, strategic	2	3	6	Training, employee handbook and appropriate management procedures for staff eg RTW interviews, appraisals, grievance procedures. Regular reports from committee and clerk to full council.	
C9	Contractor Issues - underperformance or other losses caused by delivery of services by third parties	Financial, reputational, legal, strategic	2	3	6	Formal contractor management system to be introduced, regular visual inspection of works, service level agreement for all new ongoing contracts	<i>o/s</i>
<b>Finance</b>							
D1	Failure to set or demand precept	Financial and reputational	1	3	3	Precept meeting date set in annual calendar, trained clerk, financial regulations and budgeting process understood by staff and councillors.	
D2	Failure to review and collect charges	Financial and reputational	2	3	6	Financial regulations and working procedures, income reported to council on a monthly basis.	<i>Adopt procedure of reviewing charges as part of annual budgeting process</i>

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D3	Unauthorised expenditure and or purchasing resulting in loss	Financial and reputational	2	3	6	Decision making structure laid out in scheme of delegations, financial regulations in place. Purchase order system in place, TC and or councillors to authorise POs. Invoices matched to POs. All expenditure reported to and approved by council. Two councillor authorisations for all payments (except individual petty cash and bank card transactions) RFO checks all paperwork prior to approval.
D4	Omega Accounts system - failure of system, access to records.	Financial and strategic	1	3	3	Server back ups also Accounts Administrator takes monthly back ups which are held off site. Support from RBS. Town Clerk able to operate system as well as outsourced contractor.
D5	Unexpected expenses	Financial	2	3	6	Financial regulations and budgeting procedures. Appropriate reserves held.

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D6	Control of bank accounts eg insufficient monies to cover expenditure, inability to access accounts, misuse of bank accounts by staff	Financial, reputational, legal, strategic	2	3	6	Financial regulations and procedures in place which include internal controls ie segregation of duties, all payments require two councillor authorisations, passwords and ids kept securely, no payments authorised without supporting paperwork, bank reconciliations presented to council monthly, Cllr Graham attends council and checks original statements against reconciliations on a monthly basis. Financial administrator and RFO have access to online statements and cheque balance and cash flow on a regular basis. Transfers of funds between accounts conducted in accordance with financial regulations. Working funds of at least £50,000 is transferred to current account each month from reserves. Cash and cheques banked at least weekly if not more frequently.	Amend financial regs to accommodate internet banking
D7	Credit/debit cards		1	3	3	Not yet in place	Separate procedure and financial regulations to be adopted before use.

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D8	Petty cash and cash handling		1	3	3	<p>Petty cash operated using voucher system, signatures and receipts required for all transactions. Cross referencing of all payments. Petty cash and all other cash held in safe or locked pedestal. Receipts issued for all cash received in office or on market. Saturday market rents held until Monday. Restricted access to safe (Town Clerk and Accounts Administrator). Cash banked as frequently as possible no less regularly than weekly. Building fitted with alarm. Large sums of cash (which are unusual) will be transported to the bank by more than one member of staff.</p>	<p>Lock on safe room door to be repaired. All cash brought from remote sites is handed over to Administrator/Allotments Officer for counting and countersignature before being passed to Accounts Administrator.</p>
D9	Collapse of banks	Financial, reputational, strategic	1	3	3	<p>All funds held in UK banks, accounts held with more than one provider. Investment policy adopted.</p>	
D10	Debtors - payments not received.	Financial	1	2	2	<p>Debtor reports can be run from Omega, all debtors monitored monthly and progressed. Legal action taken if necessary.</p>	

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D11	Outsourced payroll - salaries not paid, NI and PAYE not collected correctly, overpayments or payments for hours not worked. MKC can no longer provide service, misconduct by employee of MKC.	Financial, reputational	1	2	3	Payroll expenditure reported to council on a monthly basis and authorised at council meeting. All overtime and expenses supported by documents and authorisation from line manager, minute references for changes to contract. Payroll provider provides monthly reports checked by accounts administrator and RFO. Payroll agent suitably qualified and insured. DCK Beavers can provide payroll service and other providers available. Insurance.
D12	Direct debits misused or not controlled eg collected after contract expired	Financial, reputational	1	3	3	Financial regulations determine procedures for direct debit use. Bank statements checked monthly. List of all direct debits reviewed annually by council.
D13	Outsourced accounting - Wentwoth Accounting can no longer provide services , misconduct or unsatisfactory service from provider	Financial and strategic	1	3	3	Service can be provided by DCK Beavers or RBS Ltd. Town Clerk can use Omega software. Contract requires WA to carry cost.
IT						
E1	Server failure or other reason for loss of electronic data	Financial, reputational, legal, strategic, IT	2	3	3	Daily backups on and off site conducted by SBS, additional internal weekly backups taken offsite by BFSTC staff. WA staff perform monthly backups which go offsite.



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E2	Hacking/Security Threats	Financial, reputational, legal, strategic, IT	1	3	3	IT security to be reviewed annually. Firewall and virus checkers in place. IT policy limits access to council computer equipment	New IT protocol/policy required.
E3	Breach of confidentiality - failure to comply with data protection or other legislation	Financial, reputational, legal, strategic, IT	1	3	3	Server is segregated and staff profiles and access are restricted according to need. Password protection on highly sensitive information. Council registered with ICO and Town Clerk is registered data controller.	Encryption facilities required for data transfer eg to payroll provider.
E4	Website failure	Financial, reputational, legal, strategic, IT	1	3	3	Website hosted by external provider with appropriate back up facilities.	
E5	Fire/Flood or other catastrophe leading to physical loss of documents	Financial, reputational, legal, strategic, IT	1	3	3	Deeds and legal documents stored at Council solicitor. Contracts stored in locked filing cabinets. Electronic copies of key documents.	Council minutes not stored in fireproof conditions. Archiving arrangements to be considered.
E6	Misuse of remote desktop and improper use of council documents eg copying server to home computer	Financial, reputational, legal, strategic, IT	1	3	3		IT protocol to be adopted prohibiting copying of documents onto personal desktops.
<b>Property and Premises</b>							
F1	Asbestos management - all council owned and leased buildings	Financial, reputational, legal and strategic	1	3	3	Asbestos register maintained for all premises. <b>See separate H&amp;S documentation.</b>	Fenny Chapel and allotments to be inspected.

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F2	Buildings not maintained resulting in damage to property or people - all council owned and leased buildings	Financial, reputational, legal and strategic	1	3	3	Public liability insurance. All premises inspected and included in annual H&S review. Regular reports on condition of premises to full council. Budgeting includes maintenance for all council owned premises.	Cyclical maintenance programme to be documented.
F3	Criminal damage/vandalism - all buildings, allotment and property	Financial, reputational, legal and strategic	2	3	6	Insurance. Security of all premises regularly reviewed. Alarms at Queensway and Newton Leys Community Centre. Regular supervision of Albert Street WC, Fenny Chapel and council managed allotment sites.	Improve security of Fenny Chapel - lights, alarm and secure entrances and windows.
F4	Theft - all property	Financial, reputational, legal and strategic	1	3	3	Insurance. Maintain up to date asset register and control of equipment. Key holding arrangements for property regularly reviewed and access arrangements to all premises reviewed annually. Queensway and Newton Leys Community Centre protected by alarm.	
F5	Fire - all locations	Financial, reputational, legal and strategic	1	3	3	Insurance. Fire risk assessment completed for all premises (except allotments). <b>See separate H&amp;S documentation.</b>	Weekly fire alarms to be reintroduced.
F6	Flood - all locations	Financial, reputational, legal and strategic	1	3	3	Insurance. Deemed unlikely at all locations.	
F7	Personal injury - all locations	Financial, reputational, legal and strategic	1	3	3	Insurance. <b>See separate H&amp;S documentation and council policies and procedures.</b>	

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F8	Inadequate budget provision - all locations	Financial, reputational, legal and strategic	1	2	2	All locations included in budget planning. Regular condition surveys and maintenance cycle to be introduced.	Strategic plan to be adopted and cyclical maintenance programme
F9	Vehicles - loss, accident, theft.	Financial, legal and strategic	1	3	3	Insurance. See separate H&S documentation and council policies and procedures for vehicle use by staff. Risk assessments for individual events services include traffic management and parking etc.	
F10	Double bookings - Newton Leys	Financial and reputational	1	2	2	RBS bookings system to be properly operated in conjunction with written procedure.	New SOP to be devised.
F11	Faulty equipment eg electrical equipment causing fire, guards not on machine resulting in accident etc	Financial, reputational, legal and strategic	1	3	3	Insurance. Regular inspection of all equipment and risk assessment before use. <b>See separate H&amp;S documentation and employment handbook.</b>	
F12	Purchase of unnecessary equipment	Financial	1	3	3	All new purchases approved by council, two members to authorise all purchases. PO system in place. Scheme of delegations lays out decision making process.	
F13	Lack of PPE	Financial, reputational, legal and strategic	1	3	3	See separate H&S documentation. Provision made in annual budgeting process	

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F14	Tenancy Management - allotments, George Street community centre	Financial, reputational, legal and strategic	1	3	3	Legal advice available on allotment tenancies from NALG, NALC and SLCC. Legal advice on other tenancies from council solicitor, NALC, SLCC and insurers. Regular review of services.	Allotment strategy to be developed.
F15	Stock control - goods billed and not supplied	Financial	1	2	2	Financial regulations and delivery note procedures in place	

