

**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 impact that the risk presents is measured on a scale of 1-5 in terms of risk to quality of service, financial impact, safety implications and delay in services. This shows the severity of the risk and its significance.

The likelihood of a risk is measured on a scale 1-5, where 1 is very rare, 2 is once a year, 3 is more than once a year but less than once a month, 4 is once a month or more and 5 is daily or weekly. This shows how often there is an opportunity for the risk to occur.

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	Review Frequency	Responsible Person(s)
1	Lack of forward planning and budgetary controls	➤ Lack of direction and prioritisation	1	3	3	Strategy action plan Budget Action Group formation Clear and annually reviewed Financial Regulations	Annually in October	Town Clerk, Responsible Finance Officer; Council (RFO)
2	Poor reporting to Council	➤ Poor quality decision making ➤ Council becomes ill informed	1	3	3	Timely and accurate financial reporting Strategy plan dates for review Key documents schedule	Quarterly  When required	Town Clerk, Deputy Town Clerk and RFO
3	Loss of key staff	➤ Failure in budgetary controls ➤ Correspondence backlog ➤ Loss of working hours ➤ Diversion of key staff from priority work	2	4	8	Succession Planning for Clerk & RFO Clear office procedures Effective performance management policy Good recruitment procedures and utilise recruitment agency where necessary. Testing procedures on key functions	Annually	Council Leader; Town Clerk and RFO
4	Poor document control	➤ Information not passed on in a timely manner ➤ Deadlines missed ➤ Lack of achievement	3	1	3	Clear Standing Orders and job descriptions. Effective performance management Sound filing systems and cloud backup Use of fireproof cabinet where required Document Retention Policy	Annually	Town Clerk, DepTC, RFO
5	Non-Compliance with law, in particular: *Health and Safety *Equalities *Data Protection *Human Rights *Disability Discrimination *Employment Law	➤ Fines and Penalties from regulation bodies ➤ Employee action for negligence or grievance ➤ Loss of reputation	1	4	4	Clear policies and procedures Regular review of law Updated employment contracts Training programme for staff including induction procedure. Use of ACAS and other bodies to keep up to date. Use of Council appointed Human Resources advisor	Bi-annual  Annually	Town Clerk and Line Managers

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No.	Risk	Details of Impact	Likelihood	Impact	Rating	Control Action	Review Frequency	Responsible Person(s)
6	Ensuring all business activities are within legal power	<ul style="list-style-type: none"> <li>➤ Illegal expenditure</li> <li>➤ Poor public image</li> </ul>	2	3	6	Recording the precise power under which unusual expenditure is being approved Officer training to keep up to date with legislation	As required	Town Clerk, DepTC and RFO
7	Council lacks relevant skills and commitment	<ul style="list-style-type: none"> <li>➤ Higher cost to professional advice</li> <li>➤ Council fails to achieve its purpose</li> <li>➤ Decision making by-passes Council</li> <li>➤ Poor value for money</li> </ul>	1	4	4	Clear co-option procedure Mandatory training for Councillors Close review of attendance Encourage good relationships between Officers and Councillors	Annually  Every meeting	Town Clerk; Council Leader
8	Council becomes dominated by one or two individuals, or cliques form	<ul style="list-style-type: none"> <li>➤ Conflicts of interest</li> <li>➤ Pursuit of personal agendas</li> <li>➤ Decisions made outside Council</li> </ul>	2	3	6	Clear Standing Orders regarding conduct of meetings and Conflict of Interests Training for Councillors	Annually	Council Leader
9	Sudden loss of councillors	<ul style="list-style-type: none"> <li>➤ Unable to make decisions if inquorate</li> <li>➤ Delay to decision making process</li> </ul>	2	4	8	Ensure meetings are quorate Standing Orders would apply if not quorate and no business to be transacted Council by-election / co-option process would commence District Council informed if Council unable to transact business until by-election held	Annually	Council Leader

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No.	Risk	Details of Impact	Likelihood	Impact	Rating	Control Action	Review Frequency	Responsible Person(s)
10	Failure to register Members' interests, gifts, etc.	<ul style="list-style-type: none"> <li>➤ Member could make inappropriate gains</li> <li>➤ Could affect Council reputation</li> </ul>	1	3	3	Annually record and monitor Members' interests and gifts Officers up to date with Code of Conduct procedures Annual review of Code of Conduct and Dispensation Policy Member training	As required	Town Clerk
11	Lack of maintenance of Council owned property	<ul style="list-style-type: none"> <li>➤ Higher cost of repair</li> <li>➤ Injury to third party leading to claims</li> <li>➤ Damage to property</li> </ul>	2	3	6	Building structural survey Stock condition survey Regular routine maintenance Insurance cover Facilities Management Plan Revaluation schedule	Ten yearly  Annually	Town Clerk and RFO
12	Damage or loss to Council owned property by third party or act of God.	<ul style="list-style-type: none"> <li>➤ High cost of repair</li> <li>➤ Loss of assets</li> <li>➤ Disruption to services</li> <li>➤ Damage to public property or person</li> </ul>	3	1	3	Annual review of risk and adequacy of insurance cover Fire Alarm; Improved security Clear monitoring and auditing procedures by staff Maintain Asset Register Regular maintenance arrangements for physical assets Backup to cloud IT service	Annually	Town Clerk and RFO     Executive Committee
13	Damage to third party property or individual due to service or amenity provided	<ul style="list-style-type: none"> <li>➤ Claim against Council</li> <li>➤ Increased insurance premium</li> </ul>	2	3	6	Public liability insurance Comprehensive event planning Regular checks of facilities Ensure all amenities/facilities are maintained to appropriate level Health & Safety and risk assessments	As required	Town Clerk and RFO

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No.	Risk	Details of Impact	Likelihood	Impact	Rating	Control Action	Review Frequency	Responsible Person(s)
14	Fraud, Misconduct or Gross Underperformance	<ul style="list-style-type: none"> <li>➤ Reduction in available funds</li> <li>➤ Loss of reputation</li> </ul>	1	4	4	<p>Clear financial procedures and regulations</p> <p>Staff / Member/ Internal control policies</p> <p>Bi-annual internal audits</p> <p>Adequate insurance cover</p> <p>Continuous management performance system in place to promote development and improvement</p>	Annually	Town Clerk and RFO
15	Significant change in funding; sudden large expenditure required; excessive under-budgeting	<ul style="list-style-type: none"> <li>➤ Services not provided</li> <li>➤ Lack of confidence in Council</li> <li>➤ Inability to carry out functions</li> <li>➤ Insufficient funds for contingencies or projects</li> </ul>	1	4	4	<p>Robust budgeting process</p> <p>Regular in-year budget progress reports</p> <p>Council has established and reviews 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>	<p>Annually</p> <p>Quarterly</p> <p>Annually</p>	Council / Town Clerk and RFO
16	Inappropriate VAT treatment	<ul style="list-style-type: none"> <li>➤ Penalties from HMRC</li> <li>➤ Excessive exempt VAT expenditure</li> </ul>	1	3	3	<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>	<p>Bi-weekly</p> <p>As required</p>	Town Clerk and RFO
17	Non-compliance with restrictions on borrowing / inability of Council to repay a loan	<ul style="list-style-type: none"> <li>➤ Penalty payments</li> <li>➤ Negative PR</li> </ul>	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>	<p>Annually</p> <p>As required</p>	Town Clerk and RFO

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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"> <li>➤ Lack of funds for project for which grant was intended</li> <li>➤ Investigation into the use of funds</li> <li>➤ Repayment of funds</li> </ul>	1	4	4	Ensure funds properly ring fenced Clear financial procedures Clear record in minutes Inclusive of scope of audit preparations Grant to spending reconciliation	As required	Town Clerk and RFO
19	Failure for local organisations to use grants given for intended purposes under specific powers or s137	<ul style="list-style-type: none"> <li>➤ Lack of funds for project for which grant was intended</li> <li>➤ Misuse of grant monies</li> </ul>	1	3	3	Revised grant application and follow up procedure to establish expenditure.  Maintain a separate record for s.137 expenditure and report to council and auditor	Annually	Town Clerk and RFO
20	Not keeping the proper statutory financial records	<ul style="list-style-type: none"> <li>➤ Inadequate financial control</li> </ul>	1	4	4	Regular scrutiny of financial records and proper arrangements for the approval of expenditure  Bi annual audit and year end update.	Annually	Town Clerk and RFO
21	Failure to plan for staff absence	<ul style="list-style-type: none"> <li>➤ Inability to pay staff and contractors</li> </ul>	2	4	8	Maintain adequate staff to cover staff absences Monitor leave requests Key procedures tested to ensure continuity of functions	As required	Town Clerk and RFO
22	Failure to register Town Council owned land	<ul style="list-style-type: none"> <li>➤ Land ownership disputes</li> </ul>	1	5	5	Ensure all Town Council owned land is registered with HM Land Registry	As required	Town Clerk and RFO

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23	Failure to carry out Cemetery Record Checks	<ul style="list-style-type: none"> <li>➤ Inaccurate allocation of exclusive rights / burial plots</li> <li>➤ Loss of potential income</li> <li>➤ Unnecessary distress to bereaved families</li> </ul>	1	5	5	Checks of Cemetery Record by Finance Assistant	Quarterly	Town Clerk/ DepTC
24	Failure to have adequate limits of compensation on investment	<ul style="list-style-type: none"> <li>➤ Significant financial loss of reserves</li> <li>➤ Weak financial position</li> </ul>	1	3	3	Regular review of current investments. Investment Strategy review Diversification of investments	Annually	Town Clerk/ RFO/Executive Committee
25	Misuse of credit card	<ul style="list-style-type: none"> <li>➤ Financial loss</li> </ul>	2	4	8	Appropriate controls on spending Robust payment authorisation process Accounting treatment through P/Ledger Credit card policy	Annually/ Monitored monthly	Town Clerk/ RFO/Executive Committee
26	Risks associated with changing bank / Debtor delays	<ul style="list-style-type: none"> <li>➤ Money paid into the wrong account</li> <li>➤ Unable to maintain cash flow</li> </ul>	1	3	3	To keep current account open to cover the overlap. Inform Debtors immediately	After 6 months	Town Clerk/RFO
27	Disaster impacting on town	<ul style="list-style-type: none"> <li>➤ Loss of life</li> <li>➤ Casualties</li> <li>➤ Fear amongst community</li> <li>➤ Loss of / damage to Council assets or town facilities</li> </ul>	1	5	5	Resilience / Emergency Response Plan Accept instructions from Category 1 responders i.e. Emergency Services, NHS Bodies & higher tier authorities Council to take part in any learning reviews after any disaster	Annually	Council / Town Clerk

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28	Council Offices unserviceable (e.g. fire / flood)	<ul style="list-style-type: none"> <li>➤ Services suspended</li> <li>➤ Cost of repair / replacement of equipment</li> <li>➤ Loss of IT facilities</li> </ul>	1	5	5	No life-critical services provided Emergency management team called together to agreed priorities 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	Annually	Council / Town Clerk
29	Media misreporting	<ul style="list-style-type: none"> <li>➤ Incorrect messages being consumed by public</li> <li>➤ Complaints</li> <li>➤ Negative PR</li> </ul>	3	3	9	Press releases / news items issued where relevant Develop good relations with media Follow Communications Policy Council Leader / Clerk to brief journalists as per Comms policy	As required  4-yearly	Town Clerk / Council Leader / Town Mayor
30	Contractors not supplying agreed services	<ul style="list-style-type: none"> <li>➤ Incomplete project</li> <li>➤ Unsatisfactory outcomes</li> <li>➤ Additional cost / time to complete project</li> <li>➤ Relationship with contractor</li> </ul>	2	4	8	All tasks are controlled by Purchase Order against specification Review higher cost contracts to ensure they are controlled by defined contract or service level agreement	As required	Town Clerk / RFO
31	Confidential data being disclosed	<ul style="list-style-type: none"> <li>➤ ICO investigation / fine</li> <li>➤ Negative PR</li> <li>➤ Complaints</li> </ul>	2	4	8	Confidential data held in accordance with GDPR Security measures in place and used e.g. safes, shredding, firewall Staff / Member GDPR policy Nominated Data Protection Officer in place Data Breach Record securely kept Follow advice from ICO	Annually	Town Clerk / Council