



# Bungay Town Council

## RISK ASSESSMENT SCHEDULE

Revised 01/5/2025

### Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.

*Audit Commission – Worth the Risk: Improving Risk Management in Local Government (2001:5)*

This document has been produced to enable the Town Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. The Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focused approach to managing risk, which:

- Identifies the subject
- Identifies what the risk may be
- Identifies the level of risk
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required.

| Management          |                                                                                             |       |                                                                                                                                                                                                                                                                                                                                          |                                                                 |
|---------------------|---------------------------------------------------------------------------------------------|-------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|
| Subject             | Risk(s) Identified                                                                          | H/M/L | Management/Control of Risk                                                                                                                                                                                                                                                                                                               | Review/Assess/Revise                                            |
| Business Continuity | Council not being able to continue its business due to an unexpected or tragic circumstance | L     | All files and recent records are kept at the Town office. The Council have a secure online backup system that backs up files as they are created or changed. In the event of the Clerk being indisposed the administration assistant will provide administrative support.<br><br>An Operational Plan is in place.                        | Review when necessary<br>Ensure procedures below are undertaken |
| Meeting location    | Adequacy Health and Safety                                                                  | L     | Meetings are held in the Riverside Centre. The Clerk and Administration Assistant holds keys. Two additional Councillors are key holders.<br><br>All the premises and facilities are considered to be satisfactory in terms of health and safety, accessibility and comfort aspect. for the Clerk, Councillors and any Public who attend | Existing procedure adequate                                     |
| Council Records     | Loss through theft, fire,                                                                   | L     | Papers, both current and archived, will be held in the Town Office and backed up to the                                                                                                                                                                                                                                                  | Damage or theft is unlikely and so                              |

|                                                                      | damage                                                                  |        | cloud. Keys to the Town Office are held by the Clerk, Administration Assistant and the Mayor.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | provision. adequate.          |
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| Council Records electronic                                           | Loss through damage.                                                    | M      | The Town Council's electronic records are stored on the cloud. The Council have a secure online backup system that backs up files as they are created or changed.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                               |
| Development of Programmes of work that require specialist management | Loss of finance and reputation                                          | M/H    | <p>Events program</p> <ul style="list-style-type: none"> <li>Staff and councillors receive training.</li> <li>Business Tourism and Heritage committee keep a watchful eye on health and safety and the organisation of events.</li> <li>All events plan to be signed off by Officers of the Council.</li> <li>Event plans with health and safety risks sent to the East Suffolk Events Committee.</li> </ul> <p>Youth Work Programme</p> <ul style="list-style-type: none"> <li>Staff and councillors receive training.</li> <li>Community Assets and services committee keep a watchful eye on health and safety and the organisation of the youth programme.</li> <li>All youth work activities to be signed off by Officers of the Council.</li> </ul> | Monthly at Committee meetings |
| Staff Team, volunteers and councillors nearing retirement age        | Health & safety Risk to staff and financial loss due to lost work hours |        | <ul style="list-style-type: none"> <li>Conduct health and ergonomic assessments.</li> <li>Where appropriate introduce flexible work arrangements to reduce physical strain.</li> <li>Provide training on manual handling and age-appropriate equipment.</li> <li>Develop succession planning and mentorship programs.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                          |                               |
| <b>Finance</b>                                                       |                                                                         |        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                               |
| Subject                                                              | Risk(s) Identified                                                      | H/M/L  | Management/Control of Risk                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Review/Assess/Revise          |
| Precept                                                              | Adequacy of precept                                                     | M      | Sound budgeting to underline annual precept. Each Town Council Committee monitors their budget information and detailed budgets are prepared in late autumn. The precept is considered by committees in October and reviewed by the Finance and Governance Committee in November prior to making a recommendation to full Council in January.                                                                                                                                                                                                                                                                                                                                                                                                             | Existing procedure adequate   |
| Insurance                                                            | Adequacy Cost                                                           | L<br>L | An annual review is undertaken of all insurance arrangements in place.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Existing procedure adequate   |

|                            |                                                                                                                     |                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                           |
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|                            | Compliance Fidelity Guarantee                                                                                       | L<br>L                              | Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Review provision and compliance annually                                  |
| Banking                    | Inadequate checks                                                                                                   | L                                   | The Council has Financial Regulations which set out the requirements for banking, cheques and internal audit                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Existing procedures adequate<br>Review Financial Regulations as necessary |
| Cash                       | Loss through theft or dishonesty                                                                                    | L                                   | <p>Monthly reconciliation prepared by Assistant Clerk and checked by the Clerk. Two signatories on cheques and online authorisation</p> <p>Internal and external audit undertaken.</p> <p>Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be detailed in the Financial Reports presented to Committees and Full Council.</p> <p>Two councillors countersign all invoices for payment.</p> <p>The Council no longer use LGAs137 as they have adopted the General Power of Competence.</p>                  | Existing procedures Adequate                                              |
| Freedom of Information Act | Policy Provision                                                                                                    | L-M                                 | The Council has a model publication scheme for Local Councils in place. The Clerk is aware that if a substantial request arrives then this may require many hours of additional work. The Council is able to request a fee if the work will take over 15 hours. However the request can be resubmitted, broken down into sections, thus negating the payment of a fee                                                                                                                                                                                            | Monitor and report any impacts made under the Freedom of Information Act  |
| Clerk                      | <p>Loss of clerk</p> <p>Fraud</p> <p>Actions undertaken</p> <p>Salary paid incorrectly</p> <p>Loss of passwords</p> | <p>M</p> <p>L</p> <p>L</p> <p>L</p> | <p>The Employment Committee monitors the wellbeing of staff.</p> <p>In the event of the Clerk resigning, the Deputy Clerk is completing his CiLCA qualification. .</p> <p>The requirements of Fidelity Guarantee insurance must be adhered to. Internal procedures in place.</p> <p>Clerk should be provided with relevant training, reference books, access to assistance and legal advice Timesheets kept.</p> <p>wage slips are signed off by the Clerk prior to online authorisation. Payroll is outsourced. Stored securely on confidential share drive</p> | <p>Monitor working Conditions</p> <p>Existing procedures Adequate</p>     |

| Finance        |                                           |       |                                                                                                                                                                                                                                   |                                                          |
|----------------|-------------------------------------------|-------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| Subject        | Risk(s) Identified                        | H/M/L | Management/Control of Risk                                                                                                                                                                                                        | Review/Assess/Revise                                     |
| Election Costs | Risk of election cost                     | M     | Risk in an election year. There are no measures, which can be adopted to minimise risk of having a contested election. A contingency fund is established to meet the costs.                                                       | Existing procedures Adequate                             |
|                | Risk of election to fill a casual vacancy | M     | Cost of the election would be met from general reserves                                                                                                                                                                           | Consideration of increase in budget to allow contingency |
| VAT            | Re-claiming/charging                      | L     | The Council has financial regulations which set out the requirements. VAT recovered annually.                                                                                                                                     | Existing procedures Adequate                             |
| Annual return  | Not submitted within time limits          | L     | Annual return is completed and signed by the Council, submitted to the Internal Auditor for completion and signing, then checked and sent on to the External Auditor within time limit. Clerk prepares a timetable for submission | Existing procedures Adequate                             |

| Assets           |                                             |       |                                                                                                                                                                            |                              |
|------------------|---------------------------------------------|-------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------|
| Subject          | Risk(s) Identified                          | H/M/L | Management/Control of Risk                                                                                                                                                 | Review/Assess/Revise         |
| Street furniture | Damage bins, notice boards and benches etc. | L     | An asset register is kept up to date and insurance is held at the appropriate level for all items. Regular checks are made on all equipment by members of the Town Council | Existing procedures adequate |
| Other Assets     | maintenance equipment                       |       | Items are securely stored and insured.                                                                                                                                     |                              |

| LIABILITY                           |                                                                     |       |                                                                                                                                                                                                                                    |                                                                 |
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| Subject                             | Risk(s) Identified                                                  | H/M/L | Management/Control of Risk                                                                                                                                                                                                         | Review/Assess/Revise                                            |
| Legal Powers                        | Illegal activity or payments                                        | L     | All activity and payments made within the powers of the Town Council (not ultra vires) and to be resolved and clearly minuted. Ensure clear terms of reference are in place.                                                       | Existing procedures Adequate                                    |
|                                     | Working Parties taking decisions                                    | L     | Financial Regulations in place.                                                                                                                                                                                                    |                                                                 |
| Minutes/Agendas/Statutory documents | Accuracy and legality<br>Non compliance with statutory requirements | L     | Minutes and agendas are produced in the prescribed method and adhere to legal requirements<br><br>Minutes are approved and signed at next meeting unless there is a resolution made to defer approval until the following meeting. | Existing procedures adequate<br><br>Undertake adequate training |

|      |                |   |                                                                                                                                                                            |                                                          |
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|      |                |   | Minutes and agendas are displayed according to legal requirements<br>Business conducted at Council meetings should be managed by the Chairman according to Standing Orders | Members to adhere to Code of Conduct and Standing Orders |
| GDPR | Breach of GDPR | M | Privacy Policy published on website<br>Data Protection audit undertaken and action taken where appropriate<br>Registration with ICO                                        | Review at least annually                                 |

| <b>LIABILITY</b>   |                                              |              |                                                                                                                                                                                                              |                                                                    |
|--------------------|----------------------------------------------|--------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|
| <b>Subject</b>     | <b>Risk(s) Identified</b>                    | <b>H/M/L</b> | <b>Management/Control of Risk</b>                                                                                                                                                                            | <b>Review/Assess/Re<br/>vise</b>                                   |
| Public Liability   | Risk to third party, property or individuals | L            | Insurance is in place. Risk assessment of any individual event undertaken eg Christmas lights, winter maintenance, summer event<br>Separate insurance taken out for Museum Collection                        | Existing procedures<br>Adequate                                    |
| Employer Liability | Non compliance with employment law           | L            | Undertake ongoing training to ensure Employment Committee are aware of current legislation.<br>Seek advice from SALC where appropriate.<br>Employer's Liability insurance in place                           | Existing procedures<br>Adequate                                    |
| Legal Liability    | Legality of activities                       | L            | Clerk to clarify legal position on proposals and to seek advice if necessary<br>Council always receives and approves minutes at meetings. Where possible minutes are posted on website shortly after meeting | Existing procedures<br>Adequate<br>Existing procedures<br>Adequate |
|                    | Proper and timely reporting via Minutes      | L            |                                                                                                                                                                                                              | Existing procedures<br>Adequate                                    |
|                    | Proper document control                      | L            | Retention of document policy in place                                                                                                                                                                        | Existing procedures<br>Adequate                                    |

| <b>COUNCILLORS PROPRIETY</b> |                               |              |                                                                                                                                  |                                                         |
|------------------------------|-------------------------------|--------------|----------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------|
| <b>Subject</b>               | <b>Risk(s) Identified</b>     | <b>H/M/L</b> | <b>Management/Control of Risk</b>                                                                                                | <b>Review/Assess/Re<br/>vise</b>                        |
| Members Interests            | Conflict of interest          | M            | Councillors have a duty to declare any interest at the start of the meeting or when a conflict becomes apparent during a meeting | Existing procedures<br>adequate                         |
|                              | Register of Members Interests | L            | Register of Members Interests form to be reviewed at least on an annual basis                                                    | Members to take responsibility to update their register |

| <b>COUNCIL REPUTATION</b> |                                     |              |                                                                                                                                                                               |                                                                                          |
|---------------------------|-------------------------------------|--------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|
| <b>Subject</b>            | <b>Risk(s) Identified</b>           | <b>H/M/L</b> | <b>Management/Control of Risk</b>                                                                                                                                             | <b>Review/Assess/Re<br/>vise</b>                                                         |
| Councillor and staff      | Bringing the Council into disrepute | M            | Councillors understand and receive training on the Code of Conduct.<br>A professional approach is undertaken on all Town Council matters.<br>E-mail Protocol Policy in place. | Not all Councillors have received training<br><br>Members to identify any training needs |

| <b>Health and Safety</b> |                           |              |                                                                                     |                                     |
|--------------------------|---------------------------|--------------|-------------------------------------------------------------------------------------|-------------------------------------|
| <b>Subject</b>           | <b>Risk(s) Identified</b> | <b>H/M/L</b> | <b>Management/Control of Risk</b>                                                   | <b>Review/Assess/Re<br/>vise</b>    |
| Residents, volunteers,   | Accident and injury.      | M            | The Town Council contributes to the Citation Health and Safety Management Contract. | Annual briefing full council on H&S |

|                        |                                                                           |  |                                                                                                                                                                                                                                                                    |                                                                             |
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| Councillors, and staff | Possible prosecution for dereliction of duty.<br><br>Risks to reputation. |  | Annual Audit reported CAS Committee.<br><br>Time needs to be made to ensure that staff have appropriate training and Risk Assessments in place for their work.<br><br>That every committee should give due care and attention to Health & Safety risks. Committees | Councillors responsibilities.<br><br>Members to identify any training needs |
|------------------------|---------------------------------------------------------------------------|--|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|

| RELEVANT DOCUMENTATION                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                              |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none"> <li>• Standing Orders</li> <li>• Financial Regulations</li> <li>• 2014 Model Code of Conduct</li> <li>• Disability Discrimination Act 1995</li> <li>• Disability and Equality Act 2010</li> <li>• Employments Rights Act 1996</li> </ul> | <ul style="list-style-type: none"> <li>• Local Government Act 1972</li> <li>• Local Government Act 2000</li> <li>• Audit Commission Act 1998</li> <li>• Local Government &amp; Rating Act 1997</li> <li>• Local Government Act 2003</li> <li>• Accounts &amp; Audit Regulations 2003</li> <li>• Localism Act 2011</li> </ul> |

## **RISK ASSESSMENT PHILOSOPHY**

### **RISK ASSESSMENT**

#### **1. PURPOSE**

To provide guidance to The Council to enable them to control risks associated with their activities.

#### **2. SCOPE**

This Procedure applies to all notified risks of Bungay Town Council.

#### **3. DEFINITIONS**

- a. Risk – A risk is the likelihood that the potential for harm or loss posed by a hazard will materialise.
- b. Hazard – A hazard is a condition in the Town, equipment, article, substance, machine, installation or situation that has the potential to cause harm or loss or both.
- c. Control Measures - Precautionary measures that reduce or eliminate the risk.
- d. Competent Person - A person who, by reason of their training, knowledge and experience, is considered capable of adequately assessing the health and safety risks associated with the operation being carried out.
- e. Residual Risk - The risk that remains after all the identified control measures have been put into place.

#### **4. METHOD**

The Town Council should follow the general principles of prevention

- 4.1 If possible avoid risk altogether;
- 4.2 Evaluate the risks which cannot be avoided;
- 4.3 Combat risks at source;
- 4.4 Take advantage of technological and technical progress for improving working methods and making them safer;
- 4.5 Replacing the dangerous by the non-dangerous or the less dangerous;
- 4.6 Give appropriate instruction to councillors and contractors.

## Councillor Interests at Meetings

