Stratford-Upon-Avon Town Council

Risk Register

Risk	Considerations	Likelihood (L1 – H5)	Impact severity (L1 – H5)	Risk Rating L x IS = RR (1 – 25)	Controls & Monitoring
Health & Safety					
Harm or injury to employees during the course of their duties	UK Health & Safety law, STC Health & Safety Policy	2	3	6	Risk assessments, method statements & training in place, particularly for Open Spaces team. First Aid & Fire training provided and appropriate equipment supplied. DSE assessments and equipment available to employees. Systems of inspection and maintenance of buildings and spaces in place. Lone working procedures in place. Access restricted to high risk areas such as the roof, only authorised persons permitted.
Harm or injury to members of the public attending council external events (i.e Shakespeare's birthday parade)	UK Health & Safety law, STC Health & Safety Policy	2	3	6	H&S Policies & procedures in place. Risk assessments for events and expert advice sought.
Harm / injury to members of the public attending Town Hall or other Council controlled building/site	UK Health & Safety law, STC Health & Safety Policy	2	3	6	Risk assessments and schedule of regular inspections and maintenance in place. Visitors to the Town Hall are supervised and areas not for public access have appropriate security controls. Events are monitored by a supervisor and/or security.
Covid-19 or other reportable diseases	UK Health & Safety law, STC Health & Safety Policy, STC Covid-19 policy	1	5	5	Appropriate cleaning products used, and Covid-19 procedures in place. Reportable diseases planning kept under review.
Personnel					
Non-compliance with Employment Law	UK Employment law, STC Policies	1	4	4	Appropriate procedures/policies in place to comply with all uk employment law. HR Records - Job Roles etc
Mayor unable to carry out duties	Mayoral Procedures	1	2	2	Deputy Mayor or other appropriate Town Council repsresentative to step in.
Loss of key staff / insufficient staff numbers or knowledge to carry out council business.	STC Policies, Job Roles	2	3	6	Training Records, Succession planning, HR Records (Up to date key job roles and their skills/training requirements), appraisal system, regular personnel meetings, annual appraisals. STC policies regarding employee welfare. Processes for employee retention.
Operational					
Significant change following the Local Government Review	Town Council areas of responsibility, staffing, budget, precept	4	3	12	Appropriate handover with relevant District Department(s), budget and precept considerations to ensure financial viability, change management / integration plan.

Damage to building or asset from internal source (flooding, electrical fault, structural)	Risk to staff. Potential loss of use, or damage to, buildings and/or physical assets, Loss of, or damage to, physical records (Files & Official Documents, Borough Records)	1	4	4	Appropriate insurance, security and Facilities Management arrangements in place for all premises under STC responsibility. Electronic versions of records kept where possible (see IT Risks). Business continuity planning.
Fire	Risk to staff & visitors. Potential loss of use, or damage to, buildings and/or physical assets, Loss of, or damage to, physical records (Files & Official Documents, Borough Records)	1	5	5	Appropriate insurance, security and Facilities Management arrangements in place for all premises under STC responsibility. Risk Assessments in place and regularly reviewed. Building / area inspections. Electronic versions of records kept where possible (see IT Risks). Business continuity planning.
Security Incident/ Civil Disturbance	Risk to staff & visitors. Potential loss of use, or damage to, buildings and/or physical assets, Loss of, or damage to, physical records (Files & Official Documents, Borough Records)	1	4	4	Appropriate insurance and security arrangements in place for all premises under STC responsibility. Business continuity planning. Each event has it's own risk assessment. H&S and security staff are provided where appropriate. HVM defences in place where required and procedures to follow in the event of a security incident.
Severe Weather incident (Including External flooding)	Potential loss of use, or damage to, buildings and/or physical assets, Loss of, or damage to, physical records (Files & Official Documents, Borough Records)	2	3	6	Appropriate insurance and Facilities Management arrangements in place for all premises under STC responsibility. Electronic versions of records kept where possible (see IT Risks). Business continuity planning. Flood plans in place.
Internal IT - System / Equipment failure	Potential downtime or inability to operate. Loss of, or damage to Files & Official Documents, - Borough Records. Data Protection Act 2018	2	3	6	Electronic data stored on servers, not locally. Daily cloud back-up of servers.
Server Hack, Computer Virus, malware, spyware and adware	Potential downtime or inability to operate. Loss of, or damage to Files & Official Documents, - Borough Records. Data Protection Act 2018	2	3	6	Firewall and antivirus software kept up to date. Electronic data stored on servers, not locally. Daily back-up of servers. Expert 3rd party manage IT arrangements.
Finance					

Inadequate banking arrangements	Financial Regulations, Financial Terms of Reference, Standing Orders	1	3	3	Banking arrangements are reviewed annually by the Finance Committee to check adequacy, or more frequently if required.
Loss of Cash through theft / dishonesty	Financial Regulations, Financial Terms of Reference, Standing Orders. Town hall Security arrangements.	1	3	3	Reconciliations of monthly accounts are undertaken and verified by multiple officers. Payment runs require dual authorisation. Any cash is counted and verified by two individuals before being banked.
Non-payment of invoices (loss of income)	Financial Regulations, Financial Terms of Reference, Standing Orders (Aged Debtors list, Contract payment terms)	2	2	4	All bookings require a deposit and/or payment in full before the service is received. For non-payment of rent, plans are in place for appropriate next steps.
Payment without authority	Financial Regulations, Financial Terms of Reference, Standing Orders	1	2	2	All payments must be linked to an invoice which has 2 levels of checks and approval. Payment runs also require dual authorisation. Regular monitoring of accounts.
Inadequate financial controls	Financial Regulations, Financial Terms of Reference, Standing Orders	1	2	2	The Town Council's Financial Regulations, Terms of Reference and Committee Standing Orders are reviewed annually, or more frequently if required i.e. if a problem is found. These form part of the annual audit by a 3rd party.
Non-compliance with Inland Revenue / HMRC	UK Tax Law, Financial Regulations, Financial Terms of Reference, Standing Orders	1	4	4	Calculated via accounting software and payroll via external accountants. Checked as part of annual audit.
Insufficient funds in budget / precept	Financial Regulations, Financial Terms of Reference, Standing Orders	2	2	4	The budget and precept request pass through the Finance and Audit Committee before being taken to Town Council for approval. All Councillors and Committees are asked for input to ensure costings are accurate. The Reserves Policy ensures a certain level of funds outside of the budget. In the event of an emergency, the Town Council has the option to look at borrowing. Performance against budget is monitored and reported on monthly.
Investments underperforming / losing funds	Financial Regulations, Financial Terms of Reference, Standing Orders	3	2	6	The Town Council only invests with accredited investment managers, in low risk investments. Performance is monitored throughout the year and investment recommendations reviewed annually.
Business Liability					
Non-compliance with Bribery law	The Bribery Act 2010	1	3	3	Protocol and procedures guidance for the Mayor. Gifts & Hospitality register.

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Non-compliance with DVLA / DVSA regulations	DVLA/DVSA regulations	1	3	3	All officers with access to the Town Council vehicles have their drivers licence checked to ensure their eligibility to drive. Appropriate insurance, MOT, servicing and breakdown cover is in place.
Non-compliance with GDPR	Data Protection Act 2018	2	2	4	Privacy policy
Non-compliance with UK environmental law	Environment Act 2010	2	2	4	STC Environmental Policy, Waste records.
Reputational harm through misconduct	STC and higher authority policies & guidance	1	2	2	All employees, officers and councillors are inducted to the Town Council, are issued with policies and trianing and agree to comply with a code of conduct.

Impact Severity

Likelihood

	Negligible 1	Minor 2	Moderate 3	Major 4	Catastrophic 5
5 Almost certain	Moderate 5	High 10	Extreme 15	Extreme 20	Extreme 25
4 Likely	Moderate 4	High 8	High 12	Extreme 16	Extreme 20
3 Possible	Low 3	Moderate 6	High 9	High 12	Extreme 15
2 Unlikely	Low 2	Moderate 4	Moderate 6	High 8	High 10
1 Rare	Low 1	Low 2	Low 3	Moderate 4	Moderate 5