

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, Resources and Major Projects Committee	Invoice approval process for Officers. Changes to banking details of suppliers are checked. Payment processing is checked by 2 Officers. Payments and cheques are signed by 2 approved Councillor signatories. Access to online banking restricted to Town Clerk, and 1 Admin Assistant Payments are subject to scrutiny by the Policy, Resources and Major Projects Committee. Monthly banking reconciliations submitted for checking by Policy, Resources and Major Projects Committee. Forecast vs actual reports analysed by Policy, Resources and Major Projects Committee Fidelity insurance in place	Councillor checks Financial Regulations Internal/External audit regime Internal Controls reviewed at least annually Payment limits set within online banking	8 (2x4)	Financial errors identified. Inability to meet financial obligations. Police/legal action implemented.

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F2	Financial errors leading to unexpected losses or inability to achieve approved projects	3	5	15	Town Clerk Policy, Resources and Major Projects Committee	<p>Training provided to 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>VAT reclaimed on a quarterly basis.</p> <p>Access to online banking restricted to Town Clerk, and 1 Admin Assistant</p> <p>Sector specific accounting software used</p> <p>Payments are subject to scrutiny by Policy, Resources and Major Projects 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>Councillor checks</p> <p>Financial Regulations</p> <p>Internal/External audit regime</p> <p>Internal Controls reviewed at least annually</p> <p>Payment limits set within online banking</p>	8 (2x4)	<p>Financial errors identified.</p> <p>Inability to meet financial obligations.</p>

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F3	Inadequate cash resources	3	4	12	Town Clerk	Cash float kept in the safe. Float is balanced with every transaction and reconciled monthly.	Financial Regulations Internal/External audit regime	6 (2x3)	Unable to meet cash demands
F4	Lack of clarity of financial information provided to Councillors	3	3	9	Town Clerk	Sector specific accounting software used Open questioning of financial data supplied	Scrutiny by Policy, Resources and Major Projects Committee	6 (2x3)	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 contractors. An annual inspection of the Play Parks carried out by a qualified inspector supplied by ROSPA. Refurbishment programme of 2 Play Parks completed. 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, Resources and Major Projects Committee Insurance provision Public Liability ROSPA Reports Accidents reported are logged and insurance is informed	9 (3x3)	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 any refurbishment program.</p> <p>Land and play equipment included on asset register</p>			
A2	Sports Clubs	3	3	9	Town Clerk/ Recreation & Amenities Committee	<p>Club pavilions are subject to inspections 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>Clubs to have insurance including public liability insurance in place</p>	<p>Monitoring by Recreation and Amenities Committee.</p> <p>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, Admin Assistants are trained in cemetery management and operation. There is a review programme in</p>	<p>Monitoring by Recreation and Amenities Committee</p> <p>Annual review of asset register by Policy and Resources Committee Insurance provision</p>	12 (3x4)	<p>Complaints from members of the public or Funeral Directors.</p> <p>Accident or injury reported</p>

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						<p>place to check protocols and to consider changes.</p> <p>Grounds staff check and maintain the upkeep of the area.</p> <p>Provision made in budget</p> <p>Staff trained in memorial testing for the testing of all monuments in the cemetery.</p> <p>Graves shored and prepared by experienced contractor</p>	Public Liability		
A4	Linear Park	3	2	6	Town Clerk/ Recreation & Amenities Committee	<p>Friends of Bingham Linear Park and Ground Staff inspect and make the Council away of any issues.</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 follow a 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	General monitoring of condition of building	Monitoring by Recreation and Amenities Committee	9 (3x3)	Noticeable decay in building fabric

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						<p>Contractors carry out maintenance checks of equipment/systems as determined by their maintenance schedule</p> <p>Provision made in budget</p> <p>Building survey to plan for long term maintenance and re-instatement costs</p>	<p>Building survey planned 2022</p> <p>Annual review of asset register by Policy and Resources Committee</p> <p>Insurance provision</p> <p>Public Liability</p>		Complaints from staff, tenants or room hire groups
A6	Allotments	2	2	4	Town Clerk/ Recreation & Amenities Committee	<p>Allotment Holder Association in place although not all allotment holders are members.</p> <p>Tenancy agreements</p> <p>Council membership of the National Allotment Society for advice</p> <p>Provision made in budget</p>	<p>Monitoring by Recreation and Amenities Committee</p> <p>Terms of lease from Rushcliffe Borough Council.</p> <p>Annual review of asset register by Policy and Resources Committee</p>	2 (1x2)	<p>Conflict between allotment holders</p> <p>Allotments become vacant or are left in a dormant state</p> <p>Review of tenancy agreement in 2022 with assistance of National Allotment Society</p>
A7	Warner's Paddock	1	1	1	Town Clerk/ Recreation & Amenities Committee	<p>Land leased from Crown Estate on a long-term grazing tenancy</p> <p>Grazing tenancy for horses permitted</p>	<p>Monitoring by Recreation and Amenities Committee</p> <p>Terms within leases</p> <p>Annual review of asset register by Policy and Resources Committee</p>	1	<p>Tree damage</p> <p>Site vacated by grazing tenant</p>

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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	3	4	12	Town Clerk/ Recreation & Amenities Committee	Site perimeters have metal fencing to prevent access. All site access recorded with RBC Environmental Health	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	Tree inspection by professional arboriculturist. Takes place on an annual cycle allowing inspections to cycle between seasons 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	6 (2x3)	Queries or complaints from members of the public
A11	Utility Vehicle	2	2	4	Town Clerk/ Policy &	Service at manufacturers recommended intervals	Policy & Resources Committee	2 (1x2)	Break down of vehicle

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					Resources Committee	Supplier local to area Manufacturer has plant local to area Risk assessments	Annual review of asset register by Policy and Resources Committee Insurance provision		
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
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 - contracts of employment	3	3	9	Town Clerk/ Policy & Resources	Staff have written statement of terms in place. Council approved contract in place for all new starters.	All staff have written contracts on commencement of employment. Observing NJC terms in line with employees with contracts Policy & Resources Committee	2 (1x2)	

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S2	Staff holidays / illness	3	3	9	Town Clerk	<p>Holiday rota system in place 2 x P/T Officers and F/T Town Clerk. Staffing vacancies exist and holiday rota for time off.</p> <p>Locum meeting support sought for the Clerks holiday/sickness.</p> <p>2 x F/T Grounds staff allows for a limited level of cover with a reduced service during holidays/sickness</p>	<p>Policy & Resources Committee Office vacancy/s to be recruited</p> <p>Ground staff covered by contractors during leave if require</p>	6 (2x3)	<p>Office closures</p> <p>Query/complaints from members of the public</p> <p>Reduced service levels for Cllrs</p>
S3	Failure to retain/recruit key staff	5	4	20	Town Clerk/ Policy & Resources Committee	<p>Review job descriptions</p> <p>NJC terms and conditions</p> <p>Appraisal process and contact meetings</p> <p>Independent review undertaken of senior roles in 2021</p> <p>Appropriate notice periods in place for senior staff</p>	<p>Seek advice from HR Consultants</p> <p>Council reviewing staffing structure</p>	16 (4x4)	<p>Staffing issues</p> <p>Capacity issues</p> <p>Stress levels</p> <p>Staff absence</p> <p>Incomplete or time delayed work</p>
S4	Failure to communicate effectively with staff	4	4	20	Town Clerk/ Policy & Resources Committee	<p>Strategic direction set by Council</p> <p>Contact meetings with Clerk</p> <p>Staff meetings</p>	<p>HR Committee to support Clerk</p> <p>Clerk to write staff reports to HR Committee</p>	12 (3x4)	<p>Appraisal process</p> <p>Town Clerk feedback</p> <p>Incomplete or time delayed work</p>

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									Stress Levels
S5	Failure to communicate effectively between staff	3	4	12	Town Clerk/ Policy & Resources Committee	<p>Staff Handbook to confirm process for raising concerns relating to the Town Clerk</p> <p>One to one meetings</p> <p>Staff meetings</p> <p>Clerk to seek remedy for staffing concerns informally</p> <p>Staff Handbook to confirm processes of raising concerns formally</p>	<p>Staff Handbook being reviewed in line with NJC terms by East Midlands Councils</p> <p>Seek advice from Councils 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)	4	4	16	Town Clerk/ Policy & Resources Committee	<p>NALC membership allows Councillors to access training in support of their role.</p> <p>NALC training for staff offers sector specific courses to be attended in support of carrying out the Council's functions</p> <p>Sector specific training opportunities identified shared with Cllrs and Staff</p> <p>The Town Clerk retains membership of the SLCC for training and advice.</p>	<p>Appraisal process</p> <p>Training and Development plans</p> <p>Training and development policy and commitment</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>

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						Training budgets for Councillors and staff			
S7	Excessive levels of stress or other work-related illnesses	5	4	20	Town Clerk/ Policy & Resources Committee	Regular staff meetings with the Clerk if stress identified/reported 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 SLCC support service	Appraisal process Seek advice from Councils HR Consultants Role of Occupational Health companies	16 (4x4)	Staff absence Staff capacity Incomplete or time delayed work
S8	Staffing Capacity	5	4	20	Town Clerk/ Policy & Resources Committee	Vacancies to be advertised Extra staff taken on for special projects Locum support for the Clerk SLCC support service Event assistance from Community Volunteers	Staff levels to be reviewed within 6 months of vacancies being filled Grounds staff supported by outsourcing areas in response to workload Appraisal process Projects/additional work considered on its merits Seek advice from HR Consultants	16 (4x4)	Stress levels Staff absence Incomplete or time delayed work
IT Risks									

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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
11	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
12	Server failure	3	4	12	Town Clerk	Automatic back up regime in place with IT contractor	Back up model	8 (2x4)	System failure
13	Data corruption	3	4	12	Town Clerk	Virus controls in place Back up regime in place	Back up model	8 (2x4)	System failure or corrupted material
14	Virus or other corruptive elements	3	4	12	Town Clerk	Virus controls in force	Back up model	8 (2x4)	System failure or corrupted material
15	Infiltration	3	5	15	Town Clerk	Virus controls in place	Security coded server	8 (2x4)	System failure or corrupted material
16	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
17	Failure of IT systems, networks or suppliers	3	5	15	Town Clerk	Equipment agreements in place Technical assistance readily available	Back up model	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 within 3 months	Compliance with agreements controlled by Town Clerk	8 (2x4)	Breach of Data Protection

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						Councillors requested to delete digital/paper data in relation to Council business on resignation			
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 data shared with all councillors on receipt	Regular Committee reporting	9 (3x3)	Increase in criminal activity Increase in complaints
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	4	12	Town Clerk	Advice of other agencies sought where required Major projects would be subject to communication strategy dependent upon need		9 (3x3)	Communication gaps Feedback from stakeholders Complaints

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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	4	12	Town Clerk/ Mayor	Communication channels: Town Guide Website Newsletter Councillor contact Council meetings Town Meeting Council office	Communication networks Minutes Standing Orders	9 (3x3)	Complaints Negative feedback Negative media
R3	Failure to effectively manage media relations	3	4	12	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 how to return to an equilibrium Action plan co-ordinated by Town Clerk		6 (2x3)	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 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	3	4	12	Town Clerk, Councillors & 3 rd party	Security high priority in both managed and leased land	Security highlighted during management meetings with third	8 (2x4)	Travellers camp on Bingham Town Council land

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	from Bingham Town Council land				organisations	Good Communications Key financial risk passed on by insurance provision	parties and with grounds staff		
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	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

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						Health and Safety Compliance Fire Controls Town Clerk and Deputy ability to work from home Website accessible via 3 rd party supplier			
C2	Failure to meet changing stakeholder requirements	4	4	16	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	12 (3x4)	New term of Council will commence in May. 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	12 (3x4)	Negative media Staff frustrations Councillor frustrations Negative stakeholder feedback
C5	Councillor / staffing relationships deteriorate	4	5	20	Town Clerk, Chair of Policy & Resources & Mayor	Meeting between Town Clerk, Chair of Policy & Resources and the Mayor	Code of Conduct Appraisal Process	12 (3x4)	Conflicts of interest

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				12		to ascertain circumstances of deterioration.	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

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 and resolved to adopt the document at the meeting of Full Council on 22 March 2022, minute reference 13.