

## SHEPTON MALLET TOWN COUNCIL GOVERNANCE AND MANAGEMENT RISK REGISTER

Scoring Likelihood: High =3, Medium = 2, Low = 1

Impact High =3, Medium = 2, Low = 1

	STRATEGIC RISKS	Risk	Impact	Control Measures	Internal Assurance	Likelihood	Impact
1	<b>Devolution from County Council to a new model</b>	Change in priorities of SMTC as assets are devolved. SMTC becomes responsible for new services and assets with little experience or time to prepare	Staffing, councillor responsibility, finance, agreed outputs.	SMTC needs to monitor the devolution process and updates provided to council meetings for consideration and debate at the appropriate time	The council is aware, there are district councillors who can provide updates etc	3	3
2	<b>Health</b>	Global pandemic and impact on geographical area, people, health and investments	Closure of office Cancellation of meetings Cancellation of events Devaluation of investments	Staff can work remotely and council meetings can take place on line. To be guided by national government	Staff have IT to manage working remotely Council has facilities to work on line Events have been cancelled with minimal impact	3	3
3	<b>Damage to the reputation of the council</b>	Libel/Slander/threat of legal proceedings through action or behaviour. Referendum to challenge decisions. Councillors gaining an unfair advantage from being a councillor.	Reputational, Stress leading to resignations, loss of support from partners and stakeholders	Trained officers, Trained councillors, Policies in place, good social media presence, membership of professional bodies for advice, transparent decision making process, insurance. Declarations of Financial Interests in the register of interests.	Clerk has good links with councillors and community and media	3	3
4	<b>Financial: Insufficient funds</b>	Unable to secure precept to deliver outputs	Council will stagnate and be unable to deliver services	Earmarked Funds, General Reserves. Regular reports to all committees on financial situation. Split role between Town Clerk and RFO. Councillors authorising payments. Internal audit.	That the council is in a good financial position and has plans with an increased council tax to deliver more services and employ more staff. A very thorough budget setting process each autumn.	1	2

	<b>STRATEGIC RISKS</b>	<b>Risk</b>	<b>Impact</b>	<b>Control Measures</b>	<b>Internal Assurance</b>	Likelihood	Impact
5	<b>Brexit</b>	Increase costs of goods, delays to goods, immigration	Delays to projects, delays to maintenance, increased costs	To be aware and monitor	To be aware of local political situation.	3	2
6	<b>Legislative</b>	GDPR Data Breaches and fines to the council	Investigation, Complaints Fines by the Information Commissioners Office	Staff are trained and this is regularly enforced, councillor training, reminders, policy management and procedures	Regular reviews, and constant reminders not to be complacent with personal data. Regular destruction of information. Archives. Passwords on ICT.	2	2
7	<b>Legislative</b>	General Power of Competence could be lost	Loss of Specific Powers	Clerk is qualified, RFO is qualified Cllrs need to be elected	Always employ a qualified clerk	3	1
8	<b>Technological</b>	Issues with ICT, hosting, data breaches, loss and viruses, old equipment, theft	Loss of Data GDPR Data breach Unable to access data	ICT outsourced to a hosted provider. Support of a local consultant Staff are trained in security of ICT Staff can work remotely Office is locked New equipment purchased in 2020	Audit undertaken in Feb 2020 and new hardware, software and anti-virus protection provided	2	3
9	<b>Business Continuity</b>	Outbreak of Covid-19. Staff Illness. Weather. Fire. Unforeseen expenditure or legal proceedings.	Unable to operate. Staff unable to attend office. Business unable to operate.	Succession planning and staff can cover more than their own role. Written down procedures. ICT allows home working. Adequate general reserves. Adequate Insurance.	Plans are in place for most eventualities.	3	3
10	<b>Loss of leadership /staff</b>	Staff resignation or long term absences	Clerk leaving/RFO leaving or both Unable to deliver the same level of service Impact on: payments/salaries/ morale/team	Membership of SLCC Regular briefings with the Chair Support from Committee Chairs Support for wellbeing and discretionary elements of contact to be adhered to. Confidential sessions within HR committee	Membership of SLCC gives access to a pool of locums Insurance for salaries if sickness Careful risk management Accept responsibilities	2	3

11	<b>Loss of leadership/ Councillor</b>	Chair of council or committees resigns or both Bringing council into disrepute	Lack of continuity , need to call additional meetings, disruption, loss of GPC, suspicious public	Training, regular briefings, support for each other, policies and procedures,	Regular meetings, strong communication, clearly defined roles,	3	2
12	<b>Long Term Staffing Issues</b>	Loss of Key staff. Unable to recruit new staff .	Unable to deliver projects. Need to engage temporary staff.	Succession planning, good induction and retention of staff. Multi skilled team, welfare checks, training, culture of openness .	HR Committee. HR Consultant support. Welfare policies. Regular team meetings.	1	2
13	<b>Challenge from public in confidence of the council</b>	Poor decision making. Complaints. Illegal meetings .	Dealing with regular complaints and managing stress rather than delivery of services.	Public meetings, transparency of decisions, revised Standing orders and other policies. Complaints procedure	Scrutiny of decision making process. Thorough information provided to councillors. Office open to visitors for longer.	2	3
14	<b>Lack of Forward Planning.</b>	Lack of direction, no outputs, poor prioritisation.	Waste of public funds. Loss of confidence. Loss of reputation.	Vision Statements. 4-year strategic plan. 4-year financial plan being developed.	Plan being delivered. Annual plan for delivery and performance monitoring.	1	1
15	<b>Health and Safety</b>	Injury to public, councillor, staff, contractor	Injury or worse, complaints.	Staff training, risk assessments in place, insurance, monitoring. Policies.	Operational activities are outsourced to a contractor.	1	1
16	<b>Health and Safety</b>	Damage caused by faulty equipment or a lack of inspections.	Office being unable to function	PAT Testing, Display Screen Equipment assessments, ICT Consultant audit, Training and inspection regime. New furniture for staff. Adequate insurance.	Weekly staff meeting deals with any issues	1	1
17	<b>Safeguarding</b>	Failure to protect vulnerable person.	Serious injury. Complaints.	Town Clerk is trained, policy, monitoring, risk assessments.	Not much contact with vulnerable people. Staff would work in pairs if visited by a vulnerable person.	1	3

18	<b>Insurance</b>	Under Insurance. Lack of Insurance.	Inability to claim.	Retained insurance broker (WPS), annual review, training of clerk and RFO, regular review of assets as purchased, reports to council.	Review of insurance is done each September.	1	3
19	<b>Staffing Dispute</b>	Legal Challenge in an HR Matter .	Impact on office staff and organisation.	Weekly staffing meetings. Welfare checks. Training, Performance plans. Weekly meeting with Town Clerk and Chairman. Retained HR Consultant. HR Committee. Grievance Procedures	Staff have good Job Descriptions, good contracts of employment and the opportunity to speak to councillors at the need arises.	1	2

