

## 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
<b>Financial Risks</b>									
F1	Major fraud or corruption	3	4	12	Town Clerk  Policy and Resources Committee	<p>Invoice approval process for Officers.</p> <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>Access to online banking restricted to Town Clerk, Deputy Clerk and 1 Admin Assistant</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> <p>Fidelity insurance in place</p>	<p>Councillor checks</p> <p>Financial Regulations</p> <p>Internal/External audit regime</p>	8 (2x4)	<p>Financial errors identified.</p> <p>Inability to meet financial obligations.</p> <p>Police/legal action implemented.</p>
F2	Financial errors leading to unexpected losses or	3	5	15	Town Clerk  Policy and	<p>Training provided to officers.</p>	<p>Councillor checks</p> <p>Financial Regulations</p>	8 (2x4)	<p>Financial errors identified.</p>

**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
	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

## 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
							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
<b>Risks to Assets</b>									
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

## 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
						<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>

**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
				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 aware 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>	9 (2x3)	<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/ Policy & Resources 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 Policy &amp; Resources Committee</p> <p>January 2012 partial building survey</p> <p>Annual review of asset register by Policy and Resources Committee</p> <p>Building is alarmed by zones</p>	12 (3x4)	<p>Noticeable decay in building fabric</p> <p>Complaints from staff, tenants or room hire groups</p>

## 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
							Access into the building is controlled by a key and fob system  Insurance provision  Public Liability		
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	1	Complaints from members of the public

## 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
							Annual review of asset register by Policy and Resources Committee  Public Liability		
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  Annual review of asset register by Policy and Resources Committee  Insurance provision	6 (2x3)	Reports from members of the public regarding 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 &	Annual Services	Policy & Resources Committee	2 (1x2)	Equipment failure

## 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
					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
<b>Staffing Risks</b>									
S1	Staff with no written contracts of employment	3	2	6	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  Observing NJC terms in line with employees with contracts  Policy & Resources Committee	3 (1x3)	
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.	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



## 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
						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. 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	9 (3x3)	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

## 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
									Concerns raised by Councillors and/or members of the public
S6	Failure to provide training /career development (Staff & Councillors)	3	4	12	Town Clerk/ Policy & Resources Committee	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.  The Town Clerk and Deputy Clerk retain their membership of the SLCC for training and advice.  There are training budgets for Councillors and staff	Appraisal process  Training and Development plans  Code of Conduct  Standing Orders	9 (3x3)	Appraisal process  Town Clerk feedback  Complaint from member of the public  Councillor acts ultra vires
S7	Excessive levels of stress or other work-related illnesses	5	5	25	Town Clerk/ Policy & Resources Committee	Staff to have frequent consultations with the Town Clerk.  In the event of the Town Clerk, more frequent meetings with the Clerk's appraisal team  Full use of leave allocation  Flexibility in working practices as far as practicable	Appraisal process  Seek advice from HR Consultants  Role of Occupational Health companies	16 (4x4)	Staff absence  Staff capacity  Incomplete or time delayed work

## 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
						SLCC support service			
S8	Staffing Capacity	5	5	25	Town Clerk/ Policy & Resources Committee	<p>Policy &amp;Resource Committee review staffing aspects and capacity issues</p> <p>Extra staff taken on for special projects</p> <p>Regular events have defined planning processes</p> <p>SLCC support service</p>	<p>Staffing review recommendations to be considered</p> <p>Grounds staff responsibilities under review</p> <p>Appraisal process</p> <p>Projects/additional work considered on its merits</p> <p>Event planning</p> <p>Seek advice from HR Consultants</p>	25 (5x5)	<p>Stress levels</p> <p>Staff absence</p> <p>Incomplete or time delayed work</p>
<b>IT Risks</b>									
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

## 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
17	Failure of IT systems, networks or suppliers	3	5	15	Town Clerk	Equipment agreements in place  Technical assistance readily available	Financial Regulations	9 (3x3)	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	9 (3x3)	Breach of Data Protection
<b>Partnership Risks</b>									
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	10 (2x5)	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	8 (2x4)	Increase in criminal activity  Increase in complaints

## 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
						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
<b>Reputational Risk</b>									
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		10 (2x5)	Negative media  Negative feedback

## 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
						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	6 (2x3)	Queries from external auditor
<b>Legal Risks</b>									
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 <sup>rd</sup> 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
<b>Corporate Risks</b>									
C1	Disaster management – loss of building, facility or infrastructure	3	5	15	Town Clerk, Councillors & 3 <sup>rd</sup> party organisations	Nottinghamshire County Council Disaster Plan  Alarm Systems  Health and Safety Compliance  Fire Controls	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

## 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
						Town Clerk and Deputy ability to work from home  Website accessible via 3 <sup>rd</sup> party supplier			
C2	Failure to meet changing stakeholder requirements	4	5	20	Policy & Resources	Councillor engagement  Business connections  Bingham Town Council communication channels		12 (3x4)	Feedback  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	6 (2x3)	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	25 (5x5)	Conflicts of interest  Staffing or Councillor criticism  Atmosphere in office

**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
							Training provision		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		16 (4x4)	Information gaps Outcome failure Negative feedback
<b>Event Planning</b>									
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 and recommended to Full Council  
Full Council at its meeting on 16 April 2019 resolved to adopt the document, minute reference 6c.