

	RUGELEY TOWN COUNCIL	
	MANUAL	

RISK ASSESSMENT REGISTER

Date created	Date adopted	Date last reviewed	Next review date
June 2017	5 July 2017	27 th November 2019	June 2020

Rugeley Town Council Risk Assessment Register

Very Likely	Acceptable Risk (medium – 2)	Unacceptable Risk (high – 3)	Unacceptable Risk (extreme – 5)
Likely	Acceptable Risk (low – 1)	Acceptable Risk (medium – 2)	Unacceptable Risk (high – 3)
Unlikely	Acceptable Risk (low – 1)	Acceptable Risk (low – 1)	Acceptable Risk (medium – 2)
Occurrence / Impact	Low	Moderate	High

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1 ORGANISATION

Ref	Risk	Probability	Impact	Policy	Responsible Person	Frequency of review
1.1	Loss of Town Clerk	Low	High	Maintain continuity via SPCA details of Locum Clerk service. Access all Council records via emergency procedures. All passwords to be kept in secure location.	Council Chairman	Quarterly
1.2	Loss of RFO	Low	High	SPCA assistance to be sought for locum RFO. Town Clerk to temporarily act as RFO	Clerk Chairman	Quarterly
1.3	Loss of Assistant Town Clerk	Low	Low	Position currently not filled	Town Clerk Chairman	Quarterly
1.4	Loss of IT data	Low	Medium	Financial data secured weekly on backup system held remotely with RBS. All other files held on the Cloud. The leased computer system with online support gives additional support.	Town Clerk RFO Assistant Clerk	Quarterly
1.5	Loss of Councillor	Medium	Low	Guide to casual vacancy using co-option policy. Notify CCDC and if appropriate, post notice on vacancy then advert to be placed on website.	Town Clerk	Annual
1.6	Lone Worker	Low	Low	Lone worker policy adopted. Avoid undue time demands that necessitate long unbroken hours. Consider security at offices. Keep latch on for the middle door and keep doors to theatre open when possible.	Town Clerk	Annual
1.7	Loss of Electronic support	Low	High	Ensure that insurance is up to date on all equipment. Ensure policy in place re the care and maintenance of electronic equipment. Arrangement with Holker IT supports the IT	Council Town Clerk	Quarterly

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2 PLANNING

Ref	Risk	Probability	Impact	Policy	Responsible Person	Frequency of review
2.1	Statutory/CCDC Plans and Planning Frameworks not met	Medium	Low	Maintain up to date references	Council Town Clerk	Annually
2.2	Town Characteristics, aesthetics, neighbourhood impact degenerated	Medium	High	Consider local environmental impact. Maintain predominant features, quantify requirement, consider future plans. Consider Neighbourhood Plan to tighten up design issues in town.	Councillors Council	Quarterly
2.3	Disagreement with CCDC/SCC	Medium	Medium	Ensure proper procedures followed. Collect and record evidence, obey time schedules.	Councillors	Annually
2.4	Enforcement – developers breaching planning application	Medium	Medium	Gather evidence and involve SCC/CCDC as appropriate.	Councillors / CCDC Councillors	Quarterly

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3 COMMUNITY SPACE

Ref	Risk	Probability	Impact	Policy	Responsible Person	Frequency of review
3.1	Incorrect usage of open areas	Low	Low	Work with CCDC to ensure appropriate signage to clarify use	Community Engagement Committee	Annual
3.2	Notice Boards	Low	Low	Monitor condition of notice boards. Take action to repair any faults or remove item if faults are found.	Community Engagement Committee	Annual
3.3	Unsuitable for purpose	Medium	High	Evaluate pavements. Report any faults found to appropriate authorities.	Clerk	Quarterly
3.4	Deterioration of areas	Low	Medium	Encourage discipline on litter, removal of animal excrement.	Community Engagement Committee	Annual

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4 FINANCE AND MANAGEMENT

Ref	Risk	Probability	Impact	Policy	Responsible Person	Frequency of review
4.1	Loss of Council Assets	Medium	Low	Secure storage of Assets. Theft / loss of assets insured for replacement cost. Internal auditor to review asset register and insurance. Town Clerk to check assets on an annual basis. RFO to maintain Asset Register.	Town Clerk RFO Internal Auditor	Six Months
4.2	Theft / Fraud	Low	High	Regular scrutiny by Members of financial records. Proper recording in minutes of all approval for spending and powers under which spend is authorised. Regular budget monitoring by Members. Regular bank reconciliations review by Members matched against statements. Regular review of financial regulations by Members. Review financial limits on Fidelity insurance to cash balances. Review of letter of appointment for Internal Auditor to include areas of risk – VAT, PAYE, cheque signing, adequacy of invoicing, powers and council income. Review of effectiveness of Internal Auditors report. Council approval for changes to payroll authority. Two signatories required for BACS transactions.	Members Internal Auditor RFO Town Clerk	Monthly

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4.3	Non-compliance with Standing Orders and Financial Regulations	Low	Low	Regular scrutiny of Standing Orders by Members. Scrutiny of Standing Orders by Internal Auditor. Regular scrutiny of Financial Regulations by Members. Scrutiny of Financial Regulations by Internal Auditor.	Members Internal Auditor RFO Town Clerk	Six Months
4.4	Injury / loss to recipient of Council asset	Low	Low	Public liability insurance indemnity of £5million. Regular scrutiny of insurance by Members. Emergency policy to delegate authority to clerk to commit finances without prior approval of Council in emergency situation.	Council Town Clerk	Annual
4.5	Loss of Income	Low	Low	Regular budget monitoring by Members to ascertain income. Cash Book reconciliation monitoring by Members. Annual monitoring of income stream levels Authority for Town Clerk / RFO to transfer funds between accounts in line with Banking and Investment Policy.	F and M Town Clerk RFO	Annual
4.6	Propriety – Councillor abuse of position	Low	Low	Maintain register of interest and question as each topic arises. Gifts and hospitality to be declared. Code of Conduct signed by councillors. Training on the Code of Conduct to be undertaken every 4 years.	F and M Town Clerk	Annual
4.7	Loss or unexpected reduction of income	Low	High	All expenditure pre budgeted and sufficiently resourced.	F and M Town Clerk	Six Months
4.8	Cash Security	Low	Low	Petty cash held in locked cupboard. Receipts for items purchased to be kept by RFO. Receipts for all transactions. Safe custody of documentation with the RFO. Town Clerk to check all cash held each month.	F and M RFO Town Clerk	Annual-Monthly

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4.9	Inadequate insurance	Medium	Medium	Assess risk to assets and to liabilities. Determine and record which risks are to be accepted. Use established UK based insurance company, securely underwritten.	F and M Town Clerk	Six Months
4.10	Abuse of expenses	Low	Low	Prior sanction of all expenses. Repayment against receipts only.	F and M RFO	Annual
4.11	Budget too low/high	Low	Low	Use historic data and work to and agreed forecast programme. Work to realistic estimates or accurate quotes. Use budget to set precept.	F and M Town Clerk RFO	Annual
4.12	Problems with contracts	Medium	Medium	Ensure full tender documentation in place to get quotes. Agree price and costs before letting the contract. Council to consider unforeseen work prior to work taking place. Agree stage payments if necessary. Ensure contractors are fully insured and seen their risk assessment and method of work prior to starting the work.	F and M Town Clerk	Six Months

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5 DEMOCRATIC

Ref	Risk	Probability	Impact	Policy	Responsible Person	Frequency of review
5.1	Defamation	Low	High	Libel and Slander Insurance of £250,000. Members to undergo Code of Conduct training every four years.	Town Clerk Members	Annual
5.2	Compliance with Code of Conduct	Low	High	Completion of signed acceptance of office to abide by the Council Code of Conduct. Annual review of Members interests.	Members	Annual
5.3	Representation on Outside Bodies	Low	Low	Council to review financial risks from decisions made by outside bodies in which it has members. Council to ensure that members of Charity Trusts review individual actions in line with Charity Commissioners website.	Members	Annual
5.4	Inaccurate minutes	Low	Medium	Drafts to be approved by Chair prior to being sent to all councillors. Minutes to be approved at next meeting.	Chair Town Clerk	Six Months
5.5	Loss of minutes	Low	Medium	Electronic backing up of all minutes to Dropbox the Cloud and/or hard drive	Town Clerk	Six Months
5.6	Deficient Standing Orders	Low	Low	Standing orders to be reviewed once a year by F and M and the Full Council. Chair of F and M and Town Clerk to review quarterly and advise full council of changing circumstances.	F and M Town Clerk	Annual
5.7	Image of the Council	High	High	Put out a City Life article once per quarter following full council to advise of actions of council. Clerk to update the website with information at least monthly. Quality status Quality Award.	Councillors Town Clerk	Annual

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5.8	Business of the town council	Medium	Medium	Ensure council is quorate at full council and committee meetings. Ensure documentation is published to standard timescales.	Councillors	Six Months
5.9	Venues for Meetings	Low	Low	Ensure that venues are accessible and appropriate for intended use. Ensure that fire drill and fire escapes are mentioned at beginning of each meeting.	Town Clerk	Annual

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6 ROSE THEATRE

Ref	Risk	Probability	Impact	Policy	Responsible Person	Frequency of review
6.1	Insurance	Low	High	Rose Committee to ensure Insurance is up to date.	Councillors Theatre Manager	Annual
6.2	Evacuation Centre	High	High	Require clearer guidance from CCDC on role of building in an evacuation / emergency Keyholders?	Councillors Town Clerk	Annual
6.3	Loss of theatre manager	Low	High	Immediate advertisement for replacement in related publications Access all theatre records via emergency procedures. All passwords to be kept in secure location	Councillors Town Clerk	Annual
6.4	Loss of casual / bar staff	Medium	Medium	Retain details of bar staff to be called on in case of emergency	Theatre Manager	Six monthly
6.5	Loss of Cleaner	Low	Medium	Immediate advertisement for replacement in publications and word of mouth.	Theatre Committee Theatre Manager	Annual
6.6	Loss of Caretaker	Low	Medium	Immediate advertisement for replacement in publications and word of mouth.	Theatre Committee Theatre Manager	Annual
6.7	Debtors / Bookings	Low	Low	Deposits to be taken and held on all bookings to be used in case of none payment	Theatre Manager	Quarterly

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6.8	Bookings policy	Low	Low	Ensure policy is clearly recorded same policy used for all bookings.	Theatre Committee Theatre Manager	Annual
6.9	Power cuts	Medium	High	Ensure insurance covers this in case of claim from hirer. Ensure all staff understand safety and emergency procedures and emergency lighting is available.	Councillors Theatre Manager	Annual
6.10	Abuse by hirers	Medium	High	Agree a firm lettings policy. Deposit taken before the booking should cover any cleaning / redecoration costs	Theatre Committee Theatre Manager	Annual

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