

Finance and Risk Register

FC = FULL COUNCIL, P&F = POLICY & FINANCE , RLA = RECREATION, LEISURE & AMENITIES, HWG = HARLINGTON WORKING GROUP, EC = ESTABLISHMENT COMMITTEE, RWG = RISK WORKING GROUP

Approval date: Council 6th September 2023

Risk Description	TOP CURRENT KEY RISKS	Risk Manager	Committee	Controls in place	Current Risk			Actions / Review Date
					Likelihood	Impact	Rating	
FINANCIAL								
Harlington Lease * Financial risk and loss of community provision if lease not agreed		Executive Officer	FC / HWG	* Meetings with HDC * Legal advice from Solicitors * Harlington Working Group and Council have oversight	3	3	9	* Draft lease has been issued ONGOING
The Harlington Replacement / Refurbishment * Risk to reputation - loss of performance centre in Fleet, Financial implications. * Procurement risks - not complying with latest regulations		Executive Officer The Harlington Manager	FC / HWG	* Keep public informed by newsletters/flyer/website/social media and consultations * Monthly Council meetings * Input from Civic * Quarterly P&F meetings * Harlington Working Group * Planning specialist advice	3	2	6	* HDC Civic Regeneration Project working Group consultee
Finance Management * Unable to deliver services within the resources available to the Council to meet obligations, including keeping the current year's budget within the approved budget framework. * Failure to control cost of major projects/events. * Fraud and theft: Risk of internal asset misappropriation, corruption or fraud deception * Staff have access to the safe, tills, bar and café supplies. The bank account is managed by 3 key staff. * Investments: financial loss, inappropriate investment. * Reserves: Failure to maintain reserves * Banking: difficulty banking due to closures of banks / having to use the post office and safety of person transporting cash to post office * Loss of bookings income: failure to collect income or payments not being made * Inadequate Precept: precept collected not being adequate to cover expenditure * Misuse of Credit Cards: credit cards used for inappropriate spending, not being able to provide evidence of spending * VAT: incorrectly categorising VAT on invoices, incorrect VAT return * Grants: being awarded unfairly or breaching regulations		Executive Officer The Harlington Manager	P&F / FC	* Financial Regulations and Standing Orders in place * Monthly Council meetings * Quarterly P&F meetings * Quarterly projections of Income and Expenditure reported to P&F Committee * Adequate reserves and insurance in place * Financial Risk record in place * CCTV around building including DM office where safe is kept * Cash kept locked in safe in DM Office - key is kept locked in combination box select staff know * Cash ups checked by person completing, Bar Manager / Supervisor and Duty Manager * Two Councillors check all invoices and authorise payments on the bank account * Stock Control in place * Bank account requires two Councillors to authorise any payments * If cash to be banked is over £1000, two people to do banking. Rotation of duties so not always same person * Invoices sent in timely matter. Any debtors chased regularly * Precept agreed as part of budget. Precept can be raised if needed. * Procedures for procurement and investment in place * Bank reconciliations reviewed regularly by RFO and Council * Review of minutes to ensure legal powers are available and the basis of the powers recorded and correctly applies by Internal Auditor * Credit Card Policy in place. Agreed limits on each card. Statements and receipts signed off by Executive Officer and two Councillors * VAT consultant in place. Most invoices provide VAT breakdown. 'Cheat sheet' of VAT amounts for when doing finances * Grant Application Form and supporting documentation guidelines in place. All grants have to be approved by P&F or Full Council. Register of grants awarded each financial year kept. * £2m Fidelity Guarantee included in insurance policy	2	3	6	* Finance risk assessment carried out to be reviewed by P&F DRAFTED
Market * Reputational risk if market provider fails to meet his contractual obligations. * Financial risk of not receiving rent from operator when requested		Executive Officer	P&F / RLA	* Market operator supplies Risk Assessment for day to day running of the market * Market currently operated by CIC group * Contractor Management * Quarterly RLA meetings to monitor any issues * Market operator agreement in place	2	3	6	
Procurement * Work incorrectly tendered or incorrectly awarded		Executive Officer	FC / P&F	* Contract and Tender templates in place * Financial regulations set out award of contracts * Contracts over £25k are tendered on Contract Finder. Three quotes obtained for contracts between £3k and £25k. Contracts over £213k will be procured in line with current legislation. * BIDS evaluated by two staff + finance officer + two Councillors. Report and recommendation written to Council * All tenders/contracts awarded by Full Council	2	3	6	
Bus Services * Fleet Connect - loss of service. Financial and reputational risk		Executive Officer	P&F	* Annual grant given to help maintain service * Usage statistics provided to monitor service * Liaison with joint funders * Community transport Working Group (external)	2	1	2	
Tennis * Income unable to meet sinking fund LTA (Lawn Tennis Association) requirements		Executive Officer Project Officer	RLA	* Regular budget monitoring and ensure amount is included in annual budget * Regular adverts on social media, newsletters etc. * Quarterly RLA meetings	1	2	2	

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Property / H&S Management								
The Harlington * Disruption risk due to power cuts, failure of electrics, boiler or water causing loss of revenue and/or expensive repairs. * Toilets are also a constant problem and the loss of these would result in the building closing. * Public Conveniences: risk of legionella, failure to maintain facilities, risk of hazardous substances * Bar services: Failure to maintain statutory requirements for service provision * IT: disruption to ticketing/till systems		The Harlington Manager	RLA /P&F/ FC	* Quarterly RLA meetings * Front of House Risk Assessment in place * Technical Risk Assessment in place * PAT carried out annually on electrical equipment * Facilities - Building Health and Safety Risk assessment in place * Booking form to be completed when hiring to identify high risks * Contractor Management in place * Contracts are signed by all service providers (Artists, Film, Comedy Club etc.) * Annual review of all assets * Fire Risk Assessment carried out by Chubb in November 2022 * H&S consultancy services to be contracted * Contracts in place to test for legionella * Daily & weekly checks in place * Annual water inspection * Maintenance contracts in place * Substances controlled/securely stored by trained persons and records kept * Bar risk assessments in place * Premises Licence in place * The Harlington Manager is the Designated Premises Supervisor. The Bar Manager also has a personal licence to sell alcohol. * The Bar Manager is responsible for stock ordering and control * Coffee machine pressure tested annually (when cafe in use) * Bar Manager is responsible for issuing detailed instructions to staff and maintaining training records * A professional stocktake is appointed annually * Fridge and freezer temperature checks carried out daily * The Bar Manager is responsible ensuring that staff sign the opening and closing checklist * Training for Food Hygiene mandatory. SFBB food hygiene documents in place and reviewed annually. * Food Hygiene Rating tested by District Council * Ticketing system is a large external company unlikely to go out of business * Till system is an external company * Insurance in place * Data backed up regularly	3	2	6	* Arrange contract for H&S consultant service
Health and Safety Management * Procedures not followed resulting in member of staff/customer injured with consequence of: # Possible corporate manslaughter # Failure of statutory requirements # Insurance claim against the Council # Loss of reputation # Adverse media * Financial/ reputational loss due to change in HSE requirements * Reliance on health and safety advisor and scaling back of duties		Executive Officer Facilities & Open Spaces Manager (Parks, Office) The Harlington Manager	FC	* Health & Safety consultancy required for audit check and ad hoc advice * Management checks carried out monthly to ensure paperwork is completed following required tests *Management walk arounds to ensure compliance * Contractor Management in place - light touch * Risk meetings twice year (or more if required) *Health and Safety Policy in place * Risk Assessments in place for each area * COSHH register reviewed/updated annually. Hazardous substances stored securely i.e. cleaning cupboards, paint store etc. * Asbestos Register in place and annual checks carried out on condition of asbestos containing materials * Daily, weekly, monthly checks in place (water temps, flushing, ladders, fridge temps, first aid, emergency lighting, lifting aids etc. * Annual fire evacuation drill * Fire alarms tested weekly * Appropriate PPE provided i.e. work gloves for DM's moving tables, chemical resistant gloves/goggles for line cleaning * H&S actions spreadsheet in place and reviewed with staff * New staff H&S induction * Fire Evac procedure/policy in place and staff have Fire Warden, First Aid and Manual Handling training	2	3	6	* Clear H&S responsibilities to be discussed with relevant staff to embed process *New H&S Consultant to be found asap.
Building Condition * Failure of the fabric and services of buildings resulting in injury to individuals and/or non-compliance with relevant legislation or unavailability of buildings/ breach of contract * Plant failure i.e. boilers: loss of revenue through closure of building/cancellation of shows		The Harlington Manager Facilities & Open Spaces	FC	* Review of assets has included a condition survey of The Harlington that has informed a view of requirements * Contracts in place for maintenance * Health & Safety Consultant to be contracted for advice * Asbestos Register and annual check of condition of asbestos containing items * Quotes being obtained for boiler replacement if required in an emergency * Lease tenants responsible for own asbestos checks	2	3	6	
Drainage * Risk of flooding		Facilities & Open Spaces Manager	RLA	* Arrangements in place with agencies/district * Grounds maintenance - i.e. ditches * Council owns aqua vac that can help clear up small floods in council buildings	2	2	4	
Play Areas and Skatepark * Failure to maintain assets resulting in injury.		Facilities & Open Spaces Manager	RLA	* Weekly checks by Grounds Maintenance * Regular checks by FOSM				

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* Not acting on ROSPA high risks in a timely manner				* Annual checks by ROSPA * Proper records maintained * CCTV in place in some parks * Quarterly RLA meetings to report and act on issues * Public liability insurance * Ensure enough is budgeted to adequately maintain assets	2	2	4	
Ancells Farm Community Centre and Pavilions * Disruption risk due to failure of electrics, boiler or water causing loss of revenue and/or expensive repairs. * Financial risk from non-payment for bookings * Public Conveniences: risk of legionella, failure to maintain facilities, risk of hazardous substances		The Harlington Manager Facilities & Open Spaces Manager	RLA	* Facilities - All Buildings have a Health and Safety Risk assessment in place * Booking form to be completed when hiring to identify high risk * Bookings diary maintained to ensure no possibility of double booking event * Contractor Management in place * Annual review of all assets * Health & Safety Consultant to be contracted for advice * Daily & weekly checks in place * Annual water inspection * Maintenance contracts in place * Substances controlled/securely stored by trained persons and records kept * Quarterly RLA/P&F meetings	1	3	3	
Land and Open Spaces * Failure to maintain assets * Failure to collect income * Failure to maintain records * Nuisances: Risk of nuisance of noise routinely in Parks which causes upset to residents. Risk of environmental nuisance such as tree falling on property. * Traveller Incursion: Public Spaces not available to residents. Fouling of Public Spaces causing health hazard. * Land not registered / deferred back to Crown		Facilities & Open Spaces Manager	RLA	* Ground maintenance contract and weekly check sheets * Invoices sent regularly and recovery action taken where necessary * Asset register and land registry documents maintained/stored safely * Observe good neighbour procedures, deal with any complaints in a speedy and sympathetic manner * Restricted access to some parks and open spaces e.g. height barrier bollards, gate locks * Quarterly RLA meetings * Regular checks by Facilities and Open Spaces Manager * Annual tree survey carried out and remedial works completed	1	2	2	
Provision of Office Accommodation * Disruption due to poor/faulty office equipment/furniture/conditions		Executive Officer Finance & Admin Manager Facilities & Open Spaces Manager	FC	* Periodic inspection of equipment/furniture * DSE (Display Screen) Assessments completed * Periodic maintenance of machinery * Signage and regular fire testing in place * Contractor management in place * Quarterly RLA meetings	1	2	2	
Operational Continuity * Unable to provide services, physical loss of office space, documents and equipment		Executive Officer The Harlington Manager	FC	* Policies and Procedures * Quarterly P&F meetings * Staff have multi skills across different areas * In case of office becoming unusable, staff are equipped to work from home until other measures put in place * Computer drives backed up daily to cloud and weekly to cartridges for 'bare metal recovery' (RBS, photos drive etc.)	1	2	2	
IT								
Cyber Attack * Risk to security of data, including risk of extortion. * Increasing reliance on internet services brings new opportunities and new threats from the actions of hackers, criminals or foreign intelligence services. * Unable to access IT due to a cyber attack		Executive Officer	FC	* Software in place and kept up to date by IT consultant * Data regularly backed up and held off-site * Redistribution of tasks amongst other staff * Part of National Cyber Security centre project	2	3	6	* FTC is now part of the project. Review by GCHQ in the Autumn * Insurance for cyber security to be considered
IT * IT consultant - equipment and security is compromised, loss of knowledge		Executive Officer	FC/RWG	* Succession plan created & key IT information held * Joined National Cyber Security Centre Pilot for Town Councils	2	2	4	
Cloud based systems and backups * Loss of data. Loss of server/no longer supported * Data security and hacking - not being able to work if internet goes down		Executive Officer	FC	* Verify UK based. Back ups to cloud but also physical backup - hard drives stored in fire proof safe. * Working from home possible if work internet goes down	1	3	3	* Currently looking into new IT provider to switch over to cloud based systems

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Legal								
Climate Change - effect on building operations * Extreme temperatures in office and discomfort of/danger to staff. * Shows/bookings being cancelled due to extreme weather resulting in a loss of revenue.		Executive Officer The Harlington Manager	CCWG / FC	* Fans/blowers around building for extreme heat and portable fan heaters for when temperatures are low * Grit for paths when snowing * Temporary stick on blinds for skylights in office during extreme heat * Usual office attire relaxed when temperatures very low or very high * For Harlington shows bookings must give advance warning of cancelling a booking in order to be eligible receive a refund * Where possible shows are rearranged to a new date to retain income rather than cancelling * Working from home supported in extreme conditions to safeguard staff	3	3	9	* To look into cost of portable AC units
Council Meetings * Failure to comply with statutory requirements and loss of effectiveness		Executive Officer	FC	* Council Standing Orders * Council Financial Regulations * Internal Audit completed annually * External Audit completed annually * Annual Residents' Meetings * A minimum number of Councillors for each committee in order for meeting to take place in place * Policy in place for public participation at meetings	2	2	4	* Vision Plan to be implemented October 2023
Failure in Governance * Risk of breach of legislation * Gifts: failure to declare gifts. Risk to reputation if not declared. * Code of Conduct: Councillors failing to follow policies and/or bringing the Council into disrepute * Transparency: Council not complying with transparency regulations * Data protection: Risk of breach of data by inadequate data handling and not adequately preventing and minimising security incidents resulting in loss of data, unlawful sharing of data, reputational damage and financial penalties levied by the Information Commissioner's Office		Executive Officer The Harlington Manager	FC	* Standing Orders * Internal Auditor reviews and ad hoc advice * Councillor pecuniary interests updated each year and published on website * Code of Conduct policy in place for councillors * Councillors and staff can view essential policies on the Council's website * Committee structure in force * Risk Review meeting to check twice a year * Staff training * Gift Register kept by the Executive Officer * Registration with Information Commissioners Office annually reviewed and renewed * Data Protection policy and Privacy Notices in place * Staff have attended data protection training * All Councillors invited to GDPR training however not all have attended training yet * Confidential information stored on secured drives with limited staff access and hard copies locked away with keys limited to management staff * Review all FTC databases to delete records that are no longer needed * Ensure all Councillors are trained and reminded not to forward emails to their private account * Local Council Insurance * Membership with HALC, NALC, SLCC. Live Pay manages payroll and calculates pensions/NI/Tax. Sussex HR for employment law advice * Transparency code lists what information should be available on website and reviewed by internal auditor * Freedom of Information procedures in place * When a councillor vacancy arises legal process followed for either election or co-option * If Council were to drop down to 1/3 of its original 18 members advice would be sought from Hart DC	2	2	4	* Retention Policy to be written and taken to P&F DRAFTED
Employment of staff * Loss of key staff * Lack of training * Failure to comply with regulations * Changes to employment legislation inc. pay		Executive Officer The Harlington Manager Finance & Admin Manager	FC / EC	* HR consultant employed for advice etc. * Disciplinary and Grievance policies in place * Staff have contracts and job descriptions. Contracts detail notice periods * Staff have annual appraisals * Establishment Committee for dealing with issues * Insurance in place * Parish would appoint a locum Clerk through direct advertising or HALC to cover absence of Clerk. Open Spaces Manager has sat CILCA course so could temporarily cover some legal aspects	2	2	4	
Council Tenancies * Risk of not meeting legal requirements under tenancy agreements or failing to ensure statutory obligations are not undertaken by tenants.		Executive Officer	FC	* Full review recently taken place	1	4	4	* System to be setup to regularly track and monitor actions required and changes in legislation * Some responsibilities are with the landlord
Council Property and Documents * Legal liability, loss of assets, no backup of physical documents		Executive Officer Harlington Manager	FC	* Public Liability Insurance in place * Asset Register maintained and reviewed annually * Freedom of Information requests logged * Electronic data backed up regularly and held off-site * Maintenance contract for building maintenance and lifts * Regular maintenance and inspections for assets and property * Assets & investments reviewed by P&F and Internal Auditor	2	1	2	
CCTV * Failure to comply with statutory requirements.		Facilities and Open Spaces Manager	RLA	* ICO Data Protection Registration * Liaison with local enforcement agencies * Regular data protection training	2	1	2	

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Reputational								
Crisis Management * Failure to respond effectively to public relations / media crisis or negative press		Executive Officer	FC	* Press and Social Media policies/procedures in place * Defined communication strategy * Arrangements in place with agencies/district for physical crisis	2	2	4	* Recruitment of a Communications Officer
Lack of Succession Planning for Senior Staff and major changes in Councillors * Loss of knowledge to drive the Council business forward in the long term		Executive Officer Harlington Manager	FC / RWG / EC	* Identify expert incumbents who possess critical knowledge and skills * Procedures to be produced * Notice periods to be reviewed by Establishment Committee * Create succession plan * Training current staff * Establishment Committee 3 times per year * Multi Skill training * Paperwork/manuals for councillors to help bring them up to speed	2	2	4	
Cemetery * Failure to keep appropriate records. Failure to keep the burial ground in good order. Capacity to deal with influx of interments during pandemic. Cemetery is nearly full for burials		Cemetery Clerk	RLA	* Cemetery health and safety risk assessment * Epitaph database used to manage grave allocation * Cemetery maintenance included in grounds maintenance contract * Public Liability Insurance in place * Headstone/ kerbstone survey carried out annually * Software can be accessed remotely * Plans in place for pandemic * Contractor management in place * Quarterly RLA meetings * Extension to cemetery completed	1	2	2	
External Communications * Defamation, non-production, failure to meet requirements i.e. non political content. * Social Media: Bringing the council into disrepute * Website: Website not maintained / not meeting standards		Project and Committee Officer	FC	* Advice sought for sensitive content * Distribution slots for communications booked in advance and performance monitored * Multiple people proof read content * Only approved content published and access to social media and website accounts restricted to specific staff members * Social Media Policy in place and signed by staff * Regular content and legislation reviews	1	2	2	

KEY

❖ Financial – loss of money
❖ Security – fraud, theft, embezzlement
❖ Property / H&S Management
❖ Legal – breaking the law or being sued
❖ IT – failure of IT systems or misuse or data loss
❖ Reputational – actions taken could harm the authority’s public reputation.