

DISS TOWN COUNCIL – GOVERNANCE AND MANAGEMENT RISK REGISTER

Risk Score						
Impact	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
		1	2	3	4	5
		likelihood				

OBJECTIVES:

- 1) To identify the management risks relevant to Diss Town Council
- 2) Estimate the significance of the risks.
- 3) Assess the likelihood of their occurrence.
- 4) Establish actions to address those risks.

METHOD:

The likelihood that the risk will occur is measured on a scale of 1-5:-

- 1 – Very Unlikely
- 2 – Slightly, rarely occurs
- 3 – Feasible (Possible but not common)
- 4 - Likely (Has before, will again)
5. – Very Likely

This shows how often there is an opportunity for the risk to occur.

The Impact of a risk is measured on a scale 1-5:

- 1 – No significance.
- 2 – Minor
- 3 – Moderate
- 4 – Major
- 5 – Catastrophic

Addressing risks may involve one or more of the following standard responses.

- Tolerate: risks are containable with appropriate contingency plans
- Treat: Imposing controls or setting up prevention techniques.
- Transfer: Specialist external services or insurance cover
- Terminate: Intolerable risks where no other response is acceptable.

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No.	Risk	Details of Impact	Likelihood	Impact	Rating	Control Action	Rating after control actions	Review Frequency	Responsible Person(s)
1	Lack of forward planning and budgetary controls	➤ Lack of direction and prioritisation	2	4	8	Strategy action plan Budget Action Group formation Clear and annually reviewed Financial Regulations	1 x 4 = 4	Annually in October	Town Clerk
2	Poor reporting to Council	➤ Poor quality decision making ➤ Council becomes ill informed	4	4	16	Good Leadership in Clerk Clear strategy form Leader of the Council Decisions made through council and not by one councillor Strategy plan dates for review Key documents schedule	2 x 4 = 8	Quarterly When required	Town Clerk,
3	Loss of key staff	➤ Failure in council control ➤ Failure in Managing workload ➤ Failure of responding of public demands ➤ Diversion of key staff from priority work	4	3	12	Succession Planning for Clerks, Maintenance Manager. Clear office procedures Effective performance management policy Good recruitment procedures. Looking after staff welfare and health to aid retention Staff trained in multiple areas to reduce single points of failure.	2 x 3 = 6	Annually	Town Clerk

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4	Poor document control	<ul style="list-style-type: none"> ➤ Information not completed in a timely manner ➤ Deadlines missed ➤ Loss of staff morale ➤ Impact on Staff mental health ➤ Loss of vital information 	3	4	12	Clear Standing Orders and job descriptions. Effective performance management Sound filing systems and cloud backup Use of fireproof cabinet where required Document Retention Policy	1 x 4 = 8	Annually	Town Clerk
5	Non-Compliance with law: *Health and Safety *Equalities *Data Protection *Human Rights *Disability Discrimination *Employment Law	<ul style="list-style-type: none"> ➤ Fines and Penalties from regulation bodies ➤ Employee action for negligence or grievance ➤ Loss of reputation ➤ Legal action from third parties 	3	5	15	Clear policies and procedures H&S Training GDPR Policy updated and implement yearly Updated employment contracts Training programme for staff including induction procedure. Professional usage, ie HR specialists, solicitors as and when required	2 x 5 = 10	4 yearly Annually	Town Clerk
6	Ensuring all business activities are within legal power	<ul style="list-style-type: none"> ➤ Illegal expenditure ➤ Reputational loss ➤ Financial loss 	3	4	12	Adhering to legal documents Adhering to financial regulations Clerk to keep updated on new regulations Internal controls officer monitoring finance monthly	1 x 4 = 4	As required	Town Clerk,
7	Council lacks relevant skills and commitment	<ul style="list-style-type: none"> ➤ Higher cost to council for professional advice 	3	4	12	Clear co-option procedure Mandatory training and induction for all new Councillors	1 x 4 = 4	Annually Every meeting	Town Clerk;

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		<ul style="list-style-type: none"> ➤ Council failure to achieve its purpose ➤ Decision making by-passes Council and is completed out of council ➤ Poor value for money 				<p>Updated training for councillors after 5 years on council</p> <p>Close review of attendance</p> <p>Encourage good relationships between Officers and Councillors</p>			
8	Council becomes dominated by one or two individuals, or cliques form	<ul style="list-style-type: none"> ➤ Conflicts between cliques ➤ Pursuit of personal agendas ➤ Decisions made outside Council by individuals ➤ Lack of motivation for other councillors 	3	3	9	<p>Clear Standing Orders regarding conduct of meetings</p> <p>Training for Councillors</p> <p>Quarterly informal meetings for councillors and officers to discuss non council business</p> <p>All decisions to be made inside of council</p> <p>Council Leader to deal with any conflicts between councillors as early as possible</p>	1 x 3 = 3	Annually	Council Leader
9	Sudden loss of councillors	<ul style="list-style-type: none"> ➤ Reputational loss ➤ Unable to make decisions ➤ Delay to decision making process ➤ Loss of skills for the council ➤ Business cannot be transacted ➤ District Council would become involved in council business 	4	3	12	<p>Ensure councillors are well trained</p> <p>Well being of councillors looked after</p> <p>Ensure councillors are well informed</p> <p>Training of councillors</p> <p>Inclusion of all councillors on business of the council</p> <p>Focus on councillor retention</p>	1 x 3 = 3	Annually	Council Leader

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		➤ New by-election would need to be held							
10	Failure to register Members' interests, gifts, etc.	<ul style="list-style-type: none"> ➤ Reputational risk of council ➤ Honesty and integrity of councillors ➤ Transparency of council and councillors 	3	3	9	Annually record and monitor Members' interests and gifts Officers up to date with Code of Conduct for councillors Annual review of Code of Conduct and Dispensation Policy Member training Working alongside County officer and NALC Working alongside local authority monitoring officer	1 x 3 = 3	As required	Town Clerk
11	Lack of maintenance of Council owned property	<ul style="list-style-type: none"> ➤ Higher cost of repair ➤ Injury to third party leading to claims ➤ Damage to property ➤ Loss of Income ➤ Reputation damage ➤ Injury to staff or councillors whilst visiting property 	4	4	16	Building structural survey Stock condition survey Regular maintenance checks Insurance cover Facilities Management Plan Managing of maintenance staff Management of contractors Skills and Knowledge to complete works required. Maintenance Manager to understand stock and requirements for the upcoming fiscal year	4 x 2 = 8	Ten yearly Throughout the year	Town Clerk

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12	Damage or loss to Council owned property by third party or natural disasters.	<ul style="list-style-type: none"> ➤ High cost of repair ➤ Loss of assets ➤ Disruption to services ➤ Damage to public property or person ➤ Loss of income 	2	3	6	Adequate insurance cover. Fire Alarm installed in all properties CCTV installed in Council owned properties Building and land checks by Maintenance Manager Regular maintenance on all properties All data information backup to Cloud	2 x 2 = 4	Continuous	Town Clerk
13	Damage to third party property or individuals due to service or amenity provided	<ul style="list-style-type: none"> ➤ Claim against Council ➤ Increased insurance premium 	4	4	16	Public liability insurance H&S checks Event Management planning alongside SAG Regular checks of facilities Maintenance Manager to conduct regular health checks on properties Health & Safety and risk assessments	4 x 2 = 8	As required	Town Clerk
14	Fraud, Misconduct or Gross Underperformance	<ul style="list-style-type: none"> ➤ Reduction in available funds ➤ Reputational risk of council ➤ Loss of staff ➤ Loss of Money or Assets ➤ Legal expenses and procedures ➤ Financial implications for 	2	4	8	Clear financial procedures and regulations Staff / Member/ Internal control policies Bi-annual internal audits Adequate insurance cover Performance Management regular reviews Councillor monitoring officer checking on	1 x 4 = 4	Annually	Town Clerk

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15	Significant change in funding. sudden large expenditure required; excessive under-budgeting	<ul style="list-style-type: none"> ➤ Services not provided ➤ Lack of confidence in Council ➤ Inability to carry out functions ➤ Insufficient funds for contingencies or projects 	2	4	4	<p>Robust budgeting process</p> <p>Regular in-year budget progress reports</p> <p>Council has established adequate reserves</p> <p>Insurance in place to cover major risk</p> <p>Resort to other funding sources or Public Works Loan Board</p> <p>Correct deficit via budget planning over subsequent years</p> <p>Project EMR forward budget planning over several years</p>	1 x 4 = 4	<p>Annually</p> <p>Quarterly</p> <p>Annually</p>	RFO
16	Inappropriate VAT treatment	<ul style="list-style-type: none"> ➤ Penalties from HMRC ➤ Excessive exempt VAT expenditure ➤ Reputational risk and damage to Council 	2	3	6	<p>MTD implementation, bi annual audit and further staff training</p> <p>Measures to minimise business exempt expenditure where appropriate or seek alternatives when necessary (such as option to tax)</p>	1 x 3 = 3	<p>Bi-weekly</p> <p>As required</p>	RFO
17	Non-compliance with restrictions on borrowing / inability of Council to repay a loan	<ul style="list-style-type: none"> ➤ Penalty payments ➤ Negative PR 	1	4	4	<p>Include loan repayments in annual budget</p> <p>Clear Financial Regulations</p> <p>Careful review of current procedures for borrowing</p>	1 x 4 = 4	<p>Annually</p> <p>As required</p>	Town Clerk

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No.	Risk	Details of Impact	Likelihood	Impact	Rating	Control Action		Review Frequency	Responsible Person(s)
18	Failure to use grants received for intended purposes	<ul style="list-style-type: none"> ➤ Lack of funds for project for which grant was intended ➤ Investigation into the use of funds ➤ Repayment of funds 	2	4	8	Ensure funds properly ring fenced Clear financial procedures Clear record in minutes Inclusive of scope of audit preparations Internal controls councillor to continue with financial weekly checks	1 x 4 = 4	As required	RFO
19	Failure for local organisations to use grants given for intended purposes under specific powers or s137	<ul style="list-style-type: none"> ➤ Lack of funds for project for which grant was intended ➤ Misuse of grant monies ➤ Reputational risk for misuse of S137 powers 	2	3	6	Revised grant application and follow up procedure to establish expenditure. Maintain a separate record for s.137 expenditure Clerk to understand and highlight necessary procedures for use of S137 monies	1 x 3 = 3	Annually	Town Clerk
20	Not keeping the proper statutory financial records	<ul style="list-style-type: none"> ➤ Inadequate financial control 	3	4	12	Regular scrutiny of financial records and proper arrangements for the approval of expenditure Bi annual audit and year end update Internal controls councillor weekly checks Executive Committee checking quarterly expenditure returns.	1 x 4 = 4	Annually	RFO
21	Failure to plan for staff absence	<ul style="list-style-type: none"> ➤ Inability to replace staff with temporary staff 	2	4	8	Maintain adequate staff to cover staff absences Monitor leave requests Succession Planning –	2 x 2 = 4	As required	Town Clerk

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		<ul style="list-style-type: none"> ➤ Inability to pay staff and contractors ➤ Loss of knowledge and experience ➤ Single point of failures if staff are only point of knowledge for the role 				Train staff to understand all roles for such an incident Utilise councillors specialist knowledge to help in staff shortages.			
22	Failure to register Town Council owned land	<ul style="list-style-type: none"> ➤ Land ownership disputes ➤ Cost to council for legal specialists 	1	5	5	Ensure all Town Council owned land is registered with HM Land Registry Keep records of Land Registry docs in secure place Access to boundary maps	1 x 3 = 3	As required	Town Clerk
23	Failure to carry out Cemetery Record Checks	<ul style="list-style-type: none"> ➤ Inaccurate allocation of exclusive rights / burial plots ➤ Loss of potential income ➤ Unnecessary distress to bereaved families ➤ Financial cost for council ➤ Reputational cost for council 	2	4	8	Checks of Cemetery Records by independent member of staff All burials and memorials to be checked by Dep TC	1 x 4 = 4	Quarterly	Town Clerk
25	Misuse of credit card	<ul style="list-style-type: none"> ➤ Financial loss ➤ Financial regs not being adhered to ➤ Bank carrying our fraud investigations 	3	4	12	Appropriate controls on spending Robust payment authorisation process Accounting treatment through P/Ledger	1 x 4 = 4	Annually/ Monitored monthly	Town Clerk

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		<ul style="list-style-type: none"> ➤ Bank carrying out Council banking requirements ➤ Loss of Credit Card or Bank account 				Only Clerk/Dep TC/RFO have access to credit cards Internal controls councillors ensuring financial regs are being adhered to			
26	Risks associated with changing bank / Debtor delays	<ul style="list-style-type: none"> ➤ Money paid into the wrong account ➤ Unable to maintain cash flow ➤ Time management of securing new bank accounts and mandates 	1	4	4	To keep current account open to cover the overlap. Inform Debtors immediately	1 x 4 = 4	After 6 months	RFO
27	Disaster impacting on town	<ul style="list-style-type: none"> ➤ Loss of life ➤ Casualties ➤ Fear amongst community ➤ Loss of / damage to Council assets or town facilities 	2	5	10	Emergency Response Plan Work with Police/Ambulance/Fire Brigade Work alongside higher tier authorities Work alongside Emergency Planning Officer Social media updates to try and relieve stress in Town Signposting of public to nearest shelter centre Opening up of Buildings to enable Emergency Plan to work Council to take part in any learning reviews after any disaster Emergency Plan updated yearly with new telephone numbers etc	2 x 3 = 6	As and when disaster occurs. Emergency plan updated yearly or when changes need to be implemented.	Town Clerk

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						Council providing point of contact in emergencies through Emergency plan Emergency Plan box with details and eqpt kept in office.			
28	Council Offices unserviceable (e.g. fire / flood)	<ul style="list-style-type: none"> ➤ Services suspended ➤ Cost of repair / replacement of equipment ➤ Loss of IT facilities 	1	5	5	Enacted Homeworking Policy Short-term measured recovery in the alternative location – DYCC Medium / long-term plan to return to Council Offices Backup cloud service provided by existing IT supplier Replacement IT eqpt to be purchased/replaced All information in Cloud Cemetery books in fireproof cabinet in main office	1 x 3 = 3	As and when required. Emergency plan updated yearly.	Town Clerk
29	Media misreporting	<ul style="list-style-type: none"> ➤ Incorrect information being consumed by public ➤ Complaints ➤ Negative PR ➤ Reputation risk to Council ➤ Reputation risk to staff 	3	3	9	Press releases / news items issued where relevant by correct members of staff Develop good relations with media Follow Communications Policy Council Leader / Clerk to brief journalists as per Comms policy Social media monitored daily and rectified if misreporting	3 x 2 = 6	As required 4-yearly	Town Clerk

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30	Contractors not supplying agreed services	<ul style="list-style-type: none"> ➤ Incomplete project ➤ Unsatisfactory outcomes ➤ Additional cost / time to complete project ➤ Relationship with contractor ➤ Financial penalties ➤ Loss of income through not being able to rent property 	2	4	8	<p>All tasks are controlled by Purchase Order against specification</p> <p>Review higher cost contracts to ensure they are controlled by defined contract or service level agreement</p> <p>Contracts monitored and kept on track</p> <p>All contracts over 2k to be agreed by Council</p>	1 x 4 = 4	As required	Town Clerk
31	Confidential data being disclosed	<ul style="list-style-type: none"> ➤ ICO investigation / fine ➤ Negative PR ➤ Complaints ➤ GDPR implications 	3	4	12	<p>Confidential data held in accordance with GDPR</p> <p>Security measures in place and used e.g. safes, shredding, firewall</p> <p>Staff / Member GDPR policy</p> <p>Nominated Data Protection Officer in place</p> <p>Personnel files accessed by Managers only</p> <p>Sensitive information accessed by Clerk and Dep Clerk</p>	1 x 4 = 4	Annually	Town Clerk