

BRIDGNORTH TOWN COUNCIL
RISK MANAGEMENT REGISTER 2017



Draft May 2017

BRIDGNORTH TOWN COUNCIL – RISK MANAGEMENT REGISTER 2017

Risk no.	Description of Risk	Impact	Current controls in place	Corporate or Departmental Risk	Likelihood	Impact	Total Risk Score Likelihood X Impact	Risk Priority	Date of review	Reviewed by	Risk Owner	Additional comments or controls	Implementation date following additional comments
	<u>Finance (F)</u>												
1	Adequate budget in place and resources available to cover the running costs of the Council, delivering council services and taking on any services from Shropshire Council	Inability to fund services Failure to provide service Services delivered at a lower standard	Budget setting process in Standing Orders and Financial Regulations Finance Budget training for Councillors Regular reports to Council	Corporate	2	5	10	High	April 2017 onwards	AW/RW	AW	Finance, Budgets and VAT training scheduled for June 2017 Programme in place for consideration of additional services	Ongoing from Autumn 2015
2	Failure to manage the budget and council resources effectively and efficiently	Inability to fund services	Financial controls set out in Standing Orders and Financial Regulations	Corporate and Departmental	2	5	10	Low	Ongoing	AW/RW	AW	Lack of availability of adequate information from Shropshire Council	Monitoring and decision making by members within budgets Internal Audit for 2016/2017 very good
3	Failure of staff and Councillors to prepare the budget accurately	Inability to fund services	Experience and understanding of Councillors and staff Looking at external influences on income generation Adequate reserves New legislation	Corporate	2	4	8	Low	Annual	AW	AW	Training needed for Councillors who do not understand the budget or the budgets setting process	

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4	Management of cash flow	Inability to deliver services	Look at investments and take regular advice Regular reports to Council	Corporate	2	4	8	Low	May 2017	AW	AW	Increase in general reserves at year end 2016/17 – some earmarked reserves dropped back into general	
5	Insufficient income generation through various factors (decline in visitor numbers, develop within the town, recession, car park income down)	Inability to deliver services	Controlling of costs Work within agreed budgets Monitor utility providers Annual maintenance plans	Corporate	4	5	20	Medium	Ongoing	AW	AW	Regular income generated but careful consideration given to increase in fees & charges through the budgets setting process	
6	Inadequate procedures in place for safe collection of cash (market/car park/events/halls)	Robbery Mugging Injury and threats to staff	Security company to collect cash from car park and bank Vary times of cash collection from market Events - more than one member of staff on duty Halls - money collected in office (but more often is a posted cheque) Counting of cash carried out in a locked office	Departmental	2	4	8	Low	Ongoing	AW/BI/ RW/AC	AW	Staff collect money in pairs and not alone	Cash collected by Security Company on a regular basis and banked for Town Council

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7	Inadequate procedures in place for the banking of cash and cheques	Robbery Mugging Injury and Threats to staff	Two people take cash to the bank Vary time and days of banking	Departmental	2	3	6	Low	May 2017	AW/RW	AW	Cheques sent by post No staff bank cash on own	
8	Removal of Council Tax Community Support Grant	Long term threat to Town Council services Potential reduction in reserves	Funded by reserves or increase in Council Tax	Corporate	5	4	20	Med	Nov 2017	AW/ Council	Council	Not likely to be received from Shropshire Council due to the discretionary option in legislation re forwarding the grant	
9	Loss of car park and cemetery income	Effect on budget	Annual review of fees	Corporate	3	4	12	Med	May 2017	AW	Council		
10	Access to cash and safes	Access to safes and cash could be a security risk	Adequate controls in place for the opening of post and receipt of cash and cheques Limited access to the safe and petty cash tins Flexibility required to cover holidays/sickness	Corporate and Departmental	2	4	8	Med	May 2017	AW/RW	AW	Limited access in the office – access carefully monitored	
11.	Council property, hiring, services and land rent reviews	No maximising of income streams	Reviewed annually in January each year	Corporate	1	3	3	Low	January 2017	AW	AW	Reviewed annually	

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12	Depletion and use of reserves	Council not able to fulfil its duties or services Emergency and unexpected costs not able to be met Capital programme of works not carried out Staff not able to be paid Health and safety risk on equipment not properly serviced and maintained	Budget set to meet the costs of providing Council Services Financial information considered and reviewed at meetings of A&GP and Town Council Debtors regularly reviewed by staff and Council Bank Accounts reviewed annually Use of reserves approved by Council Realistic charges made for use of public buildings Investment planning	Corporate	2	5	10	High	May 2017	AW/Town Council	AW/Town Council	Reviewed monthly Also reviewed as part of year end procedures	Some earmarked reserves dropped back into general reserves at year end 2016/2017
13	Lack of maintenance on public buildings and major assets Responsibility to the town for the maintenance of historic buildings	Gradual deterioration and long term maintenance costs higher than necessary Reputation of Town Council lowered Unexpected expenses	Inspection regime in place Regular updates and renewals to paintwork etc carried out in house Outdoors Manager responsible for buildings and places of historic interest in ownership of the	Corporate	2	5	10	High	Ongoing	AW/BI	Town Council	Reviewed annually Quinquennial surveys implemented in April 2016 - some substantial defects found	Structural surveys and other work being commissioned

		occurring	Town Council										
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	<u>Personnel (P)</u>												
1	Untrained or unskilled staff 's in ability to carry out job employed for	Poor standard of delivery of services	Scrutiny of job applications Member involvement in interviews of staff Regular Appraisals Budget for training of staff Training kept up to date	Departmental	3	3	9	Med	May 2017	AW/ Council	AW	Part of appraisal process Possible future delivery of services consideration where training is needed	Training budget in budget
2	Councillors not trained or have a lack of understanding of their role and responsibilities	Impact on the level of decision making and ability to make effective decisions	Programme of training in place for Councillors on their role and corporate responsibilities	Corporate	3	3	9	Med	May 2017	Council	AW	Councillors to receive further training as result of outcome of internal process	Reluctance to have training by some Councillors Following elections in 2017 extended training programme to be implemented
4	Loss or long term absence of key staff may lead to inability to deliver Town Council services	Inability to deliver services on time Effect on the capacity of remaining staff	Locum arrangements in place Upskilling of existing staff	Corporate	3	5	15	Low	Ongoing from Feb 2015	AW	AW	Current issue – new Deputy Town Clerk to be employed Summer 2017	Receptionist on short term contract – permanent contract July 2017
5	Personnel files out of date	Inability to track staff and	Legal requirement	Departmental and	2	3	6	Low	Summer	AW	AW	Shropshire	Personnel files are

		their development	Staff records kept up to date	Corporate					2017			HR and AW to review	kept in good order
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5	Failure to have H&S procedures in place, leads to staff being put at risk	Not meeting legal requirements Staff being put at risk Untrained staff in H&S requirements Injury to staff Injury to public Possible claims against the Council	Staff receive regular H&S updates Some staff have attended H&S formal training Staff trained on how to use equipment (where relevant) PPE provided Regular maintenance and inspection of equipment External H&S contract in place	Corporate	2	4	8	Med	April 2017	AW/BI/SC HR	AW	New H&S contract with Shropshire Council from 1 st April 2016.	1 st April 2016
6	Employment Legislation not followed or updated	No policies and procedures mean no rules worked to Working illegally if legislation not followed	External employment specialists in place	Corporate	2	4	8	High	April 2017	AW/SC HR	AW	New HR contract with Shropshire Council from 1st April 2016	1 st April 2016 Regular HR advice received from Shropshire HR
7	Equality Legislation	Legal challenge	Ensure staff and elected members are aware of the legislation	Corporate	2	3	6	Low	May 2017	AW	AW	Training in this legislation to be provided as part of future training programme	
8	Attempting to bypass disciplinary and grievance procedures	Legal challenge Disgruntled staff –reduced morale	Adopted policies and procedures in place regularly updated	Corporate	3	5	15	High	April 2017	AW	AW	To be part of training programme for new Councillors in May 2017.	Equality in HR matters across the staffing and advice should be taken from external providers when given or offered

9	Inappropriate application of staff policies	Legal challenge Reduced staff morale	Adopted policies and procedures in place	Corporate	3	5	15	High	April 2017	AW	AW	Training for Members Required.	To be part of training programme for new Councillors in May 2017.
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	<u>Governance (G)</u>												
1	Failure of Corporate Governance Arrangements	Poor audit or inspection reports Lack of trust and competence in the Town Council	Internal Audit carried out by recognised company Financial regulations regularly updated Processes and procedures adhered to Key staff trained Annual Review	Corporate	1	5	5	High	April 2017	AW	AW	Internal Auditor making presentation to Council on outcome of interim audit Good audits throughout 2016/2017 to date	2017
2	Election changes to membership of Council results in different priorities for the Council	Shift in service delivery priorities	Experienced officers to guide Member training Access to external and internal training Policies and procedures regularly updated	Corporate	5	5	25	Med	Ongoing	Council	Council	Strategic / Corporate Plan Plan to be developed taking into account the possible options on the delivery of services currently run by Shropshire Council	Elections held in May 2017
3	Failure to increase resilience and	Failure to deliver	Business continuity insurance in	Corporate	4	4	16	Med	April 2017	AW/BI	AW	As part of the improvement	New toilet and refreshment kiosk agreed by Council early 2017

	adapt to climate change	services Severe weather could cause major incident	place SC Emergency Planning team Adapt to service delivery needs									in Severn Park consideration will be given to flooding	Consideration to be given to new play equipment. Gym equipment to be installed summer 2017.
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4	Failure of service provider/contractor IT/car park/ CCTV/street lighting/toilets	Prolonged interruption for some services or changes in pattern of service delivery in others	Contracts in place with regular monitoring and reviews	Departmental	2	3	6	Low	Ongoing	AW/BI/ Council	AW	CCTV equipment and maintenance contract with Technical services Toilet contract with Healthmatic Street lighting contract with Highline IT Contract – 3 years SC car park enforcement contract – Shropshire Council	Car park contract with Creative Car Parks broken May 2016 – successful partnership with Shropshire Council commenced Summer 2017
5	Failure to have adequate insurance cover in place	Costly to Town Council on any claims from staff/public Leaving Council open to challenge	Annual review of cover and updated as required throughout the year Management of H&S through Ellis Whittam	Town Clerk (as per Financial Regulations)	1	5	5	Low	Ongoing as insurance policy updated	AW/Town Mayor	AW	Insurance renewal	Contract Renewal June 2017

6.	Transparency Code	Not enough information made public or confidential information disseminated in error	Legislation being incorrectly interpreted could lead to legal challenge	Corporate	1	4	5	Low	May 2017	AW	AW	Transparency Code to be updated in line with amendments	Review Consultation undertaken Summer 2016 – yet to be informed of outcome
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	<u>Business Continuity (BC)</u>												
1.	No structure in place for business continuity if access to College House/Annexe is not available	Delivery of services is compromised	Business continuity insurance Other Council properties available for use/work from home Mobile phones for staff IT equipment leased	Corporate	1	5	5	High	June 2016	AW/ Council	AW	Have Business Continuity Insurance	
2.	Major incident e.g. flooding, civil unrest, fire, postal bomb	Reliability on partnership and voluntary organisations Business disruption	SC Emergency Plan – local representation Work with neighbouring parishes Good relationship with Police and Fire and Rescue	Corporate	2	5	10	Med	June 2017	Council	AW	Outdoors and Property Manager to attend Shropshire Council annual Emergency Planning meetings	
3.	IT Security	Reliability on Firewall and security on IT system	Firewall and security on IT equipment is	Corporate	1	5	5	Med	February 2017	AW/AK	AW/ Microplus	Automated updates from IT suppliers	Ongoing New 2 year - IT

		Confidentiality compromised	regularly updated									(leased equipment) Microplus	rental in place – February 2017
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	<u>Buildings, open spaces and premises (BOSP)</u>												
1.	Car park equipment and platforms	Reduction in car park income Injury to staff and public	Daily visual inspection and any issues reported Maintenance Contract in place where required	Departmental	1	5	5	Med	From January 2017 onwards	BI	AW/BI	Review of delivery of service and enforcement in car parks	May 2017
2.	Heating in buildings	Unsuitable/illegal temperature to work in Public and staff complaints	Regular maintenance and annual service	Departmental	3	3	9	Low	Summer 2017	BI	AW/BI	Looking at additional heating options for the Town Hall – current ineffective and inefficient	
3.	Floor surfaces in all buildings	Public and staff complaints Accidents	Visual inspections Regular replacement Wet floor signage used Cleaning contractor used	Departmental	2	3	9	Low	May 2017	BI/cleaning company	AW/BI	Regular cleaning takes place - stringent health and safety requirements adhered to	

4.	Security at all locations	Security compromised at all locations	Intruder alarms in most buildings Maintenance contract in place Emergency call out system	Corporate	1	3	4	Low	Ongoing	BI	AW/BI	Updated alarm system in College House	
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5.	Out of hours in parks (Severn Park/Castle Grounds)	Public accessing parks after closing time	Severn Park – opened and locked by staff member 1 st October – 31 st March and opened and locked by as security company 1 st April -30 th September. Castle Grounds opened and closed daily by staff member. Rowing Club and Rugby Club have own keys and are responsible for locking the gates after opening hours at Severn Park	Departmental	3	3	9	Low	May 2017	BI/PR	AW	New park sign in Severn Park through MTRI with contact details on Opening and closing arrangement for Severn Park	Review of parking regulations undertaken June 2016
6.	Cemetery – steep banks and road, short of space,	Legal challenge over space shortage	Additional land being sought for burials Regular maintenance of site	Corporate	3	4	12	Low	Ongoing	AW/BI/LG	AW	Soil testing taken place on adjacent cemetery land towards	Contact made with Apley Estates and Bridgnorth Housing

Risk no.	Description of risk	Impact	Contingency in place for bad weather H&S for working in cemetery Current controls in place	Corporate or Departmental Risk	Likelihood	Impact	Total Risk Score Likelihood x Impact	Risk Priority	Date reviewed	Reviewed by	Risk owner	extending the cemetery – land valuations now being carried out Additional comments	Trust over options to buy land for cemetery extension Implementation date of additional comments/controls
7.	Vehicles in Cemetery	Vehicular access at all times Disturbance to funerals taking place Accidents Injury to public and staff	Management of vehicles Parking areas in place Bollards on key parts of the roads Staff present for funerals	Corporate	2	4	8	Low	May 2017	BI	AW		
8	Failure of regulations and controls of Charter Market under the Town Hall and stalls on the Saturday Market	Damaged reputation Failure to comply with legislation Potential reduction in revenue Potential claims against the Council	Regulations reviewed periodically H&S procedures in place Inspections carried out Checks on whether market stall holders are selling what they are licensed to sell	Corporate	2	4	8	Low	May 2017	AW	AW	Market Regulations updated February 2017 both under the Town hall and the stalls that BTC have on the High Street	Consideration to casuals being implemented
9	Town Hall – Listed Timber framed building, operational issues	Access difficulties for public Possible claim for injury Lone working Hygiene issues	Risk Assessments Lone Working Policy Regular Fire Alarm testing Contract cleaners in place	Corporate	2	4	8	Low	Summer 2017	BI/AW	AW	Risk Assessment and Lone Working Policy (Town Hall)	Summer 2016

			Regular meetings with staff										
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10	Bus Shelters owned by BTC	Possible injury if regular checks are not carried out	Regular maintenance and cleanliness checks carried out	Departmental	2	4	8	Low	2017	BI	AW/BI	Regular maintenance paid for by unused bus stop grant (with permission from SC)	
11	Public Conveniences – Listley Street, Severn Car park and Innage Lane	Failure to provide toilets due to budgetary constraints in a market and tourist town and also for residents	Cleaning and Maintenance contract in place reviewed annually	Departmental	2	4	8	Low	June 2017	BI/AW	BI/AW	Regular theft of money from the toilets	With effect from April 2018 principal councils have the discretionary option to not charge Business Rates on toilets
	Other (O)												
1	Christmas Lights – failure of system	Failure to provide a satisfactory light display and safety	Annual appointment of qualified contractor, H&S assurances, procedures, risk	Corporate	2	4	8	Low	Summer 2017	AW/BI	AW/BI	?? Consideration of extending the scheme	New lamp post features required for Underhill Street and new Road (9 features) as three

		assurances Loss of income for the town	management, installation and testing - meeting statutory requirements										year contract with Millennium Quest has ended
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2.	Street Lighting Contract	Failure to provide safe and working street lights Lighting in street not adequate	Contractor appointed for the inspection and maintenance of street lights owned by BTC	Corporate	2	4	8	Low	April 2017	AW/ Highline	AW	Contract working well and efficiently	
3	Inadequate facilitation and management of Bridgnorth Town Community Events	Reputational damage Potential reduction in revenue from the events Possible injury claims from public and staff	BTC staff present at all events Traffic Management put in place H&S and risk assessments put in place Adequate safety marshalling Insurance cover adequate Licences applied for where necessary Emergency services notified External security where necessary Working with residents on access arrangements	Corporate	2	4	8	Low	May 2017	AW/BI/AK/ Community Events Working Party Dave Mansfield Shropshire Council Events Licensing Officer	AW	Review of events in terms of cost to the town Council Potential to increase volunteers at community events	Ongoing Ongoing
4	Inadequate CCTV system	Reputational damage	System installed to meet needs in partnership with	Corporate and town	2	5	10	Med	May 2017	AW/PB	AW	New CCTV system installed	Grant funding applied for as part of a

		Increase in crime	SC and West Mercia Police Training of system to be given	wide								Consideration of extension of CCTV scheme	Shropshire wide bid to the Police and Crime Commissioner – result to be known in Autumn 2017.
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5	Role as statutory consultee for planning	Unsuitable developments Local Plan/SAMDEV requirements not being followed Impact on local community	Member training Professional advice from SC sought by administrator Electronic planning available to view	Corporate	3	4	12	Low	Ongoing	AW/LG	AW	Majority of CIL funding going to a neighbouring Parish Council Shropshire Council priorities not necessarily in tune with BTC priorities	Lack of consultation of local priorities embedded in CIL scheme
6	Town Plan	Failure to deliver the outcomes of the plan in partnership Reputational damage with partners and the community	No work being carried out on the Town Plan at present	Community	3	5	15	Medium	Ongoing	Trustees of Vision Bridgnorth	Vision Bridgnorth	New group of volunteers showing interest in moving the plan on and updating	New projects and improvements are / may be stalling Unable to obtain funding from old Town Plan Steering Group
7	Shropshire Council – devolution of services	Failure to deliver essential services to the community of Bridgnorth	Consultation on some services has been and is currently being carried out	Corporate and Community	5	5	20	High	Ongoing	AW/Town Councillors/ Shropshire Council	Bridgnorth	Regular meetings on the devolution of services have taken place throughout 2015 & 2016	Expression of interest has been submitted for ground maintenance. Community Right to Bid on Innage Lane Youth Centre.

