

Weymouth Town Council Strategic Risk Register	Mar-21	Doc RR21	
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Ref No.	Name of Risk	Cause of Risk	Impact	Risk Owner	Original Risk Category (Likelihood /Impact)	Current Control Measures	Actions to be undertaken as additional measures in 2020/21	Were these actions completed in 2020/22	Actions to be undertaken in 2021/2022	Owner of Action	Current Risk Category (Likelihood /Impact)	Insurance cover held
1	Injury or death to person, including staff and councillors	accidents due to: poorly maintained building or equipment, trips and falls, hot surfaces and other scalds & burns, poorly planned events, terrorism	death or injury to person	TC	Medium L3 x I3 9	Systematic maintenance programme, training and procedures, use of risk assessments for events and high risk activity. Health and Safety activity including consultant support. H&S input and management by members and senior offices	Continued training and ongoing identification of risk , continued use of risk assessments. Continued increase in H&S input and management from senior officers and all staff. Establishment of officer H&S group	Yes	Continued training and ongoing identification of risk , continued use of risk assessments. Continued increase in H&S input and management from senior officers and all staff. Independent condition surveys to be undertaken by 31-03-21 for key Council assets. This will inform a planned maintenance programme of works	TC / DTC	Medium L2 x I3 6 ↓	public liability, engineering inspection, vehicular
2	Staff well being	failure to recruit and maintain staff morale, failure to maintain staff health, significant workloads	loss of staff, loss of staff dedication & good will	TC	Medium L2 x I3 6	Staff meetings, 1:1 meetings, staff appraisals, social events, staff questionnaire, internal communications, Employee Assistance Programme, staff training programme, supporting charity days	Continue with established mitigation, establish mental health champions, mental health training, bias and inclusion training	Yes	Continue with established mitigation	TC	Medium L3 x I3 9 ↑	employers liability
3	Reputation	poor information provided to public, poor service & events provided to public, poor decision making by officers and councillors	loss of council reputation, loss of income, loss of public support	TC	Low L2 x I2 4	website up to date and accurate, well trained officers, careful management of services, staff training, continued development of communications, training of councillors, appropriate use of social media accounts	Continue with established mitigation, undertake public consultation where appropriate, continue liaison with the media, publication of Town Council Strategic Plan	Ongoing	Continue with established mitigation, appointment of Marketing Officer, continue liaison with the media	TC	Low L2 x I2 4 →	slander
4	Financial systems	limited number of staff fully trained on all aspects of the financial system	inaccurate or unlawful budget management, inability to pay suppliers, lack of internal checks and controls	TC	Medium L3 x I2 6	additional staff trained in some aspects of budget/finance systems, continued development of Finance Team skills and competencies	New staff given training where appropriate for their job role	Yes	As established mitigation	FBM	Low L2 x I2 4 ↓	fraud
5	Compliance with legislation	lack of awareness of or failure to comply with legislation	WTC liable to enforcement activity or legal action	TC	Medium L2 x I3 6	professional staff encouraged to be aware and understand legislation, staff training, careful service planning, use of internal audit and other checks and controls to ensure continued compliance, consideration of legislation when designing new services, membership of professional bodies by managers, use of professional / consultant support where appropriate, CPD training by managers	use of internal audit and other checks and controls to ensure continued compliance, consideration of legislation when designing new services, membership of professional bodies by managers, H&S audit, CPD training by managers. Staff commenced CILCA and iLCA training.	Yes	Completion of CILCA by the Deputy Town Clerk and the Business and Finance Manager. Continue with established mitigation	TC	Low L1 x I3 3 ↓	public liability
6	Poor service to customers	lack of equipment, lack of staff training, lack of service planning	loss of income, loss of reputation	TC	Low L2 x I2 4	staff training, equipment maintenance and purchase budgets in place, continued service review, use of professional support when needed	continued service review, use of professional support when needed	Ongoing	Continue with established mitigation and continue to review staff training	TC	Low L2 x I2 4 →	public liability

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7	Poor communications	lack of good communication: internal and external	poor decision, poor staff morale, mis-informed public	TC	Low L1 x I2 2	website up to date and accurate, well trained administration team, careful management of services	Appointment of Marketing Officer. Continue with established mitigation.	Yes	Continue with established mitigation	TC	Low L1 x I2 2 →	public liability
8	Partnership working	working with partnerships with different priorities, processes and resources - also failure to maintain partnerships	loss of reputation, nugatory effort by WTC officers	TC	Low L1 x I2 2	detailed exploration before any partnerships, formal and informal , entered into regular assessment of value of project / partnership	ongoing with established mitigation	Yes	ongoing with established mitigation	TC	Low L1 x I2 2 →	public liability
9	WTC profile / public perception	poor public understanding of the role of the council and our services	lack of take up of services, lack of public engagement Reduced Service delivery or failure	TC	Low L2 x I2 4	website up to date and accurate, well trained and use of DC Customer Service staff, careful management of services, deliberate and positive publicity concerning services and issues, use of social media	Continue with established mitigation, undertake public consultation where appropriate, continue liaison with the media, publication of Town Council Plan	Ongoing	Continue with established mitigation, undertake public consultation where appropriate. Manage catering public information.	TC	Medium L4 x I2 8 ↑	slander
10	Loss of equipment, funds or income	theft, fraud, poor control	loss of funds / resources, loss of reputation	TC	Low L2 x I2 4	internal audit, financial accounting system, consideration of security of equipment, careful service planning	Detailed asset register to be completed from existing separate sources, accurate values to be provided to insurance company. Guidance issued to staff who are home working	Yes	Continued review of the Councils Assets. "Claim" assets within the HMRC business rates system	TC	Low L2 x I2 4 →	fraud, vehicular, public liability, all risks
11	IT	loss of service, loss through loss of building / ability to do business, loss of IT	loss of income, loss of service, loss of customers, loss of reputation	TC	High L3 x I4 12	maintenance of building and IT systems, IT backup systems, use of external support, use of cloud based storage	Consideration of Business Continuity Plan. Key systems moved to cloud storage solutions. Staff now working from home	Ongoing	Review of the Business Continuity Plan	TC	Medium L2 x I3 6 ↓	Business interruption
12	Leadership	The vision of the Council as an ambitious , innovative and politically led Council is not realised	loss of reputation, lack of public engagement	TC	Low L2 x I2 4	website up to date and accurate, development of communications, use of social media accounts.	Ongoing development of the Councils vision, objectives and WTC Plan	Ongoing	Implementation of the Councils vision, objectives and WTC Plan	TC	Low L2 x I2 4 →	n/a
13	Leadership & Management	Lack of Strategic direction and leadership	Ability of Council to set objectives aligned to service delivery	TC	Low L1 x I2 2	Careful management of services, weekly Senior Management Team meetings	Member and officer training, member workshops. Establishment of draft corporate plan.	Ongoing	Ongoing development of the Councils vision, objectives and Corporate Plan	TC	Low L1 x I2 2 →	n/a
14	Management	Lack of effective management of Services	Poor performance loss of reputation not achieving best value	TC	Low L1 x I2 2	Careful management of services, weekly Senior Management Team meetings, experienced qualified staff	Continue to implement a regular officer budget monitoring review process. Develop and report key performance indicators. Scrutiny training.	Ongoing	Establish and and report key performance indicators. Establishment of scrutiny process.	TC	Low L1 x I2 2 →	Official Indemnity
15	Financial	Significant reduction in income supporting service delivery and wider Council budget	Risk to service delivery, Increase pressure on other budgets	TC	Low L1 x I3 3	Regular review of income received. Monthly review of aged debtor reports. Control of costs. Work within agreed budgets, Monitor utility providers, Annual maintenance plans	Implement additional electronic payments methods to ensure efficient collection of income. Management of COVID-19 effects	Ongoing	Continue to implement additional electronic payments methods to ensure efficient collection of income. Continue to monitor effects of COVID-19 on income levels	TC	Medium L2 x I3 6 ↑	Public Liability, Property

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16	Financial	Failure to adequately manage finances leads to an overspend which is unsustainable in the medium term	Reduction in usable reserves, qualified audit opinion, Unacceptable increase in precept	TC	Low L1 x I2 2	Financial controls set out in Standing Orders and Financial Regulations. Clarity of budgetary responsibilities	Regular review of Standing Orders and Financial Regulations. Enhance budget monitoring. Use of budget working group	Yes	Continue with established mitigation	TC	Low L1 x I2 2 →	n/a
17	Procurement	Failure to procure supplies and services correctly resulting in legal challenge or poor value for money	Risk of legal challenge, loss of reputation	TC	Medium L2 x I3 6	Financial controls set out in Standing Orders and Financial Regulation. Good Officer understanding of procurement procedures	Use of procurement adviser when tendering for new contracts	Yes	ongoing with established mitigation	TC	Low L1 x I3 3 ↓	Official Indemnity
18	Policies	Failure to introduce and implement appropriate policies	Council workstreams not managed in line with legal requirements or best practise	TC	Medium L2 x I3 6	Policies reviewed and adopted by Full Council	Annual review of current adopted policies to ensure they remain relevant and fit for purpose. Continue to keep up to date with legislation and amend and implement new policies as required.	Yes	Continue to keep up to date with legislation and amend and implement new policies as required.	TC	Medium L2 x I3 6 →	Official Indemnity, Employers Liability, Public Liability
19	ICT / Data	Loss of ICT or data through cyber attack	Confidentiality compromised, loss of sensitive information	TC	High L3 x I4 12	Firewall and security on IT regularly updated, use of cloud based storage, procurement of IT managed service, cloud based storage for system databases	Continuation of automated updates by IT service supplier, continued assessment of individual systems such as the Financial Management System and how data is stored. Key systems moved to cloud storage	Yes	Implementatino of Data Retention Policy. Cleansing of data files.	TC	Low L2 x I2 4 ↓	fraud
20	General Data Protection Regulations	Failure to safeguard personal information or the misuse of information leads to a breach of the regulations	Confidentiality compromised, loss of sensitive information	TC	Medium L2 x I4 8	Firewall and security on IT regularly updated, use of cloud based storage, procurement of IT managed service	Continued review of policies and procedures	Yes	Implementatino of Data Retention Policy. Cleansing of data files.	TC	Medium L2 x I4 8 →	Official Indemnity, Public Liability
21	Climate Emergency Response	Failure to reduce carbon impact from services and Council activities, and implement mitigation measures to meet Climate change and Ecological emergency resolution	loss of council reputation, loss of public support	TC	Low L1 x I2 2	Establishment of Clean and Green working group to monitor actions and performance	Review and implement the recommendations of the climate report. Determine timeline of decarbonation measures in accordance with Council resolution	Ongoing	ongoing with established mitigation	TC	Low L1 x I2 2 →	n/a
22	Health & Safety	Failure to protect the Health, safety & Wellbeing of staff and/or contractors and Public	Significant financial and /or reputational damage	TC	Medium L2 x I3 6	Appropriate staff receive regular H&S training, staff attend formal H&S training where needed, dedicated officer responsible of overall H&S monitoring and review. Health and Safety Group.	ongoing with established mitigation	Yes	ongoing with established mitigation	TC	Medium L2 x I3 6 →	Employer Liability, Public Liability
23	Safeguarding	Failure to safeguard children or vulnerable adult e.g. Lost Children services	Significant financial and /or reputational damage, legal challenge	TC	Low L1 x I4 4	DBS checked staff where required, provision of training, review of procedures, experianced staff	Ensure DBS checks are up to date, provision of appropriate training	Yes	ongoing with established mitigation	TC	Low L1 x I4 4 →	Official Indemnity

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24	Asset Management	Failure to manage, invest and maintain Councils Assets	Gradual deterioration and long term costs higher than necessary, Reputational Risk, Unexpected expenses occurring	TC	High L3 x I4 12	Inspection regime in place, regular works and renewals such as paintwork to be carried out inhouse.	Condition surveys to be programmed, planned maintenance costed as part of an asset management plan to be agreed by Committee ongoing with established mitigation	Ongoing	Continue with surveys when needed and, planned maintenance costs updated as part of the asset management plan. Continue to review maintenance budgets and reserves to ensure that sufficient funds are available to maintain the Councils assets.	TC	Medium L2 x I4 8 ↓	Property
25	Pension Provision	Level of commitments	Reduction in funds available to front line services, Risk to reputation, loss of public support	TC	Low L1 x I3 3	Robust financial planning, budget working group considers future financial considerations	ongoing with established mitigation	Yes	ongoing with established mitigation	TC	Low L1 x I3 3 →	n/a
26	Continuity Planning	Failure to undertake continuity planning including business continuity, community emergency plan. Operational risk register	Delivery of services is compromised	TC	Medium L3 x I3 9	Business continuity insurance, Officers have the ability to work from home, use of cloud based storage, mobile phones for staff, procurement of a external IT support service	Commencement of the Business Continuity plan	Ongoing	Final Business Continuity plan in place	TC	Medium L2 x I3 6 ↓	Business Continuity
27	Governance	Failure to make robust informed decisions in compliance with legislation, consultation, openness, scrutiny, high quality data etc.	Failure to achieve these high standards can lead to both reputational and financial loss.	TC	Low L1 x I3 3	Internal Audit carried out by recognised company, Financial regulations regularly updated. Processes and procedures followed. Key Staff trained. Annual Review	Town Council review undertaken by the Council's Internal Audit	Yes	ongoing with established mitigation	TC	Low L1 x I4 4 →	Official Indemnity

RISK SCORES

IMPACT	SCORE	DESCRIPTION (THREATS)	POSSIBLE INDICATORS
Major	4	Major loss of service,	disruption over 5 days,
		Major injury/death risk to people, Major financial/budgetary implications,	One or more fatalities,
		Prosecution by Enforcing Authorities, Statutory/legislative mandate,	Financial loss over £500k,
		National media coverage,	Notice of Improvement Notice being served,
		Significant impact on performance	New regulations/Directive from Central Government, Newspaper/radio reports,
			Major delays in projects affecting service delivery
Serious	3	Loss of major service,	Service disruption 2-5 days,
		Major injury risk to people,	Major injuries to individual/several people,
		Serious financial/budgetary implications,	Financial loss £50-500k, Unscheduled Audit inspection/HSE visit,
		Attract scrutiny by Regulatory Bodies, Political mandate,	Impending legislation,
		Local media coverage,	Enquiries from local press/radio, Delays affecting the smooth flow of service delivery
		Medium impact on performance	
Significant	2	Significant impact on service objectives,	Service disruption 1-2 days,
		Severe injuries,	Some effect on normal work routines, Financial loss £5-50k,
		Significant financial/budgetary implications,	Questions raised through members, Minor delays quickly remedied
		Increased public awareness,	
		Low impact on performance	
Minor	1	Minimal disruptions not affecting service,	Minor disruptions in work routines,
		Very minor injuries to personnel, Minor financial loss	Not affecting work routines,
			Financial loss less than £5k

LIKELIHOOD RATING	SCORE	DESCRIPTION (THREATS)	POSSIBLE INDICATORS
Very likely	4	More than 75% chance of occurrence	Regular occurrence, Circumstances frequently encountered – daily/weekly/monthly
Likely	3	40%-75% chance of occurrence	Likely to happen at some point in the next 1-3 years, Circumstances occasionally encountered (few times a year)
Unlikely	2	10%- 40% chance of occurrence	Only likely to happen once every 3 or more years
Very unlikely	1	Less than 10% chance of occurrence	Has happened rarely/never before

RISK SCORES MATRIX

LIKELIHOOD	Very likely	4	8	12	16
	Likely	3	6	9	12
	Unlikely	2	4	6	8
	Very unlikely	1	2	3	4
		Minor	Significant	Serious	Major
			IMPACT		