

RISK REGISTER

No	Risk description	Risk Likelihood (L)	Risk Impact (I)	Gross Risk (L X I)	Risk Owner	Mitigation	Key Controls	Residual Risk (L X I)	Risk Indicators
Financial Risks									
F1	Major fraud or corruption	3	4	12	Town Clerk Policy and Resources Committee	Invoice approval process for Officers. Changes to banking details of suppliers are checked. Payment processing is checked by 2 Officers. Cheques are signed by 2 approved Councillor signatories. Access to online banking restricted to Town Clerk and Deputy Clerk. Payments are subject to scrutiny by Policy and Resources Committee. Monthly banking reconciliation submitted for checking by Policy and Resources Committee. Forecast vs actual reports analysed by Policy and Resources Committee Fidelity insurance in place	Councillor checks Financial Regulations Internal/External audit regime	8 (2x4)	Financial errors identified. Inability to meet financial obligations. Police/legal action implemented.
F2	Financial errors leading to unexpected losses or	3	5	15	Town Clerk	Training provided to Council Officers.	Councillor checks Financial Regulations	8 (2x4)	Financial errors identified.

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	inability to achieve approved projects			12	Policy and Resources Committee	<p>Changes to banking details of suppliers are checked.</p> <p>Payment processing is checked by 2 Officers.</p> <p>Cheques are signed by 2 approved Councillor signatories.</p> <p>VAT reclaimed on a quarterly basis.</p> <p>Access to online banking restricted to Town Clerk and Deputy Clerk.</p> <p>Sector specific accounting software used</p> <p>Payments are subject to scrutiny by Policy and Resources Committee.</p> <p>Monthly banking reconciliation submitted for checking by Policy and Resources Committee.</p> <p>Forecast vs actual reports analysed by Policy and Resources Committee.</p>	Internal/External audit regime	6	Inability to meet financial obligations.
F3	Inadequate cash resources	3	4	12	Town Clerk	<p>Cash float kept in the safe.</p> <p>Float is balanced.</p>	Financial Regulations	6 (2x3)	Unable to meet cash demands

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							Internal/External audit regime		
F4	Lack of clarity of financial information provided to Councillors	4	4	16	Town Clerk	Sector specific accounting software used Open questioning of financial data supplied	Scrutiny by Policy and Resource Committee	9 (3x3)	Queries from Councillors
A1	Play Parks	4	4	16	Town Clerk/Recreation & Amenities Committee	A minimum of weekly visual inspections conducted by trained ground staff inspect the Play Parks. Weekly written reports submitted. Small repairs are carried out by ground staff with more significant repairs carried out by qualified engineers. An annual inspection of the Play Parks carried out by an inspector who is a listed on the Register of Play Inspectors International Ltd. Grassed areas are regularly maintained by Grounds staff in accordance with the season.	Monitoring by Recreation and Amenities Committee. Where applicable Bingham Town Council subject to terms of lease. Annual review of asset register by Policy and Resources Committee Insurance provision Public Liability	12 (3x4)	Councillors identify a need to upgrade play equipment to reflect changes in how children play Complaints from members of the public. Accident or Injury reported

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				12		Provision in budget for repairs and maintenance and for refurbishment program. Land and play equipment included on asset register			
A2	Sports Clubs	3	4	12	Town Clerk/Recreation & Amenities Committee	Club pavilions are subject to an annual inspection in accordance with the terms of the lease. Pitches, grassed areas and any shrubbery is maintained in accordance with the season and the terms of the lease. Provision made in budget.	Monitoring by Recreation and Amenities Committee. Leases with the Sports Clubs Annual review of asset register by Policy and Resources Committee	6 (2x3)	Councillors and/or Sports Club Committee identify a need to upgrade amenities
A3	Cemetery	3	4	16	Town Clerk/Recreation & Amenities Committee	Bingham Town Council is the Burial Authority. Town Clerk trained in cemetery management and operation. Grounds staff check and maintain the upkeep of the area. Provision made in budget	Monitoring by Recreation and Amenities Committee Annual review of asset register by Policy and Resources Committee Insurance provision Public Liability	6 (2x3)	Complaints from members of the public or Funeral Directors. Accident or injury reported
A4	Linear Park	3	2	6	Town Clerk/Recreation &	Friends of Bingham Linear Park inspect and make the Council aware of issues and host maintenance days.	Monitoring by Recreation and Amenities Committee	4 (2x2)	Complaints from the Friends of Linear Park Committee and/or

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					Amenities Committee	Grounds staff cut grass along a section of the Park and respond to requests made via Friends of Bingham Linear Park Committee. Provision made in budget	Annual review of asset register by Policy and Resources Committee Public Liability		members of the public. Ecology Report is out of date so residents abutting the Linear Park access the Park to cut back trees
A5	Old Court House	3	4	12	Town Clerk/Recreation & Amenities Committee	General monitoring of condition of building Contractors carry out some maintenance checks of equipment/systems as determined by their maintenance schedule Provision made in budget	Monitoring by Recreation and Amenities Committee January 2012 partial building survey Annual review of asset register by Policy and Resources Committee Insurance provision Public Liability	12 (3x4)	Noticeable decay in building fabric Complaints from staff, tenants or room hire groups
A6	Allotments	1	2	2	Town Clerk/Recreation & Amenities Committee	Allotment Management in place although not all allotment holders are members. Tenancy agreements Provision made in budget	Monitoring by Recreation and Amenities Committee Terms of lease from Rushcliffe Borough Council.	2 (1x2)	Conflict between allotment holders Allotments become vacant or are left in a dormant state

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							Annual review of asset register by Policy and Resources Committee		
A7	Warner's Paddock	1	1	1	Town Clerk/Recreation & Amenities Committee	Land leased from Crown Estate with a yearly tenancy agreement in place	Monitoring by Recreation and Amenities Committee Terms within leases Annual review of asset register by Policy and Resources Committee	1	
A8	Other pockets of land either leased or owned	1	1	1	Town Clerk/Recreation & Amenities Committee	Grounds staff check and maintain the upkeep of these areas. Provision made in budget	Monitoring by Recreation and Amenities Committee Terms of lease Annual review of asset register by Policy and Resources Committee Public Liability	1	Complaints from members of the public
A9	Former Allotment site	2	4	8	Town Clerk/Recreation	Site perimeters have metal fencing to prevent access.	On Rushcliffe Borough Council's Contaminated Land Register	6 (2x3)	Reports from members of the public regarding

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					n & Amenities Committee		Annual review of asset register by Policy and Resources Committee Insurance provision Internal/External audit regime		potential unlawful access.
A10	Trees	3	3	9	Town Clerk/Recreation & Amenities Committee	Annual tree inspection by professional arboriculturist. Report of priority actions produced. Tree works carried out throughout the year by professional arboriculturist Provision made in budget	Necessary permissions obtained for tree works especially within the Conservation Area. Annual review of asset register by Policy and Resources Committee Insurance provision	3 (1x3)	Queries or complaints from members of the public
A11	Utility Vehicle	2	2	4	Town Clerk/Policy & Resources Committee	Service plan Supplier local to area Manufacturer has plant local to area Risk assessments	Policy & Resources Committee Annual review of asset register by Policy and Resources Committee Insurance provision	2 (1x2)	Break down of vehicle
A12	Grounds Maintenance Equipment	2	2	4	Town Clerk/Policy &	Service plans in place	Policy & Resources Committee	2 (1x2)	Equipment failure

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					Resources Committee	Maintenance depots local to area Risk assessments	Annual review of asset register by Policy and Resources Committee Insurance provision		
A13	Other assets	2	2	4	Town Clerk/Policy & Resources Committee	Where appropriate service plans in place Risk assessments	Annual review of asset register by Policy and Resources Committee Insurance provision	2 (1x2)	Equipment failure
Staffing Risks									
S1	Staff with no written contracts of employment	5	4	20	Town Clerk & Policy & Resources	HR Consultants in place and will carry out review and make recommendations so all staff have contracts and job descriptions	Letter of understanding in place Verbal contract in place Observing NJC terms in line with employees with contracts Policy & Resources Committee	0	
S2	Staff holidays / illness	3	4	12	Town Clerk	Holiday rota system in place 5 x P/T Officers provides flexibility of cover within a reduced service or extended time frame	Policy & Resources Committee Seek advice from retained HR Consultants	6 (2x3)	Office closures Query/complaints from members of the public

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						<p>Continuity of cover by Deputy Clerk when Town Clerk is off work.</p> <p>3 x F/T Grounds staff allows for a limited level of cover within a reduced service or extended time frame which will be exacerbated in the grass growing season.</p>			
S3	Failure to retain/recruit key staff	3	5	15	Town Clerk/Policy & Resources Committee	<p>Review job description</p> <p>NJC terms and conditions</p> <p>Appraisal process</p> <p>Independent review to check if role is commensurate with salary</p> <p>Appropriate notice periods in place for key staff</p>	<p>NALC/SLCC guidance and advice</p> <p>Seek advice from HR Consultants</p>	8 (2x4)	<p>Staffing issues</p> <p>Capacity issues</p>
S4	Failure to communicate effectively with staff	3	4	12	Town Clerk/Policy & Resources Committee	<p>Regular consultation with Town Clerk</p>	<p>NALC/SLCC guidance and advice</p> <p>Seek advice from HR Consultants</p>	9 (2x3)	<p>Appraisal process</p> <p>Town Clerk feedback</p>

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S5	Failure to communicate effectively between staff	3	4	12	Town Clerk/Policy & Resources Committee	<p>Consultation with Town Clerk</p> <p>Confidential access to Mayor or Deputy Mayor if concerns are raised relating to the Town Clerk</p>	<p>NALC/SLCC guidance and advice</p> <p>Seek advice from HR Consultants</p>	9 (3x3)	<p>Atmosphere in office</p> <p>Incomplete or time delayed work</p> <p>Stress levels</p> <p>Staff absence</p> <p>Concerns raised by Councillors and/or members of the public</p>
S6	Failure to provide training /career development (Staff & Councillors)	2	4	8	Town Clerk/Policy & Resources Committee	Bingham Town Council subscribes to several bodies who supply a range of training to staff across their range of responsibilities and in support of Councillors in their roles to Council and its Committees.	<p>Appraisal process</p> <p>Training and Development plans</p> <p>Code of Conduct</p> <p>Standing Orders</p>	6 (2x3)	<p>Appraisal process</p> <p>Town Clerk feedback</p> <p>Complaint from member of the public</p> <p>Councillor acts ultra vires</p>
S7	Excessive levels of stress or other work related illnesses	4	5	20	Town Clerk/Policy & Resources Committee	<p>Staff to have more frequent consultations with the Town Clerk.</p> <p>Full use of leave allocation</p> <p>Flexibility in working practices as far as practicable</p>	<p>Appraisal process</p> <p>Seek advice from HR Consultants</p> <p>Role of Occupational Health companies</p>	15 (3x5)	<p>Staff absence</p> <p>Staff capacity</p> <p>Incomplete or time delayed work</p>

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						SLCC support service			
S8	Staffing Capacity	4	5	20	Town Clerk/ Policy & Resources Committee	Policy & Resource Committee review staffing aspects and capacity issues Extra staff taken on for special projects Regular events have defined planning processes SLCC support service	Additional administrative staff being recruited Grounds staff responsibilities under review Appraisal process Projects/additional work considered on its merits Event planning Seek advice from HR Consultants	15 (3x5)	Stress levels Staff absence Incomplete or time delayed work
IT Risks									
I1	Failure of back-up systems	3	4	12	Town Clerk	Considering additional cloud back up provision	Back up model	8 (2x4)	No back up data
I2	Server failure	3	4	12	Town Clerk	Back up regime in place	Back up model	8 (2x4)	System failure
I3	Data corruption	3	4	12	Town Clerk	Virus controls in place Back up regime in place	Back up model IT Policy	8 (2x4)	System failure or corrupted material
I4	Virus or other corruptive elements	3	4	12	Town Clerk	Virus controls in force	Back up model IT Policy	8 (2x4)	System failure or corrupted material
I5	Infiltration	3	5	15	Town Clerk	Virus controls in place	Security coded server	8 (2x4)	System failure or corrupted material
I6	Failure to comply with Data Protection Act	3	5	15	Town Clerk	Staff awareness training and advice	NALC guidance	8 (2x4)	Failure notifications received or third

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									party makes Council aware of issue
17	Failure of IT systems, networks or suppliers	3	5	15	Town Clerk	Equipment agreements in place Technical assistance readily available	Financial Regulations	8 (2x4)	System errors or failure
18	Failure to comply with software licence agreements	3	4	12	Town Clerk	Key consideration in any discussions on IT matters	Compliance with agreements controlled by Town Clerk	8 (2x4)	Failure notifications received or third party makes council aware of issue
19	Access to email system once a Councillor resigns	3	5	15	Town Clerk	Access to email system is revoked with email account locked down. Email account is deleted after 3 months	Compliance with agreements controlled by Town Clerk	8 (2x4)	Breach of Data Protection
Partnership Risks									
P1	Delay by local authority or other statutory body in carrying out work pursuant to its legal obligations	3	5	15	Town Clerk/ Committee Chairs	Full consultation with all agencies Partnership approach taken by Bingham Town Council	Regular Committee reporting Agency consultation processes	8 (2x4)	Complaints from stakeholders Consultation with partners
P2	Strike or other actions by partnership bodies staff	2	4	8	Town Clerk	Regular consultation by Bingham Town Council ensures awareness	Agency consultation processes	6 (2x3)	Complaints from stakeholders Consultation with partners

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P3	Police Liaison - Priorities	3	4	12	Community & Environment Committee	<p>Priorities regularly reviewed at Priority setting meetings with local police</p> <p>Police report (irregularly) to Community and Environment Committee</p> <p>Additional liaison with Positive Futures Bingham</p>	Regular Committee reporting	9 (3x3)	<p>Increase in criminal activity</p> <p>Increase in complaints</p>
P4	Risk of financial pressures on Bingham Town Council from failure of partner organisations	3	4	12	Town Clerk/ Policy & Resources Committee	Bingham Town Council representatives on outside body committee	<p>Copies of minutes etc provided to Bingham Town Council</p> <p>Structured formal reports by Councillors to Council</p>	6	<p>Complaints from stakeholders</p> <p>Contractors make contact with Bingham Town Council</p>
Reputational Risk									
R1	Failure to identify specialist communication	3	5	15	Town Clerk	<p>Advice of other agencies sought where required</p> <p>Nature and means of communication is regularly undertaken in respect of various minor projects</p> <p>Major projects would be subject to separate communication strategy dependent upon need</p>		12 (3x4)	<p>Communication gaps</p> <p>Feedback from stakeholders</p> <p>Complaints</p>
R2	Problems caused by lack of a clear communications structure	3	5	15	Town Clerk/Mayor	Communication channels: Town Guide Website	Communication networks	8 (2x4)	Complaints

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	or protocol, resulting in mixed messages and lack of comprehension of Town Council role					Newsletter Councillor contact Council meetings Town Meeting Council office	Minutes Standing Orders		Negative feedback Negative media
R3	Failure to effectively manage media relations	3	5	15	Town Clerk/Mayor	Website accessible via 3 rd party supplier	Communication Strategy IT Policy Constitution SLCC Guidance	8 (2x4)	Negative media Negative feedback
R4	Qualified audit returned	3	4	12	Town Clerk	Council would consider and decide to act upon recommendations made by Internal Auditor Comply with public inspection rights	Financial Regulations Standing Orders Transparency Code for Larger Councils over £200,000	8 (2x4)	Queries from external auditor
Legal Risks									
L1	Failure to comply with key legislative requirements	2	5	10	Town Clerk & Councillors	Access to advice area such as NALC and professional advice from Nottingham County Council and Rushcliffe Borough Council	Standing Orders Financial Regulations	8 (2x4)	Notification of failure Constitution has not been reviewed
L2	Legal costs attributed to removal of trespassers from Bingham Town Council land	3	4	12	Town Clerk, Councillors & 3 rd party organisations	Security high priority in both managed and leased land Good Communications Key financial risk passed on by insurance provision	Security highlighted during management meetings with third parties and with grounds staff		Travellers camp on Bingham Town Council land
Corporate Risks									

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C1	Disaster management – loss of building, facility or infrastructure	3	5	15	Town Clerk, Councillors & 3 rd party organisations	Nottinghamshire County Council Disaster Plan Alarm Systems Health and Safety Compliance Fire Controls Officers ability to work from home		8 (2x4)	Fire, flood or other natural disaster Notification of entry failure
C2	Failure to meet changing stakeholder requirements	4	5	20	Policy & Resources	Councillor engagement Business connections Bingham Town Council communication channels		12 (3x4)	Feedback Failure to follow constitutional requirements Issues with governance and negative feedback
C3	Changes in political organisation lead to uncertainty of direction	4	4	16	Town Clerk & Mayor	Councillors work in partnership to seek consensus (or majority view) on direction	Standing Orders Committee Structure	9 (3x3)	Conflict in Council meetings
C4	Raising expectations and then not delivering	4	4	16	Town Clerk & Council	Project priorities set Bingham Town Council communication channels Councillor engagement Business connections Regular policy reviews	Feedback from	9 (3x3)	Negative media Staff frustrations Negative stakeholder feedback
C5	Councillor / staffing relationships deteriorate	4	4	16	Town Clerk, Chair of	Meeting between Town Clerk, Chair of Personnel and the	Code of Conduct Appraisal Process	9 (3x3)	Conflicts of interest

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				12	Personnel Committee & Mayor	Mayor to ascertain circumstances of deterioration.	NALC/SLCC guidance and advice Seek advice from HR Consultants Training provision		Staffing or Councillor criticism Atmosphere in office Stress levels Staff absence Incomplete or time delayed work
C6	Failure to effectively communicate with stakeholders	3	4	12	Town Clerk	Councillor engagement Business connections Bingham Town Council communication channels		9 (3x3)	Information gaps Outcome failure Negative feedback
Event Planning									
E1	Event Management	4	4	16	Town Clerk & Community & Environment Committee	Committee consideration Councillor input Partnership approach with local schools, Nottinghamshire County Council, Rushcliffe Borough Council and others Risk Assessments	Legal orders Event planning Appropriate licences in place	9 (3x3)	Health and Safety incident Lack of attendance Complaints