

Market Rasen Town Council Risk Register

No	Item	Hazard	Those in Danger	Impact 1-4	Likelihood 1-4	Risk Rate	Measures / comments	Result
1	Recreational Areas Mill Road Bell Park & De Aston Field	Play Equipment Vandalism Cost of Replacement	Injury to people using Play Equipment	3	3	9	Twice Weekly in-depth recorded inspection of Play area/equipment by Staff. Additional weekly visual checks.  Annual inspection carried out by ROSPA  Dated Insurance including Public Liability.	A
2	Trees on Council land	Falling Branches/ Debris	Injury to Pedestrians, pets and vehicles	3	3	9	Visual inspection of trees by staff.  Regular tree inspection by suitably qualified professional  Dated Insurance including Public Liability	A
3	Gates and Fencing on Council land	Vandalism Repair costs Cost of Replacement	Pedestrians	2	1	3	Repair cost  Dated insurance including Public Liability	T
4	Street Furniture owned / maintained by the Council	Vandalism Impact Damage Cost of Replacement	Pedestrians	2	4	8	Dated insurance, including Public Liability  Make contingency provision in Council Reserves	T
5	Festival hall	Cost of repairs Potential danger to service users	Service users	3	3	9	Dated insurance, including Public Liability Adequate Checking and reporting systems in place	A

Risk register adopted 11<sup>th</sup> May 2022 – Next review 10<sup>th</sup> may 2023

Market Rasen Town Council Risk Register

							Fully separately risk assessed, and copies of service user required documents held.	
6	Market place	Cost of repairs Potential danger to service users	Service users	3	3	9	Dated insurance, including Public Liability Adequate Checking and reporting systems in place  Fully separately risk assessed, and copies of service user required documents held.	A
7	War Memorial	Cost of repairs Cost of replacement Damage to Memorial Vandalism	Loss of Heritage	1	4	4	Dated insurance, including Public Liability Make contingency provision in Council Reserves	T
8	Office I.T Equipment	Cost of replacement Repair cost Accidental Damage	Staff Councillors Parishioners	3	4	12	Dated Insurance Including Public Liability  Leased equipment eliminates most risk.	A
9	Failure to attract sufficient candidates for Member vacancies or elections	Reduced representation of neighbourhoods. Lack of resource Possible meeting inquorate	Members	1	3	4	Actively publicise Council activities  seek candidates amongst friends and colleagues publicise elections & vacancies on notice boards publicise elections & vacancies in Parish Newsletter and website publicise elections & vacancies in local newspapers	A

Market Rasen Town Council Risk Register

10	Failure to achieve quorum at meetings	Business not transacted Decisions not made	Members Clerk	2	1	3	issue annual meeting calendar to all members issue meeting agendas promptly record attendance contact members who fail to attend meetings	T
11	Lack of public consultation by Council	Decisions not based on evidence People disenfranchised	Members	2	3	4	ensure meetings publicised on notice boards use Annual Parish Meeting place articles in local newspaper include public participation on all agendas ensure seating available at meeting for public provide advice for members of the public attending publish agendas and minutes on website	T
12	Failure to respond to electors wishing to exercise right of inspection	Complaints received Not transparent Non compliance	Clerk	1	2	2	Clerk to advertise facility, and respond to requests	A
13	Members acting alone outside meetings	Members outside compliance Indemnities invalid Personal risk	Members	3	2	6	'Good Councillor Guide' available to all councillors Councillors to avoid making commitments on behalf of the council Councillors encouraged to attend relevant training courses	A
14	Council decisions not implemented	Confidence undermined Reputation risk arises Possible losses	Clerk / staff	1	1	2	Action log maintained and noted each month	A

Market Rasen Town Council Risk Register

15	Inaccurate, untimely, improper minutes	Poor decisions in future Poor evidence for decisions	Clerk	2	2	4	Clerk to check minutes with Chairman not more than 7 days after meeting. Minutes circulated to all members with next agenda	A
16	Inadequate document control	Poor evidence Poor support to Members	Clerk	2	2	4	Established electronic filing and retrieval system Clerk to enforce document version control	A
17	Failure to recognise and address conflict of interest	Lack of transparency Open to complaints of fairness or bias	Members Clerk	1	2	3	Members to review adopted code of conduct	A
18	Incomplete/inaccurate register of Members' interests	Lack of transparency Open to complaints of fairness or bias	Members	1	2	3	Members to comply with legislation / code of conduct	A
19	Failure to complete/submit Annual Return on time	Poor Auditors report Public confidence suffers	Clerk	1	1	2	Clerk to comply with required dates.	A
20	Improper contracting procedures	Possible losses Poor levels of service Possible increased costs	Clerk/staff	1	3	4	Model adopted, separate financial regs Clerk adequately trained	A
21	Loss of data	Interruption to effective administration Possible financial loss	Clerk/ Staff	3	1	4	Cloud based storage used.	A

Market Rasen Town Council Risk Register

22	Loss of services of key staff	Interruption to effective administration	Members Clerk	3	3	9	Multiple staff trained to undertake wide range of financial and administrative tasks.  Locum Panel of experienced Parish and Town Clerks provided by the Society of Local Council Clerks able to assist in an emergency	A
23	Lack of professional advice	Poor decisions Costs and waste Possible noncompliance	Clerk Members	2	2	4	Maintain membership of LALC (which includes NALC) and SLCC	A
24	Lack of defined objectives or strategy	Resources not directed Poor performance Risks not base lined	Members	2	2	4	Council to produce an agreed 3-year strategy. Attend training sessions if practicable.	A
25	Failure to correctly identify local needs or wishes	Council does not represent the people Resources not applied Democratic deficit	Members	2	2	4	maintain close contact with local residents advertise meetings to obtain residents' feedback use questionnaires to identify local wishes publicise plans and invite comments use events to seek views and feedback	A
26	Financial	Misappropriation of Council Funds Financial loss	Public Services	2	1	3	All Banking Arrangements and changes to banking services approved by the council and recorded in the minutes. Internet Banking two Councillors to authorise online. Quarterly reconciliation of Accounts viewed as part of internal control checks	A

Market Rasen Town Council Risk Register

							by a member of the finance committee. Quarterly scrutiny of all Financial Records by finance committee & twice a year by internal auditor. External Auditor to advise Clerk of the Council. All changes in banking instructions, mandates etc. to be in writing and copies saved Keep cash payments to a minimum and avoid if possible.	
27	Income Ensuring that all requirements are met under custom & excise regulations	Unable to fulfil responsibilities	Public Service	2	1	3	Ensure Council understands and complies with current VAT legislation	A
28	Orders for Work, goods and services Monitoring of performances against agreed standards under partnership agreements	Unable to fulfil responsibilities	Public Service	2	2	4	Reviewed at internal audit Purchase order system used	A
29	Lack of public participation at meetings	Public voice not heard Potential lack of interest in vacancies Lack of transparency	Members	1	2	3	Ensure meetings publicised on notice board include public participation on relevant agendas ensure seating available at meeting for public provide advice for members of the public attending publish agendas and minutes on website	A
30	Allegations of libel or slander	Potential for litigation Costs of	Members	2	3	6	Clerk / chairman to intervene at meetings.	A

Market Rasen Town Council Risk Register

		investigation Reduces confidence					Clerk to review all press releases before release Adequate Insurance Cover	
31	Bad publicity	Reduces confidence	Members Clerk	2	2	4	Clerk to review all press releases or newsletter articles before release manage press relations	A
32	Accidental damage to fixed assets	Costs of repair Loss of service until repaired	Clerk Members Service users	1	3	4	Maintain insurance Inspection regime established for all service areas / assets	A
33	Vandalism to fixed assets	Costs of repair Loss of service until repaired	Clerk Members Service users	1	3	4	Maintain inspection regimes Maintain insurance Liaison with Police	A
34	Loss to third parties	Possible litigation Costs/damages	Clerk	3	3	9	Review health & safety ensure adequate insurance check contractors' insurance	A
35	Inadequate insurance	Balance of costs to be found	Clerk Public service	3	1	4	Council to review annually or if circumstances change	A
36	Failure to calculate/submit precept on time	Inadequate resources to meet commitments Costs of re-billing	Clerk Public service Members	4	1	4	Clerk to respond to WLDC notices set process via committees and Full Council for Members to consider and approve.	A
37	Inadequate annual precept and unsound budget	Inadequate resources to meet commitments	Public service Members	4	1	4	Clerk and Members to build sound budget, using risk register and known commitments. Members to consider Reserves Policy built into Financial Regulations Start consideration of need at least 4 months prior to submission date.	A
38	Failure to account for and recover VAT	Wasted resources	Clerk	2	1	3	Clerk to review Internal auditor to check	A

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Market Rasen Town Council Risk Register

39	Failure to stay within agreed budgets	Inadequate control Potential wasted resources	Members Clerk	2	1	3	Finance Committee/ Clerk review quarterly and recommend any action to Council. Internal auditor to check Reserves to mitigate short-term impact of loss.	
40	Holding excessive or inadequate reserves	Auditors report Poor use of resources Inability to meet commitments	Members	2	1	3	Clerk to review as part of budgeting General Reserves set to JPAG guidance Council to review size of Reserves	A
41	Fraud by Clerk/staff	Reputation Costs, Litigation	Clerk / staff	2	1	3	Adequate internal audit Regular reporting to members Control systems for managing expenditure	A
42	Fraud by Members	Reputation Costs, Litigation	Clerk/Members	2	1	3	Adequate internal audit Regular reporting to members Control systems for managing expenditure	A
43	Inadequate awareness of relevant legislation	Failure to comply	Members Clerk	2	2	4	Maintain membership of LALC/NALC Clerk to train/qualify	A
44	Failure to comply with relevant legislation	Litigation Costs Reputation damage	Members Clerk	2	2	4	Maintain membership of LALC/NALC Clerk to maintain training Liaise with internal and external auditors  Ensure that all Councillors have copies of Standing Orders. Highlight essential parts and provide training where possible.	A



Market Rasen Town Council Risk Register

							Ensure that Standing Orders are produced, understood by councillors, and reviewed at least once per year.  Regular reference to appropriate regulations in agenda items.	
45	Failure to maintain fixed assets register	Improper control Poor auditor's report	Clerk	2	1	2	Council to review Internal audit to review	A
46	Improper financial records	Potential for wasted resources	Clerk	1	2	2	Internal audit to review Ensure all councillors are familiar with current financial regulations and include them in the council's Standing Orders. RFO to ensure that books of account are formatted in such a way that internal controls are included and activated	A
47	HMRC requirements not met	Costs Litigation	Clerk	1	1	1	External payroll advisors and Clerk to liaise as necessary	A
48	Failure to comply with deadlines for accounts and returns	Poor auditor's report Reduction in confidence	Clerk	1	2	2	Clerk to liaise with internal and external audit	
49	Non-compliance with data protection	Litigation Poor reputation	Clerk	2	2	4	Clerk to monitor	A

Market Rasen Town Council Risk Register

		Impact			
		Negligible (1)	Low (2)	Medium (3)	High (4)
Likelihood	High (4)	4	8	12	16
	Medium (3)	3	6	9	12
	Low (2)	2	4	6	8
	Negligible (1)	1	2	3	4

Risks scoring 12 and above will be subject to detailed consideration and preparation of a contingency/action plan to appropriately control the risk.

**Results Key – T = TRIVIAL RISK A = ADEQUATELY CONTROLLED RISK N = NOT ADEQUATELY CONTROLLED U = UNABLE TO DECIDE (MORE INFORMATION REQUIRED)**

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