

**Bruton Town Council
Risk Management review**

updated Nov 2023 agreed at F&R committee 08.01.2024 minute FR23/29

Key

relatively low risk
moderate risk
higher risk
likelihood and impact scoring

Risk Number	Risk Category	Subject	Nature of risk	Mitigation	How is risk managed	Likelihood	Impact	Risk after mitigation (likelihood x impact + impact)	Review date	Likelihood	Impact	amendments
1-a	Administration	Data and records	Total loss of electronic data.	All electronic records held on OneDrive (cloud storage). Finance records now processed and stored on Scribe accountancy package, cloud storage. New cemetery records being input onto a cloud system in addition to manual ledgers. Existing records being gradually transferred	in-house	unlikely	minor	6	on-going	2	2	
1-b	Administration	Data and records	Total loss of hard copy records e.g. Fire.	Fireproof safe ordered and installed Jan 2023, for ledgers and critical papers. Where possible keep electronic copy.	in-house	unlikely	minor	6	Annual	2	2	
1-c	Administration	Data protection Act	Non-compliance with legal requirements.	Employ qualified clerk. Advice received from NALC and SLCC re changes to legislation/regulation/best practice. New staff members to embark on ILCA qualification and progress accordingly, if appropriate.	in-house	unlikely	minor	6	Annual	2	2	
1-d	Administration	Consistency and continuity of staffing	High turnover of staff	Concern with staff turnover and the break in consistency and continuity when delivering projects and services. Clear processes in place, with central updates. 'Basic training' for all officers, to provide basic continuity during annual leave, unforeseen sickness leave, or staff member leaving employment.	in-house	possible	major	16	ongoing	3	4	reviewed 14.11.2023 minute FR23/29, but likely to remain 'red'
2-a	Financial risks	Bank collapse	Loss of funds.	Regular review. Keeping funds in low risk financial vehicles. An investment policy is required (2023-2024), and will provide a strategy to give improved return on deposits and additional security. This may require an additional bank account or an alternative investment provision.	in-house	unlikely	extreme	15	on-going	2	5	likelihood reduced from possible to unlikely, F & R 20/06/2023 FR23/06
2-b	Financial risks	Budgeting	Cash flow problems.	Monitor income timing. Use reserves to overcome any gaps. Budget reporting format to be reviewed and a more meaningful structure put in place. Consider giving each committee responsibility for monitoring their own budget	in-house	unlikely	minor	6	Monthly	2	2	
2-c	Financial risks		Excessive level of borrowing costs.	A Town Council decision is required to take out loan based on affordability. Fixed interest rates i.e. Annual repayment amount fixed.	in-house	unlikely	minor	6	Annual	2	2	
2-d	Financial risks		Pension commitments	The Town Council pension provision has been reviewed and will now be the Local Government Pension Scheme from April 2023 (subject to administration being in place). The increased costs have been built into the budget for 2023/24 ongoing. Annual review of staff salaries, and appropriate pay increased in line with the annual pay scales produced by National Association of Local Councils.	in-house	unlikely	minor	6	Annual	2	2	
2-e	Financial risks		Risk of incorrect income forecast, including precept.	Committee interrogation of annual costs - Committees will have regular review of the Committee financial position at each Committee meeting. Full Budget approved by Town Council. Reserves adequate to meet shortfall. General reserves to be set at 3-6 months of monthly expenditure	in-house	unlikely	minor	6	Annual	2	2	
2-f	Financial risks		Risk of significant overspend.	Monitoring procedures in place to control and report on all spending. Utilise General Reserves if necessary. Reduce other expenditure where possible. Review Precept.	in-house	unlikely	minor	6	Monthly	2	2	
2-g	Financial risks	Capital Projects	Risk of financial overcommitment and cost overruns.	Careful consideration given on how to deliver a complex capital project and how that will be managed. Council to consider appointing a professional project manager, in appropriate circumstances, to monitor professional consultants. Close check kept on programme progress and planned expenditure.	in-house and with appointed external project manager	possible	major	16	as required	3	4	wording of 2-g and 2-h changed to make them easy to differentiate from each other. F&R 20/06/2023 FR23/06

2-h	Financial risks		Risk of poor performance by contractors.	Consider how to deliver a complex capital project and how that will be managed. A plan of the works to be provided by the successful contractor. Regular liaison between the contractor and the council (delegate liaison to the clerk and a councillor/s) before, during and after completion of the works. Consider engaging a project manager to progress the project.	in-house and with appointed external project manager	possible	major	12	as required	3	3
2-i	Financial risks	Fraud	Council funds depleted	Expenditure monitored Full Council monthly. 2 signatories required for cheques. Dual authorisation on internet bank payments. Invoices for payment scrutinised by both Town Clerk/RFO, with referral to the Council or Committee Chairman if necessary. Independent internal and external audit carried out. Fidelity insurance in place	all 3	unlikely	minor	6	on-going	2	2
2-j	Financial risks	Investment Account major losses	Loss of funds	Regular review of financial investments. Spread risk as appropriate. Investment Policy to be introduced 2023/24	in-house	unlikely	minor	6	Annual	2	2
2-k	Financial risks	Insurance	Is insurance cover adequate?	Professional advice sought and implemented. Market testing of insurance providers. Insurance provision is under a 3 year agreement which ends in 2023. Level of cover and provision to be reviewed before renewal April 2023.	all 3	unlikely	minor	6	Annual	2	2
2-l	Financial risks	Reserves	Inadequate or excessive reserves.	Requirements for reserves reviewed by Town Council annually. General Reserves set at 3-6 months. All other reserves are specified (earmarked), reviewed periodically and agreed at the year end.	in-house	unlikely	minor	6	Annual	2	2
2-m	Financial risks	VAT	Incorrect accounting for VAT liability.	Staff training. Internal audit. Transaction sums are relatively small. Scribe accounting cloud software.	in house	unlikely	minor	6	Annual	2	2
3-a	Governance and reputational risk	Are policies and procedures fit for purpose	Public challenge, breach of statutory responsibility	Standing orders and Financial Regulations to be reviewed annually and published on the website. Review of other policies as per schedule.	in house	unlikely	moderate	9	Annual	2	3
3-b	Governance and reputational risk	Code of conduct, declarations of interests and dispensations	Reputational risk. Potential challenge to a resolution and the need to change a decision. Financial liability / impact.	Records of declarations of interest taken at each meeting. Code of conduct rules reviewed regularly (Somerset Code of Conduct adopted May 2022). Peer knowledge of other councillors. Encourage new councillor training and refresher training where need established.	in house	unlikely	minor	6	Annual	2	2
3-c	Governance and reputational risk	Meeting statutory 'conduct of business' requirements	Failure would make council ultra vires.	Employ qualified clerk. Staff development. Membership of SALC, NALC and SLCC. Quality council accreditation (consider working towards the first level)	in-house	remote	minor	4	Annual	1	2
3-d	Governance and reputational risk	Recording council resolutions	Public challenge. Unintended consequences from lack of clarity.	Draft minutes published within 2 weeks of meetings. Committees and Town Council approve minutes for accuracy. Staff attention to detail with the wording of minutes, and proof reading before publishing. Clarification of proposals and decisions at meetings by the Clerk if unclear at the time.	in-house	unlikely	minor	6	Annual	2	2
3-e	Governance and reputational risk	Over zealous risk management	Culture of no activity unless risk-free	Focus on being risk aware not risk averse.	in-house	remote	insignificant	2	on-going	1	1
3-f	Governance and reputational risk	reputational risk for major projects	Public challenge, dissatisfaction and frustration	A communication strategy to be in place to mitigate any additional risk to reputational damage, and to ensure that there are robust statements in place, even if the projects are not ultimately the responsibility of the Town Council	in-house	possible	moderate	12	ongoing	3	3
4-a	Legal and regulatory risks	promotion of disability equality.	Do buildings, land and facilities meet requirements of disability equality legislation?	Implement the policy on the promotion of disability equality in each area of activity. Advice received from NALC and SLCC re changes to legislation/regulation/best practice.	in-house	possible	minor	8	Annual	3	2
4-b	Legal and regulatory risks	promotion of disability equality.	Website accessibility regulations - do published documents meet the requirements? Is the website accessibility compliant?	Advice received from NALC and SLCC re changes to legislation/regulation/best practice. Training for Councillors and staff to ensure that documents on the website meet the accessibility standards.	in-house	possible	minor	8	Annual	3	2
4-c	Legal and regulatory risks	Staff	Are employment practices fair and reasonable?	Advice received from NALC and SLCC re changes to legislation/regulation/ best practice. Employ professional clerk. Oversight by councillors through HR. Feedback from annual staff performance review.	in-house	unlikely	minor	6	Annual	2	2

wording of 2-g and 2-h changed to make them easy to differentiate from each other. F&R 20/06/2023 FR23/06. 14.11.2023 FR23/29 moderate risk rather than extreme,

Introduced October 2023, minute ref FR23/16

4-d	Legal and regulatory risks		Is the working environment safe for office staff?	Staff training in health and safety. Ensure appropriate specification for equipment and furniture purchases. Consider refreshing of décor and environment in the office for staff.	in-house	unlikely	minor	6	Annual	2	2
4-e	Legal and regulatory risks		Loss of key staff.	Ensure that Town Clerk and Deputy Clerk have a sound working knowledge of most practices in the Council office. Begin to collate an office processes folder, with basic processes such as payroll, finance. Annual performance review. Fair employment conditions. Flexible working. Efficient recruitment process. Succession planning.	in-house	unlikely	major	12	on-going	2	4
4-f	Legal and regulatory risks		Risk of employment dispute, claim for injury, stress, harassment, unfair/constructive dismissal.	Use appropriate terms and conditions of employment. Performance review process. Awareness by councillors of potential problems among staff. Support available from SLCC and NALC.	in-house	unlikely	minor	6	on-going	2	2
4-g	Legal and regulatory risks		Requirements of equal opportunities and diversity legislation.	Employment of qualified clerk. Advice received from NALC and SLCC re changes to legislation/ regulation/best practice.	in-house	unlikely	minor	6	Annual	2	2
5-a	Suppliers	Purchasing of goods and services	Not suitable for use and/or overpriced.	Council procedures in place requiring competitive quotations and expert advice sought where necessary.	in-house	unlikely	minor	6	on-going	2	2
5-b	Suppliers	Third party suppliers	Reputational risk of using suppliers who get adverse publicity.	Ensuring good quality specification for goods and services. References may be obtained before appointing suppliers.	in-house	unlikely	minor	6	Annual	2	2
5-c	Suppliers	Contractors supplying goods and services	poor performance.	Ensuring good quality specification. Regular monitoring of performance, either by TC or appointed consultants.	in-house	unlikely	minor	6	on-going	2	2
6-a	Operational risks	Bus shelters	Structural failure and damage presents risk to the public.	Feedback from the public. Consider inspection on a regular basis (quarterly?)	in-house	remote	moderate	6	quarterly	1	3
6-b	Operational risks	Speed Indicator Devices	target for vandalism	employing a contractor to move the SID fortnightly. Adequate insurance cover. Secured to post at location with a padlock. Consider what else can be put in place to guard against theft.	in-house	possible	minor	8	fortnightly	3	2
6-c	Operational risks	Christmas trees and lights	Risk to the public of lights falling or catching fire.	Installation by contractors and lights are now battery powered.	in-house	unlikely	major	12	Annual	2	4
6-d	Operational risks	Safety of trees which are the responsibility of the Town Council.	Structural failure and damage presents risk to the public.	Annual inspection by tree warden and report to TC. Expert advice sought if required. 3-yearly full risk assessment of trees.	in-house	possible	major	16	Quarterly	3	4
6-e	Operational risks	Risk of flooding	Damage to property, potential injury	Disaster recovery plan. Emergency Plan. Regular maintenance schedule. Adequate insurance.	3rd party	unlikely	major	12	Annual	2	4
7-a	Cemetery	Incorrect burial / records	Relatives stress. Reputational damage	Clerk / Deputy Clerk trained in cemetery management. Ensure correct paperwork received from funeral directors. Revised T&C and fees for cemetery in January 2023. Cloud based cemetery package being introduced along side ledger based recording.	in-house	unlikely	major	12	Annual	2	4
7-b	Cemetery	Headstones and memorials	Structural failure and damage presents risk to the public.	Topple test?. Owner to be responsible for repairs	in house / 3rd party	possible	moderate	12	Annual	3	3
8-a	Allotments	Cuckoo Hill site	Minor risk of trespass e.g. Anti-social behaviour.	Allotment reps inspect and report to TC. Communication with allotment holders. Expert advice sought if required.	in-house	unlikely	insignificant	3	Quarterly	2	1
8-b	Allotments	Durslade Walled Garden	Minor risk of trespass e.g. Anti-social behaviour.	Allotment reps inspect and report to TC. Communication with allotment holders. Expert advice sought if required.	in-house	unlikely	insignificant	3	Quarterly	2	1

Full tree survey by a fully trained arborist to be considered in the next 12 months. 14.11.23 FR23/29

14.11.23 FR23/29, topple test to be considered for headstones

9-a	Play Areas	Play Area Jubilee Park.	Risk of trespass.	Regular usage of the area is a deterrent.	in house	unlikely	minor	6	on-going	2	2
9-b	Play Areas	Play Areas Jubilee Park	Structural failure and damage presents risk to the public.	Regular inspections by Cllrs and contractor, needs to be formalised as a standard written report. Annual inspection by GB Sport. Councillor is now to be trained (routine inspection) to conduct play area inspections.	in house / 3rd party	unlikely	extreme	15	on-going	2	5
9-c	Play Areas	Play Area Jubilee Park	Expensive repairs required to keep the structures safe.	Regular inspections. Earmarked reserves to cover unbudgeted costs.	in house	unlikely	moderate	9	on-going	2	3
10-a	Community Office		Risk of major fire	fire extinguishers tested annually. Annual test of systems by approved contractor.	In house	unlikely	minor	9	weekly/Annual	2	3
10-b	Community Office		Loss of council office Community Office	Hire replacement facilities within Bruton?. Measures taken to protect building, and Council papers (fireproof safe). All members of staff are set up for home working.	in house	unlikely	moderate	6	n/a	2	2
10-c	Community Office		Is the building secure from intruders?	All entry points lockable. Premises is alarmed. Valuable items locked away. Ensure arcade gates locked daily. .	in-house	unlikely	minor	9	Daily	2	3
10-d	Community Office		Are electrics and electrical equipment safe?	Annual PAT testing by suitably qualified contractor. Equipment purchased from reputable suppliers.	3rd party	unlikely	minor	6	Annual	2	2
10-e	Community Office		Destructive event e.g. Flooding	Disaster recovery plan. Regular maintenance schedule. Adequate insurance.	in-house	unlikely	minor	6	n/a	2	2
10-f	Walls	Wall collapse	wall collapse outside the bounds of the funds set aside in the budget and reserve.	regulsr walls budget for maintenance, and planning for large scale repairs	in-house	possible	high	16		3	4

minute ref FR23/29,
14.11.2023 councillor now
trained

added 14.11.2023 FR23/29