

Garstang Town Council risk register

Risk no.	Description	Impact	Likelihood score	Impact score	Risk rating	control	Response
<b>Financial</b>							
1	Keep to new FSCS protection, keep control of numerous accounts	If more than £85,000 in one bank account, need to spread it around a little to ensure you are not breaching the limit.	2	2	4	New Financial Regs in place adopted 18 July 2016 set out processes. Regular monthly checks by Cllr	RBS account set up, need to review HSBC accounts
2	Debit card	Security & use of card	1	1	2	minute 257 (2016-17). Passwords kept in office	
3	salaries and associated costs -	salary paid/calculated incorrectly	1	1	2	Council outsources its payroll year **	
4	VAT - not reclaiming VAT refunds	loss of income	1	1	2	Financial regulations and figures presented quarterly to Finance Committee	
5	Annual audit (Internal) - Appointment of internal auditor and scope of work	Need competent & independent person to carry out a 'review the effectiveness of the system of Internal Control' annually	1	1	2	Annually reviewed by Finance Committee in October.	Reviewed Oct 17 - new appointment, agree terms of ref Jan 18; audit as soon as after 31 March 2018.
6	Annual audit (external)	Failure to supply correct information, risk of receiving an 'intermediate audit'	1	1	2	External auditor is appointed for the council. It specifies the information to be submitted. Ensure all the annual reviews are completed in the year	Annual governance review by Full Council in February.
7	Election costs	Risk of cost from an election inbetween 4 year term of office	1	1	2	Finance Committee make annual review at budget briefing meeting.	
8	Best value accountability	Work awarded incorrectly. Overspend on services/budget	2	2	4	Financial Regs adopted 18 July 2016 set out processes.	
<b>Security</b>							
9	Insurance	Inadequate insurance cover and the Council's compliance	2	2	4	Council reviews its cover regularly and monitors its assets annually.	
<b>Property</b>							
10	Steel container - stores Lengthsmans	Risk of break in, damage, poor maintenance, fire, flood. Storage area checked and adequate for purpose.	2	2	4	Insured. Used regularly by Lengthsman	
11	Moss Lane & Kepple Lane playing fields	Risk created from poor repair, litter left or dangerous items, equipment damage, items need repair. Personal injury.	2	2	4	Insured. KL Park inspections weekly by Wyre Council; agreement in place. Wyre organise annual inspection. Tree surveys are to be undertaken in January 2018. Assess whether this need to be annual.	

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<b>Legal</b>						
12	Legal powers	Illegal activity or payments	2	2	4	All activity and payments within the powers of the Town Council to be resolved and minuted at Full Town Council meetings, including a reference to the power used. LALC & SLCC advice available
13	Statutory notices	Risk of accuracy and legality of notices such as agendas and minutes	2	2	4	Council notices follow legislation, follow Standing Orders, (reviewed February annually) and the Clerk's legal reference material.
14	Data protection and data processing	Policy, provision, failing	2	2	4	The Council is registered with the Data Protection Agency (renewed annually) and follows guidance supplied by the Information Commissioner.
15	Freedom of Information Act	Policy, provision, failing	1	1	2	The Council has a 'model publication scheme' in place
<b>IT</b>						
16	Failure of IT systems	Risk of computer failure	2	2	4	In possession since November 2011// monthly back up of data on hard drive
17	Loss of internet service	no email communication	1	2	3	Internet with reputable provider, Data allowance on mobile phone in emergency
18	Confidentiality	Files not secure	1	2	3	Computer password protected, lockable filing cabinet all located at police station.
19	email system for Cllrs	requirement for Town Council email address	2	2	4	need to cover risk of misinformation, misrepresentation
20	project management	new projects - guidelines not specified or outcomes not set, overspend or lack of control of the project.	4	4	4	Council to devise a new project management with Chair Personnel
<b>Employees</b>						
21	Fraud by staff. Actions undertaken by staff	Insurance in place, employee guidelines, financial regulations in place	1	2	3	
22	working alone	Lengthsman & Clerk accident/ill at work	2	2	4	Lengthsman text on/off duty in place. Clerk suitable cover at police station? Cllr support in place at end of meetings. Meeting with members of public, Clerk always accompanied.
23	Working practices, equipment. Items and tools	Risk assessments of materials, equipment, duties, roles etc. Equipment is only used by employees who have undergone adequate training required for use. Insurance for staff and equipment is covered.	1	2	2	Annual risk assessments