

Royal leamington Spa Town Council risk assessment. March 2022.

	Area of activity / risk	Who is affected / exposed?	Risk rating and score (Likelihood X Severity)	How managed	Actions / additional measures.	Additional comments
	ORGANISATIONAL					
1	Statutory compliance – Council Decisions & Policies	Council, Members; Officers	Medium 8: (2x4)	Consideration of legal aspects of decisions. Adherence to standing orders / legislative requirements. Direct access to Legal advice through WALC / NALC. Ongoing staff training.	Continue membership of WALC / NALC. Seek specialist legal advice if required.	
2	Loss of Data / Data Protection / electronic attacks.	Council; Service users; Members of the Public	Medium 8: (2x4)	Cloud storage for electronic files. Data stored securely on site. Data protection awareness amongst staff / Cllrs. Reminders ref IT good practice.	Review Data Protection Policy. Ongoing review of IT infrastructure and support.	
3	Failure of Business Support Systems	Council; Service users	Medium 8: (2x4)	IT improvements identified and implemented during 2020/21. Remote access to electronic files implemented. Website hosted externally by Intouch CRM	Options for IT infrastructure identified and quotes to be obtained. New finance / accounting software being introduced	
4	Theft/Loss of Civic items	Council, Mayor and elected Members	Medium 6: (2x3)	Items stored securely. Care taken when in use / transit. Insurance cover in place.		
5	Organisational effectiveness	Council; Officers	Medium 8: (2x4)	Internal Audit Review Staff training and sharing of good practice. Policies and procedures.		

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6	Loss of / unavailability of key staff.	Council, Members, Staff	High 9 (3x3)	Holidays co-ordinated / aligned with relevant activities. Sharing of knowledge across team. Access to shared records.	Continue to spread knowledge / information across staff team.	
7	Covid related restrictions / issues	Council Members Staff Public	Medium 6 (3x2)	Continued monitoring of guidance and adherence to good practice.	Respond to evolving situation and regulations.	
8	Reputational damage	Council, Members, Staff	Medium 9 (3x3)	Standing orders and policies / procedures to govern town council actions. Protocols for publishing of information / communications.	Programme of updates / reviews of policies and procedures had been agreed.	
9	Offices	Council, staff	Medium 6: (2x3)	Lease in place for offices. Buildings maintained by WDC. Ability to work remotely if offices unavailable. Fire protocols in place		
10	Policies & Procedures – not suitable or not adhered to.	Council, Members, staff	High 9 (3x3)	A suite of policies and procedures is maintained to guide the Town Councils approach to a range of issues and assist / protect staff.	Programme of updates / reviews of policies and procedures has been agreed – will reduce likelihood.	
11	Compliance with employment law	Council, Staff	Medium 8: (2x4)	Training / awareness of legislation / good practice. External HR advice if required.	Update of staff / employment related policies	

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	FINANCE					
12	Non compliance with Standing orders / Financial Regulations	Council	Medium 8: (2x4)	Reference to standing orders / finance regulations when dealing with agendas / meetings / decisions.	Update / review of standing orders – as part of wider policy review.	
13	Theft / fraud	Council, Staff	Medium 8: (2x4)	Regular bank reconciliations / checks. Further internal financial checks introduced during 21/22. Account viewing access provided to Cllrs. Internal audit undertaken annually. Fidelity Guarantee against fraud through Insurance policy	Review of banking provision to include suitable processes and arrangements.	
14	Budgetary control	Council	Medium 8: (2x4)	Regular Budget monitoring reports to committee. Regular bank reconciliation checks.		
15	Inadequate resources to meet commitments / unexpected costs	Council	Medium 6: (2x3)	Robust budget setting process Management of cash flow Consideration of reserves during budget setting. Review / identification of reserves at end of financial year.	Creation of reserves policy to guide reserve levels / management.	
16	Inappropriate awarding of grants / funds	Council	Medium 6: (2x3)	Clear grants policies / criteria. Grant awarding process via committee.		
17	Appropriate payments of salaries	Council, Staff	Medium 6: (2x3)	Processed for recruitment and appointment.		

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	and adherence to HMRC requirements.			Processes for salary payments / authorisation. External payroll provider with systems integrated with HMRC. Annual increments reported to Council.		
	EVENTS / ACTIVITIES					
18	Injury / loss to staff / Cllr / members of the public	Members / staff / public	High 10: (2x5)	Risk assessments undertaken for specific events / activities. Engagement with partner organisations for major events. Adequate insurance in place – Public Liability (£15 million) / Employers Liability (£10 million).		
19	Staff welfare & safety	Staff / Council	High 10: (2x5)	Adherence to good practice Regular dialogue with staff to identify issues. Risk assessments and measures	Update of staff / employment related policies	
20	Driving – risk of accident / injury	Staff	High 10: (2x5)	Lease vehicle maintenance Insurance cover Suitable driving skills		
	MEMBERS					
21	Defamation	Council members	Medium 6: (2x3)	Libel & Slander indemnity insurance (£1 million)		
22	Compliance with Code of Conduct including reporting arrangements	Council members	Medium 6: (2x3)	Code of Conduct provided to members and regular reminders to maintain / update register of interests.	Revised / updated national code of conduct to be considered for adoption.	

Risk Matrix:

The below risk matrix is used to identify / assess risk levels or relevant activities.

		Likelihood				
		1 Improbable	2 Unlikely	3 Probable	4 Likely	5 Very likely
Severity / Impact	1 Low	1	2	3	4	5
	2 Minor	2	4	6	8	10
	3 Moderate	3	6	9	12	15
	4 Severe	4	8	12	16	20
	5 Catastrophic	5	10	15	20	25

Low
Medium
High
Extreme

The below table is intended to act as a guide to consideration / assessment of risks:

Assessment of risk severity / impact:	
Rating	Example/s
5. Catastrophic	Serious injury / death. Town Council unable to operate. Town Council reserves wiped out.
4. Severe	Serious Injury. Significant impact on community / services. Significant impact on Town Council's operations / finances. Significant stakeholder concern.
3. Moderate	Moderate financial impact. Disruption to services / operations. Moderate stakeholder / community concern.
2. Minor	Some impact on operations / services. Some stakeholder / community concern. Minor financial impact.
1. Low	Low impact operations / services. Low / negligible financial impact. Low stakeholder / community concern.

Assessment of risk likelihood	
Rating	
5. Very likely	Very likely / frequent
4. Likely	Significant chance
3. Probable	Moderately likely
2. Unlikely	Possible but not likely
1. Improbable	Negligible likelihood / rare