



## **Lytchett Minster and Upton Town Council**

### **RISK MANAGEMENT STRATEGY**

**Adopted on: 16 May 2023  
Review date: May 2024**

#### **Risk Management Policy Statement**

Lytchett Minster & Upton Town Council recognises that, in addition to its statutory duties, it has a responsibility to manage risks effectively in order to protect its employees, assets, liabilities and community against potential losses and to minimise uncertainty.

The Council is aware that some risks can never be eliminated fully and it has in place a strategy that provides a structured, systematic and focussed approach to managing risk.

Risk management is an integral part of the Council's management processes.

The Guidance of Governance and Accountability for Local Councils in England (published by the Joint Practitioners' Advisory Group) makes the following observations regarding risk management:

- Risk management is not just about financial management it is about ensuring the achievement of objectives set by the council to deliver high quality public services; and,
- the local council audit approach seeks to encourage local councils to address these issues by placing emphasis on the need to keep under review and, if need be, to strengthen their own corporate governance arrangements, thereby improving their stewardship of public funds and providing positive and continuing assurance to taxpayers.

#### **1. Introduction**

This document forms Lytchett Minster and Upton Council's Risk Management Strategy. It sets out:

- What risk management is;
- Why the Town Council needs a risk management strategy;
- The Town Council's philosophy on risk management;
- The risk management process;
- Roles and responsibilities;
- Future monitoring.

1.2 The objectives of this strategy are to:

- Further develop risk management and raise its profile across the Town Council;
- Integrate risk management into the culture of the organisation;
- Embed risk management through the ownership and management of risk as part of all decision making processes; and
- Manage risk in accordance with best practice.

## 2. What Risk Management is

2.1 *'Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.'* Audit Commission, *Worth the Risk: Improving Risk Management in Local Government*, (2001: 5)

2.2 Risk management is an essential feature of good governance. An organisation that manages risk well is more likely to achieve its objectives. It is vital to recognise that risk management is not simply about health and safety, but applies to all aspects of the Town Council's work. Risks can be classified into various types but it is important to recognise that for all categories the direct financial losses may have less impact than the indirect costs such as disruption of normal working. The examples below are not exhaustive:

**Strategic Risk** – Long-term adverse impacts from poor decision-making or poor implementation. Risks damage to the reputation of the Town Council, loss of public confidence, in a worst case scenario Government intervention.

**Compliance Risk** – Failure to comply with legislation, laid down procedures or the lack of documentation to prove compliance. Risks exposure to prosecution, judicial review, employment tribunals and the inability to enforce contracts.

**Financial Risk** – Fraud and corruption, waste, excess demand for services, bad debts. Risk of additional audit investigation, objection to accounts, reduced service delivery, dramatically increased Council Tax levels/impact on Town Council reserves.

**Operating Risk** – Failure to deliver services effectively, malfunctioning equipment, hazards to service users, the general public or staff, damage to property. Risk of insurance claims, higher insurance premiums, lengthy recovery processes.

2.3 These risks can be broken down further into specific areas which could impact on the achievement of the Town Council's strategic objectives and day-to-day delivery of services:

**Political** – Those associated with the failure to deliver local, regional or national policy;

**Financial** – Those affecting the ability of the Town Council to meet its financial commitments; failure of major projects; internal and external audit requirements; failure to prioritise and allocate resources effectively; poor contract management; initiative overload;

**Social** – Those relating to the effects of changes in demographic, residential, or socio-economic trends on the Town Council’s ability to deliver its strategic priorities;

**Technological** – Those associated with the capacity of the Town Council to deal with the pace/scale of technological change, or its ability to use technology to address changing demands. This includes the consequences of internal failures on the Town Council’s ability to deliver its objectives;

**Legal** – The ability of the Town Council to meet legislative demands affecting breaches of legislation (UK & EU);

**Environmental** – Those relating to the environmental consequences of progressing the Town Council’s objectives in terms of energy-efficiency, pollution, recycling, emissions etc;

**Partnership/Contractual** – Those associated with the failure of partners/contractors to deliver services to an agreed cost and specification and similarly failure of the Town Council to deliver services to an agreed cost and specification; compliance with procurement policies (internal/external); ensuring open and fair competition;

**Human Resources** – Those associated with the professional competence of staff; training and development; over-reliance on key personnel; ineffective project management; recruitment and selection issues;

**Organisational** – Those associated with the review of services and delivering continuous improvement;

**Health & Safety/Physical** – Those related to fire, safety, accident prevention and health & safety which pose a risk to both staff and the public; safeguarding and accounting of physical assets;

**Reputational** – Those associated with the changing needs of customers and the electorate; ensuring appropriate consultation; avoiding poor public and media relations.

Not all of these risks are insurable and for some the premiums may not be cost effective. Even where insurance is available, a monetary consideration might not be an adequate recompense. The emphasis should always be on eliminating or reducing risk before costly steps to transfer risk to another party are considered.

- 2.4 Risk is not restricted to potential threats but can be connected with missed opportunities. Good risk management can facilitate proactive, rather than merely defensive responses. Measures to manage adverse risks are likely to help with managing positive ones.

### **3. Why the Town Council needs a Risk Management Strategy**

- 3.1 Risk management will strengthen the ability of the Town Council to achieve its objectives and enhance the value of services provided.

- 3.2 The Risk Management Strategy will help to ensure that all Committees and service areas have an understanding of risk and that the Town Council adopts a uniform approach to identifying and prioritising risks. This should in turn lead to conscious choices as to the most appropriate method of dealing with each risk, be it elimination, reduction, transfer or acceptance.

- 3.3 Strategic risk management is an important element in demonstrating continuous service improvement.
- 3.4 There is a requirement under the Accounts and Audit Regulations 2021 to establish and maintain a systematic strategy, framework and process for managing risk.

## 4. Implementing the Strategy

### 4.1 Risk Control

Risk control is the process of taking action to minimise the likelihood of the risk event occurring and/or reducing the severity of the consequences should it occur. Typically, risk control requires the identification and implementation of revised operating procedures, but in exceptional cases more drastic action may be required to reduce the risk to an acceptable level.

Options for control include:

**Elimination** – The circumstances from which the risk arises are removed so that the risk no longer exists;

**Reduction** – Loss control measures are implemented to reduce the impact/ likelihood of the risk occurring;

**Transfer** – The financial impact is passed to others e.g. by revising contractual terms;

**Sharing** – The risk is shared with another party;

**Insuring** – Insure against some or all of the risk to mitigate financial impact; and

**Acceptance** – Documenting a conscious decision after assessment of areas where the Town Council accepts or tolerates risk.

### 4.2 Risk Register

The Strategic Risk Register (*Appendix A*) will be regularly refined and updated as part of this Risk Management Strategy. The Town Council also uses software provided by LCR to record Health and Safety Risk Assessments.

### 4.3 Risk Monitoring

The risk management process does not finish with putting risk control procedures in place. Their effectiveness in controlling risk must be monitored and reviewed. It is also important to assess whether the nature of any risk has changed over time. The Risk Management Plan will be reviewed at least annually by the Town Clerk and the Finance and Administration Committee.

The information generated from applying the risk management process will help to ensure that risks can be avoided or minimised in the future. It will also inform judgements on the nature and extent of insurance cover and the balance to be reached between self-insurance and external protection.

#### 4.4 Risk Management System

**Risk Identification** – Identifying and understanding the hazards and risks facing the Town Council is crucial if informed decisions are to be made about policies or service delivery methods. The risks associated with these decisions can then be effectively managed.

**Risk Analysis** – Once risks have been identified they need to be systematically and accurately assessed using proven techniques. Analysis should make full use of any available data on the potential frequency of events and their consequences. If a risk is seen to be unacceptable, then steps need to be taken to control or respond to the risk.

**Risk Prioritisation** - An assessment should be undertaken of the impact and likelihood of risks occurring, with impact and likelihood being scored. Negligible (1), Low (2), Medium (3) and High (4).

		Impact			
		Negligible (1)	Low (2)	Medium (3)	High (4)
Likelihood	High (4)	4	8	12	16
	Medium (3)	3	6	9	12
	Low (2)	2	4	6	8
	Negligible (1)	1	2	3	4

The scores for impact and likelihood are scored as above. Risks scoring 12 and above will be subject to detailed consideration and preparation of a contingency/action plan to appropriately control the risk.

#### 5. Roles and Responsibilities

5.1 It is important that risk management becomes embedded into the everyday culture and performance management process of the Town Council. The roles and responsibilities set out below, are designed to ensure that risk is managed effectively right across the Council and its operations, and responsibility for risk is located in the right place. The process must be driven from the top but must also involve staff throughout the organisation.

5.2 **Councillors** – Risk management is seen as a key part of Councillors’ stewardship role and there is an expectation that Councillors will lead and monitor the approach adopted, including:

- i) Approval of the Risk Management Strategy;
- ii) Analysis of key risks in reports on major projects, ensuring that all future projects and services undertaken are adequately risk managed;
- iii) Consideration, and if appropriate, endorsement of the Annual

Governance Statement; and

- iv) Assessment of risks whilst setting the budget, including any bids for resources to tackle specific issues.

5.3 **Employees** – will undertake their job within risk management guidelines ensuring that their skills, experience and knowledge are used effectively. All employees will maintain an awareness of the impact and costs of risks and to feed information into the formal process. They will work to control risks or threats within their roles, monitor progress and report on task related risks to their line manager or the Town Clerk.

5.4 **Town Clerk** – will act as the lead officer on risk management, assisted by the Deputy Town Clerk/Outside Operations Manager, and be responsible for overseeing the implementation of the Risk Management Strategy. The Town Clerk will:

- i. Provide advice as to the legality of policy and service delivery options;
- ii. Provide advice on the implications for service areas of the Town Council's strategic aims and objectives;
- iii. Update the Town Council on the implications of new or revised legislation;
- iv. Assist in handling any litigation claims;
- v. In consultation with the Town Council's external advisors as necessary, provide advice on any human resource issues relating to strategic policy options or the risks associated with operational decisions and assist in handling cases of work related illness or injury;
- vi. In consultation with the Town Council's external advisors as necessary, advise on any health and safety implications of the chosen or proposed arrangements for service delivery;
- vii. Assess and implement the Town Council's insurance requirements;
- viii. Assess the financial implications of strategic policy options;
- ix. Provide advice on budgetary planning and control;
- x. Ensure that the financial information systems and processes allow effective budgetary control;
- xi. Ensure the Town Council's Risk Register is maintained;
- xii. Effectively manage the Town Council's investment and loan portfolio.

5.5 **Role of Internal Audit** – Internal Audit provides an important scrutiny role by carrying out audits to provide independent assurance to the Town Council that the necessary risk management systems are in place and all significant business risks are being managed effectively.

Internal Audit assists the Town Council in identifying both its financial and operational risks and seeks to assist the Town Council in developing and implementing proper arrangements to manage them, including adequate and effective systems of internal control to reduce or eliminate the likelihood of errors or fraud.

Internal Audit reports, and any recommendations contained within, will help to shape the Annual Governance Statement.

5.6 **Finance and Administration Committee** – Review and future development of the Risk Management Policy and Strategy will be overseen by the Finance and Administration Committee.

5.7 **Training** – The aim will be to ensure that both Staff and Councillors have the skills necessary to identify, evaluate and control the risks associated with the services they provide. Risk Management training and development will be provided through a range of methods such as workshops, literature and in- house service familiarisation.

5.8 In addition to the roles and responsibilities set out above, the Town Council is keen to promote an environment within which individuals and groups are encouraged to report adverse incidents promptly and openly.

## 6. **Future Monitoring**

6.1 **Review of Risk Management Strategy** – This Strategy will be reviewed annually by the Finance and Administration Committee.

## 7. **Conclusion**

The adoption of a sound risk management approach should achieve many benefits for the Town Council. It will assist in demonstrating that the Town Council is committed to continuous service improvement and effective corporate governance.

K Cane  
Town Clerk  
May 2023

## LYTCHETT MINSTER & UPTON TOWN COUNCIL RISK REGISTER

**Adopted on: 16 May 2023**  
**Review date: May 2024**

Lytchett Minster & Upton Town Council recognise that the greatest risk to a local authority is not being able to deliver the activity or services expected of the council.

Management of risk is an essential part of the council's work - it ensures that those who use our facilities are safe, giving the staff the protection to get on with their work, and protecting the assets that the council hold. Risk assessment is a systematic examination of working conditions, workplace activities and environmental factors that enable the council to identify any and all potential inherent risks. Lytchett Minster & Upton Town Council will take all practical steps to reduce or eliminate the risks insofar as is reasonably practicable and making sure that all employees are made aware of the contents of this risk register and any related risk assessments. The Town Clerk will act as the lead officer for risk management.

		Impact			
		Negligible (1)	Low (2)	Medium (3)	High (4)
Likelihood	High (4)	4	8	12	16
	Medium (3)	3	6	9	12
	Low (2)	2	4	6	8
	Negligible (1)	1	2	3	4

Subject	Possible Risks	Actual			Management & Controls	Review/Assess/ Revise	Residual		
		Likelihood	Impact	Total			Likelihood	Impact	Total
<b>1) FINANCIAL</b>									
Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	1	3	3	Daily back-ups of council files made and stored to cloud storage	Appropriate back up measures in place.	1	2	2



## Appendix A

	Loss of Clerk	1	3	3	In the event the clerk is unable to work deputy clerk to act up	Appropriate back up measures in place.	1	2	2
Precept	Adequacy of precept	2	2	4	Regular budget updates provided throughout the year to check the adequacy of the precept which is fixed by council.	Existing procedures adequate	1	1	1
	Council budget overspend	2	4	8	Payment procedures in place to ensure all receipts and payments are reported to councillors at each finance meeting. All cheques to be signed by two councillors and counter-signed by clerk or deputy clerk.	Appropriate back up measures in place.	1	3	3
	Failure to set a precept by Dorset Council (DC) deadline	1	3	3	Set a project plan for the budget development plan and agree this at the first meeting of the Finance & Administration Committee after September. Clerk ensures decision made before DC deadline, if not made on time DC would impose precept based on previous year	Review process regularly	1	3	3
Bank & Banking	Inadequate Checks	2	4	8	The Council has adopted the model Financial Regulations which sets out the requirements for financial reporting to the council.	Review financial regulations annually	1	2	2
Bank & Banking	Bank error/failure/fraud	2	4	8	Council use a major clearing bank and a portfolio approach to reserves - Bank accounts reconciled monthly by RFO.	Review banking arrangements regularly	1	2	2
	Internal Fraud	2	4	8	Cheques require 2 signatories (2 x Cllr), internal audit, Cllr reconciliations, Council approval of payments. Insurance (fidelity guarantee).	Review and update processes regularly	2	1	2
Cash/Cheques	Cheque book or cash theft or dishonesty	2	4	8	Cheque books kept in a locked draw and the office is locked at night. Financial Regulations provide limit on cash withdrawal value and minimum cash on premises. Cash held in locked tin and kept in locked safe at all times. Cash balances held to be supported with a cash statement stating the denomination and value of cash held. this should be signed and dated by the cash custodian, and an independent person. the balance held should be agreed to the balance stated in the Council's accounting system. Appropriate controls in place when receiving money from Mayor.	Review financial regulations annually	2	2	4

## Appendix A

VAT	Re-claiming/charging	3	3	6	The council's Financial Regulations sets out the required processes and is checked annually by the Internal Auditor	Review financial regulations annually	2	2	4
Payroll	Failure to pay staff on time	2	4	8	Use of SAGE payroll software. All dates diarised to ensure pay calculated in a timely manner.	Review process regularly	2	2	4
	Inland revenue returns and regulations	2	4	8	Required information (P32) generated by SAGE Payroll as part of the payroll process - RFO makes payment monthly upon payment of salaries - salaries reported to Council as part of income and expenditure.	Review process regularly	2	2	4
Election Costs	Financial risk to the council of election	2	2	4	Risk is higher in an election year. An earmarked reserve is held to cover anticipated as well as unanticipated election costs.	Review earmarked reserve annually and increase/decrease input accordingly	2	1	2
Reporting & Auditing	Provision of monitoring information	1	2	2	Monthly budget reports provided to council which includes bank reconciliations, breakdown or receipts and payments, balance sheet, and trial balance.	Review processes Regularly	1	1	1
	Compliance	2	2	4	Annual internal and external audits undertaken in line with Accounts and Audit Regulations 2015.	Ensure Clerk/RFO aware of amendments to Accounts and Audit	1	1	1
Annual Return	Submit within time limits	2	4	8	Annual Return is completed and approved by Council and submitted to the external auditor on time. Internal auditor completes relevant paperwork following year end close down. Diarise annual end of year close down and internal audit visit.	Review process regularly	2	1	2
Direct Costs	Goods billed but not supplied	2	3	6	Council has financial regulations that set out underlying requirements.	Review Financial Regulations annually	2	1	2

Orders and Invoices	Incorrect Invoicing	2	3	6	Bank reconciliations to be signed monthly and prior to approval of the Annual Accounting Statements by cash custodian.	Review Financial Regulations annually	2	1	2
Debts	Loss of stock	1	2	2	The council carries minimal stocks which are checked and monitored regularly by the clerk.	Review Financial Regulations annually	1	1	2
	Unpaid invoices	2	2	4	Unpaid invoices to the council are pursued and where possible payment is obtained in advance	Review Financial Regulations annually	2	1	2
Council budget	Budget Overspend	1	4	4	Payment procedures in place to ensure all receipts and payments are reported to monthly finance meeting.	Review Financial Regulations annually	1	2	2
	Committee budget/line item overspend	1	4	4	Financial regulations provide procedures to be followed.	Review Financial Regulations annually	1	2	2
Petty cash	Petty Cash not replenished to an agreed amount	3	3	9	Petty cash to be replenished on a top up basis to a limit of £250. Reimbursements to be supported by receipts of cash payments made.		1	2	3
<b>2) EMPLOYER'S LIABILITIES</b>									
Employment Law	Failure to comply with employment law	3	4	12	Professional bodies are available for advice, support and regular review. Staff/councillors are encouraged to identify and attend appropriate training. Council policies and procedures to be put in place, with copies provided to staff and requested to confirm receipt and reading of said policies and procedures. Budget is in place for staff and councillor training.	Reviewed annually.	2	2	4
Long term unavailability of Clerk or loss of Clerk without a period of notice		2	4	8	Succession planning. The appointment of a Deputy Clerk ameliorates this situation in the short term and backfill with longer term replacement if necessary. The Deputy Clerk will be supported in their studies to become CiLCA qualified.		1	2	2

Long term unavailability of the staff other than the Clerk		3	3	9	The Council will employ short term contract or agency staff. Funds included in the budget to cover cost of employing temporary staff		2	1	3
Health & Safety	Failure to maintain a safe working environment.	2	4	8	Adequate employers' liability insurance in place Health and Safety Policy - adopt and practice. Adequate training and personal protective equipment for staff, councillors and volunteers provided.	Reviewed annually.	1	3	3
Staff safety from members of public	Protection of office based staff from visitors	2	3	6	When Council offices are open, two staff (staff can include a Councillor) must be on the premises. Lone working policy in place; staff receive appropriate training.		1	2	2
Lease agreements	Lease agreements not renewed or reviewed at specified times	2	4	8	Council to review and update lease agreements regularly via solicitors	Review annually	1	3	3
<b>3. OTHER LIABILITIES</b>									
The Town Council expends funds on an activity outside its legal powers		2	4	8	Clerk checks the legal position with professional bodies prior to expenditure. Internal auditor reviews expenditure annually. Financial Regulations in place. Regularly review financial regulations and procedures.		2	3	6
Document control	Failure to maintain full document control	3	3	9	Primary copies of unsigned documents are held electronically offsite and secured to backup media within one day of creation or amendment. Stored at appropriate off-site location. A file protocol is in place.		1	3	3
Damage to third party property or individual due to service of amenity provided	Claim against the council.	3	4	12	Public liability insurance. Comprehensive event planning Regular checks of facilities Ensure all amenities / facilities are maintained to appropriate level. All council contractors required to provide proof of public liability insurance and copy of risk assessment.	Annually As and when required	2	3	6

## Appendix A

Employee contracts	Contracts do not reflect employee roles and salaries correctly	3	4	12	Employee contracts to be reviewed regularly. New contracts to be issued when job role or rates of pay change.	Annually and when job role or rates of pay change	1	2	2
General Data Protection Regulations (GDPR)	Failure to keep records in accordance with the GDPR	3	4	12	A council policy is in place to ensure compliance with the GDPR or FOI, as appropriate. The policy is administered by the clerk, who will report failings to councillors on operation of the record keeping of the Council as soon as possible.	Reviewe if there is a change in law or every three years, whichever is the sooner. Clerk attends appropriate training.	2	3	6
	Failure to respond to Data Protection/FOI disclosure requests as required by law	3	4	12	A council policy is in place to ensure compliance with the DPA or FOIA, as appropriate. The policy is administered by the clerk, who will report failings to councillors on operation of the record keeping of the council as soon as possible.		1	3	3
GDPR	Rule changes	3	3	9	Reported to council at the earliest opportunity. Staff and councillors receive available training		1	3	3
Insurance cover	Insufficient insurance cover for any aspect of Council responsibilities	2	4	8	All appropriate insurances are in place. List is maintained in the council offices covering policies, types and amounts.	Annual review. Up to date valuations to be sought regularly	1	2	2
Register of Interests for councillors	Failure to maintain accurate Register of Interests	2	1	2	Register of interest forms are provided to councillors by the clerk upon appointment to the council. Completed forms are returned to the clerk and forwarded on to Dorset Council.	Councillors reminded annually by the clerk of the duty of councillors to update. It is a criminal offence with the impact on the councillor and not the Council. Council would have to elect a new councillor in worst case sceanario.	1	1	1
Slander (councillors)	Slander and/or libel by a councillor	3	1	3	Councillors are personally responsible for their own actions and are covered by the code of conduct and the Nolan Principles.		3	1	3

Slander (Staff)	Slander and/or libel by a member of staff	2	3	6	Staff covered by TC's liability insurance and employment conditions. Staff to be provided with relevant training and to read council policies including the media and ICT policy. Only designated staff will have access to social media accounts and website. All publications on social media and press release to be approved by clerk or deputy clerk in their absence prior to publication		1	2	2
<b>4. COUNCIL PROPERTY</b>									
Council owned property.	Damage or loss to council owned property by third party or act of God. Insufficient protection of physical assets owned by the council – buildings, furniture, equipment etc. Legal liability as a consequence of asset ownership.	3	3	12	Insurance cover Good fire alarm Good burglar alarm CCTV Clear officer monitoring and auditing procedures Maintain an up-to-date register of assets Regular maintenance arrangements for physical assets Annual review of risk and adequacy of insurance cover	Annually			
Weather conditions affecting council offices	Impact of flooding or other similar occurrences	2	3	6	Adequate insurance cover in place. Disaster recovery plan in place.		1	2	2
Weather conditions affecting the town.	Impact of flooding within town.	2	3	6	Sandbags/Dorset Council weather alerts/processes and personnel in place	Regular monitoring of weather conditions	1	2	2
	Impact of snow/ice within town.	2	3	6	Dorset Council gritting routes, grit bins and adequate supplies of salt		2	2	4
Cemetery	Backlog of bodies to be buried	1	4	4	Bodies would be stored by local undertakers. In the event of a more significant backlog, undertakers from further afield could be approached and in the event of major epidemic, National Government would assist		1	2	2

	Collapse of grave memorial or boundary wall at the closed churchyard and cemetery.	2	4	8	Memorial testing programme is enacted every 2 years. Visual inspection by Outside Operations Team to identify risks as part of general duties. Programme of inspection and repair in place for boundary walls. Grave digger to use shoring when excavating.		1	3	3
General building safety	Health and safety in buildings	2	4	8	All appropriate health and safety legislation is complied with and a record of any events which compromise building safety of all council buildings are kept and acted on by the town clerk in conjunction with town councillors. This includes regular fire inspections and any action that is necessary. Appropriate liability insurance is in place.		2	2	4
Asbestos	Contractors working in areas with asbestos	2	2	4	Clerk to check contractors are approved to work with asbestos and all safety precautions are adhered to. Asbestos survey reviewed prior to any works being undertaken		1	1	1
Play equipment	Damaged play equipment	3	4	12	The Outside Operations Team to carry out an inspection of the condition of all Council play equipment on a weekly basis. Play equipment adequately insured.	All Council play equipment has an annual inspection by a Royal Society for the Prevention of Accidents (RoSPA) qualified person.	2	2	4
Trees	Falling tree or branch hits person	2	3	6	Outside operations manager to monitor the state of trees in all council grounds for any signs of damage or other weakness particularly in the event of any storm or other extreme weather conditions. Reports received by residents are acted upon where applicable.	Regular tree surveys are undertaken by tree warden and regular maintenance performed.	1	2	2
Street furniture	Damage caused to street furniture	1	2	2	All signs of damage/safety issues to be reported immediately to the clerk. Intentional damage is reported to the police and an incident number obtained. Adequate insurance cover in place.		1	2	2

Forced entry to Council property	Theft and damage	2	4	8	The buildings rather than the contents are the main assets. Doors are kept locked when not in use and intruder alarms fitted and set when buildings unoccupied. Council data is stored offsite; only paper copies are stored onsite.		1	2	2
<b>5. OTHER ASSETS</b>									
Asset register	Failure to maintain a full and accurate Asset Register	2	4	8	The asset register is administered by the clerk.	Register revised annually and clerk prepares a report to finance and administration committee and full council.	1	2	2
<b>6. CONTRACTUAL</b>									
Tender rules	Incorrect application of tender rules	3	3	9	The clerk checks the legal position with professional bodies, either when requested by councillors or in his/her judgement if there is a risk to council.		1	3	3
Tender Threshold	Incorrect tender threshold set	2	3	6	Council to review its financial regulations annually and set tender threshold in line with the limit set out in the Public Contracts Regulations.		1	2	3
CIC Confidentiality	Failure to maintain privacy of CIC information	4	3	12	The clerk checks the legal position with professional bodies, either when requested by councillors or in his/her judgement if there is a risk to council.		1	4	4



Contracts	A member of staff and/or a councillor commit to a contract without proper authority	2	3	6	The authority for the commitment to all contracts rests solely with councillors at a properly convened meeting of the council except when the clerk commits to a contract for daily operation of the council. All commitments made outside the conditions above will be considered a misrepresentation by council and will be reported to the police and may result in court action in either the criminal or civil court. Councillor training ensures they are aware that any contract entered into outside of these provisions is invalid and would render them personally liable.		1	2	2
Year end	Dates for Exercise of Pubic Rights not approved by council	2	4	8	Council to ensure that the date set for the Period of Public Rights is recorded in council minutes.	Annually	1	1	2
<b>7. COUNCIL ACTIVITIES</b>									
Failure to provide reports for any council, committee or working party meeting	Failure to follow legal requirements and provide councillors with information on projects and council business	2	4	8	All minutes of meetings are prepared within agreed timescales and agreed by councillors at the next meeting. All minutes are made available for public access on the council's website at the time of publishing the next agenda for each committee.		2	2	4
Allocation of grant monies	Failure to follow proper procedures during the allocation of grant monies.	1	2	2	Councillors have a personal duty to ensure that their decisions regarding the allocation of grant monies is in accordance with the financial regulations and grant criteria. If the clerk or any councillor believes or becomes aware of any infringement of procedures in the allocation of grant monies, they must raise the matter as a point of order immediately if part of the meeting where the subject is under discussion. Councillors will consider their own position as to whether any breach of procedures warrants a code of conduct report to the monitoring officer. Grant applications are recorded on appropriate forms and final reports are produced to ensure monies are spent correctly. Approved by the finance & administration committee and ratified by council.		1	2	2

Consultation invitations from senior authorities	Failure to respond to consultation invitations from senior authorities or other public bodies within the allotted time. This risk has little financial consequence; the primary risk is reputational damage to LMUTC.	2	2	4	The clerk is responsible for notifying LMUTC of deadlines. Where consultation deadlines are unreasonably short, the Council will make strong representations to the relevant authority to gain an acceptable period.		2	1	2
Long term consultation processes	Failure to complete consultations on long term plans, eg Neighbourhood Development Plan	3	3	9	Hold proper consultations, involving appropriately qualified personnel. Take expert advice at the correct stages of the project. Manage the project correctly and ensure all provisions of the Localism Act are followed.		2	2	4

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