

Issue	Risk Identified	Level of Risk H/M/L	Management of Risk (Mitigating factors)	Officer Action	Reviewed level of risk
Governance	Quality of decision making – potential unlawful	M	Town Council constitution including standing orders, financial regulations etc. Training for members. Updated 2016. Also Membership and active involvement in National Association of Local Councils and Society of Local Council Clerks.	Town Clerk	L
	Inappropriate delegation	M	Town Council constitution including delegation to committees and Town Clerk	Town Clerk	L
	Unclear member responsibility and accountability	M	Appropriate committee structure and clear lines of reporting. New member training after 2015 elections.	Town Clerk	L
	Appointments to member positions and outside bodies not made	L	Annual reports to committee and review of appointments.	Town Clerk	L
	Members on outside bodies unclear of roles (Trustee etc.)	M	Training and guidance/information from body to which members appointed	Town Clerk	M
	Governance and regulatory documents not reviewed.	M	Regular reports to Best Value Sub Committee.	Town Clerk	L
	Register of Interests for Members up to date	M	All Councillors complete new forms after 2015 elections. Annual Review of Register entries	Town Clerk	L
	Respond to Freedom of Information enquiries	L	Model Public Scheme adopted under Freedom of Information	Town Clerk	L
Cash	Poor Systems and controls	M	Tested by Internal Auditor, who also maintains a separate Financial Risk Assessment	Town Clerk	L
	Waste and misappropriation of funds.	M	Fidelity Insurance and supervision of staff. On line banking allows to view only.	Town Clerk	L
	Budget not approved and precept request not submitted	H	Full reporting to members with detailed report and presentation – meetings in annual schedule	Town Clerk	L
	Adequate funds	H	Monitor actual expenditure to forecast and	Town Clerk	L

Issue	Risk Identified	Level of Risk H/M/L	Management of Risk (Mitigating factors)	Officer Action	Reviewed level of risk
			report regularly to Finance and General Purposes Committee		
	Properly authorised payments	M	Authority to pay in line with Financial Regs. Cheques signed by two councillors. Financial Regulations updated 2016	Town Clerk	L
	Theft, fraud and corruption	M	Training, management & fidelity insurance	Town Clerk	L
	Activities being outside of legal powers/unlawful payments	H	Training of Clerk and advice to members. All reports committing expenditure to refer to statutory power	Town Clerk	L
Direct Costs	Goods not supplied to Town Council	M	Order system	Office Manager	L
	Invoices incorrectly calculated	M	Detailed check of calculations	Office Manager	L
	Cheque payments incorrect	M	2 councillors sign & supporting information	Office Manager	L
	Online Payments	H	2 councillors sign payment approval forms and Finance & Office Manager processes payments. Reviewed by Internal Auditor	Office Manager	M
	Use of Debit Card	H	Use restricted to the Clerk and limited to a single transaction maximum value of £1,000 unless authorised by the Finance and General Purposes Committee, in writing, before any order is placed	Town Clerk	M
Member Allowances	Wrong payment	L	Scheme of Allowances confirmed each year by Town Council	Town Clerk	L
	Income tax deduction	M	Tax codes as notified by HMRC – new payroll system	Office Manager	L
Grants	Authority and power to approve	M	Grant criteria/annual approvals through Committee-powers minuted	Town Clerk	L
	Conditions of grant	L	Grants include conditions and report back	Town Clerk	L
	Larger grants monitored	M	Service Level Agreement with larger bodies	Town Clerk	M
VAT	VAT analysis	M	All items in cash book lists.	Office Manager	L

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	Proper charging	M	Consider annually. VAT Inspection 2013.	Office Manager	L
	Exemption properly applied	H	Consider annually - complex issue and on larger projects external advice sought.	Office Manager	L
	Claimed with time limits	M	Agree returns submitted	Office Manager	L
Reserves	Adequacy of earmarked and general reserves.	M	Agreed annually by Council – need to be kept under review.	Town Clerk	M
Assets	Loss, damage and value	M	Annual inspection, update insurance/review asset register and report to members	Town Clerk	M
Investments	Investment policy not clear	L	Review policy each year	Town Clerk	L
	Treatment of surplus funds	L	In line with Investment Strategy. Reports to Best Value Sub Committee	Town Clerk	L
Salaries	Wrongly paid salary	M	Agreed contracts and annual review of salaries and payment systems	Office Manager	L
	Wrong tax, NI or pension deducted	M	Agreed contracts and annual review of salaries and payment systems	Office Manager	L
Members	Members' Interests	M	Training on Code of Conduct including refresher training.	Town Clerk	M
	Insufficient Information including committee reports	H	Weekly bulletin (members only) and reports for all financial and policy decisions to be made by members- report templates used to ensure financial information and legal powers to act.	Town Clerk	L
Staff	Accidents/Personal injury	M	Injury book/visual checks of premises/health and safety checklist	Town Clerk	M
	Bullying	M	Staff Handbook and grievance procedures.	Town Clerk	L
	Staff Welfare Issues	M	In house training and assessment with guidance from Ellis Whittam.	Town Clerk	L
	Lack of communication	M	Regular staff meetings of both office and outside staff. 2/3 times a year joint meeting of all staff. Weekly meeting of	Town Clerk and Town Surveyor	L

Issue	Risk Identified	Level of Risk H/M/L	Management of Risk (Mitigating factors)	Officer Action	Reviewed level of risk
			office staff		
	Performance issues	M	Annual appraisals, six monthly reviews, weekly management meetings. Reports to Finance & General Purposes Committee	Town Clerk	L
	Knowledge not up to date or insufficient.	M	Staff training - ongoing and seek independent professional advice – legal, property etc.	Town Clerk	M
	Loss of key staff	M	Regular meetings/staff appraisals	Town Clerk	M
Financial Records	Inadequate records	H	Town Clerk/Office Manager review and internal audit check. Financial Risk Assessment by Internal Auditor.	Town Clerk	L
Insurance	Not sufficient cover for all responsibilities	M	Annual review of cover taking account of new responsibilities.	Office Manager	L
Procurement	Contracts not issued properly – Best Value	M	Contract Standing Orders as part of Financial Regulations	Town Clerk	L
Minutes	Inaccurate and decisions not followed up	M	Minute index review to ensure decisions actioned. Draft minutes within 24 hours	Town Clerk	L
Allotments	Revenue loss through poor management/badly maintained sites	M	Regular inspections, regular liaison with Allotments society.	Town Surveyor	L
	Lack of security.	H	Quarterly inspections and also feedback from other tenants.	Town Surveyor	M
	Accidents/Personal Injury	M	Risk Assessments and insurance. Regular assessments and annual insurance renewal	Town Surveyor	M
	Vandalism	H	Security, regular liaison with Allotments society	Town Surveyor	M
	Cash handling and banking	M	Cash taken in office, recorded and banked	Office Manager	L
Open Spaces	Damage/vandalism	H	Regular inspections. Daily and weekly submission of reports.	Town Surveyor	M
	Accidents/Personal Injury	M	Risk Assessments / insurance	Town Surveyor	M

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Cemetery inc. Chapel	Damage/vandalism	M	Regular inspections. Daily and weekly submission of reports.	Town Surveyor	M
	Grave allocation	M	Records system – all written entries doubled checked.	Office Manager	L
	Unstable Memorials	H	Stability checked every six months. Grave space purchasers advised of their responsibilities.	Town Surveyor	M
	Accidents/Personal Injury	M	Risk Assessments / insurance	Town Clerk	M
	Cash handling and banking	M	Cash taken in office, recorded and banked	Office Manager	L
	Building safety	H	Safety checks/ compliant procedures for health and safety	Town Surveyor	M
Cemetery Lodge	Damage/vandalism	M	Building occupied by staff and tenants own insurance	Town Surveyor	L
Depots / Workshops	Damage/vandalism	H	Regular inspections. Daily and weekly submission of reports	Town Surveyor	M
	Accidents/Personal Injury	M	Risk Assessments / insurance	Town Surveyor	M
	Building safety	H	Fire, electrical safety checks and compliant procedures for health and safety. Building Information book. All checked by Ellis Whittam as part of health and safety audit.	Town Surveyor	M
	Condition of buildings	H	Buildings insurance and maintenance programme	Town Surveyor	M
Markets	Accidents/Personal Injury	H	Risk Assessments / insurance	Town Surveyor	M
	Theft, fraud, corruption	M	Market Supervisor appointment / training	Town Surveyor	L
	Loss of revenue	H	Promotion. Liaise with Markets Federation	Town Surveyor	M
	Impact of the weather on takings and Council income	H	Realistic budget estimates each year based not just on best performing years	Town Clerk	M
	Cash handling and banking	M	Cash taken by Market Superintendent	Office	M

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			safely stored, recorded and paid in to bank. Process under review	Manager	
	General Health and Safety – setting up, parking	H	Health & Safety audit complete. Conditions for stallholders including traders' insurance. Liaison with police	Town Surveyor	M
Mountfield / Town Hall / Salt House	Damage/vandalism	H	Alarm system, call out and police liaison	Town Surveyor	H
	Revenue loss due to badly managed buildings	M	Liaison with tenants/lease discussion/commercial agents	Town Clerk	L
	Accident/injury caused by hirers	M	Terms and conditions of hire signed by hirer	Office Manager	M
	Loss of income due to reduced bookings	M	Promotion of venues and policy on reduced rates for charities	Town Clerk	M
	Building safety	H	Fire, electrical safety checks and compliant procedures for health and safety. Building Information book. Ensure COSHH, Asbestos, legionnaire's compliance. All checked by Ellis Whittam as part of health and safety audit.	Town Surveyor	M
	Condition of building	H	Buildings insurance and maintenance programme	Town Surveyor	M
	Town Hall running costs higher than anticipated	H	Sufficient budget allocation and careful monitoring and management. Maximise income.	Town Clerk	M
	Town Hall security with increased opening	M	CCTV system and additional hours for cover in the evening when meetings held to ensure security on ground floor.	Town Clerk	M
	Loss of tenant income	L	Leases with tenants and rent set as advised by Chestertons Commercial.	Town Clerk	L
Football Club and car parks	Condition of car park surface	L	Regular checks	Town Surveyor	L
	Income from Car Park not collected	L	Written agreement with West Dorset District Council	Town Clerk	L

Issue	Risk Identified	Level of Risk H/M/L	Management of Risk (Mitigating factors)	Officer Action	Reviewed level of risk
	Condition and misuse of MUGA	L	Insurance and regular checks	Town Surveyor	L
Water Sports Centre	Condition and Use	L	Responsibility of tenants. Town Council maintain building insurance only and re-charge tenants.	Town Surveyor	L
Play Areas including Skate Park	Damage/vandalism/rubbish	H	Daily visual checks and weekly inspections with health and safety checklist identifying defects and remedial action required. Monthly and annual written independent reports.	Town Surveyor	M
	Facilities not maintained	M	In house minor repairs. Use of approved qualified contractor for safety checks	Town Surveyor	L
	Personal injury	H	Preventative measures as above and Insurance cover	Town Surveyor	M
	Loss of revenue on football pitches	M	Booking system, conditions of hire	Office Manager	L
	Weather damage to football pitches	M	Weekly decision on fitness of pitches.	Town Surveyor	L
Vehicles/ Machinery	Loss, theft, vandalism	H	Secure storage and Insurance	Town Surveyor	M
	Misuse of equipment or badly maintained/Accidents	M	Training and advice on use of equipment provided to all staff and annual servicing by qualified contractor.	Town Surveyor	L
Highway Verge Maintenance	Staff safety and safety of public.	M	Training for all staff on highway working, assessment of conditions and signing. Agreement with County Council with clear responsibilities.	Town Surveyor	L
Health and Safety	Health and Safety Policy and Handbook	M	Up to date Handbook and policies produced in consultation with Ellis Whittam- surveys of council. Separate Health and Safety Risk Assessment reviewed each year.	Town Clerk	L
Events	Road Closures and Liability	M	Correct Procedures and use of trained staff	Town Surveyor	L

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	Organisation	M	Separate risk assessment for each event and organisers separate insurance.	Town Surveyor	
	Christmas Decorations and Lighting	H	Testing/assessment of bolts for cross street decorations and risk assessment of others. Electrician tests all connections.	Town Surveyor	M
Tourist Information Centre	Management of new service with increased financial transactions	H	Existing staff and operating procedures transferred to the Town Council. Experienced staff/manager and established procedures. To be reviewed by Internal Auditors.	Town Clerk	L
	Budget Management	H	TIC maintain detailed operational budgets and report to Town Clerk and F&GP. TIC Manager meets weekly with Town Clerk.	Town Clerk	M
Community Bus	Management of costs for a newly established initiative	H	Service operating under a costed 12-month pilot, to provide certainty over future costs if made permanent.	Town Clerk	L
Local Government Re-organisation	BTC funding, and/or services and/or operation affected by transition to new Dorset Council	H	Sufficient reserves to accommodate a major financial disruption (e.g. non-payment of precept) for at least six months, and in extremis could borrow to allow for further delays. Budget and Medium Term Financial Plan allow for possible changes to grant funding. BTC services reviewed to ensure continuity if related WDDC/DCC services disrupted, e.g. Highways, Planning, IT support, waste collection, and alternative providers/mitigating actions available.	Town Clerk, Town Surveyor and Finance & Office Manager	M

The **Level of risk** is an assessment of the likelihood and consequences of the risk happening.

The **Management of Risk** is how the Town Council looks to control the risk

The **Reviewed level of risk** is the level of risk after the control measures are taken into account and where further ongoing attention is necessary.