



GARSTANG TOWN COUNCIL

Risk register

Version Number	Purpose/Change	Author	Date
1.0 Final Version	Final version – approved by GTC Minute 188(2017-18)	E Parry, Town Clerk	15 January 2018
1.1	Include key to numbers	E Parry, Town Clerk	15 January 2018
1.2	Pt 20 – correction to score	E Parry, Town Clerk	25 April 2018
1.3	Comments added for Finance Committee to review	E Parry, Town Clerk	04/10/18
1.4	Comments approved and incorporated into main text	E Parry, Town Clerk	09/10/18
1.5	Addition of Assessing risks text and correction of Risk rating figures	E Parry, Town Clerk	10/01/19

Risk no.	Description	Impact	Likelihood score	Impact score	Risk rating	control	Response
	Financial						
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.	1	1	1	New Financial Regs in place adopted 18 July 2016 set out processes. Regular monthly checks by Cllr	RBS account set up.
2	Online banking passwords for HSBC and RBS, Pin number for RBS debit card	Security & use of card	1	1	1	to comply with Financial regulations (18/07/18) 6.11	
3	salaries and associated costs -	salary paid/calculated incorrectly	1	2	2	Council outsources its payroll year **	
4	VAT - not reclaiming VAT refunds	loss of income	1	2	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	2	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	2	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	1	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.
	Security					
9	Insurance	Inadequate insurance cover and the Council's compliance	2	2	4	Council reviews its cover regularly and monitors its assets annually.
	Property					
10	Steel container - stores Lengthsmans equipment	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.
	Legal					
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.	New General Data Protection Regulation (GDPR) in May 2018, need to ensure council is compliant. Attending Lancashire branch webinar on 18/1/18
15	Freedom of Information Act	Policy, provision, failing	1	1	1	The Council has a 'model publication scheme' in place	Annually reviewed in February
	IT						
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	Review annually at Clerk's appraisal//consider Cloud storage
17	Loss of internet service	no email communication	1	2	2	Internet with reputable provider, Data allowance on mobile phone in emergency	
18	Confidentiality	Files, IT programs and Apps used by Clerk not secure	1	2	2	Desktop, Ipad, Iphone, Apple ID, website, webmail email address, Trello app, RBS software account, Airtable app, GTC Facebook, Instagram, Wyre Council, McAfee passwords to comply with Financial regulations (18/07/18) 6.11	
19	email system for Cllrs	requirement for Town Council email address? Committee to note review being taken to TC 15/10/18	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.	2	2	4	Council approved 037 (2018-19) Project Monthly Status Report template	Standing item on monthly agenda. Town Cllrs to complete project sheets for every TC meeting

	Employees						
21	Fraud by staff. Actions undertaken by staff	Insurance in place, employee guidelines, financial regulations in place	1	2	2		
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.	Annual H&S risk assessment should be carried out.
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	Needs to be carried out, not reviewed for some time.