

Castle Cary Town Council
Risk Management review
Nov-18

Risk Category	Subject	Nature of risk	Mitigation	How is risk managed	Likelihood	Impact	Risk after mitigation	Review date	Likelihood	Impact
Administration	Data and records	Total loss of electronic data.	All electronic records backed up daily onto cloud. SAGE backed up after each use.	in-house	unlikely	minor	6	on-going	2	2
Administration	Data and records	Total loss of hard copy records e.g. Fire.	All key records kept in a fireproof safe. Where possible keep electronic copy. For essential documents keep copy offsite.	in-house	unlikely	minor	6	Annual	2	2
Administration	GDPR	Non-compliance with legal requirements.	Employ qualified clerk. Advice received from NALC, SLCC SSDC, re changes to legislation/regulation/best practice. Staff training.List from TIC re data held.	in-house	unlikely	minor	6	Annual	2	2
Financial risks	Bank collapse	Loss of funds.	Regular review. Keeping funds in low risk financial vehicles. Additional bank account to be opened.	in-house	possible	extreme	15	on-going	2	5
Financial risks	Budgeting	Cash flow problems.	Monitor income timing. Use reserves to overcome any gaps.	in-house	unlikely	minor	6	Monthly	2	2
Financial risks		Excessive level of borrowing costs.	Town Council decision to take out loan based on affordability. Fixed interest rates i.e. Annual repayment amount fixed.	in-house	unlikely	minor	6	Annual	2	2
Financial risks		Pension commitments	Precept set for known requirements. Annual review of staff salaries.	in-house	unlikely	minor	6	Annual	2	2
Financial risks		Risk of incorrect income forecast, including precept.	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	Annual	2	2
Financial risks		Risk of significant overspend.	Monitoring procedures in place to control and report on all spending. Utilise General Reserves. Reduce other expenditure. Increase Precept.	in-house	unlikely	minor	6	Monthly	2	2
Financial risks	Capital Projects	Risk of financial overcommitment and cost overruns.	Council appoint working groups to monitor professional consultants. Check on programme and expenditure. Employ suitably qualified clerk.	in-house	unlikely	minor	6	as required	2	2
Financial risks		Risk of poor performance by contractors.	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	as required	2	2
Financial risks	Fraud	Council funds depleted	Expenditure monitored by committees. 2 cheque signatories. Independent internal and external audit carried out. Fidelity insurance in place	all3	unlikely	minor	6	on-going	2	2
Financial risks	Investment Account major losses	Loss of funds	Regular review of financial investments. Spread risk.	in-house	unlikely	minor	6	Annual	2	2
Financial risks	Insurance	Is insurance cover adequate?	Professional advice sought and implemented. Market testing of insurance providers.	all 3	unlikely	minor	6	Annual	2	2
Financial risks	Reserves	Inadequate or excessive reserves.	Requirements for reserves reviewed by Town Council annually. General Reserves set at 3-4 months. All other reserves are specified.	in-house	unlikely	minor	6	Annual	2	2
Financial risks	VAT	Incorrect accounting for VAT liability.	Staff training. Internal audit. Transaction sums are relatively small. SAGE accounting.	in house	unlikely	minor	6	Annual	2	2
Governance and reputational risk	Are policies and procedures fit for purpose	Public challenge, breach of statutory responsibility	Annual review of standing orders and Financial Regulations. Review of other policies as per schedule.	in house	unlikely	moderate	9	Annual	2	3
Governance and reputational risk	Code of conduct, declarations of interests and dispensations	challenge to a resolution and the need to change a decision. Financial liability / impact.	Records of declarations of interest taken at each meeting. Code of conduct rules reviewed regularly. Peer knowledge of other councillors.	in house	unlikely	minor	6	Annual	2	2
Governance and reputational risk	Meeting statutory 'conduct of business' requirements	Failure would make council ultra vires.	Employ qualified clerk. Staff development. Quality council accreditation. Membership of SALC, NALC and SLCC	in-house	remote	minor	4	Annual	1	2
Governance and reputational risk	Recording council resolutions	Public challenge. Unintended consequences from lack of clarity.	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	Annual	2	2
Governance and reputational risk	Over zealous risk management	Culture of no activity unless risk-free	Focus on being risk aware not risk averse.	in-house	remote	insignificant	2	on-going	1	1
Governance and reputational risk	Quality Council Award.	Not meeting the requirements for Quality Council status.	Decision in 2015 to apply for new award scheme in 2016. New committee structure in place to meet some criteria. Clerk to monitor requirements are being met and make recommendations for improvement/change to TC.	in-house	unlikely	insignificant	3	Annual	2	1
Legal and regulatory risks	promotion of disability equality.	Do buildings, land and facilities meet requirements of disability equality legislation?	Creation of Accessibility working party. Implement the policy on the promotion of disability equality in each area of activity. Advice received from NALC and SLCC re changes to legislation/regulation/best practice.	in -house	unlikely	minor	6	Annual	2	2
Legal and regulatory risks	Staff	Are employment practices fair and reasonable?	legislation/regualtion/ best practice. Employ professional clerk. Oversight by councillors through HR (reports to policy cte). Feedback from annual staff performance review.	in-house	unlikely	minor	6	Annual	2	2
Legal and regulatory risks		Is the working environment safe for office staff?	Staff training in health and safety. Ensure appropriate specification for equipment and furniture purchases.	in-house	unlikely	minor	6	Annual	2	2

Legal and regulatory risks		Is the working environment safe for caretaking staff?	Staff training in health and safety. Ensure appropriate specification for equipment purchases..	in-house	unlikely	minor	6	Annual		2	2
Legal and regulatory risks		Loss of key staff.	dependency on one employee for any activity. Annual performance review. Fair employment conditions. Flexible working. Disaster recovery plan. Efficient recruitment process. Succession planning.	in-house	unlikely	major	12	on-going		2	4
Legal and regulatory risks		Risk of employment dispute, claim for injury, stress, harassment, unfair/constructive dismissal.	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	on-going		2	2
Legal and regulatory risks		Requirements of equal opportunities and diversity legislation.	Employment of qualified clerk. Advice received from NALC and SLCC re changes to legislation/ regulation/best practice.	in-house	unlikely	minor	6	Annual		2	2
Trusts	Donald Pither Trust (CCTC as sole trustee)	Financial failure	Quarterly review of finances by Clerk.	in house / 3rd party	unlikely	major	9	on-going		2	3
Trusts	Pither Field	Major risk of trespass e.g. Travellers, fire or other risk to health.	High profile location, gates locked.	in house / 3rd party	possible	minor	8	Annual		3	2
Suppliers	Purchasing of goods and services	Not suitable for use and/or overpriced.	Council procedures in place requiring competitive quotations and expert advice sought where necessary.	in-house	unlikely	minor	6	on-going		2	2
Suppliers	Third party suppliers	Reputational risk of using suppliers who get adverse publicity.	Ensuring good quality specification for goods and services. References may be obtained before appointing suppliers.	in-house	unlikely	minor	6	Annual		2	2
Suppliers	Contractors supplying goods and services	poor performance.	Ensuring good quality specification. Regular monitoring of performance, either by TC or appointed consultants.	in-house	unlikely	minor	6	on-going		2	2
Operational risks	Bus shelters	Structural failure and damage presents risk to the public.	3-monthly cleaning: contractor highlights any issues. Feedback from the public.	in-house	remote	extreme	10	Bi-monthly		1	5
Operational risks	CCTV Cameras	Failure to record or identify an incident.	Wi-fi access to Catherine's Close system required.	in-house	highly probable	insignificant	6	Annual		5	1
Operational risks	Christmas Lights	Risk to the public of lights falling or catching fire.	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	9	Annual		2	3
Operational risks	Safety of trees.	Structural failure and damage presents risk to the public.	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	Quarterly		3	4
Operational risks	Risk of flooding	Damage to property, potential injury	Disaster recovery plan. Emergency Plan. Regular maintenance schedule. Adequate insurance.	3rd party	unlikely	major	9	Annual		2	3
Cemetery	Incorrect burial / records	Relatives stress. Reputational damage	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			2	4
Cemetery	Headstones and memorials	Structural failure and damage presents risk to the public.	Maintenance contractor to monitor and monitor on behalf of the council and make safe where appropriate. Owner to be responsible for repairs.	in house / 3rd party	possible	moderate	12			3	3
Play Areas	Play Areas	Risk of trespass.	Regular usage of the area is a deterrent. Entrance gate can be locked.	in house	unlikely	minor	6	on-going		2	2
Play Areas	Play Areas	Structural failure and damage presents risk to the public.	Regular inspections by maintenance operator. 2pa inspection by GB Sport in spring Annual by SSDC end of Summer.	in house / 3rd party	unlikely	extreme	15	on-going		2	5
Play Areas	Play Areas	Expensive repairs required to keep the structures safe.	Regular inspections. Earmarked reserves to cover unbudgeted costs.	in house	unlikely	moderate	9	on-going		2	3
Markets	Markets	Are stall-holders insured? i.e. Avoiding risk of potential claim against Town Council	Operator to ensure all stall holders have adequate insurance. Refuse to allow non-insured stall-holder to attend market. Steering group to ensure compliance.	3rd party	remote	minor	4	Annual		1	2
Markets		Is market location safe?	Risk assessment carried out.	3rd party	unlikely	minor	6	Annual		2	2
Market House	Market House	Destruction of Market House leading to loss of income.	Fire detection systems installed and maintained. Policy forbidding hirers from using flammable material. Flammable materials stored externally.	all 3	unlikely	moderate	9	Annual		2	3
Market House		Risk of major fire	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	weekly/Annual		2	3
Market House		Loss of council office and meeting rooms.	Hire replacement facilities within Somerton. Measures taken to protect building.	all 3	unlikely	moderate	6	n/a		2	2
Market House		Is the building structurally sound?	Daily use ensures issues are identified. Concerns would be addressed by using specialist firms.	in house	remote	moderate	6	Annual		1	3
Market House		Is the building secure from intruders?	All entry points lockable. Valuable items locked away.	in-house	unlikely	minor	9	Daily		2	3
Market House		Are electrics and electrical equipment safe?	Annual PAT testing by suitably qualified contractor. Equipment purchased from reputable suppliers.	3rd party	unlikely	minor	6	Annual		2	2
Market House		Gas supply safe?	Annual testing by suitably qualified contractor.	3rd party	unlikely	minor	6	Annual		2	2

Market House		Risks to hirers.	Employing good practice in building management. Information provided to hirers on health and safety.	in-house	unlikely	moderate	6			2	2
Market House		Destructive event e.g. Flooding	Disaster recovery plan. Regular maintenance schedule. Adequate insurance.	in-house	unlikely	extreme	6	n/a		2	2
Cemetery Chapel		Destructive event e.g. Flooding	Disaster recovery plan. Regular maintenance schedule. Adequate insurance.	in-house	unlikely	extreme	6	n/a		2	2
Millbrook toilet		Destructive event e.g. Flooding	Disaster recovery plan. Regular maintenance schedule. Adequate insurance.	in-house	unlikely	extreme	6	n/a		2	2
Catherine's Close toilet		Destructive event e.g. Flooding	Disaster recovery plan. Regular maintenance schedule. Adequate insurance.	in-house	unlikely	extreme	6	n/a		2	2
Roundhouse		Destructive event e.g. Flooding	Disaster recovery plan. Regular maintenance schedule. Adequate insurance.	in-house	unlikely	extreme	6	n/a		2	2
Pavilion		Destructive event e.g. Flooding	Disaster recovery plan. Regular maintenance schedule. Adequate insurance.	in-house	unlikely	extreme	6	n/a		2	2