

TENBURY TOWN COUNCIL - GENERAL RISK ASSESSMENT 2015/16

Subject	Risks identified	Management Control of Risk	Risk Level	Review/Assess/Revise
Assets	Loss or damage Risk/damage to third party or other property	Annual review of Asset Register together with insurance provision. TTC Groundman visit and inspect playground areas and parks daily. Clerk completes Risk Assessment on each playground area annually. ROSPA inspection carried out annually.	L	Review Risk Assessments regularly. Assess findings of ROSPA report
Cemetery	Damage/vandalism	Regular inspections.	M	Biweekly visual inspection Reports to committee bi montly
	Grave allocation	Records system – all written entries doubled checked.	M	Review annually
	Accidents/Personal Injury	Risk Assessments / insurance	M	Review insurance policy on renewal
Changing Rooms	Damage/vandalism	Regular inspections.	H	Reports to committee bi montly
	Accidents/Personal Injury	Risk Assessments / insurance	M	Review annually
	Building safety	Fire, electrical safety checks and compliant procedures for health and safety.	H	Review annually
Open Spaces	Damage/vandalism	Regular inspections. Daily/weekly visual check.	H	Reports to committee bi montly
	Accidents/Personal Injury	Risk Assessments / insurance	M	Review annually
Play Areas including Skate Park	Damage/vandalism/rubbish	Daily visual checks and weekly inspections with health and safety checklist identifying defects and remedial action required. Annual written independent reports.	H	Review monthly
	Facilities not maintained	In house minor repairs and use of approved qualified contractor for safety checks	M	Review monthly
	Personal injury	Preventative measures as above and Insurance cover	H	Review annually
	Loss of revenue on football pitches	Booking system, conditions of hire	M	Review annually
	Weather damage to football pitches	Weekly decision on fitness of pitches following review.	M	Review weekly in season

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Pump Rooms	Damage/vandalism	Alarm system, call out and police liaison	H	Alarm checked weekly
	Revenue loss due to badly managed buildings	Liaison with tenants/lease discussion/commercial agents.	M	Review annually
	Accident/injury caused by hirers	Terms and conditions of hire signed by hirer Insurance	M	Review annually
	Loss of income due to reduced bookings	Promotion of venues and policy on reduced rates for charities	M	Review annually
	Building safety	Fire, electrical safety checks and compliant procedures for health and safety. Building Information book. Ensure COSHH, Asbestos, legionnaires compliance.	H	Review annually
	Condition of building	Buildings insurance and maintenance programme	H	Review annually
	Running costs higher than anticipated	Sufficient budget allocation and careful monitoring and management. Maximise income.	H	Review monthly
Maintenance	Poor performance of assets or amenities Loss of income Risk/damage/injury to third party	Any repair or maintenance work carried out by TTC Groundsman as soon as identified or by qualified tradesman as necessary. Minor works carried out as part of ongoing maintenance budget. Larger tasks actioned and authorised in accordance with Financial Regulations and Standing Orders. Any damage caused by third party or vandalism claimed under insurance as appropriate.	L	Monitor and assess work carried out by Operatives or contractors. Review insurance policy on renewal
Street Furniture	Risk/damage/injury to third party	All street furniture in TTC ownership inspected regularly by Outside Operatives and repaired as required. Damage to street furniture owned by CDC and WSCC reported immediately.	M	Monitor work of Operatives
Vehicles/ Machinery	Loss, theft, vandalism	Secure storage and Insurance Inventory updated annually	H	Review annually
	Misuse of equipment or badly maintained	Training and advice on use of equipment provided to all staff and annual servicing by qualified contractor.	M	Review annually
Insurance	Inadequate cover Non compliance Fidelity Guarantee Inaccurate claims	Financial Risk Assessment sets out requirements. Clerk discusses requirements with insurance broker. reviewed annually. Employers Liability Insurance Certificate displayed.	L	Review Financial Risk Assessment annually Review Assets Register annually

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Business Continuity	Risk of Council not able to continue its business due to unexpected or tragic occurrence	NALC/SALC offer locum Clerk in response to sudden departure/incapacity of staff members. Emergency Plan in place in response to severe weather or flooding. Business Interruption Insurance	L	Membership of SLCC, NALC, WCALC renewed annually
Procurement Best Value	Work awarded incorrectly	Tendering process set out in Standing Orders and Financial Regulations: to seek more than one quotation for any substantial work or services required and formal competitive tendering for major contracts. All major contracts awarded resolved by Full Council.	L	Review Financial Regulations and Standing Orders annually
Banking and cash transactions	Inadequate checks Bank mistakes Loss of cash	Financial Risk Assessment sets out requirements. All payment transactions (cheques, BACS, direct debits, standing orders) require two authorisations (written or electronic). Bank statements reconciled weekly. Cash banked as soon as practicable (same day if possible). Cash kept in lockable safe never exceeds insured sum.	L	Review Risk Assessments annually Review signatories on bank mandate after ACM
	Poor Systems and controls	Tested by Internal Auditor annually	M	Internal Audit
	Waste and misappropriation of funds.	Fidelity Insurance and supervision of staff. On line banking requires dual authorisation. View only privileges to all members of Finance Committee for transparency.	M	Review Annually
	Adequate funds	Monitor actual expenditure to forecast and report regularly to Finance Committee and Full Council	H	Agenda item at each Finance Meeting
	Properly authorised payments	Authority to pay in line with Financial Regulations. Payment Authorisations/Cheques signed by two councillors.	M	Financial Regulations reviewed annually and approved at Annual Council Meeting.
	Theft, fraud and corruption	Training, management & fidelity insurance	M	CPD training for Clerk
	Activities being outside of legal powers/unlawful payments	Training of Clerk and advice to members.	M	CPD training for Clerk
	Cash handling and banking	Cash taken in office, recorded and banked	M	Review weekly

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Precept	Adequacy of precept Requirement not submitted to MHDC in time Amount not received by TTC on time	Budgets prepared to determine amount required. Budget includes actual costs and projected position for following year. Precept is an agenda item for Full Council prior to deadline given by MHDC. Clerk submits TTC requirement to MHDC in writing prior to deadline. MHDC notifies TTC the dates on which the precept will be paid into the bank account. Office checks that instalments are paid on given dates.	L	Review budget monthly
VAT	VAT analysis	All items in cash book lists.	M	Review monthly
	Proper charging	Consider annually	M	Review monthly
	Exemption properly applied	Consider annually - complex issue and on larger projects external advice sought.	H	Review as needed
	Claimed with time limits	Agree returns submitted	M	Review quarterly
	Incorrect claims	Accounts software calculates VAT and produces VAT claim form. online VAT Returns. Internal Auditor advises and checks calculations VAT assessment carried out by HMRC on 5 June 2007 – no adverse comments All activity and payments resolved at Full Council and minuted with reference to legislative power used. Clerk consults with NALC or SALC when necessary	L	Review Financial Risk Assessment annually Review/revise in light of legislative advice received
Running Costs	Incorrect invoicing Goods not supplied Loss of stock, services Unpaid invoices	Financial Risk Assessment sets out requirements Invoices received reconciled with goods/services before payment made. Utility contracts reviewed annually	L	Review Financial Risk Assessment annually Review Assets Register annually
Grants received	Receipts of grants	Grants awarded with terms and conditions and specific to a project; normally only paid on submission of receipts and evidence of payment	L	Review on receipt of each grant awarded
Councillor allowances, expenses	Councillors overpaid	No allowance allocated to Councillors. Expenses paid against receipts and/or mileage claim form where appropriate.	L	Review as part of audit Review Financial Risk Assessment annually

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Salaries and on costs	Incorrect salary paid Incorrect deductions made Unpaid tax and NI contributions	Full Council authorises appointment of employees, following recruitment process. Salaries in line with National Joint Council (NJC) Scales and increments authorised by Full Council, following recommendations of the Finance and Administration Advisory Group. Payroll and related tasks carried out by local Accountants firm (Peek Accounting).	L	Review annually as directed by NALC on announcement of NJC pay award
Investments	Investment policy not clear.	Review policy each year	L	Review annually
	Treatment of surplus funds	In line with Investment Strategy. Reports to Finance Committee	L	Review bi-annually
Reserves	Adequacy of earmarked and general reserves.	Agreed annually by Council – need to be kept under review.	M	Review bi-annually
Leases,Licenses hirings and rents	Non compliance with leases Rental not paid	All leases prepared and/or overseen by TTC Solicitor. Clerk consults with Solicitor on issues relating to leases, licenses etc. All hirers complete booking form subject to terms and conditions. Invoices raised as appropriate and followed up where necessary.	M	Review booking procedures annually
Events	Public Liability	TTC Insurance and copies of third party insurance to be provided. Ensure correct Procedures and use of trained staff	M	Review annually
Events	Organisation	Separate risk assessment to be submitted for each event. Full details of all plans to kept on file.	M	Review annually
Freedom of Information	Provision of information	Full Council adopted Model Publication Scheme and information available on the website.	L	Monitor and assess impact of requests made
Legal powers	Illegal activity Contrary to legal requirements	All activity and payments resolved at Full Council and minuted with reference to legislative power used. Clerk consults with NALC or WCALC when necessary Clerk consults with TTC Solicitor as appropriate.	M	Review/revise in light of legislative advice received from NALC or Solicitor
Members interests	Conflict of interest	Register of Members Interests completed by all Councillors and reviewed regularly. All Councillors agree to comply with Code of Conduct. All details submitted to District Solicitor as required. Book kept in office recording interest declared at meetings and recorded in minutes. Annual review carried out at time of renewal. Assets Register updated as required and FidelityGuarantee cover reviewed annually.	M	Review as required

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Governance	Quality of decision making – potentially unlawful	Town Council constitution including standing orders, financial regulations etc. Training for members. Membership and active involvement in National Association of Local Councils and Society of Local Council Clerks.	M	Training programme Qualified Clerk Annual membership renewal
	Inappropriate delegation	Town Council constitution including delegation to committees and Town Clerk	M	Review annually
	Unclear member responsibility and accountability	Appropriate committee structure and clear lines of reporting.	M	Review annually
	Appointments to member positions and outside bodies not made	Annual reports to committee and review of appointments.	L	Review annually
	Governance and regulatory documents not reviewed.	Annual Review	M	Review annually
	Register of Interests for Members up to date	Annual Review of Register entries	M	Review annually
Minutes, agendas, public notices	Inaccuracy	Minutes and agendas produced in prescribed method by the Clerk, adhering to the legal requirements. Minutes approved and signed at the next appropriate Council meeting. Agendas posted on all TTC notice boards and TTC website at least a week prior to the meeting. Minutes available at the library both in draft form and final version when signed. Minutes posted on to the TTC website. Business conducted at Council meetings managed by Chair in compliance with Standing Orders. Public Notices displayed in TTC notice boards as and when required.	L	Review Standing Orders and administrative processes annually
Council Records - electronic	Loss through theft, fire damage or computer corruption	Documents on staff computers locked in the office suite. Computer Business Server and Backup Software automatically backs up files - copied onto disks weekly and taken out of the office. All documents held on Server. Anti virus software updated annually.	M	Review back-up system as required

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Council Records – paper	Loss through theft or fire damage	Deeds and leases retained by TTC Solicitor (copies kept in office for ease of reference). Confidential papers kept in lockable, fire proof 4drawer cabinet. Confidential papers in electric shredder. All working papers filed in filing room, which is part of the office suite and locked with security system.	L	Review filing and security systems as required. Maintain electric shredder in office
Financial records	Inadequate records Financial irregularities	Financial Risk Assessment sets out requirements. Electronic system (Excel) maintained. TTC sign off accounts each year; internal audit carried out by appointed auditor external audit carried out by firm as appointed by the Audit Commission.	L	Review Financial Risk Assessment annually
Reporting and Auditing	Insufficient information Incomplete audit	Clerk completes annual external audit following internal audit and produces all documentation to Members. Audit ratified at Full Council prior to submission.	L	Review audit procedures annually
Employees	Accidents/Personal injury	Injury book/visual checks of premises/health and safety checklist	M	Review quarterly
	Bullying	Staff Handbook and grievance procedures.	M	Update annually
	Staff Welfare Issues	In house training and assessment with external guidance if necessary	M	Review annually
	Lack of communication	Regular face to face updates	M	Weekly updates
	Performance issues	Annual appraisals	M	Review annually
	Knowledge not up to date or insufficient.	Staff training - ongoing and seek independent professional advice – legal, property etc.	M	Review annually
	Loss of key staff	Regular meetings/staff appraisals	M	
	Loss of personnel Health and Safety Malpractice by staff	Staff trained appropriately. Staff provided with necessary tools to carry out their tasks including reference material and legal advice. Protective clothing and safety equipment provided as required. Health and Safety checklist provided to each employee; employee to sign their agreement to it. Line management guidelines followed with good practice procedures followed.	M	Monitor working conditions, safety requirements and insurance regularly. Membership of SLCC, NALC, SALC

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Employees	Loss of personnel Health and Safety Malpractice by staff	Staff trained appropriately. Staff provided with necessary tools to carry out their tasks including reference material and legal advice. Protective clothing and safety equipment provided as required. Health and Safety checklist provided to each employee; employee to sign their agreement to it. Line management guidelines followed with good practice procedures followed.	M	Monitor working conditions, safety requirements and insurance regularly. Membership of SLCC, NALC, SALC
Health and Safety	Health and Safety Policy and Handbook	Up to date Handbook and policies reviewed each year.	M	Review annually

Clerk's signature:

Chair's signature:

Date: 30/03/2015

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