

Stratford-upon-Avon Town Council



Risk Register

Area	Risk	Level of Control	Control (and agreed improvements)
Assets	Protection of physical assets – building currently maintained and fire extinguishers	M	Buildings insured. Value increased by index-linking.
	Security of buildings, equipment etc.	M	Alarms at the Town Hall. Contents insured.
	Maintenance of buildings etc.	H	Buildings currently maintained on an ad hoc basis – rolling maintenance programme under revision. The introduction of a Town Hall Quinquennial Inspection is being considered. Planned programme of electrical and safety equipment in place.
	Contractors	L	All contractors must submit risk assessment and method statement prior to any residual or maintenance work undertaken at the Town Hall, the American Fountain or Evesham Road Cemetery. Appropriate Personal Protective Equipment (PPE) must be worn at all times.
Building Assets	Town Hall Individual risk assessments covering	M	<ul style="list-style-type: none"> ~ Ballroom and Ante-room ~ Cellar ~ Council Chamber ~ Fire Prevention and Evacuation ~ Fixtures and Fittings ~ Flying Flags ~ Reviews the risk of accessing the roof and balcony to fly the appropriate flags ~ Gents Toilets ~ Hot Water Temperatures ~ Kitchen ~ Ladies Toilets ~ Mats

			<ul style="list-style-type: none"> ~ Roof Access ~ Stone and Wooden Polished ~ Floors ~ Stairways ~ Mayor's Parlour
Finance	Banking Risk of consequential loss of income	L	<p>Accounts held at high street bank.</p> <p>Insurance cover. Sum insured £60,000 (to cover loss of income and relocating office). Important documents backed-up and taken off premises.</p>
	Loss of cash through theft or dishonesty	L	<p>Petty cash tin is stored in locked cabinet and accessed by Finance & Facilities Officer (FFO) and Responsible Financial Officer (RFO) only.</p> <p>Cash received for Town Hall hire, Friends of Shakespeare's Celebrations or the Mayor's Charity, if left in the office overnight rather than banked on the day of receipt, should also be in locked cabinet.</p>
	Financial controls and records	L	<p>Monthly reconciliation prepared by RFO, checked by Town Clerk and reported to Council.</p> <p>Two signatories on cheques and online payments. Internal and external audit.</p> <p>Ensure compliance with the General Data Protection Regulation (GDPR).</p>
	Comply with Customs & Excise Regulations	L	<p>Use help line when necessary. VAT payments and claims calculated by RFO or FFO using Sage Accounts. Internal and external auditors provide double check and process.</p>
	Sound budgeting to underlie annual precept	L	<p>Finance & Audit Committee and Council receive detailed budgets in the late autumn, with input from all standing committees with their own budget responsibilities. Precept derived directly from this.</p>

			Expenditure against budget reported to Finance & Audit Committee at each meeting, and Management Accounts also emailed to all Councillors each month as part of month end reporting
	Complying with borrowing restrictions	L	No new borrowing likely at present.
Liability	Risk to third party, property or individuals	H	Insurance in place. Open spaces checked regularly. Trees investigated when damage reported. Risk assessment already in place for Christmas Lights switch-on at the Town Hall.
	Legal liability as consequence of asset ownership or services rendered.	H	Insurance in place. If a claim is made and Council is found negligent, the Council will then be liable for costs. Weekly H&S checklist operated at Evesham Road cemetery and Holy Trinity churchyard.
	PERSONNEL		
Employer Liability	Comply with Employment Law	M	Membership of various national and regional bodies including Employees Organisation. Legal advice obtained from external professional specialists, as and when required.
	Comply with HMRC requirements	M	Regular advice from HMRC. Internal and external auditors carry out annual checks.
	Safety of staff and visitors	M	Alarm/CCTV fitted as security measure. Regular H&S risk assessment checks of Town Hall particularly before public events. Loan working policy procedures to be adopted at all time.

			Staff in/out board identifies those in the building.
	Safety & Security of staff	L	This monitors the risks identified within the current office accommodation and lone working arrangements in Town Hall. DSE – Display Screen Equipment Test Repetitive Strain Injury test Annual Eye Test Appropriate vaccinations for Cemetery Staff Lone working for Cemetery Staff T Hall door closed for public access when staff is lone working.
	Absence of Staff - Assessment undertaken to minimise staff absenteeism and the provisions in place to minimise disruption and provide adequate cover – includes	L	Office Staff Cemetery Staff Long Term Absence of Town Clerk – the major controlling action is to ensure adequate reserves to pay for a temporary replacement Officers should liaise with the Mayor and the Chairs of the standing committees on a day to day basis until a permanent solution can be arranged.
	Out of Bounds Areas when Lone Working	L	Attic Cellar Lift
Traffic Management Plan	Shakespeare Celebrations and other major events that use the public highway	M	Identifies the risk of public and invited guests during the Shakespeare Celebrations in particular
Legal Liability	Ensuring activities are within legal powers	M	Town Clerk clarifies legal position on any new proposal. Legal advice sought where necessary.

	Proper and timely reporting via the Minutes	L	Minutes of meetings approved by Council and held in interim. Meetings Minutes, Reports and Agendas made available to press and public at the Town Hall and via the web site.
	Proper document control	L	Key documents, deeds and contracts stored by the Town Council's Solicitor. Other data storage to comply with the General Data Protection Regulation.
Councillor priority	Registers of Interests and gifts and hospitality in place	L	Register of Interest completed. Gifts and hospitality register is available at all times and held in office.
Council vehicles	Legal requirements for Council vehicles to be observed	M	All drivers of Council's vehicles to hold clean and valid driving licenses and to provide half yearly verification to the Deputy Town Clerk. Mayor's chauffeur and all other drivers of Council's vehicles to undertake annual eye test. The Council to provide insurance and maintenance cover. Superficial maintenance of vehicle to be undertaken by named personnel. Council vehicles left unattended must be locked. Personal possessions should be locked out of sight or preferably removed from vehicles when left unattended
	HEALTH & SAFETY (H&S)		
Cemetery & Outdoor Spaces	FMEA Risk Assessment – Street Furniture /Facilities	L	Continue the FMEA assessments by Councillors prior to authorising the installation of street furniture and facilities.
	Reputational Risk	M	Council to assess any

			reputational risks that might arise as the outcome of its decision process and when deliberating issues in Council.
	Cemetery – Excavation of Graves	L	Policy in place and followed.
	Cemetery – Excavation of Graves, Transfer of Disease	L	Staff undergo tetanus injections as and when required
	Generic	L	Comprehensive 19 page risk assessment covering all aspects of Health & Safety within the cemetery to safeguard staff and visitors. Does not include memorial testing.
	Memorial Testing	L	This identifies the risk involved in actually testing the memorials and does not cover the need for memorial testing which is covered in method and procedures document.
	Pigeon Control	L	This covers access to roof void to install preventative measure as well as removing pigeon droppings.
Events	Walking Processions on Public Highways	H	Includes all the major events during which Town Council and visitors process through the Town, generally but not always under a Road Closure Order.
	Christmas	H	Christmas Lights Contractor to submit risk assessment and method statement with regard to the fixing of lights to the Town Hall and the American Fountain. Full assessment undertaken for the Switch-on Ceremony including: Roof Balcony Reception Father Christmas Grotto Fireworks
Business Interruption and Back-Up IT		L	Critical data and program files backed up Back-up allows for full restoration of system and data

			<p>Back-up drives stored securely off site (Cemetery) Test back-up regularly</p> <p>Contact list of all those booked to hire Town Hall backed-up and stored off-site</p> <p>Adequate insurance to compensate in the event of Town Hall bookings being cancelled</p> <p>Cemetery records digitised and kept up to date. Copy ledgers kept in fire-proof cabinet on site</p> <p>Adequate reserves to secure alternative arrangements for Council Meetings</p>
--	--	--	---

This risk management paper was considered by Stratford-upon-Avon Town Council on 7.3.17 and will be reviewed again in 12 months.

Reviewed by General Purposes Committee 27.2.18

Amended 6.3.18

Reviewed by Finance & Scrutiny Committee 13.3.18

Reviewed by Finance & Scrutiny Committee 12.3.19

Reviewed by Finance & Scrutiny Committee 10.3.20

Reviewed by Finance & Audit Committee 9.3.21

Updated to replace references to Deputy Town Clerk with Responsible Financial Officer (RFO) 2021