

**RISK REGISTER: Year of 2019**

Ref	Risk Identified	Overall	Controls	Owner	Review Revises Action	Target Date	Comment
<b>LEGAL and Liabilities</b>							
L2	Non-compliance with employment law	3	Trained Clerk and Cllrs use of independent external advice	Resources Working Group	Action required	May-19	Elections May 19 means induction training essential
L7 1903 merged	Failure to have the necessary insurance cover in terms of risk and value - employer liability, accident litigation, libel, slander and legal expenses	3	Ensure insurable risks are adequately covered	RFO	Review annually	Aug-19	Every other year review with Broker
L8 1903	Risk to third party, property or individuals as a consequence of providing services or amenities	6	Public liability £10,000,000 insurance Open spaces and artworks to be scheduled for regular checks. Trees investigated when damage reported. Individual event risk assessments. All risk reports filed, dated and actioned.	RFO/ F&G working group	Annual review. Action consider PSO report on long term assets and liabilities	Annual review	Report due April 19
LE1	Failure to ensure activities are within legal powers	3	PO to clarify legal position on any new proposal. Legal advice to be sought where necessary.	PM	Appropriate training and qualification	Dec-19	PM completing CiLCA and RFO completing ILCA
LE6 renumbered 1802	Lack of proper and legal document control	3	Awareness of document and information legality and processes. Back up online of all essential documents. Scanning of important documents. Storage offsite - physical and media	PM staff	Action: complete document process and policy and storage process	Annual	SWIFT contract covers backup requirements
LE7 renumbered 1802	Non-compliance of new GDPR general data protection regulation and Freedom of Information	9	PC is registered with the ICO. Councillors and Staff to complete GDPR training and follow processes. Model publication scheme published on website.	PM	Action awareness session for new cllrs & staff to be run & Cllr Checklist to be reissued	Jul-19	Policies scheduled for review and council agreement in June
<b>REPUTATIONAL</b>							
R1	Failure of councillors to act as a corporate body, commit funds without authority or activities outside legal powers	2	Cllr training/Chair training	Chair	Action reinforce at first meeting	May-19	
R2	Failure of councillors to properly declare conflicts of interest.	3	Cllr training and Clerk training	Finance & Governance w working group	Action reinforce at first meeting	May-19	Cllrs to attend training when it is available
R3	Councillors making statements which adversely affect the Council.	3	Chair and Clerk control and advise	Comms working group	Action reinforce at first meeting	May-19	
R4	Loss of reputation	1	Training - Induction review	Chair			
<b>Other</b>							
O1	Loss of key members of staff	6	Proactive retention policy and terms & conditions.	Resources Working Group	Review positions after 6months of new structure	Apr-19	
<b>Assets</b>							
AS1	Protection of all physical assets: building, furniture, equipment and including allotments	2	Material damage inflation linked. All risks inflation linked. Buildings insured. Value increased annually by RICS index.	RFO	Review Asset Register. Review insurance valuations	Mar-19 July 19	
AS2	Deterioration of property owing to lack of maintenance of buildings, notice boards and street furniture	2	Asset Maintenance schedule Annual Risk Assessments	Lead Cllr & Rangers	Review schedule	Apr-19 Sep-19	

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AS3	Theft of/from properties	2		Rangers	Action regular checks of property	consistently	
AS5	Risk/fire assessments not up to date	1	Procedures and checks in place weekly for fire alarms where appropriate	Rangers & RFO	Action regular checks		Annual review of reports
<b>Finance</b>							
F1	Banking - Risk Exposure	2	Separate banking arrangements	Finance & Governance working group	Review bank performance as per Investment Policy	Mar-19	
F2	Risk of Council not being able to continue its business (because of share of building)	2	Scan all essential documents, server backed up	PM	<b>Prepare Business Continuity Plan</b>	Annual review	Not yet completed PSO tasked with this activity
F3	Loss of cash through theft or dishonesty	1	<b>Fidelity guarantee:</b> petty cash and banking checks part of internal scrutiny. Low petty cash balance	RFO	Review with insurers for levels	Annual review	Insurance cover adequate
F4	Failure of financial regulations	2	Financial Regulations reviewed annually. Internal audit process defined and agreed.	RFO	Revise due to RFO position Review quarterly as part of internal control checks	Mar-19	Error made in 19/20 but actions next to mitigate for future
F5	Internal Financial control failure	2	(1) Internal scrutineer completed monthly reviews of payments. (2) Two signatories on cheques required. (3) BACS transfer check and balances. (4) Clear document payment schedules	RFO & Lead Cllr F&G	Review Annually	Monthly	Updated internal control Mar 19
F6	Effectiveness of management of projects expenditure	2	Quarterly update at Full Council meeting. Councillors to sign off at key milestones. Project Toolkit to be reviewed/revise. Councillors to receive training in effective use	RFO and Council	Review the process		
F7	Direct costs, communication of finances and sound budgeting to underpin annual precept	1	Financial Regulations Budget meetings in Dec and Jan Project Toolkit Strategy and 4-year plan	RFO Lead Cllr F&G	Review Annually		
F8	Financial borrowing	1	Financial regulations and financial planning		Review as necessary		Re-evaluate in relation to MD project. Loans?
F9	Loss of sundry income streams	1	Survey user experience vs cost of events	RFO	Review requirement of current user needs		Low income levels
F10	Reserves are inadequate	3	Reserves Policy, risk assessments, budget process and replacement schedule	RFO PM F&G	Review before budget process starts	Sep-19	Council to confirm the reserve policy as required
F13	Non-compliance with HMRC regulations - VAT	4	Use helpline when necessary. VAT payments and claims calculated by Omega software. DCK advice sought on new projects	RFO/LCF	Action review of VAT de minimums planned	May-19	Agreed consultancy support
F14	Non-compliance with HMRC regulations - PAYE	1	Use helpline when necessary. On-line calculators used.	RFO/LCF	Review payroll contractor performance to date	Apr-19	
F15	Failure of long term investment	6	Review investment performance and confirm annual position to retain or deinvest.	RFO/ F&G working group	Action Annual council statement Review when monthly performance changes	May-19	Council should consider impact of Brexit on investment

Completed February 2019  
to be reviewed September 2019

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<b>Liability</b>							
merged with legal							
<b>Employer</b>							
E1	Failure to do appraisals and review of staff performance and conditions	3	Salary scales and pay awards Pensions Appraisals Training for all staff 4 times per year	PM	Action review by Resource group annually	Apr-19	
E2	Comply with Employment Law. Comply with HMRC requirements	1	Members of BALC, SLCC and Clerks Forum. Annual checks by internal and external auditor. Payroll provider advice sought	PM & Resourcing WG	React to advice from NALC and SLCC and payroll provider	As and when	
E3	Failure to do annual review of safety for staff and visitors. Non-compliance of duty of care for Staff, Councillors and visitors	3	Risk assessments and relevant policies	PM & Resourcing WG	Action complete policies review and handbook	Annual: December	not yet complete
E6	Failure to have adequate insurance to cover employer responsibility, accident cover , litigation libel slander and legal expenses	3	Insurance cover for the insurable risks	RFO	Review	Aug-19	
E7	Protection of staff from risk, injury and hazards	6	Training in: COSSH, Manual Handling Regulations, DSE assessment, Ergonomics	PM	Action complete training	Mar-19	note yet completed
<b>IT</b>							
I1	All aspects of IT safety protection, licenses, viruses, hardware, software and backup includes loss of data hacking , server security	3	Contract with one provider for all IT issues. Check contract for: virus protection, backups, firewall and anti-hacking measures	PM	Review contracts	Jul-19	review in line with L7
I2	Supplier solvency and sustainability / Failure of IT support partner	6	Process for recovery. Understand third party process. BC Plan. Annual review with partner	PM	Action: agree documentation of process and contract review meetings	As contracts renegotiated	
I3	Website used by GLPC, copy of content and web accessibility	2	Communications Ensure backup of site is taken monthly	Comms Officer	Revises 6 mths after implementation	Aug-19	
I7	Power cut to office	2	BCP to cover	PM	Check UPS available		
<b>Risk Elements to be removed from the Register</b>							
L1	Liabilities- public, employer, councillors and volunteers	3	Correct level of insurance	RFO	Review Annually	Aug-19	Merged into L7 1903
L4	Non-compliance with H&S law	3	Trained Clerk and Cllrs and adequate procedures and policies	Resources Working Group	Review policies and training	Dec-19	Same elements considered in Employer
AP4	Non-compliance with legislation	4	Insurance	PM & Lead Cllr	Review annually	Jul-19	Aspect included in other elements
F11	Error in contract management, authorisation and payment	2	Internal scrutiny review and monthly payment check	RFO F&G	Review quarterly	July, Oct, Jan, April	This element is covered by Financial regulations failure
F12 renumbered 18/02	Unexpected consequences of Community Asset Transfer Programme	3	Thorough evaluation of asset, its condition and maintenance costs before commitment	F&G working group	Revise as necessary	as required	CAT assets now business as usual
<b>Merged risks</b>							
E4	Failure to have necessary insurance/employer liability	3	Insurance up to £10,000,000. Annual insurance review	PM	Review	August	Merged into L7 1903
E5	Personal accident for employees, Councillors and volunteers	3	Insurance up to £50k to £200k, depending on injury type. Annual insurance review	PM	Review	August	Merged into L7 1903

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E6	Protection of the council against litigation, libel, slander and legal expenses	3	Insurance up to £250,000. Annual insurance review	PM	Review	August	Merged into L7 1903
L6	Non-compliance with data protection legislation, and poor document management / retention	3	Procedures and policy to cover GDPR including training	PM	Review	Aug-19	Merged into LE7 1