

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, Deputy Clerk and 1 Admin Assistant 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 Policy and | Training provided to officers. | Councillor checks Financial Regulations | 8 (2x4) | Financial errors identified. |

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| | inability to achieve approved projects | | | | 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, Deputy Clerk and 1 Admin Assistant</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 | | 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 |
| Risks to Assets | | | | | | | | | |
| 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. Refurbishment programme of 3 Play Parks underway. Grassed areas are regularly maintained by Grounds staff in | 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) | Complaints from members of the public. Accident or Injury reported |

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| | | | | | | <p>accordance with the season.</p> <p>Provision in budget for repairs and maintenance and for refurbishment program.</p> <p>Land and play equipment included on asset register</p> | | | |
| A2 | Sports Clubs | 3 | 4 | 12 | Town Clerk/ Recreation & Amenities Committee | <p>Club pavilions are subject to an annual inspection in accordance with the terms of the lease. The Rugby Club Pavilion is the subject of an initial re-development study.</p> <p>Pitches, grassed areas and any shrubbery is maintained in accordance with the season and the terms of the lease.</p> <p>Provision made in budget.</p> | <p>Monitoring by Recreation and Amenities Committee.</p> <p>There are plans to update both leases with the Sports Clubs</p> <p>Annual review of asset register by Policy and Resources Committee</p> | 6 (2x3) | Councillors and/or Sports Club Committee identify a need to upgrade amenities |
| A3 | Cemetery | 4 | 4 | 16 | Town Clerk/ Recreation & Amenities Committee | <p>Bingham Town Council is the Burial Authority.</p> <p>Town Clerk, Deputy Clerk and 1 Admin Assistant trained in cemetery management and operation. There is a review programme in place to check protocols and to consider changes in the public's perceptions.</p> | <p>Monitoring by Recreation and Amenities Committee</p> <p>Annual review of asset register by Policy and Resources Committee</p> <p>Insurance provision</p> <p>Public Liability</p> | 12 (3x4) | <p>Complaints from members of the public or Funeral Directors.</p> <p>Accident or injury reported</p> |

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| | | | | 6 | | <p>Grounds staff check and maintain the upkeep of the area.</p> <p>Provision made in budget</p> | | | |
| A4 | Linear Park | 3 | 2 | 6 | Town Clerk/ Recreation & Amenities Committee | <p>Friends of Bingham Linear Park inspect and make the Council away of any issues and host maintenance days.</p> <p>Grounds staff cut grass along a section of the Park and respond to requests made via Friends of Bingham Linear Park Committee.</p> <p>Provision made in budget</p> | <p>Monitoring by Recreation and Amenities Committee</p> <p>Annual review of asset register by Policy and Resources Committee</p> <p>Friends of Bingham Linear Park have introduced their new Management Plan</p> <p>Work is happening in collaboration</p> <p>Public Liability</p> | 4 (2x2) | <p>Complaints from the Friends of Linear Park Committee and/or members of the public.</p> <p>Residents abutting the Linear Park access the Park to cut back trees which can negatively impact the eco-system</p> |
| A5 | Old Court House | 3 | 4 | 12 | Town Clerk/ Recreation & Amenities Committee | <p>General monitoring of condition of building</p> <p>Contractors carry out some maintenance checks of equipment/systems as determined by their maintenance schedule</p> <p>Provision made in budget</p> | <p>Monitoring by Recreation and Amenities Committee</p> <p>January 2012 partial building survey</p> <p>Annual review of asset register by Policy and Resources Committee</p> <p>Insurance provision</p> <p>Public Liability</p> | 12 (3x4) | <p>Noticeable decay in building fabric</p> <p>Complaints from staff, tenants or room hire groups</p> |

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| 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. Annual review of asset register by Policy and Resources Committee | 2 (1x2) | Conflict between allotment holders Allotments become vacant or are left in a dormant state Review of tenancy agreement will take place to reflect best practice |
| 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 | Tree damage Clarification needed in relation to tree responsibilities |
| 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 & Amenities Committee | 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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| | | | | | | | Annual review of asset register by Policy and Resources Committee Insurance provision | | 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 through-out the year by professional arboriculturist or staff 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 at manufacturers recommended intervals 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 & Resources Committee | Annual Services Maintenance depots local to area Risk assessments | Policy & Resources Committee Annual review of asset register by Policy and Resources Committee Insurance provision | 2 (1x2) | Equipment failure |

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| 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 | All staff have written contracts with the exception of the Town Clerk. Which is being finalised. Observing NJC terms in line with employees with contracts Policy & Resources Committee | 5 (5x1) | |
| 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. Currently only 4 x P/T Officers. Where practicable, continuity of cover by Deputy Clerk when Town Clerk is off work. 3 x F/T Grounds staff allows for a limited level of | Policy & Resources Committee Seek advice from retained HR Consultants Staffing review has been commissioned | 6 (2x3) | Office closures Query/complaints from members of the public |

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| | | | | | | cover within a reduced service or extended time frame which will be exacerbated in the grass growing season. Currently only 2 x F/T Grounds staff | | | |
| S3 | Failure to retain/recruit key staff | 5 | 5 | 25 | Town Clerk/ Policy & Resources Committee | Review job description NJC terms and conditions Appraisal process Independent review to check if role is commensurate with salary Appropriate notice periods in place for key staff | SLCC guidance and advice Seek advice from HR Consultants Staffing review recommendations to be considered | 25 (5x5) | Staffing issues Capacity issues Stress levels Staff absence Incomplete or time delayed work |
| S4 | Failure to communicate effectively with staff | 5 | 5 | 25 | Town Clerk/ Policy & Resources Committee | Strategic direction set by Council | SLCC guidance and advice Seek advice from HR Consultants | 20 (4x5) | Appraisal process Town Clerk feedback Incomplete or time delayed work |
| S5 | Failure to communicate effectively between staff | 3 | 4 | 12 | Town Clerk/ Policy & Resources Committee | Consultation with Town Clerk Confidential access to Mayor or Deputy Mayor if concerns are raised relating to the Town Clerk One to one meetings Staff meetings | SLCC guidance and advice Seek advice from HR Consultants | 9 (3x3) | Atmosphere in office Incomplete or time delayed work Stress levels Staff absence Concerns raised by Councillors |

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| | | | | | | | | | and/or members of the public |
| S6 | Failure to provide training /career development (Staff & Councillors) | 3 | 4 | 12 | Town Clerk/ Policy & Resources Committee | <p>Bingham Town Council has not renewed its subscription to NALC but is still able to access their range of training to staff across their range of responsibilities and in support of Councillors in their roles to Council and its Committees.</p> <p>The Town Clerk and Deputy Clerk retain their membership of the SLCC for training and advice.</p> <p>There are training budgets for Councillors and staff</p> | <p>Appraisal process</p> <p>Training and Development plans</p> <p>Code of Conduct</p> <p>Standing Orders</p> | 9 (3x3) | <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 | 5 | 5 | 25 | Town Clerk/ Policy & Resources Committee | <p>Staff to have frequent consultations with the Town Clerk.</p> <p>In the event of the Town Clerk, more frequent meetings with the Clerk's appraisal team</p> <p>Full use of leave allocation</p> <p>Flexibility in working practices as far as practicable</p> <p>SLCC support service</p> | <p>Appraisal process</p> <p>Seek advice from HR Consultants</p> <p>Role of Occupational Health companies</p> | 25 (5x5) | <p>Staff absence</p> <p>Staff capacity</p> <p>Incomplete or time delayed work</p> |

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| S8 | Staffing Capacity | 5 | 5 | 25 | 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 | Staffing review recommendations to be considered Grounds staff responsibilities under review Appraisal process Projects/additional work considered on its merits Event planning Seek advice from HR Consultants | 25 (5x5) | Stress levels Staff absence Incomplete or time delayed work |
| IT Risks | | | | | | | | | |
| I1 | Failure of back-up systems | 3 | 4 | 12 | Town Clerk | Cloud back up provision in place in line with IT contract recommendations | Back up model | 8 (2x4) | No back up data |
| I2 | Server failure | 3 | 4 | 12 | Town Clerk | Automatic back up regime in place with IT contractor | 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 | 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 the General Data Protection Regulations and Data Protection Act | 3 | 5 | 15 | Town Clerk | Staff awareness training and advice | | 8 (2x4) | Failure notifications received or third party makes Council aware of issue |

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| 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 | 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 |
| P3 | Police Liaison - Priorities | 3 | 4 | 12 | Community & Environment Committee | Priorities regularly reviewed at Priority setting meetings with local police Police report (irregularly) to Community and Environment Committee | Regular Committee reporting | 9 (3x3) | Increase in criminal activity Increase in complaints |

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| | | | | | | Additional liaison with Positive Futures Bingham | | | |
| 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 committees | Copies of minutes etc provided to Bingham Town Council Structured formal reports by Councillors to Council | 6 | Complaints from stakeholders Contractors make contact with Bingham Town Council |
| Reputational Risk | | | | | | | | | |
| R1 | Failure to identify specialist communication | 3 | 5 | 15 | Town Clerk | Advice of other agencies sought where required Nature and means of communication is regularly undertaken in respect of various minor projects Major projects would be subject to separate communication strategy dependent upon need | | 12 (3x4) | Communication gaps Feedback from stakeholders Complaints |
| R2 | Problems caused by lack of a clear communications structure or protocol, resulting in mixed messages and lack of comprehension of Town Council role | 3 | 5 | 15 | Town Clerk/ Mayor | Communication channels: Town Guide Website Newsletter Councillor contact Council meetings Town Meeting Council office | Communication networks Minutes Standing Orders | 12 (3x4) | Complaints Negative feedback Negative media |
| R3 | Failure to effectively manage media relations | 3 | 5 | 15 | Town Clerk/ Mayor | Meeting between Town Clerk, Chair of Policy & Resources and the Mayor to ascertain how to return to an equilibrium Work with parties concerned to ascertain | | 8 (2x4) | Negative media Negative feedback |

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| | | | | | | how to return to an equilibrium Action plan co-ordinated by Town Clerk | | | |
| 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 professional advice from Nottingham County Council and Rushcliffe Borough Council | Standing Orders Financial Regulations | 8 (2x4) | Notification of failure |
| 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 | 8 (2x4) | Travellers camp on Bingham Town Council land |
| | | | | | | | | | |

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| | | | | | | | | | |
| Corporate Risks | | | | | | | | | |
| 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 Town Clerk and Deputy ability to work from home Website accessible via 3 rd party supplier | Emergency Plan to be developed which may extend to how the Town Council maintains continuity of operation | 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 | | 16 (4x4) | Feedback Issues with governance and negative feedback |

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| 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 | 16 (4x4) | New term of Council will commence in May. Conflict in Council meetings |
| C4 | Raising expectations and then not delivering | 4 | 5 | 20 | Town Clerk/ Council | Project priorities set Bingham Town Council communication channels Councillor engagement Business connections Regular policy reviews | Feedback | 20 (4x5) | Negative media Staff frustrations Councillor frustrations Negative stakeholder feedback |
| C5 | Councillor / staffing relationships deteriorate | 5 | 5 | 25 | Town Clerk, Chair of Policy & Resources & Mayor | Meeting between Town Clerk, Chair of Policy & Resources and the Mayor to ascertain circumstances of deterioration. | Code of Conduct Appraisal Process SLCC guidance and advice Seek advice from HR Consultants Training provision | 25 (5x5) | Conflicts of interest 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 | | 9 (3x3) | Information gaps Outcome failure |

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| | | | | | | Bingham Town Council communication channels | | | 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 |

Key:

| Likelihood | | Impact | | | | |
|---------------|---|--------|----------|--------|-------|----------|
| | | Minor | Moderate | Severe | Major | Critical |
| | | 1 | 2 | 3 | 4 | 5 |
| Highly Likely | 5 | 5 | 10 | 15 | 20 | 25 |
| Likely | 4 | 4 | 8 | 12 | 16 | 20 |
| Occasional | 3 | 3 | 6 | 9 | 12 | 15 |
| Unlikely | 2 | 2 | 4 | 6 | 8 | 10 |
| Very Unlikely | 1 | 1 | 2 | 3 | 4 | 5 |

Considered by Policy and Resources Committee – 02 April 2019