

Somerton Town Council
 Risk Management review
 Oct-17

Risk Category	Subject	Nature of risk
Administration	Data and records	Total loss of electronic data.
Administration	Data and records	Total loss of hard copy records e.g. Fire.
Administration	Data protection Act	Non-compliance with legal requirements.
Financial risks	Bank collapse	Loss of funds.
Financial risks	Budgeting	Cash flow problems.
Financial risks		Excessive level of borrowing costs.
Financial risks		Pension commitments
Financial risks		Risk of incorrect income forecast, including precept.
Financial risks		Risk of significant overspend.
Financial risks	Capital Projects	Risk of financial overcommitment and cost overruns.
Financial risks		Risk of poor performance by contractors.
Financial risks	Fraud	Council funds depleted

Financial risks	Investment Account major losses	Loss of funds
Financial risks	Insurance	Is insurance cover adequate?
Financial risks	Reserves	Inadequate or excessive reserves.
Financial risks	VAT	Incorrect accounting for VAT liability.
Governance and reputational risk	Are policies and procedures fit for purpose	Public challenge, breach of statutory responsibility
Governance and reputational risk	Code of conduct, declarations of interests and dispensations	Reputational risk. Potential challenge to a resolution and the need to change a decision. Financial liability / impact.
Governance and reputational risk	Meeting statutory 'conduct of business' requirements	Failure would make council ultra vires.
Governance and reputational risk	Recording council resolutions	Public challenge. Unintended consequences from lack of clarity.
Governance and reputational risk	Over zealous risk management	Culture of no activity unless risk-free
Governance and reputational risk	Quality Council Award.	Not meeting the requirements for Quality Council status.
Legal and regulatory risks	promotion of disability equality.	Do buildings, land and facilities meet requirements of disability equality legislation?
Legal and regulatory risks	Staff	Are employment practices fair and reasonable?
Legal and regulatory risks		Is the working environment safe for office staff?
Legal and regulatory risks		Is the working environment safe for caretaking staff?
Legal and regulatory risks		Loss of key staff.

Legal and regulatory risks		Risk of employment dispute, claim for injury, stress, harassment, unfair/constructive dismissal.
Legal and regulatory risks		Requirements of equal opportunities and diversity legislation.
Trusts	Recreation Ground Trust (STC as sole trustee)	Financial failure
Trusts	Sports Club Recreation Ground Trust (STC as sole trustee)	Loss of income and responsibility for the property, inc internal repairs if no tenant.
Trusts	Recreation Ground	Major risk of trespass e.g. Travellers, fire or other risk to health.
Trusts	Parish Rooms Trust	Financial failure
Trusts	Parish Rooms Trust	Management Committee dissolved, operations return to STC as sole Trustee.
Suppliers	Purchasing of goods and services	Not suitable for use and/or overpriced.
Suppliers	Third party suppliers	Reputational risk of using suppliers who get adverse publicity.
Suppliers	Contractors supplying goods and services	poor performance.
Operational risks	Bus shelters	Structural failure and damage presents risk to the public.
Operational risks	CCTV Cameras	Failure to record or identify an incident.
Operational risks	Christmas Lights	Risk to the public of lights falling or catching fire.
Operational risks	Safety of trees.	Structural failure and damage presents risk to the public.
Operational risks	lamp posts	Fatigue and Failure.

Operational risks	Risk of flooding	Damage to property, potential injury
Cemetery	Incorrect burial / records	Relatives stress. Reputational damage
Cemetery	Headstones and memorials	Structural failure and damage presents risk to the public.
Cemetery	Market Garden site	Minor risk of trespass e.g. Anti-social behaviour.
Play Areas	Play Areas x 4, Gassons Lane, Etsome Terrace, Parklands, Midas.	Risk of trespass.
Play Areas	Play Areas x 4, Gassons Lane, Etsome Terrace, Parklands, Midas.	Structural failure and damage presents risk to the public.
Play Areas	Play Areas x 4, Gassons Lane, Etsome Terrace, Parklands, Midas.	Expensive repairs required to keep the structures safe.
Markets	Markets	Are stall-holders insured? i.e. Avoiding risk of potential claim against Town Council
Markets		Is market location safe?
Edgar Hall	Edgar Hall	Destruction of Edgar Hall leading to loss of income.
Edgar Hall		Risk of major fire
Edgar Hall		Loss of council office and meeting rooms.
Edgar Hall		Is the building structurally sound?
Edgar Hall		Is the building secure from intruders?
Edgar Hall		Are electricians and electrical equipment safe?

Edgar Hall		Gas supply safe?
Edgar Hall		Risks to hirers.
Edgar Hall		Destructive event e.g. Flooding

Mitigation	How is risk managed	Likelihood	Impact	Risk after mitigation
All electronic records backed up daily onto cloud. SAGE backed up after each use.	in-house	unlikely	minor	6
All key records kept in a fireproof safe. Where possible keep electronic copy. For essential documents keep copy offsite.	in-house	unlikely	minor	6
Employ qualified clerk. Advice recieved from NALC and SLCC re changes to legislation/regulation/best practice. Staff training.	in-house	unlikely	minor	6
Regular review. Keeping funds in low risk financial vehicles. Additional bank account ot be opened.	in-house	possible	extreme	20
Monitor income timing. Use reserves to overcome any gaps.	in-house	unlikely	minor	6
Town Council decision to take out loan based on affordability. Fixed interest rates i.e. Annual repayment amount fixed.	in-house	unlikely	minor	6
Precept set for known requirements. Annual review of staff salaries.	in-house	unlikely	minor	6
Committee interrogation of annual costs. Budget approved by Town Council. Reserves adequate to meet shortfall. General reserves set at 3-4 months.	in-house	unlikely	minor	6
Monitoring procedures in place to control and report on all spending. Utilise General Reserves. Reduce other expenditure. Increase Precept.	in-house	unlikely	minor	6
Council appoint working rroups to monitor professional consultants. Check on programme and expenditure. Employ suitably qualified clerk.	in-house	unlikely	minor	6
Council appoint working groups to monitor contractor's performance. In appropriate circumstances appoint a project Manager. Day to day services managed by Town Clerk.	in-house	unlikely	minor	6
Expenditure monitored by committees. 2 cheque signatories. Independant internal and external audit carried out. Fidelity insurance in place	all3	unlikely	minor	6

Regualr review of financial investments. Spread risk.	in-house	unlikely	minor	6
Professional advice sought and implemented. Market testing of insurance prviders.	all 3	unlikely	minor	6
Requirments for reserves reviewed by Town Council annually. General Reserves set at 3-4 months. All other reserves are specified.	in-house	unlikely	minor	6
Staff training. Internal audit. Transaction sums are relatively small. SAGE accounting.	in house	unlikely	minor	6
Annual review of standing orders and Financial Regulations. Review of other policies as per schedule.	in house	unlikely	moderate	9
Records of declarations of interest taken at each meeting. Dode of conduct rules reviewed reguarly. Peer knowledge of other councillors.	in house	unlikely	minor	6
Employ qualified clerk. Staff development. Quality council accreditation. Memebership of SALC, NALC and SLCC	in-house	remote	minor	4
Draft minutes published within 2 weeks of meetings. Committees and Town Council approve minutes for accuracy.Staff attention to detail with the wording of minutes.	in-house	unlikely	minor	6
Focus on being risk aware not risk averse.	in-house	remote	insignificant	2
Decision in 2015 to apply for new award scheme in 2016. New committee structure in place to meet some criteria. Clerk to monitor requirments are being met and make recomendations for improvement/change to TC.	in-house	unlikely	insignificant	3
Creation of Accessibility working party. Implement the policy on the promotion of disability equality in each area of activity. Advice recieved from NALC and SLCC re changes to legislation/regulation/best practice.	in -house	unlikely	minor	6
Advice recieved from NALC and SLCC re changes to legislation/regualtion/ best practice. Employ professional clerk. Oversight by councillors through HR (reports to policy ctte). Feedback from annual staff performance review.	in-house	unlikely	minor	6
Staff training in health and safety. Ensure appropriate specification for equipment and furniture purchases.	in-house	unlikely	minor	6
Staff training in health and safety. Ensure appropriate specification for equipment purchases. "Door safe" staff used at events.	in-house	unlikely	minor	6
Role sharing during sickness and holiday avoids dependency on one employee for any activity. Annual performance review. Fair employment conditions. Flexible working. Disaster recovery plan. Efficent recruitment process. Succession planning.	in -house	unlikely	major	12

Use appropriate terms and conditions of employment. Performance review process. Awareness by councillors of potential problems among staff. Support available from SLCC and NALC.	in-house	unlikely	minor	6
Employment of qualified clerk. Advice received from NALC and SLCC re changes to legislation/ regulation/best practice.	in-house	unlikely	minor	6
Quarterly review of finances by Clerk. No TC liability for club debts. Key financial risk is if the building becomes a TC liability.	in house / 3rd party	unlikely	major	12
No TC liability for club debts. Key financial risk is if the building becomes a TC liability. Lease discussions progressing.	in house / 3rd party	highly probable	major	24
RGMC manages site.	in house / 3rd party	possible	minor	8
No TC liability for Management Committee debts. Key financial risk is if the building becomes a TC liability.	in house / 3rd party	unlikely	minor	6
Business plan from management committee. 2x Councillors representatives on committee.	in house / 3rd party	unlikely	moderate	9
Council procedures in place requiring competitive quotations and expert advice sought where necessary.	in-house	unlikely	minor	6
Ensuring good quality specification for goods and services. References may be obtained before appointing suppliers.	in-house	unlikely	minor	6
Ensuring good quality specification. Regular monitoring of performance, either by TC or appointed consultants.	in-house	unlikely	minor	6
3-monthly cleaning: contractor highlights any issues. Feedback from the public.	in-house	remote	extreme	10
No STC CCTV in place	in-house	highly probable	insignificant	6
Installation by experienced volunteers, with completed risk assessment, and regular monitoring, especially by members of the public. Annual PAT testing of lights.	in-house	unlikely	major	12
Annual inspection by tree warden and report to TC. Expert advice sought if required. 3-yearly full risk assessment of trees.	in-house	possible	major	16
Annual inspection. Feedback from residents.	in-house	unlikely	moderate	9

Disaster recovery plan. Emergency Plan . Regular maintenance schedule. Adequate insurance.	3rd party	unlikely	major	12
Clerk / Deputy Clerk trained in cemetery management. Zero tolerance to incorrect paperwork from funeral directors. Revised T&C for cemetery	in-house	unlikely	major	12
Maintenance contractor to monitor and topple test on behalf of the council and make safe where appropriate. Owner to be responsible for repairs	in house / 3rd party	possible	moderate	12
Allotment reps inspect and report to TC. Communication with allotment holders. Expert advice sought if required.	in-house	unlikely	insignificant	3
Regular usage of the area is a deterrent. Entrance gate can be locked.	in house	unlikely	minor	6
Regular inspections by Cllrs, quarterly inspection by GB Sport, Annual by SSDC.	in house / 3rd party	unlikely	extreme	15
Regular inspections. Earmarked reserves to cover unbudgeted costs.	in house	unlikely	moderate	9
Operator to ensure all stall holders have adequate insurance. Refuse to allow non-insured stall-holder to attend market.	3rd party	remote	minor	4
Risk assessment carried out.	3rd party	unlikely	minor	6
Fire detection systems installed and maintained. Policy forbidding hirers from using flammable material. Flammable materials stored externally.	all 3	unlikely	moderate	9
Smoke alarms tested weekly; fire extinguishers tested annually. Annual test of systems by approved contractor. Policy forbidding hirers from using flammable material.	all 3	unlikely	minor	9
Hire replacement facilities within Somerton. Measures taken to protect building.	all 3	unlikely	moderate	6
Daily use ensures issues are identified. Concerns would be addressed by using specialist firms.	in house	remote	moderate	6
All entry points lockable. Valuable items locked away.	in-house	unlikely	minor	9
Annual PAT testing by suitably qualified contractor. Equipment purchased from reputable suppliers.	3rd party	unlikely	minor	6

Annual testing by suitably qualified contractor.	3rd party	unlikely	minor	6
Employing good practice in building management. Information provided to hirers on health and safety.	in-house	unlikely	moderate	6
Disaster recovery plan. Regular maintenance schedule. Adequate insurance.	in-house	unlikely	extreme	6

on-going
Annual
on-going
on-going
Annual
on-going
on-going
on-going
Annual
on-going
Bi-monthly
Annual
Annual
Quarterly
Annual

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5	1
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Annual
Quarterly
on-going
on-going
on-going
Annual
Annual
Annual
weekly/Annual
n/a
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Daily
Annual

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2	2

Annual
n/a

2	2
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2	2